

# Grant Management Guide

for

## School Emergency Response Grant Programs



**COLORADO**

**Division of Homeland Security  
& Emergency Management**

Department of Public Safety

School Emergency Response Program

9195 East Mineral Avenue, Centennial, Colorado 80112

[www.dhsem.state.co.us](http://www.dhsem.state.co.us)

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## EXECUTIVE SUMMARY

The three School Emergency Response Grant Programs were created to improve the safety of Colorado's Preschool & Kindergarten–12 Students and improve the response to emergencies in our schools.

The **School Access for Emergency Response** program (**SAFER**) enacted by SB18–158 provides funding for interoperable communication hardware, software, equipment maintenance, and training to allow for seamless communications between existing school communications systems and first responder communications systems. Grant Recipients may use the money received through the grant program to deliver training programs to teach effective communications with first responders in an emergency, to implement an interoperable technology solution to provide or upgrade a system for effective communication with first responders in an emergency, to maintain, improve, or provide interoperable communications hardware or software, and for any necessary radio system capacity expansions where school loading has been determined to have a significant impact on public safety system loading.

The **School Security Disbursement** program enacted by SB18–269 provides funding to improve security in public school facilities and vehicles and to support training for school personnel.

The **Enhance School Safety Incident Response Grant** program enacted by HB18–1413 provides funding to develop best practices and protocols, conduct research and development, and upgrade technology and infrastructure used for training related to school safety incident response.

This guide incorporates by reference, State laws and regulations in the terms and conditions sections of the grant awards. The use of this guide is for an overview in terms of requirements and not intended to be an all-inclusive document. Please see Appendix C for a list of the School Emergency Response Team at DHSEM for additional support and guidance.

DHSEM would like this Grant Management Guide to be useful, and welcome any suggestions for improvements. Do not hesitate to contact the Division of Homeland Security and Emergency Management (DHSEM) with any recommendations, questions or concerns. We look forward to your continued success in participating the School Emergency Response Grants.

Visit us on the web at <http://www.dhsem.state.co.us/>

# Table of Contents

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<b>EXECUTIVE SUMMARY .....</b>	<b>2</b>
<b>CHAPTER 1: GRANT AWARDS .....</b>	<b>5</b>
1.1 BILATERAL AGREEMENTS.....	5
1.2 POINTS OF CONTACT.....	5
<b>CHAPTER 2: POLICIES AND PROCEDURES .....</b>	<b>5</b>
2.1 GRANT COMPLIANCE .....	5
<b>CHAPTER 3: COSTS.....</b>	<b>6</b>
3.1 ALLOWABLE COSTS .....	6
3.2 CONSULTANT RATES .....	6
3.3 SERVICES .....	6
3.4 TRAINING .....	7
3.5 VENDOR SELECTION .....	7
3.6 PRE-AWARD COSTS .....	7
3.7 LOBBYING .....	7
<b>CHAPTER 4: PROCUREMENT .....</b>	<b>7</b>
4.1 PROCUREMENT.....	7
4.1.1 CONFLICTS OF INTEREST.....	9
4.1.2 SEGREGATION OF DUTIES.....	9
4.2 REPORTING IRREGULARITIES AND ILLEGAL ACTS .....	9
<b>CHAPTER 5: QUARTERLY REPORTS.....</b>	<b>9</b>
5.1 QUARTERLY FINANCIAL AND NARRATIVE REPORTS.....	9
5.2 QUARTERLY REPORTING SCHEDULES.....	10
<b>CHAPTER 6: CHANGES TO GRANT AGREEMENT .....</b>	<b>10</b>
<b>CHAPTER 7: GRANT CLOSE-OUT .....</b>	<b>10</b>
7.1 DEOBLIGATION OF FUNDS .....	10
7.2 FINAL REPORTING .....	11
7.3 RECORDS RETENTION .....	11
<b>CHAPTER 8: OVERSIGHT, MONITORING AND AUDITING.....</b>	<b>12</b>
8.1 STATE.....	12
8.2 NON-COMPLIANCE .....	13
8.3 REDUCTION OR TERMINATION OF AGREEMENT FOR CAUSE.....	13

8.4 TERMINATION FOR CONVENIENCE .....	14
8.5 EXAMPLES OF FINANCIAL MONITORING FINDINGS .....	14
<b>CHAPTER 9: EQUIPMENT .....</b>	<b>15</b>
9.1 SAFEGUARDING GOVERNMENT PROPERTY .....	15
9.2 INVENTORY CONTROL.....	15
9.3 LOSS, THEFT OR DAMAGE OF EQUIPMENT .....	16
9.4 EQUIPMENT MAINTENANCE .....	16
9.5 CHANGE IN OWNERSHIP OF EQUIPMENT.....	16
9.6 DISPOSITION.....	17
9.7 COPYRIGHTS, PATENTS, AND INVENTIONS.....	17
9.8 PUBLICATIONS.....	18
<b>CHAPTER 10: ACCOUNTING AND INTERNAL CONTROLS.....</b>	<b>18</b>
10.1 ACCOUNTING SYSTEM.....	18
10.2 FINANCIAL REPORTING CAPABILITY .....	19
10.3 INTERNAL CONTROLS.....	19
10.4 ACCOUNTING FOR IN-HOUSE STAFF .....	19
<b>APPENDIX A: GRANT FORMS .....</b>	<b>20</b>
GRANT FORMS – SAMPLES .....	21
<b>APPENDIX B: GRANT REFERENCE INFORMATION LINKS.....</b>	<b>24</b>
<b>APPENDIX C: DHSEM GRANT STAFF CONTACT INFORMATION.....</b>	<b>24</b>

## Chapter 1: Grant Awards

### 1.1 BILATERAL AGREEMENTS

The State of Colorado enters into agreements with Recipients governing the distribution, expenditure, and administration of grant funds. Recipients should ensure that they have a signed copy of the Grant (or Interagency) Agreement and understand its terms and conditions.

The fully executed Grant Agreement is the official notification of State award fund approval to the Recipient and provides the amount of State funds for the Recipient's approved projects. The Grant Agreement identifies the State grantor agency, the Recipient name, the State grant number, the award period of performance (effective dates), the approved budget summary, and any special and/or standard conditions that must be met in accepting the award.

Recipients should administer awards in accordance with the fully executed Grant Agreement. It is the responsibility of the Recipient to ensure that all expenditures are made in compliance with State guidance and regulations.

Unallowable expenses that have been inadvertently approved within a fully executed Grant Agreement will still be considered unallowable.

### 1.2 POINTS OF CONTACT

Please contact the School Emergency Response section for any questions you may have or technical assistance you require on any matter related to your Grant, whether financial or programmatic in nature. Please see Appendix E for a list of the Grants Staff.

## Chapter 2: Policies and Procedures

### 2.1 GRANT COMPLIANCE

- I. Grant funds must be expended on activities specified in the approved grant application/budget. Budget modifications or amendments can be requested by submitting a Grant Change Request Form. All change requests must be approved by the DHSEM prior to expending funds on the new or supplemental items changed.
- II. Recipients must keep accurate records which justify all expenditures. All grants are subject to monitoring and audit. Recipients should maintain a folder that is dedicated to the award, keeping records of purchase orders, invoices, budget amendments, and

other support documentation. These records are subject to audit and must be maintained for six years after the grant is closed as stated in the State's Accounting Best Practices for contracts and intergovernmental/agency agreements.

- III. Recipients should file all required reports in a timely manner. Failure to submit required reports could jeopardize future funding or delay reimbursements.

## Chapter 3: Costs

### 3.1 ALLOWABLE COSTS

SAFER program funds may be used to deliver training programs to teach effective communications with first responders in an emergency, to implement interoperable technology solution to provide or upgrade systems for effective communication with first responders in an emergency, to maintain, improve, or provide interoperable communications hardware or software, and for any necessary radio system capacity expansions where school loading has been determined to have a significant impact on public safety system loading.

The School Security Disbursement program funds may be used for building improvements to enhance security and training for school personnel.

The Enhance School Safety Incident Response program funds may be used to develop best practices and protocols, conduct research and development, and upgrade technology and infrastructure used for training related to school safety incident response.

All expenditures must be in accordance with the Recipient's executed grant agreement which incorporates the approved application budget by reference.

### 3.2 CONSULTANT RATES

Compensation for individual consultant services is to be reasonable and consistent with the amount paid for similar services in the market place. Time and effort reports are required for consultants. Competitive bidding for consultant services is encouraged, and may be required, depending on the contract amount, and it is highly recommended in most circumstances.

### 3.3 SERVICES

Recipients purchasing contractual services should ensure that:

- a description of the procurement process used to select the contractor is maintained in the grant file,
- all services are supported by a valid, signed contract between the Recipient and the service provider and the contract is time limited to the performance period of the grant,
- contractor time and activity records (when not based on a deliverable basis) are maintained in the project file, (this is a requirement for all contractors), and
- the contractor is not receiving payment from more than one source for the same work for this project.

### 3.4 TRAINING

These grant programs allow for training costs to educate school staff on security procedures, school safety best practices, and the use of equipment purchased with grant dollars. Selection of the location of the training sessions and the training staff to conduct them should be done in compliance with local and State procurement rules.

### 3.5 VENDOR SELECTION

Recipients must have a process to confirm that vendors are in good standing prior to contracting with them.

### 3.6 PRE-AWARD COSTS

Any costs incurred prior to the commencement date of the award are unallowable.

### 3.7 LOBBYING

All Recipients must comply with the provisions of the government-wide Common Rule on Restrictions on Lobbying, as appropriate.

## CHAPTER 4: PROCUREMENT

### 4.1 PROCUREMENT

A Recipient should ensure its procurement processes meet or exceed State requirements. In cases where the local jurisdiction does not have a written procurement policy, the jurisdiction must follow State procurement policies. Recipients should ensure that their fiscal policies and procedures include specific requirements unique to grant administration. Recipients should

refer to local and State procurement rules for more thorough guidance, prior to making decisions, regarding competitive bids, sole source, or other procurement issues.

State rules stipulate that Recipients “may secure supplies and services up to \$25,000 without benefit of competition ...supplies and services costing between \$24,000 and \$150,000...may be purchased using a documented quote process.....” Purchases requiring bids are also detailed in the State of Colorado Procurement Rules, found on the State’s website, [www.Colorado.gov](http://www.Colorado.gov). Local governments may also have procurement rules.

Recipients should ensure that:

- All procurement transactions, whether negotiated or competitively bid and without regard to dollar value, are conducted in a manner that provides maximum open and free competition.
- The Recipient is alert to organizational conflicts of interest and/or non-competitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade.
- Contractors who develop or draft specifications, requirements, statements of work, and/or Requests for Proposals (RFPs) for a proposed procurement must be excluded from bidding or submitting a proposal to compete for the award of such procurement.
- When issuing requests for proposals, bid solicitations, and other published documents describing projects or programs funded in whole or in part with these grant funds, the phrase “This project was supported in whole or in part by grant # \_\_\_\_\_, issued by the Colorado Division of Homeland Security and Emergency Management” must be used.
- A sole source procurement is justified when there is only one good or service that can reasonably meet the need and there is only one vendor who can provide the good or service. A requirement for a particular proprietary item (i.e., a brand name specification) does not justify a sole source procurement if there is more than one potential bidder or supplier for that item. The following are examples of circumstances which could justify a sole source procurement:
  - where the compatibility of equipment, accessories, or replacement parts is the paramount consideration
  - where a sole supplier's item is needed for trial use or testing
  - where public utility services are to be procured.

The Director, the head of a purchasing agency, or the designee of such person, shall make a written determination that a procurement is sole source, setting forth the reasons. In cases of reasonable doubt, competition should be solicited. Any request by a using agency



that a procurement be restricted to one potential contractor shall be accompanied by an explanation as to why no other will be suitable or acceptable to meet the need.

- All purchases are listed in the approved Grant Agreement.

#### 4.1.1 CONFLICTS OF INTEREST

State and local statutes and regulations require individuals involved in procuring goods and services to be free of any conflicts of interest. Recipients should ensure that individuals involved in the procurement process and the administration of grants meet all applicable ethics requirements.

#### 4.1.2 SEGREGATION OF DUTIES

To ensure appropriate checks and balances to mitigate the risk of errors and fraud, it is imperative that one person does not serve in multiple positions of authority relative to grant or financial activities.

#### 4.2 REPORTING IRREGULARITIES AND ILLEGAL ACTS

Recipients that become aware of any misuse, misappropriation, conflict of interest, falsification of records and reports, or any other potentially irregular or illegal acts should follow their organization's procedures for reporting these activities, and should also report their concerns immediately to DHSEM.

## Chapter 5: Quarterly Reports

### 5.1 QUARTERLY FINANCIAL AND NARRATIVE REPORTS

Quarterly Progress Reports are required for all open grant awards and must be completed in accordance with the "Quarterly Reporting Schedule" presented below. The purpose of reporting is to provide information on the financial status and project progress made in meeting the goals and objectives of the grant award. The report must include a description of any delays or problems with individual projects.

Quarterly reporting is due to DHSEM no later than thirty days (30) after the end of each calendar quarter, regardless of the level of grant activity, or inactivity that took place during the quarter. Reports must include an explanation for inactivity, if applicable.

Reporting financial information should not include accruals; it should include only actual expenditures made during the quarter, whether or not the related reimbursement has been received.

## 5.2 QUARTERLY REPORTING SCHEDULES

Calendar Quarters	Due Dates
January 01 – March 31	April 30
April 01 – June 30	July 30
July 01 – September 30	October 30
October 01 – December 31	January 30

The first quarterly report for any grant is due for the quarter in which the agreement is executed.

## Chapter 6: Changes to Grant Agreement

Quarterly reports will be referenced when making decisions regarding change requests. Problems or issues regarding project implementation should be included in the quarterly reports and not only noted when a change request is submitted. Every attempt should be made by Recipients to expend all funds in the original approved budget.

Any proposed change to a Grant Agreement must be approved in advance by DHSEM. While the procedures to approve or return the request will differ based on the nature and amount of the change request, the same Grant Change Request Form will be used for all change requests.

## Chapter 7: Grant Close-Out

All Recipients must follow the grant close out procedures as described within this chapter. The normal quarterly reporting periods do not apply to the grant close out procedure. Grant Awards must be closed within **45 days** of the end date of the grant performance period.

### 7.1 DEOBLIGATION OF FUNDS

Ideally, a Recipient expends all of the funds in a grant award. If a Recipient cannot expend all the funds, this fact should be noted on the quarterly or annual report. If the remaining balance

amount shown on the Recipient quarterly report matches the State's records, DHSEM will send the Recipient a letter to the fiscal officer documenting the deobligation of the specific amount left in the grant award.

If the Recipient or DHSEM determines that funds in excess of expenditures were distributed, those funds should be returned as soon as identified, but no later than 45 days after the close of the grant performance period. Recipients with excess funds should make a check or warrant payable to DHSEM, indicating the grant number.

## 7.2 FINAL REPORTING

Recipients are required to submit final reports including total expenditures for the grant period, project completion details, reported outcomes of the project, problems encountered during the performance period that may have hindered or affected the completion of grant performance measurements, and any other pertinent information.

Recipients should also include information regarding the continued efforts of the projects, including any information on subsequent grant funding or supplemental funding sources. Please review [Appendix A](#) – Quarterly Reporting. The Final Report is due within 45 days of the end of the grant performance period. The final report cannot include unpaid obligations.

## 7.3 RECORDS RETENTION

All Recipient financial and program records must be retained for **six years after submission of final reports to the State**. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the six year period, the records must be retained until resolution and completion of all actions concerning the grant.

Records must be maintained separately from any previous or future grants that provided funding or will continue funding for the project. Grant records include all financial records, supporting documents, statistical records, and all other records pertinent to the grant. These include, but are not limited to, books of original entry, source documents supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, consultant/volunteer time and activity reports, canceled checks, and related documents and records. Source documents include, but are not limited to, Grant Award, financial and narrative reports, and other programmatic/financial forms and reports associated with execution of the grant.

## Chapter 8: Oversight, Monitoring and Auditing

Recipients may be audited and/or monitored and their performance reviewed by the State. DHSEM, the Colorado State Auditor, the State Administrative Agency, or any of their authorized representatives, will have the right of access to any pertinent books, documents, papers or other records of Recipients that are pertinent to the award, in order to make audits, examinations, excerpts, and transcripts.

DHSEM has a division-wide monitoring team to streamline the monitoring process to:

- Standardize the monitoring process across all grant programs managed by DHSEM
- Minimize the number of monitoring visits Recipients receive annually from DHSEM
- Conduct visits as an independent monitoring team instead of program managers
- Assist Recipient organizations with compliance related to the grant award

The DHSEM recipient Monitoring (SRM) team performs on-site monitoring to review compliance of Recipient grants. DHSEM will only monitor a sample of Recipients each year, based upon an annual risk assessment, and will contact Recipients directly if the organization is selected for an on-site monitoring visit.

Additionally, DHSEM Program Managers, Grant Specialists, and/or Regional Field Managers may contact the organization to perform the following grant tasks:

- Technical assistance – Providing guidance on technical grant requirements
- Eligibility reviews – Review of eligibility of expenditures submitted
- Grant / Program Review – Overall grant administration, quarterly reporting
- Training – Providing training on grant management
- Applicant assistance support – Assistance with use of programs and forms
- In-person visit – Face to face meetings between Recipients and DHSEM personnel
- Site inspection – Closeout process for closing out project sites

### 8.1 STATE

#### **Office of the State Auditor**

The Office of the State Auditor (OSA) conducts financial and compliance audits of grants annually. In addition, the OSA may conduct a performance audit to determine the efficiency and effectiveness of the program, as well as recipients' and recipients' compliance with laws, regulations, and policies.

## The State Administrative Agency

DHSEM, as the administrating agency named in the enacting State legislation, has the responsibility to monitor these Grants, the programs and activities supported by such funds, and the results achieved. DHSEM is required to monitor the performance of projects to ensure adherence to performance goals, time schedules or other requirements as appropriate to the projects or the terms of agreements. To fulfill its monitoring responsibilities, DHSEM conducts the following types of monitoring:

**Office-Based review** – review to evaluate the quality and accuracy of financial and narrative reports, audit reports, requests for reimbursement, expenditures, correspondence and other documentation provided by the Recipient.

**On-site monitoring** – Visits to the project site involve reviewing one or more aspects of the Recipient project. Visits may include examining expenditure documentation, reviewing internal controls and evaluating progress on projects, among others.

## 8.2 NON-COMPLIANCE

DHSEM must ensure that its Recipients comply with all the requirements specified in the grant agreement, with all state rules.

- Non-compliance with the terms and conditions of the grant contract, whether stated in a regulation, assurance, application, or notice of award, may trigger a non-compliance, sanctions, and appeal process as defined in DHSEM Non-compliance Policy. DHSEM may exercise any or all of the remedies available to it, in its sole discretion, concurrently or consecutively.

Recipients must have procedures in place to remedy problems identified in monitoring activities. Timely resolution of findings and recommendations is critical to the success of the program.

## 8.3 REDUCTION OR TERMINATION OF AGREEMENT FOR CAUSE

The State may terminate or reduce the total grant award for cause, without reimbursement of any costs incurred because of the reduction.

If the State terminates or reduces the grant amount for cause, it will first give 30 days' written notice to the Recipient, stating the reasons for reduction, steps needed to correct the problems, and the date the award amount will be reduced in the event that problems have not been corrected to the satisfaction of the State.

In the event the grant is terminated or reduced for cause, the State will reimburse the Recipient only for acceptable work or deliverables received to the date of reduction or termination.

In the event the grant is reduced for cause, final payment to the Recipient may be withheld at the discretion of the State until completion of final State review.

#### 8.4 TERMINATION FOR CONVENIENCE

Either the State or the Recipient may terminate the grant with 30 days written notice of intent to cancel or terminate.

The grant may be terminated by the State if it is in the best interest of the State of Colorado to terminate the grant.

If either the Recipient or the State terminates the grant for convenience, the Recipient will be paid the necessary and allowable costs incurred through the date of termination. In the case of personnel contracts/services, the Recipient will receive payment not exceeding a prorated amount based on the number of days of project operation prior to the date of termination.

Any equipment purchased under a terminated grant may revert to the State at the option of the State. The State will take into account the special nature of equipment purchases under this program when determining the final disposition of equipment purchased through grants that have been terminated.

#### 8.5 EXAMPLES OF FINANCIAL MONITORING FINDINGS

- Recipient has no written procedures
- Lack of documentation
- Inadequate/untimely submission of reports
- Inventory management deficiencies
- Inadequate Recipient monitoring
- Period of performance expired without a prior approval for an extension
- Inadequate time and effort records

- Lack of competition during procurement
- Conflicts of interest
- Failure to manage audit results
- Inadequate accounting procedures
- Questioned expenditures
- Excess cash on hand
- Commingling of funds

## Chapter 9: Equipment

### 9.1 SAFEGUARDING GOVERNMENT PROPERTY

All property must be managed in accordance with Grant Agreements, and State laws, regulations, and directives. Recipients are responsible for establishing systems and controls to adequately safeguard assets purchased with State funds, regardless of the dollar value of the asset.

In addition to general provisions regarding safeguarding of government property, State laws and regulations assign additional responsibility for protecting a single unit of equipment with an acquisition cost of \$5,000 or more and a useful life greater than one year. If the Recipient's fiscal officer has designated an amount lower than \$5,000 to define equipment, that standard must be used.

### 9.2 INVENTORY CONTROL

DHSEM purchasing, equipment, and management requirements state:

Procedures for managing equipment (including replacement equipment) until disposition takes place will, as a minimum, meet the following requirements:

- (1) Property records must be maintained that include a description of the property, a serial number or other identification number, the source of funding for the property, who holds title, the acquisition date, and cost of the property, the location, and any ultimate disposition data including the date of disposal and sale price of the property.
- (2) A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.
- (3) A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated.

(4) Adequate maintenance procedures must be developed to keep the property in good condition.

### 9.3 LOSS, THEFT OR DAMAGE OF EQUIPMENT

Recipient Agencies are responsible for replacing or repairing equipment with an acquisition cost of \$5,000 or more and a useful life greater than one year, if the equipment is willfully or negligently lost, stolen, damaged, or destroyed. Any loss, damage, or theft of equipment, must be investigated, fully documented, and made part of the official grant record.

### 9.4 EQUIPMENT MAINTENANCE

Recipients are required to keep equipment purchased with State funds in good operational condition. Storage, use, maintenance, and repairs of the equipment must be accomplished in accordance with the manufacturer's recommendation. This includes, but is not limited to, regular documentation of all maintenance and repair activities.

### 9.5 CHANGE IN OWNERSHIP OF EQUIPMENT

If for any reason equipment is transferred from the Recipient fiscal officer/agency to another fiscal officer/agency, an equipment transfer or release form should be executed. If the Recipient fiscal officer/agency requires a memorandum of understanding (MOU) or other document, that requirement should be followed, provided the document includes the information outlined below. Equipment transfer is not encouraged, you should consult with DHSEM prior to transferring any equipment. At a minimum, the release or transfer document should include:

- grant number
- transferring and receiving agency information
- contact information for a primary point of contact within receiving agency
- specific equipment involved
- requirements associated with ownership of equipment purchased with Homeland Security funds

Refer to [Appendix B](#) for an example of an Equipment Transfer Form and [Appendix C](#) for an example of an MOU for equipment transfer.



When a Recipient is acquiring replacement equipment, the Recipient may use the equipment to be replaced as a trade-in or sell it and use the proceeds to offset the cost of the replacement equipment, subject to prior approval by DHSEM.

## 9.6 DISPOSITION

Recipient must obtain approval for the use of equipment in other projects when it is determined that the equipment is no longer needed for the original grant purposes. Usage in other projects must be authorized by the State. When the equipment is no longer needed as prescribed above, disposition of the equipment will be made as follows:

- The fiscal officer will direct the equipment to be transferred to another Recipient project or prioritization needing the equipment, provided that use of such equipment is approved by the State

All Recipients shall dispose of equipment as follows:

- Items with a current per unit fair market value of less than \$5,000 may be retained, sold, or otherwise disposed of with no further obligation to DHSEM.
- Items with a current per unit fair market value equal or greater than \$5,000 may be retained or sold and the State shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the State's share of the equipment. Seller is also eligible for sale costs.

In cases where the Recipient fails to take appropriate disposition action, the State may mandate a corrective action.

## 9.7 COPYRIGHTS, PATENTS, AND INVENTIONS

When activities supported by the award produce any discovery or invention, original computer programs, writing, sound recordings, pictorial reproductions, drawing or other graphical representation and works of any similar nature, the following requirements apply:

- The State of Colorado has the right to use, duplicate and disclose the above material completely or in part, in any manner, for any purpose whatsoever, and to authorize others to do so.
- If the material or invention is copyrightable, the Recipient may copyright it, but the State of Colorado reserves a perpetual, royalty-free, non-exclusive and irreversible license to practice, reproduce, publish and use such materials, completely or in part, and to authorize others to do so.

- If any program produces patentable items, patent rights, processes, or inventions in the course of work, such facts must be promptly and fully reported to the State. Unless a prior agreement exists between the Recipient, and the State on disposition of such items, the State must determine whether protection on the invention or discovery must be sought. The State will also determine how rights in the invention or discovery (including rights under any patents issued thereon) must be allocated and administered in order to protect the public interest consistent with "Government Patent Policy" (President's Memorandum for Heads of Executive Departments and Agencies, dated August 23, 1971, and statement of Government Patent Policy, as printed in 36 FR 16839).

## 9.8 PUBLICATIONS

All publications created with DHSEM’s grant funding must prominently contain the following statement:

“This document was prepared under a grant from the School Emergency Response Grant Program, for the State of Colorado. Points of view or opinions expressed in this document are those of the author and do not necessarily represent the official position or policies of the School Emergency Response Grant Program, for the State of Colorado.”

# Chapter 10: Accounting and Internal Controls

## 10.1 ACCOUNTING SYSTEM

Recipients are required to establish and maintain an accounting system and financial records to accurately account for awarded and matching funds. Recipients may use any State accepted accounting process that meets the following minimum criteria:

**Revenues** – The system must classify all revenues by funding source(s). Each grant must be tracked separately whether it is a new or continuation grant award. Funds for each grant must be tracked and recorded separately, with all revenues and expenditures reflecting the appropriate grant number.

**Expenditures** – The system must classify all expenditures by Solution Areas listed in the approved budget -- Planning, Capital improvement, Personnel, Equipment, and Training.

## 10.2 FINANCIAL REPORTING CAPABILITY

The accounting process must contain adequate expenditure information for the prompt and proper submission of financial reports. Amounts reported on the State forms must match and be reconciled to the accounting general ledger. Recipient is responsible for ensuring that its subcontractors properly account for all activity under the grant.

## 10.3 INTERNAL CONTROLS

The accounting system must have adequate internal controls to ensure:

- The accurate and complete recording and reporting of funds;
- The safeguarding of assets; and
- Compliance with State laws and regulations.

At a minimum, adequate internal controls will include reconciliation of cash received to cash deposited; reconciliation of sub-ledgers to the general ledger; approval of all transactions by appropriate authorities; and maintenance of supporting documentation.

## 10.4 ACCOUNTING FOR IN-HOUSE STAFF

Recipients who are using in-house services and/or full or part-time employees time as in-kind match and who are funded by the program, must maintain adequate records to justify expenditure of funds.

**Position or job descriptions:** Position or job descriptions help ensure that charges can be made appropriately to the grant award.

**Timekeeping Records:** Accurate time records must be maintained that detail hours charged to grant activities. It is important to note that activities, and not just titles, should be considered when determining where time and operating expenses should be charged in requests for reimbursement.

## APPENDIX A: Grant Forms

Form	Due Date(s)	Required Authorizations
Grant Change Request Form	Any proposed changes to a Grant Award must be submitted and approved in advance by DHSEM. While the approval process will differ based on the nature and amount of the change, the same form will be used for all change requests. The Recipient must submit a new budget that clearly shows all of the changes proposed.	Program Official and Fiscal Officer
Progress Reporting	Quarterly reports are due 30 days after the end of each calendar quarter. Final Reports are due within 45 days after a Grant Award period ends.	Program Official and Fiscal Officer

Grant Forms - SAMPLES



**COLORADO**

Division of Homeland Security & Emergency Management

Department of Public Safety

**Grant Change Request Form**

**Mail this form and a revised budget if needed, and email an electronic copy of your budget to your Grant Program Analyst**

SUB-RECIPIENT:		AWARD PERFORMANCE PERIOD:	
GRANT PROGRAM:	select a program	TOTAL AWARD AMOUNT:	
GRANT NUMBER:		UNSPENT BALANCE:	
CHANGE REQUEST #:	select a number	DATE OF REQUEST:	
PREPARED BY:		PHONE NUMBER:	

Cannot make any change requests (except Modify Contact Information):  
 Until after the grant agreement is **ACTIVE**.

A **new budget** is required for all of  
 Submit an electronic copy of the budget with the request.

Brief request description:

Detail the reason(s) for the request(s):

- Select
- Modify Contact Information Only
  - Modify Contact Information + Budget Change Request
  - Modify Contact Information + New Project Addition
  - Modify Contact Information + Budget Change Request + New Project Addition
  - Budget Change Request Only
  - Budget Change Request + New Project Addition
  - New Project Addition Only
  - Change Performance Period

**All other Terms and Conditions of the original Grant Award, with any approved amendment(s) thereto, remain in full force and effect.**

Signature #1 - Printed Name and Title	Signature #2 - Printed Name and Title
Signature #1 Date	Signature #2 Date

**\*\*\* This Section: For Division of Homeland Security and Emergency Management Use ONLY \*\*\***

**FORM 1 (Amendment) is:**  Required  Not Required

**This request is:**  Approved  Denied (see comments below)

<input type="checkbox"/> Grant Program Analyst	_____	Date	_____
<input type="checkbox"/> Grants and Contracts Manager	_____	Date	_____
<input type="checkbox"/> Office of Preparedness Director	_____	Date	_____

**Comments:**

---



RECIPIENT:		GRANT NUMBER:	
GRANT PROGRAM:	select a program	GRANT AWARD PERIOD:	
PREPARED BY:		FROM:	TO:
PHONE:		THIS REPORT COVERS CALENDAR QUARTER OF YEAR:	
EMAIL:			
TYPE OF REPORT:	Quarterly <input type="checkbox"/>	Final <input type="checkbox"/>	JAN 1 – MAR 31 <input type="checkbox"/>
			APR 1 – JUN 30 <input type="checkbox"/>
		JULY 1 – SEPT 30 <input type="checkbox"/>	OCT 1 – DEC 31 <input type="checkbox"/>

Project	Solution Area	Current Budget	EXPENDITURES				MATCH		
			Expenditures Beginning of Quarter - from previous report	Expenditures This Quarter	Total Expenditures to Date	Balance	Previous Match Expenditures	Match Expenditures This Quarter	Total Match Expenditures to Date
	Training				0.00	0.00			0.00
	Excerise				0.00	0.00			0.00
	Maintenance				0.00	0.00			0.00
	Software				0.00	0.00			0.00
	Hardware				0.00	0.00			0.00
	<b>Total</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	Training				0.00	0.00			0.00
	Excerise				0.00	0.00			0.00
	Maintenance				0.00	0.00			0.00
	Software				0.00	0.00			0.00
	Hardware				0.00	0.00			0.00
	<b>Total</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	Training				0.00	0.00			0.00
	Excerise				0.00	0.00			0.00
	Maintenance				0.00	0.00			0.00
	Software				0.00	0.00			0.00
	Hardware				0.00	0.00			0.00
	<b>Total</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	Training				0.00	0.00			0.00
	Excerise				0.00	0.00			0.00
	Maintenance				0.00	0.00			0.00
	Software				0.00	0.00			0.00
	Hardware				0.00	0.00			0.00
	<b>Total</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	Training				0.00	0.00			0.00
	Excerise				0.00	0.00			0.00
	Maintenance				0.00	0.00			0.00
	Software				0.00	0.00			0.00
	Hardware				0.00	0.00			0.00
	<b>Total</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Total For All Projects</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the State award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise.

Printed Name of Fiscal Officer		Printed Name of Board Chair	
Signature of Fiscal Officer		Signature of Board Chair	
Date		Date	



**Enhance School Safety Incident Response Grant  
 Narrative Report  
 Annual and Final**

**Due prior to December 1st each year**

RECIPIENT:		GRANT NUMBER:	
GRANT PROGRAM:	select a program	GRANT AWARD PERIOD: FROM:	
PREPARED BY:		TO:	
EMAIL ADDRESS:		PHONE:	
TYPE OF REPORT:	Annual / Final	Reporting year:	
AWARD AMOUNT:		AMOUNT SPENT TO DATE:	
AMOUNT OBLIGATED TO DATE:			

1. What is the anticipated completion date of your projects?  
 \_\_\_\_\_

2. Project Activities: Please report any activity services or training provided, including meetings, which took place in this year. If there were no activities this year, provide specific reasons.  
 \_\_\_\_\_

3. Project Activities: Please report any tools or protocols developed this year. If there were none this year, provide specific reasons.  
 \_\_\_\_\_

4. Problems Encountered: Please report any problems, how they affect the projects and how they were/will be handled? (For example, back-ordered equipment, delays in installation, etc.)  
 \_\_\_\_\_

5. How can DHSEM assist you in the implementation of your projects?  
 \_\_\_\_\_

**SIGNATURES**

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the State award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise.

Printed Name of Fiscal Officer	Printed Name of Primary Contact
Signature: Fiscal Officer	Signature: Primary Contact
Date	Date

## APPENDIX B: Grant Reference Information Links

- State of Colorado Procurement Resources (including Fiscal Rules)  
<https://www.colorado.gov/pacific/osc/procurement-resources>
- Colorado Municipal Records Retention Manual  
<https://www.colorado.gov/pacific/archives/municipal-records-retention-manual>

### Schedule 30. Financial Records

[https://www.colorado.gov/pacific/sites/default/files/Sched30-MunSupp12\\_1.pdf](https://www.colorado.gov/pacific/sites/default/files/Sched30-MunSupp12_1.pdf)

### Schedule 35. Fleet and Equipment Records

[https://www.colorado.gov/pacific/sites/default/files/Sched35-MunSupp12\\_1.pdf](https://www.colorado.gov/pacific/sites/default/files/Sched35-MunSupp12_1.pdf)

### Schedule 40. General Administrative Records

[https://www.colorado.gov/pacific/sites/default/files/Sched40-MunSupp12\\_1.pdf](https://www.colorado.gov/pacific/sites/default/files/Sched40-MunSupp12_1.pdf)

## APPENDIX C: DHSEM Grant Staff Contact Information

Agencies are encouraged to contact DHSEM for clarification of any requirements at 9195 E. Mineral Avenue, Suite 200, Centennial, CO 80112.

School Emergency Response Program Manager	Austin Geddis	<a href="mailto:austin.geddis@state.co.us">austin.geddis@state.co.us</a>	720-852-6780
Grant Specialist	Teresa Cummins	<a href="mailto:teresa.cummins@state.co.us">teresa.cummins@state.co.us</a>	720-852-6601