



**Missouri Department of
Natural Resources
Administrative Policies and Procedures**

Chapter 7 Financial Management/Purchasing DNR Awarded Sub-grants and Other Financial Assistance Policy

DNR Awarded Sub-grants and Other Financial Assistance Procedures

Effective date

Revised

Number: 7.09-01

July 1, 2005

Award Development

An award’s project and budget period start dates should be developed enough in advance to allow time for management review, including resolution of any questions, and signature approval.

Budget periods may be developed to coincide with project periods with reasonable expectation that CORE budget appropriations will be available to fund the entire project period. Awards, regardless of length, are to contain specific information regarding yearly budget allocations by budget class categories, i.e., personnel, equipment, contractual, etc. and indirect rate.

The source and fiscal year of state or federal funding and applicable funds and appropriations should be indicated in the appropriate space (#10) on the award signature sheet (Attachment 1).

The following information is to be included with federal sub-grant notifications: CFDA program title and number; award name and number; award year; whether the award is for research and development; the name of the federal awarding agency; any program requirements imposed on the subrecipients by federal laws, regulation, and provisions of contracts or grant agreements; and any supplemental requirements imposed by the pass-through organization.

When additional typing area is required in any numbered space on the award signature sheet (Attachment 1), the information should be typed in the applicable space causing the signature sheet to become a two-page document.

Applicant Eligibility Determination

Prior to completing the eligibility determination of an applicant, the awarding organization must solicit information within DNR to ensure the applicant does not have a pending DNR environmental violation (for example, an unresolved Notice of Violation - NOV). To facilitate the communication required for this violation determination, an e-mail contact address group will be established and maintained by the Department Procurement Officer. The e-mail address group will consist of those DNR staff in the impacted divisions/programs appointed to respond to the solicitation e-mail because they have knowledge of entities in violation. The impacted divisions/programs shall notify the Department Procurement Officer when updates are needed to the e-mail group. The organization issuing the financial assistance shall send an e-mail to the "Environmental Violators Determination" e-mail address group stating the name and address of the potential award recipient and, when applicable and available, the board of directors and all of its principals. Those staffs included in the e-mail address group are responsible to review their



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known group of violators and respond to the e-mail, within five (5) working days, with an unresolved violation or that no violation was determined. When the awarding organization is informed of an unresolved violation, division legal counsel should be consulted prior to proceeding with the award.

Documentation

The grant project manager is responsible for retaining complete and accurate official financial assistance records for the duration of the project and the required retention period.

Federally funded sub-grants or cooperative agreements and state funded grants shall be submitted for review and signature using the purple folder routing process. Program director approval signature is required on the folder routing sheet. Unless otherwise specified below, the folder shall contain the original and two copies (1 for division administration, 1 for procurement officer) of the following:

- A memorandum of approval to the signatory director or designee, signed by organization director, if needed to cover additional information not contained in the transmittal letter to the recipient. Memo should identify the recipient, explain the purpose of the award, benefits to the state, major funding categories, and any other information pertinent to the awarding of state appropriations to a recipient.
- When required by the division, one original press release. Press releases shall contain the same type of descriptive information contained in the memorandum of approval. Also, as required by the Federal Stevens Amendment, the press release should stipulate the amount and percentage of federal funding contained therein and what federal agency has funded a sub-grant.
- An original undated transmittal letter to be signed by the Department Director for transmittal to the recipient. The signed letter is to be dated by the organization corresponding to the day transmitted to the recipient.
- Award signature sheet(s), Attachment 1.
- The Scope of Work.
- The award budget and pertinent attachments explaining budget categories i.e., personal services, supplies, equipment, etc.



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- One copy of the terms and conditions appropriate to the award. Federally funded sub-grants or cooperative agreements shall include the Missouri Department of Natural Resources Federal Sub-grants General Terms and Conditions. State funded grants shall include the general terms and conditions unique to the program being funded.

In addition, the following shall be included for federally funded sub-grants or cooperative agreements:

- One copy of the federal Debarment/Suspension form, signed by the sub-grantee. Sub-grantees must submit a signed form with the application or proposal submittal package and be considered as part of the review and selection process. It is the responsibility of the awarding organization to verify debarment/suspension status. Organizations may access the Excluded Parties List System at https://www.sam.gov/portal/SAM/?portal:componentId=220e071f-e75f-417d-9c61-027d324c8fec&interactionstate=JBPNS_rO0ABXc0ABBFanNmQnJpZGdlVmlld0lkAAAAAQATL2pzZi9mdW5jdGlvbmlkLmFzLmpzcAAHX19FT0ZfXw**&portal:type=action#1#1.
- One copy of the Federal Lobbying Certification, signed by the sub-grantee, if the funding proposal or application is for more than \$100,000. Sub-grantees must submit a signed form with the application or proposal submittal package and be considered as part of the review and selection process.

Attachments

All attachments, as required, must be signified on the award signature sheet (Attachment 1) in space 13.d. through 13.m., such as Debarment/Suspension and Lobbying disclosure forms, Stevens Act Amendment, containing federal press release requirements, anti-discrimination certifications and reporting forms, if required.

Special conditions are those not contained in the general terms and conditions document but are required by law or regulation, including OMB circulars, and state statutes. Special conditions must be submitted to legal counsel for approval before they can be added to any award. Legal requests are to be transmitted on the specified legal request form. Once approved, special conditions must be attached and be signified as part of the sub-grant in space 13.g. of the award signature sheet.

Applicable program guidelines must also be signified, using space 13.b. New program guidelines, not previously submitted for signature process review and approval, must receive legal review and approval prior to being submitted for signature.



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Review and Approval

All award documents, amendments and extensions are to be submitted for signature as early as possible but at least ten (10) working days prior to the project start date, or effective date of the action, unless division coordination efforts require additional review time. Organization personnel should contact their respective division management staff to determine if additional review periods are required. Organizations should then plan their document submittal accordingly.

Payments

The award recipient payment amount is to be encumbered in SAM II using a Simplified Service Contract (SCS) document. Payments are made by liquidating the encumbrance using a system generated Automated Payment Voucher (PVA) or a Payment Voucher (P1) document.

Information for development of the SCS encumbering document can be found in the SAM II Purchasing Training Manual. Information for payment processing using the PVA and P1 can be found in the SAM II Accounts Payable Disbursements Training Manual.

Award Amendments:

Amendment submittals include two original signature sheets and two copies of all other pertinent documents. Divisions may require additional copies. The amendment submittal package must be accompanied by an undated transmittal memorandum as is required for original award documents. Federally mandated forms must be updated annually for the life of the sub-grant award.

The amended budget period (space #3) and project period (space #4) dates must start with the original date and end with the new ending dates. The previous budget and project periods must be shown in space #12, Amendment. The amendment number or letter is to be identified in space #8, Amendment ID. Project title and description (#9) is to remain the same unless amended and information placed in space #12 along with any other changes to the award. When additional space is required in #12 to explain all changes to an award, the information should be typed in space #12 causing the signature sheet to become a two-page document.



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Initial award and recipient match amounts remain the same if there is no change in either of the amounts, due to a no-cost time extension requiring an amended sub-grant. If the budget is being amended, the original award and recipient match amounts should remain in the “original award and recipient match” spaces. Amended award and recipient match amounts are to be shown in the amended award and recipient match spaces with the total project cost indicating the current budget amount. Indicate the difference between the initial and amended budget amounts in the transmittal memorandum so that extensive research is not required by reviewers.

Information in space #13 should usually remain the same as for the original documents. However, amendment attachments should be labeled to correspond to attachment designation, shown in space #8, Amendment ID.

Complete submittal of the entire scope of work is not required but only the portion being amended. Revisions to a scope of work are to be fully explained so that extensive research does not have to be done to understand revision(s). An entire new scope of work may be submitted if desired.

The amendment package must include a report on project status. The report may be in any format but must explain project status in terms of utilizing state appropriated funding to complete the mutually agreed to scope of work objectives.

Attachment 1 (Rev. 8/04)
MISSOURI DEPARTMENT OF NATURAL RESOURCES
FINANCIAL ASSISTANCE AGREEMENT

Under the authority of _____ and subject to pertinent legislation, regulations and policies applicable to _____

1. Recipient (Name, Address) 	2. Project Number _____ 3. Budget Period _____ 4. Project Period _____																		
5. Recipient Project Manager _____ Telephone No. _____	6. Type of Assistance (indicate by X) New Award _____ Amendment _____																		
7. State Project Manager _____ Telephone No. _____	8. Amendment ID _____																		
9. Project Title and Description:																			
10. Source of Funding/Year:																			
11. Project Funding:	<table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="width: 60%;"></th> <th style="width: 20%;"><u>Amount</u></th> <th style="width: 20%;"><u>Percent</u></th> </tr> </thead> <tbody> <tr> <td>Initial Award</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>Initial Recipient Match</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>Amended Award</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>Amended Recipient Match</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>Total Project Cost</td> <td>\$ _____</td> <td>_____</td> </tr> </tbody> </table>		<u>Amount</u>	<u>Percent</u>	Initial Award	\$ _____	_____	Initial Recipient Match	\$ _____	_____	Amended Award	\$ _____	_____	Amended Recipient Match	\$ _____	_____	Total Project Cost	\$ _____	_____
	<u>Amount</u>	<u>Percent</u>																	
Initial Award	\$ _____	_____																	
Initial Recipient Match	\$ _____	_____																	
Amended Award	\$ _____	_____																	
Amended Recipient Match	\$ _____	_____																	
Total Project Cost	\$ _____	_____																	
12. Amendment (describe)																			
13. The recipient agrees to administer this agreement in accordance with:																			
a. All applicable federal and state regulations including but not limited to _____ b. Applicable program guidelines _____ c. Recipient application dated _____ as negotiated _____ d. Detailed Scope of Work (Attachment # _____) e. Budget Plan (Attachment # _____) f. General Terms and Conditions (Attachment # _____) g. Special Conditions (Attachment # _____) h. Public Law _____ (Attachment # _____) i. Suspension/Debarment (Attachment # _____) j. Certificate Regarding Lobbying (Attachment # _____) k. Publications (Attachment # _____) l. Invoice (Attachment # _____) m. EPA MBE/WBE Utilization (Attachment # _____)																			
14. The assistance as described herein is hereby offered and accepted effective upon signature of authorized officials and on the date indicated in Parts 3 and 4 above.																			
<u>MISSOURI DEPARTMENT OF NATURAL RESOURCES</u>																			

Department Director or Designee (typed)	Signature	Date
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RECIPIENT ORGANIZATION: _____

Name and Title (typed)	Signature	Date
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