

OSLDPS Information Bulletin
No. 00-024 December 8, 2000

TO: All State Administrative Agency Heads
All State Administrative Agency Points of Contact

FROM: C.H. "Butch" Straub, II
Director

SUBJECT: Reporting Requirements for Fiscal Year 1999 State Domestic Preparedness
Equipment Program Grants

This information bulletin is being provided to clarify the reporting requirements associated with Office for State and Local Domestic Preparedness Support (OSLDPS) Fiscal Year 1999 State Domestic Preparedness Equipment Program grants. The Office of Justice Programs (OJP), Office of the Comptroller (OC) has established standardized reporting requirements for all OJP grantees. Based on guidance provided in the *OC Financial Guide*, OSLDPS state grantees will need to submit the following reports as indicated:

- ***Financial Status Reports (SF-269s)*** – Financial status reports should be completed and provided to the Office of the Comptroller's Control Desk within **45** days after the end of **each calendar quarter** during the grant period.
- ***Categorical Assistance Progress Reports (OJP Form 4587/1)*** – Categorical Assistance Progress Reports should be completed and provided to the Office of the Comptroller's Control Desk within **30** days after the end of the reporting periods, which are 06/30 and 12/31 for the life of the award.

Remember that both reports must be provided for partial calendar quarters covered by your grant, as well as for periods where no grant activity occurred. Also, this guidance supercedes language contained in the OSLDPS *Fiscal Year 1999 State Domestic Preparedness Equipment Program Program Guidelines and Application Kit*. Language in the application kit indicates that grantees are required to submit an "annual progress report" no later than December 31 for activities undertaken in the previous fiscal year. This report will **not** be required.

Please note that, based on the guidance provided by OC, OSLDPS state grantees **will** need to provide a Categorical Assistance Progress Report for the period covering March 24, 2000 through June 30, 2000. This report should be provided to OC as soon as possible. Two hard copies of these reports should be mailed to OC at:

Office of the Comptroller
Attn: Control Desk
810 Seventh Street, N.W.
Washington, D.C. 20531

For your convenience, blank copies of both reports, along with instructions for completing them, have been attached. Additionally, these forms can be found on the OJP web site located at: <http://www.ojp.usdoj.gov/forms.htm>.

Please feel free to contact your OSLDPS program manager if you have any additional questions about these required reports.

Attachments

FINANCIAL STATUS REPORT

(Short Form)

(Follow instructions on the back)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned By Federal Agency	OMB Approval No. 0348-0038	Page	of	pages
3. Recipient Organization (Name and complete address, including ZIP code)					
4. Employer Identification Number	5. Recipient Account Number or Identifying Number	6. Final Report <input type="checkbox"/> Yes <input type="checkbox"/> No	7. Basis <input type="checkbox"/> Cash <input type="checkbox"/> Accrual		
8. Funding/Grant Period (See Instructions) From: (Month, Day, Year) To: (Month, Day, Year)		9. Period Covered by this Report From: (Month, Day, Year) To: (Month, Day, Year)			
10. Transactions:		I Previously Reported	II This Period	III Cumulative	
a. Total outlays					
b. Recipient share of outlays					
c. Federal share of outlays					
d. Total unliquidated obligations					
e. Recipient share of unliquidated obligations					
f. Federal share of unliquidated obligations					
g. Total Federal share (Sum of lines c and f)					
h. Total Federal funds authorized for this funding period					
i. Unobligated balance of Federal funds (Line h minus line g)					
11. Indirect Expense	a. Type of Rate (Place "X" in appropriate box) <input type="checkbox"/> Provisional <input type="checkbox"/> Predetermined <input type="checkbox"/> Final <input type="checkbox"/> Fixed				
	b. Rate	c. Base	d. Total Amount	e. Federal Share	
12. Remarks: Attach any explanations deemed necessary or information required by federal sponsoring agency in compliance with governing legislation.					
13. Certification: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.					
Typed or Printed Name and Title			Telephone (Area code, number and extension)		
Signature of Authorized Certifying Official			Date Report Submitted		

Financial Status Report SF-269A

This quarterly financial status report is due 45 days after the end of the calendar quarter. **Please remember this is a report of the status of your expenditures and is not a request for reimbursement of those expenses.** To request such reimbursement you must either make an electronic request on LOCES or file a Form H-3. If you plan on faxing your completed report, please exclude any fax cover sheets. Should you experience a delay in accessing our fax line, please mail the completed report to: Office of Justice Programs, Attn: Control Desk Room 970, 633 Indiana Avenue NW, Washington, DC 20531. Please type or print legibly and do not change any preprinted information. **If you have already filed a report for the current calendar reporting quarter, please do not complete and return this report.** If you have not forwarded your completed report to us, please use this SF 269A form to file your report.

Item Entry
1,2,3 Self-explanatory

4 Enter the 9 digit recorded on your grant award document.

5 Identifying number assigned by your organization. If none, leave blank.

6 If you have finished expending funds related to this award regardless of whether they have been or will be reimbursed by the Federal Government check "yes". Otherwise check "no".

7 Indicate whether your accounting system uses the cash or accrual basis of accounting for recording transactions related to this award.

8 Enter the begin and end dates of the award period.

9 Enter the begin and end dates for the current reporting calendar quarter.

10 Lines A, B and C refer to your **cash outlays** for this award (i.e. monies you have spent). Column J is the cumulative total of expenditures for the prior reported calendar quarter. If you wish to correct previously reported quarterly totals, enter the corrected amounts in this column. Column II is for the current reporting calendar quarterly outlays. Column III is for the result when adding across the amounts reported in Columns I and II.

Please ensure that the total of lines B and C equal the amount reported on line A for each of the columns.

Lines D, E and F should only be completed if you indicated in Item 7 that you are on the accrual basis of accounting. Lines D, E and F refer to the amount of unpaid obligations or accounts payable you have incurred. Items such as payroll (which has been earned but not yet paid) is an example of an accrued expense.

Line D is the total to date of your unpaid obligations. Line E is your share of these unpaid obligations and Line F is the Federal share of unpaid obligations. Please ensure that the total of line E and F equal to the amount on line D.

Line G is the total Federal share of your cash outlays and unpaid obligations regardless of whether you have received or requested reimbursement. It will be the total of Column 3, Lines C and F.

Item Entry
10 Line H is the total amount of your award. Change this amount only if you have received a supplemental award which is not reflected in the preprinted total.

Line I is the amount of your total award which has not been either expended through a cash outlay, or encumbered by an unpaid obligation. It is the difference between Column 3, Lines H minus G.

11 Please refer to your award documents to complete this section. Line 11A is self-explanatory. Line 11B is the indirect cost rate in effect during this current reporting period. Line 11C is the amount of the base against which the cost rate is applied. Line 11D is the total amount of indirect costs charged during this current reporting period. Line 11E is the Federal Government share of the amount reported in line 11 D. **Note: If more than one rate was in effect during this reporting period, attach a schedule showing all applicable rates and amounts for line 11 B through E.**

12 Only applies to OJP grants, Line A is the cumulative amount of federal funds your organization has subgranted to local units of government. Include subgrants to units of State government when a waiver has been granted by the local unit. Line B is the cumulative amount of federal funds subgranted including amounts subgranted to State agencies and amounts reported on line 12A. Line C is the cumulative federal portion of forfeited assets to be used in this grant whether the assets were forfeited as a result of this grant or another grant. Line D is the federal portion of program income earned from other than forfeited assets. This is income from sources such as registration fees, tuitions, and royalties. Line E is the cumulative amount of program income from all sources, including forfeited assets, which have been expended by your organization. Line F is the balance of unexpended program income. (Line C + D - E).

13 Self-explanatory.



U.S. DEPARTMENT OF JUSTICE
Office of Justice Programs

CATEGORICAL ASSISTANCE PROGRESS REPORT

The information provided will be used by the grantor agency to monitor grantee cash flow to ensure proper use of Federal funds. No further monies or other benefits may be paid out under this program unless this report is completed and filed as required by existing law and regulations (Uniform Administrative Requirements for Grants and Cooperative Agreements — 28 CFR, Part 66, Common Rule, and OMB Circular A-110).

1. GRANTEE		2. AGENCY GRANT NUMBER		3. REPORT NO.	
4. IMPLEMENTING SUBGRANTEE			5. REPORTING PERIOD (Dates) FROM: _____ TO: _____		
6. SHORT TITLE OF PROJECT		7. GRANT AMOUNT		8. TYPE OF REPORT <input type="checkbox"/> REGULAR <input type="checkbox"/> SPECIAL REQUEST <input type="checkbox"/> FINAL REPORT	
9. NAME AND TITLE OF PROJECT DIRECTOR		10. SIGNATURE OF PROJECT DIRECTOR		11. DATE OF REPORT	

12. COMMENCE REPORT HERE (Continue on plain paper)

13. CERTIFICATION BY GRANTEE (Official signature)	14. DATE
---	----------

INSTRUCTIONS FOR COMPLETING OJP CATEGORICAL ASSISTANCE PROGRESS REPORTS

Grantees are required to submit Progress Reports on project activities and accomplishments. It is expected that reports will include data appropriate to this stage of project development and in sufficient detail to provide a clear idea and summary of work and accomplishments to date. The following should be observed in preparation and submission of progress reports:

- a. Due Date. Reports are due 30 days after the close of each full calendar quarter. The final report is due 90 days following the close of the grant period or any extension thereof.
- b. Submission. Grantees shall submit to OJP Office of the Comptroller an original and one copy of quarterly progress reports and an original and three copies of final progress reports.
- c. Form and Execution. Grantees should use OJP Form 4587/1 (Rev. 2 90) as a face sheet. If continuation pages are needed, plain bond paper is to be used. It should be noted that the report is to be signed by the person designated as project director on the grant application or any duly designated successor.
- d. Reporting Requirements. The reporting requirements noted in this section are designed to provide the grantor agency with sufficient information to monitor grant implementation and goal achievement. To support effective monitoring progress reports must be keyed to the grant implementation plan provided in Part IV of the grant application. Specifically, the report should:
 1. Indicate the status of each goal which was due for completion during a previous report quarter but carried over due to implementation or other problems.
 2. State the status of each goal which was scheduled to be achieved during the report period.
 3. State the corrective action planned to resolve implementation problems and state the effect of these problems on the remaining schedule for achieving the project remaining goals.
 4. If appropriate, identify changes which are needed in the implementation plan specified in Parts III and IV of the grant application to overcome problems. Changes which alter plans and/or goals set forth in Part III or IV of the application require prior grantor agency approval and the issuance of a Grant Adjustment Notice.
 5. State what technical assistance the grantor agency might provide during the coming quarter to help resolve implementation problems. If technical assistance has been provided to resolve implementation problems, state the problems (or tasks) addressed and the results (or impact) of the assistance provided.
 6. Based on the performance measures set forth in the grant application (implementation plan), indicate in quantitative terms the results (of the project) achieved both during the reporting period and cumulative-to-date. Explanatory and qualifying statements will be helpful here, especially if project objectives have changed.
- e. Special Requirements. Special reporting requirements or instructions may be prescribed for categorical projects in certain program or experimental areas to better assess impact and comparative effectiveness of the overall categorical grant program. These will be communicated to affected grantees by the agency.

Public reporting burden for this collection of information is estimated to average 2 hours per response, including the time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Comptroller, Office of Justice Programs, U.S. Department of Justice, 810 7th St., NW., Washington, D.C. 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.