FLORIDA DEPARTMENT of STATE

DIVISION OF HISTORICAL RESOURCES

DOS GRANTS

HOW TO MANAGE YOUR GRANT

HISTORIC PRESERVATION GRANTS PROGRAM

Grants Staff

Yasha Rodríguez, Ph.D., FCCM, Grants Supervisor

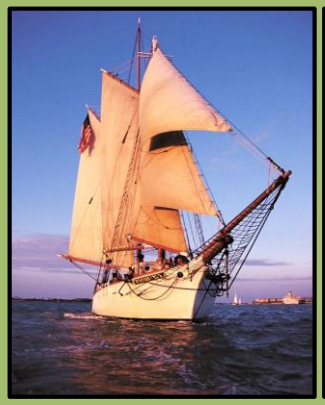
Kechia Herring, FCCM, Grant Specialist

Eric Case, M.A., FCCM, Grants Specialist

Drew Begley, Grants Specialist

Josh Gates, Grants Specialist

Timothy Knoepke, M.A., Grants Specialist



GRANT PROGRAM FACTS

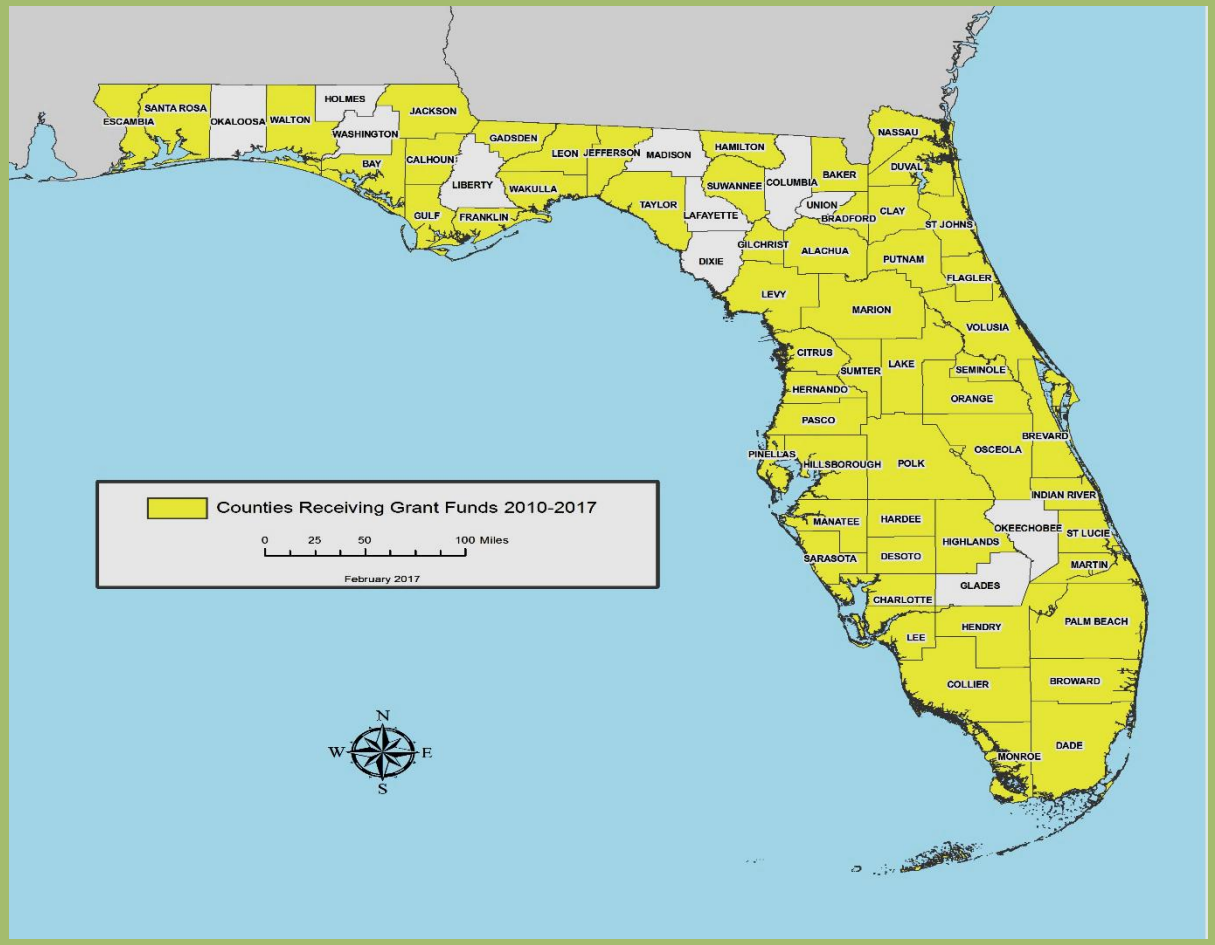
The Historic Preservation Grants Program is part of the Division of Historical Resources. The Grants Program has been providing federal funds since the late 1960s and state funded grants since the early 1980s.

The program is governed Chapter 1A-39 of the *Florida Administrative Code*, Section 267.0617 of the *Florida Statutes*, and by Small Matching Grant Guidelines and Special Category Grant Guidelines.

The full text of the guidelines can be found on our webpage at: http://dos.myflorida.com/media/696945/small-matching-grants-guidelines.pdf and http://dos.myflorida.com/media/696946/special-category-grants-guidelines.pdf

The purpose of this webinar is to familiarize Grantees with documents and processes crucial to the effective management of a grant award from the Division of Historical Resources.

COUNTIES FUNDED FROM 2010-2017



DOS GRANTS ONLINE SYSTEM

FLORIDA DEPARTMENT of STATE | Cultural Affairs | Elections | Historical Resources | Library and Information Services

DOS GRANTS

Home | Organization | Grants | Panels | Search | Help

Register as a new user | Forgot your password?

Log In : Email Password Submit

Welcome to DOS Grants, the Department of State's online Grants system

Upcoming Events

Description	Date/Time
Special Category Review and Ranking Meetings are scheduled for September 19 and 20, 2017	08/31/2017
State Aid to Libraries Grant applications due October 1, 2017	08/03/2017
Fast Track Deadline September 12, 2017 Grant Period: January 1, 2018 through June 30, 2018	07/11/2017

DOS Grants allows Floridians to apply for and manage grants offered by the Department of State through the Divisions of Cultural Affairs, Elections, Historical Resources and Library and Information Services. These grants support Florida's position as the recognized national leader in arts and culture, information management and history and heritage while creating opportunities for every Floridian to participate in Florida's culture, history, information, business and electoral process.

Select “Grants” in the menu above to see the available applications or create an account and add your organization to get started

DOS Grants information

The new DOS grants system can be accessed at https://dosgrants.com/. This will be the single interface used to register for an account, associate with an organization, apply for a grant and manage any funded grant from our Division and other divisions.

Creating an account On the DOS Grants main page, click on the "Register" link in the top right corner, enter name and email address. The system will send an automatic email asking for confirmation (please check spam or clutter folders). The user may also use the "Re-Send Confirmation Email" button, if needed. The email will prompt the user to click on the "Activate Account" to activate the account and set a password.

Joining an organization Under the "Organization" tab, select "Request to Join Organization" and search for your organization. We recommend searching by the Federal Employer Identification Number. Click the "Select" button, then the "Request Account Association with this Organization" button. The system will ask for confirmation. The organization manager or a Department of State staff member will have to log in to DOS Grants and accept your association request and set your permission level.

Grant Award Agreement

GRANT AWARD AGREEMENT

The Division of Historical Resources Grants Program prepares Grant Award Agreements for those projects that are awarded funding by the Florida legislature. This document is provided to the Contact for each funded project for review and execution.

A list of funded projects for the particular fiscal year is posted on the Grants Program website at http://dos.myflorida.com/historical/grants/ and can also be obtained by contacting the Grants Program staff.

NOTE: If you have questions regarding eligibility or how to apply for grants, please visit the Grants Program website. There you can find helpful answers to frequently asked questions and pdf versions of presentations prepared to assist prospective applicants.

Grant Award Agreement Cont.

A Grant Award Agreement is a legally binding document between the Grantee and the Department of State, Division of Historical Resources. It contains important information and stipulations that serves as a guide to the Grantee during the length of the grant award.

Among these are:

- The length of the agreement
- The project's scope of work
- Deliverables to be met
- Performance measures
- Reporting requirements
- Estimated budget
- Payment information
- Financial consequences
- Termination clauses
- Contact Information

Note: Please keep a copy of your executed agreement in your project file and consult if periodically for dates, deadlines, and other stipulations and important details.

LENGTH OF AGREEMENTS

SMALL MATCHING
(one fiscal year)
July 1, 2017 – June 30, 2018

SPECIAL CATEGORY
(two fiscal years)
July 1, 2017 – June 30, 2019

NOTE: Work undertaken prior to the grant period will not be covered by the award.

EXAMPLE OF AGREEMENT

AGREEMENT BETWEEN
THE STATE OF FLORIDA, DEPARTMENT OF STATE
AND
[***], INC.
[S1799]

This Agreement is by and between the State of Florida, Department of State, Division of Historical Resources hereinafter referred to as the "Division," and [***], Inc., hereinafter referred to as the "Grantee."

The Grantee has been awarded a Small Matching grant by the Division, grant number [S1799] for the Project "[PROJECT TITLE]," in the amount of $[FUNDS AWARDED] ("Grant Award Amount"). The Division enters into this Agreement pursuant to Line Item 3073, contained in the FY 2016-2017 General Appropriations Act, HB 5001, Laws of Florida. The Division has the authority to administer this grant in accordance with Section 267.0617, *Florida Statutes*.

In consideration of the mutual covenants and promises contained herein, the parties agree as follows:

1. **Grant Purpose**. This grant shall be used exclusively for the "[PROJECT TITLE]," the public purpose for which these funds were appropriated.

a) The Grantee shall perform the following **Scope of Work**:

Grant funds will be used for [specific SOW and expanded on Attachment a]. All tasks associated with the Project, as outlined in the Project Description (see Attachment A), will be completed by June 30, 2017.

b) The Grantee agrees to provide the following **Deliverables** and **Performance Measures** related to the Scope of Work for payments to be awarded.

Payment 1, Deliverable/Task 1:

- Payment 1 will be fixed price in the amount of 30 percent of the grant award. The Grantee will have completed at least 30 percent of the Project prior to this payment. The performance measure documenting satisfactory completion of Deliverables will be a completed Application and Certificate for Payment (AIA Document G702) and Schedule of Contract Values (AIA Document G703), or its equivalent, showing at least 30 percent completion.

Payment 2, Deliverable/Task 2:

- Payment 2 will be fixed price in the amount of thirty percent of the grant award. The Grantee will have completed at least 60 percent of the Project prior to this payment. The performance measure documenting satisfactory completion of Deliverables will be a completed Application and Certificate for Payment (AIA Document G702) and Schedule of Contract Values (AIA Document G703), or its equivalent, showing at least 60 percent completion.

Procurement Requirements and Contracts

PROCUREMENT REQUIREMENTS

The Grant Award Agreement describes procurement, fiscal, and administrative requirements.

Expenditures shall be in compliance with your Grant Award Agreement and with the state guidelines for allowable project costs as outlined in the Small Matching and Special Category Grants Guidelines.

Resources for Expenditure Compliance:

- Small Matching Guidelines
  http://dos.myflorida.com/media/696945/small-matching-grants-guidelines.pdf
- Special Category Guidelines
  http://dos.myflorida.com/media/696946/special-category-grants-guidelines.pdf
- Department of Financial Services' Reference Guide
  http://www.myfloridacfo.com/aadir/reference_guide/

Procurement Process

When is the Grantee required to bid out services?

Small Purchase Procedures II ($2,500 – $35,000)

- Procurement to be conducted by purchase orders or acceptance of vendor proposals.

Competitive Selection ($35,000 and over)

- Procurement to be conducted by any of the following:
  - Formal Invitation to Bid (ITB)
  - Request for Proposals (RFP)
  - Invitation to Negotiate (ITN)

* **For ITNs at least two written bids must be demonstrated**.

When is the Grantee NOT required to bid out services?

Small Purchase Procedures I (up to $2,500)

- Procurement to be conducted at the Grantee's discretion.

Ongoing relationship with a contractor for continued restoration efforts

- If the initial selection of contractor was through competitive selection or bid process the Grantee shall submit
    - Documentation of the ongoing relationship
    - Discussion on the original selection process
    - Qualification of the contractor

Encumbrance of Funds

The Grant Award Agreement identifies the date by which at least a portion of the grant funds needs to be encumbered by the Grantee (executing a contract with a third party for the work). Please pay special attention to this date and how it corresponds to progress report dates.

Encumbrance Deadline Extension

- Grantee's written request for extension of the encumbrance deadline must be submitted no later than fifteen (15) days prior to the encumbrance deadline for consideration by the Division.
- Deadline may be extended by written approval of the Division.

Exceptions

- For projects not involving contract services, the Division will aid on a case-by-case basis to develop an acceptable encumbrance schedule.

SUBCONTRACTS

All subcontracts such as Engineering, Architectural, Construction, Archaeologist, and Conservators must

- **Outline the scope of work as identified in the executed Grant Award Agreement**

- **Include a timeline and projected date for work completion**

- **Be submitted to the Division for review and approval prior to execution. This is a requirement stipulated in the Grant Award Agreement.**

- When contracting architectural services, we encourage the use of American Institute of Architects contracts, whenever possible. These contracts shall adhere to allowable cost maximums as outlined in the Department of Management Services fee curve.

  https://fp.state.fl.us/docs/DMSAEFeeGuideCalculate.asp

GRANTEE REQUIREMENTS

The Grantee must prepare a grant file and retain a copy of the executed agreement, contracts, invoices, time-sheets, and other related documents, for 5 years following completion of work or until all related claims have been settled.

Contracts, along with all documents related to the project, are subject to audit.

Reporting Project Progress

Progress Reports

Progress reports are **required of all Grantees** by the dates specified in the Grant Award Agreement. If no activity has been undertaken during the reporting period, include an explanation of why that is the case. If encumbrance deadline (specified in your agreement) has passed, expenses must be shown.

Typical Report Deadlines		
Quarters	**Small Matching Projects**	**Special Category Projects**
July 1-September 30	October 30, Year 1	October 30, Year 1
October 1 – December 31	January 30, Year 1	January 30, Year 1
January 1 – March 31	April 30, Year 1	April 30, Year 1
April 1 – June 30	July 30, Year 1	July 30, Year 1
		October 30, Year 2
		January 30, Year 2
		April 30, Year 2
		July 30, year 2

Note: To ensure that your project is in compliance you must submit progress reports by the established deadlines, even if no project activities or expenditures have occurred. Progress is expected and must be evidenced in the progress report's narrative and noted expenditures.

Progress Report Details

Progress

- Include a written narrative of your progress including discussion of what has been achieved during the reporting period and any challenges that have been encountered.

Evidence

- Provide digital photographs/images (dated and labeled as per grant program guidelines) and/or anything required showing the progress of the development activity, survey work, educational activity, and such, to evidence project status.

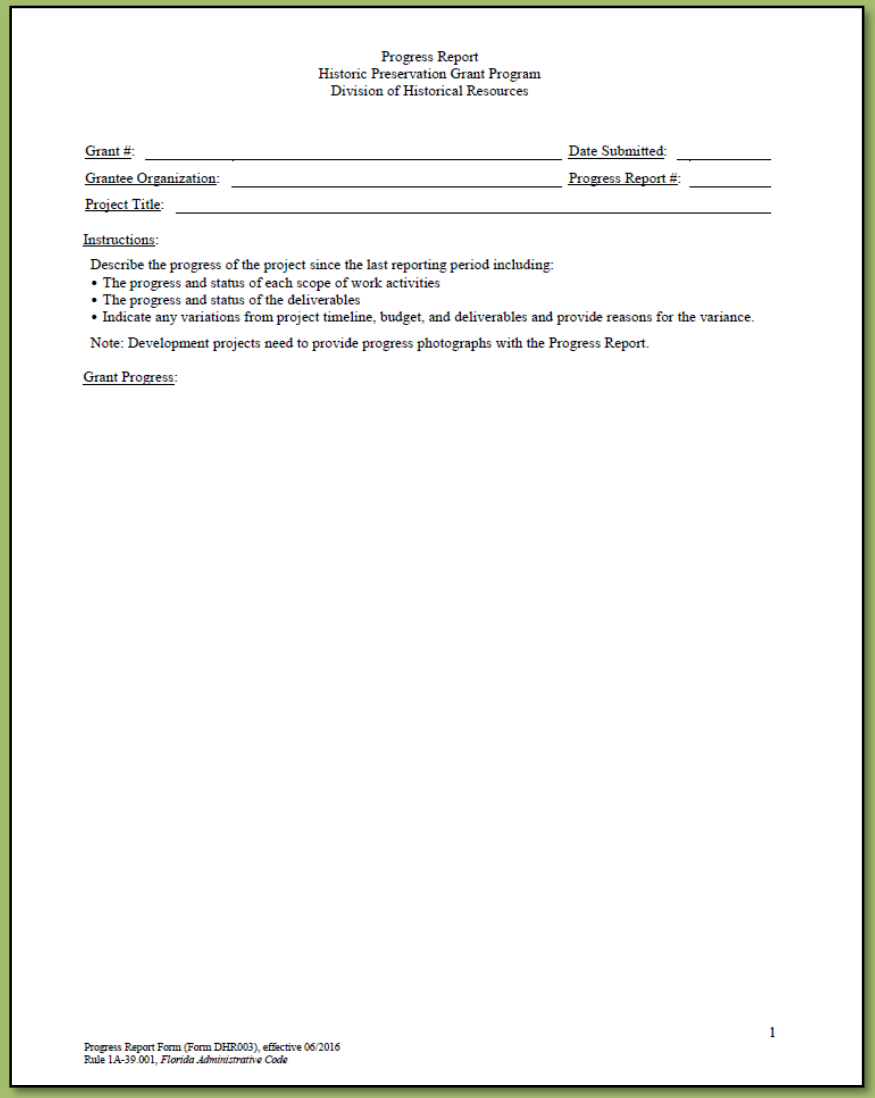
Note: The photograph submission guidelines can be accessed at http://dos.myflorida.com/media/696670/photograph-submission-guidelines.pdf

Example of Progress Report Form

The Progress Report and all other associated documents will be submitted on the DOS grants online system at **dosgrants.com**.

The progress reports will be reviewed by Division staff and will be returned if corrections or clarifications are required.

Note: The progress report form may appear differently in the new online system.



Progress Report
Historic Preservation Grant Program
Division of Historical Resources

Grant #: _____ Date Submitted: _____

Grantee Organization: _____ Progress Report #: _____

Project Title: _____

Instructions:

Describe the progress of the project since the last reporting period including:

- The progress and status of each scope of work activities
- The progress and status of the deliverables
- Indicate any variations from project timeline, budget, and deliverables and provide reasons for the variance.

Note: Development projects need to provide progress photographs with the Progress Report.

Grant Progress:

1

Progress Report Form (Form DHR003), effective 06/2016
Rule 1A-39.001, *Florida Administrative Code*

PROGRESS NARRATIVE

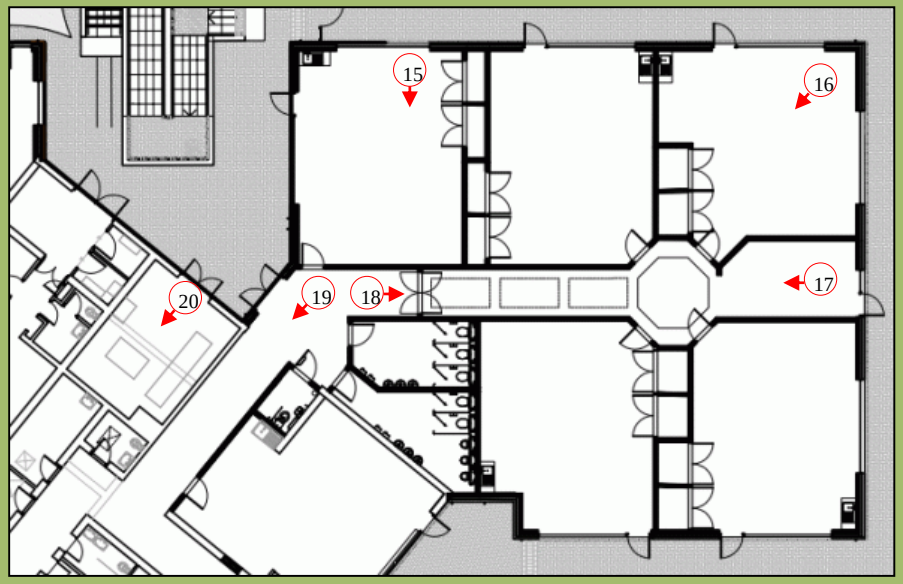
Grant Progress

Describe the progress and status of the project since the last reporting period:

- The progress and status of each scope of work activity
- The progress and status of the deliverables
- Indicate any variations from the project timeline, budget, and deliverables and provide description of reasons for such

*** Meetings, conference calls, and general planning qualify as progress if actual project activity has not yet begun.**

PHOTOGRAPH SUBMISSION GUIDELINES



A **Key Plan <u>must be</u>** provided showing the location and direction of the numbered photographs.

For guidelines please access: http://dos.myflorida.com/media/696157/photo-guidelines.pdf

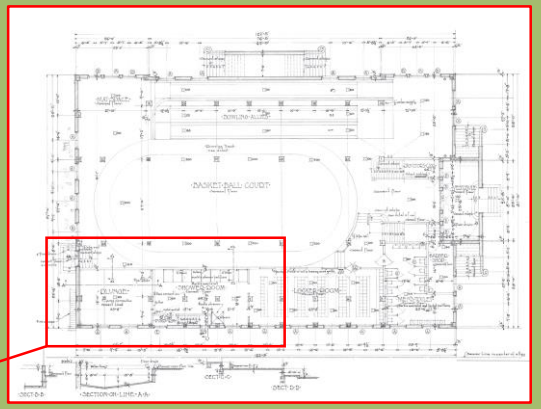
Each photograph must be in color and high resolution (photocopies will <u>not</u> be accepted) and labeled as follows:

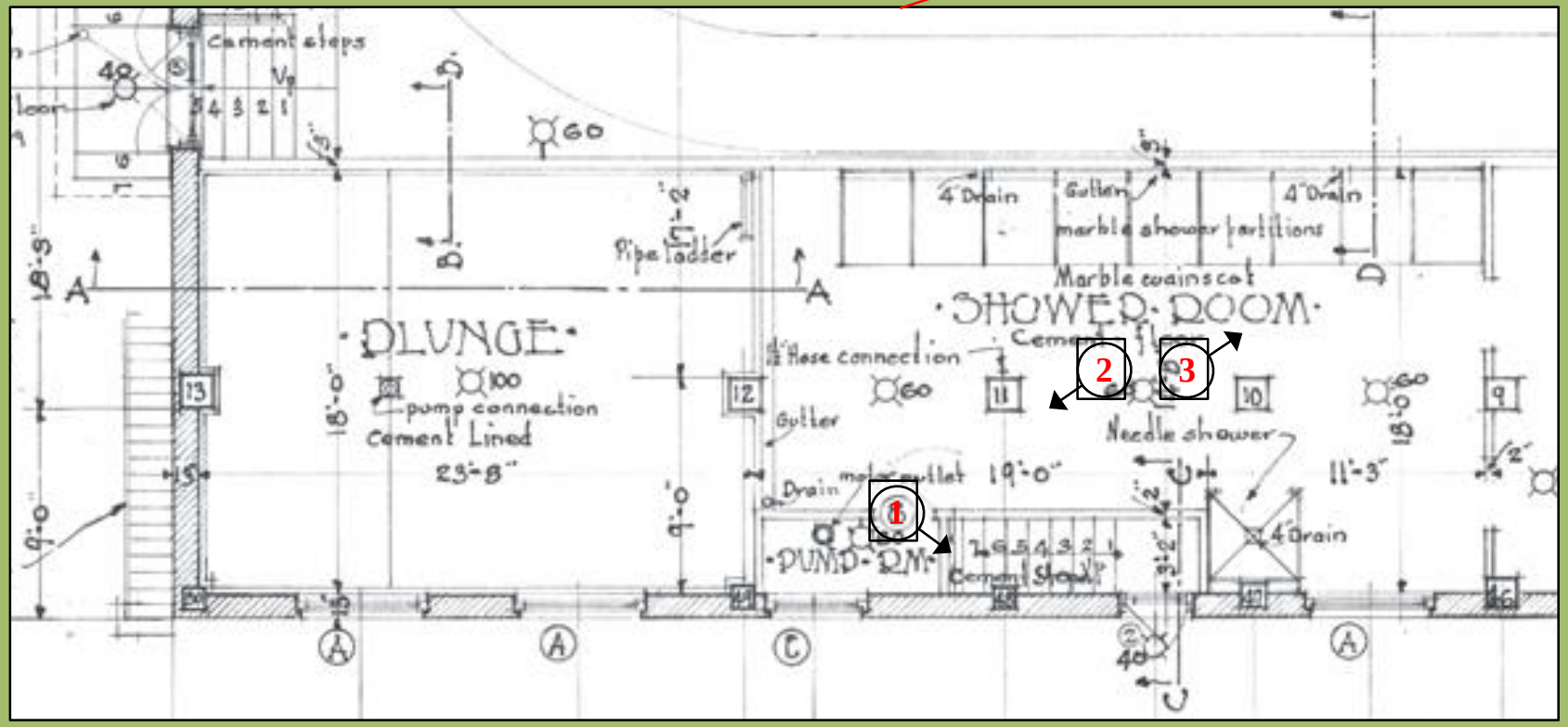
1. Sequential number referenced to the Photograph Key Plan (above)
2. Photograph date (may use approximate date, such as month and year)
3. Indicate if the photograph is pre or post-rehabilitation
4. Brief description of what is shown in the photograph

NOTE: If not individual images, please submit no more than two per page.

Development Example

Cuban Club
Centennial Renovation





Cuban Club Centennial Renovation

#1 Stairwell and railing condition 11/2015 Pre-rehab

#2 Ceiling water damage 11/2015 Pre-rehabilitation

#3 Wall Condition 11/2015 Pre-rehabilitation

Development Example

Daytona Beach Tower Repair and Restoration

#1 Condition of coquina 5/27/14 Pre-rehabilitation

#2 Condition of coquina 5/27/14 Pre-rehabilitation

Survey Example

Historic Downtown Inventory of Small-town

2015 May

MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY	SUNDAY
27	28	29	30	01 Final preparations for survey and field form printing	02 Coordinate with crew to meet at the project location Monday	03 OFF
04 Mobilize to project area and familiarize with historic district	05 Initiate survey of Magnolia Drive from 1st St. to 3rd St.	06 Continue Magnolia Drive survey from 3rd St. to 6th St.	07 Continue Magnolia Drive survey from 6th St. to 9th St.	08 Complete Magnolia Drive survey from 9th St. to 12th St.	09 Initiate survey of Rose Ave. from 1st St. to 3rd St.	10 OFF
11 Continue Rose Ave. survey from 3rd St. to 6th St.	12 Continue Rose Ave. survey from 6th St. to 9th St.	13 Complete Rose Ave. survey from 9rd St. to 12th St.	14 Initiate survey of Azalea St. from 1st St. to 3rd St.	15 Continue survey of Azalea St. from 3rd St. to 6th St.	16 Continue survey of Azalea St. from 6th St. to 9th St.	17 OFF
18 Complete survey of Azalea St. from 9rd St. to 12th St.	19 Conduct survey of 1st St. from Magnolia Dr. to Azalea St.	20 Conduct survey of 2nd St. from Magnolia Dr. to Azalea St.	21 Conduct survey of 3rd St. from Magnolia Dr. to Azalea St.	22 Conduct survey of 4th St. from Magnolia Dr. to Azalea St.	23 Conduct survey of 5th St. from Magnolia Dr. to Azalea St.	24 OFF
25 Conduct survey of 6th St. from Magnolia Dr. to Azalea St.	26 Conduct survey of 7th St. from Magnolia Dr. to Azalea St.	27 Conduct survey of 8th St. from Magnolia Dr. to Azalea St.	28 Conduct survey of 9th St. from Magnolia Dr. to Azalea St.	29 Conduct survey of 10th St. from Magnolia Dr. to Azalea St.	30 Conduct survey of 11th St. from Magnolia Dr. to Azalea St.	31 OFF
01 Conduct survey of 12th St. from Magnolia Dr. to Azalea St.	02 Revisit any necessary properties and wrap up project	Notes: Historic Downtown Inventory. Rocksmith Consulting, Inc. Timeline for the historic structures survey of Small-town, USA, encompassing the 36 blocks of Magnolia Drive, Rose Avenue, and Azalea Street between 1st Street and 12th Street. Work will entail recording historic structures' architectural details and conditions, including photographs, in order to complete FMSF forms (new or update).				

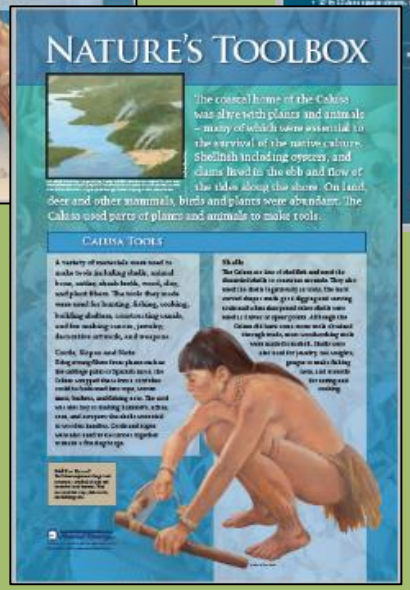
Volunteer Roster and Scheduling

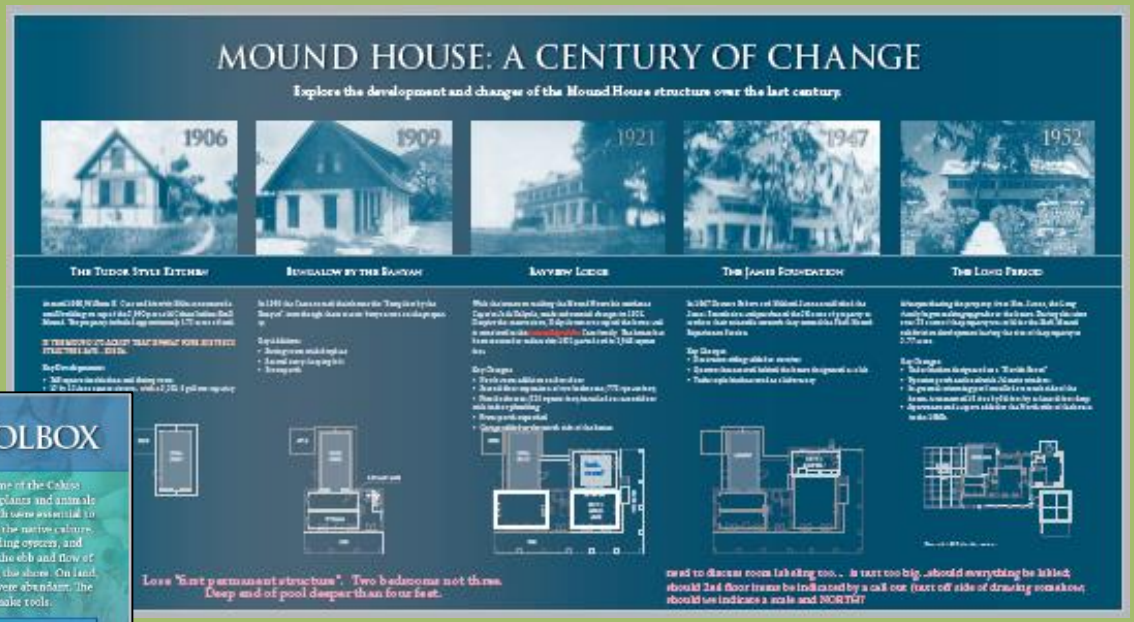
Survey Crew	Pledged Hours	Role
O. Rothrock	280	PI
L. Rothrock	280	Co-PI
D. Stroud	180	Volunteer
A. Kabori	80	Volunteer
K. Pintz	180	Volunteer
E. Erickson	180	Volunteer
K. Smith	120	Volunteer
J. Mascia	120	Volunteer
M. Smith	80	Volunteer
K. Myers	20	Volunteer
C. Surbeck	120	Volunteer

Fieldcrew Schedule	Team A	Team B
Week of 5.04 - 5.09 6/10 hr days	O. Rothrock leading K. Pintz and C. Erickson	L. Rothrock leading K. Smith and J. Mascia
Week of 5.11 - 5.16 6/10 hr days	O. Rothrock leading K. Pintz and C. Erickson	L. Rothrock leading K. Smith and J. Mascia
Week of 5.18 - 5.23 6/10 hr days	O. Rothrock leading K. Pintz and C. Erickson	L. Rothrock leading C. Surbeck and D. Stroud
Week of 5.26 - 5.30 6/10 hr days	O. Rothrock leading A. Kabori and M. Smith	L. Rothrock leading C. Surbeck and D. Stroud
Week of 6.01 - 6.02 2/10 hr days	O. Rothrock leading A. Kabori and D. Stroud	L. Rothrock leading K. Myers and M. Smith

Community Education Example

Mound House – Interpretive panels





Community Education Example

Florida Museum of Natural History, The Discovery Room

ACKNOWLEDGING GRANT FUNDING

Pursuant to Section 286.25, *Florida Statutes*, in publicizing, advertising, or describing the sponsorship of the program the Grantee shall include the following statement:

- "This project is sponsored in part by the Department of State, Division of Historical Resources and the State of Florida." Any variation in this language must receive prior approval in writing by the Department.

- All site-specific projects must include a project identification sign, with the aforementioned language, that must be placed on site. The cost of preparation and erection of the project identification sign are allowable project costs. Routine maintenance costs of project signs are not allowable project costs. A photograph of the aforementioned sign must be submitted to the Division as soon as it is erected.

NOT ACCEPTABLE

ACCEPTABLE

The DHR logo is available on the grants program webpage for your convenience.

The sign can be wood, sintra, or other durable materials and must be visible at all times during the life of the grant.

REQUESTING PAYMENTS

Expenditure Reminders

Grant funds can only be used for preapproved items pertaining to the Scope of Work.

Non-allowable expenditures include

- Expenditures for work not included in the Scope of Work of the executed Grant Award Agreement
- Costs of goods and services not procured in accordance with the procurement procedures set forth in the Grant Award Agreement
- Expenses incurred or obligated prior to or after the grant period
- Expenditures for work not consistent with the applicable historic preservation standards as outlined in the Secretary of the Interior's Guidelines, http://www.nps.gov/tps/standards.htm and nps.gov/history/local-law/arch_stnds_0.htm or applicable industry standards;
- Furniture and Equipment.
- Expenses associated with lobbying or attempting to influence federal, state, or local legislation, the judicial branch, or any state agency;
- Project Administration that exceeds 5% of the grant award amount
- Private entertainment, food, beverages, plaques, awards, or gifts
- Costs or value of donations or In-kind Contributions not documented in accordance with the provisions of the Grant Award Agreement
- Grantee operational support

Non-allowable expenditures Continued

- Indirect costs including but not limited to Grantee overhead, management expenses, general operating costs and other costs that are not readily identifiable as expenditures for the materials and services required to complete the work identified in the Scope of Work in the Grant Award Agreement
- Capital improvements to non-historic properties
- Capital improvements to the interior of religious properties
- Projects which are restricted to private or exclusive participation
- Costs for projects having as their primary purpose the fulfillment of federal or state historic preservation regulatory requirements, specifically, costs of consultation and mitigation measures required under Section 106 of the National Historic Preservation Act of 1966, as amended through 2006, or under Section 267.031, F.S.
- Vehicular circulation (drives) and parking (Exception: provision of code-required handicapped parking pad)
- Code-required accessibility improvements for religious properties
- Insurance costs (Exception: costs for builder’s risk, workers compensation and contractor’s liability insurance)
- Travel expenditures
- Sidewalks, landscape features, planting, irrigation systems and site lighting

BEFORE REQUESTING PAYMENT

Payments may be requested via the grants online system after completion of the deliverables specified in the Grant Award Agreement. All payments are a predetermined fixed percentage of the award and linked to specific deliverables.

Prior to requesting a payment, the Grantee must obtain and maintain documentation of expenditures including copies of invoices and cancelled checks.

- **GRANT FUNDS**
- **MATCH**
  - Cash
  - In-kind Contribution
  - Volunteer Services
  - Donated Materials

NOTE: Grants staff or auditors may request copies of such documentation.

Expenditure Documentation

Match Documentation

In-Kind Services and volunteer labor*

- In-Kind services must be documented with a signed invoice or signed statement from donor that includes basis for value of services (usually **hours x pay rate**) and must demonstrate relation to the Scope of Work.
- Rate of pay to use is either Florida or Federal Minimum Wage, depending on the grant, unless a professional rate for an equivalent service is documented.
- In-Kind and Volunteer time sheets are available in the DOS Grants online system and also in the grants program webpage.

Donated Materials

- Signed invoice or statement from donor shall be submitted justifying value of donated item and stating how the donated item relates to the Scope of Work.

*** Record of documentation to be maintained by Grantee.**

Expenditure Documentation

Auditing Requirements

The Department of State, Department of Financial Services, or Inspector General may conduct spot audits on grant projects.

It is the responsibility of the Grantee to maintain complete and accurate records of expenditure documentation for the auditors of the Department.

Grantees must retain all expenditure records for **5 years** following completion of work.

REQUESTING PAYMENT

Payment can only be requested upon completion of deliverables specified in the Grant Award Agreement. You are encouraged to request payment when submitting for your scheduled quarterly report.

WHEN REQUESTING PAYMENT, GRANTEE SHALL SUBMIT:

- **Progress Report Form** demonstrating timely and effective progress
- **Grant Funds Expenditure Log** demonstrating appropriate use of state funds and expenditure of match (with reference to correct deliverables as per the Grant Award Agreement)
- **Documentation evidencing completion of deliverable/s** as stipulated in the Grant Award Agreement and may include:
  - AIA G702 and AIA G703 or Schedule of Contract Values
  - Photographs (as per guidelines)
  - Drafts of publications
  - Survey Reports
  - Florida Master Site File Forms

Payment Receipt and Tracking

How are grant funds provided?

- Grantees have the option to set up direct deposit from the Department of Financial Services website: www.myfloridacfo.com/aadir/direct_deposit_web/Vendors.htm
- If direct deposit is not set a physical check to the address on file for Grantees.

How to check on payment's status?

- Grantees can check the status of your payment with the Department of Financial Services by accessing FLAIR: http://flair.dbf.state.fl.us/dispub2/cvnhphst.htm
- Use your FEID number to search for payment's status.

PAYMENT WILL BE STOPPED IF:

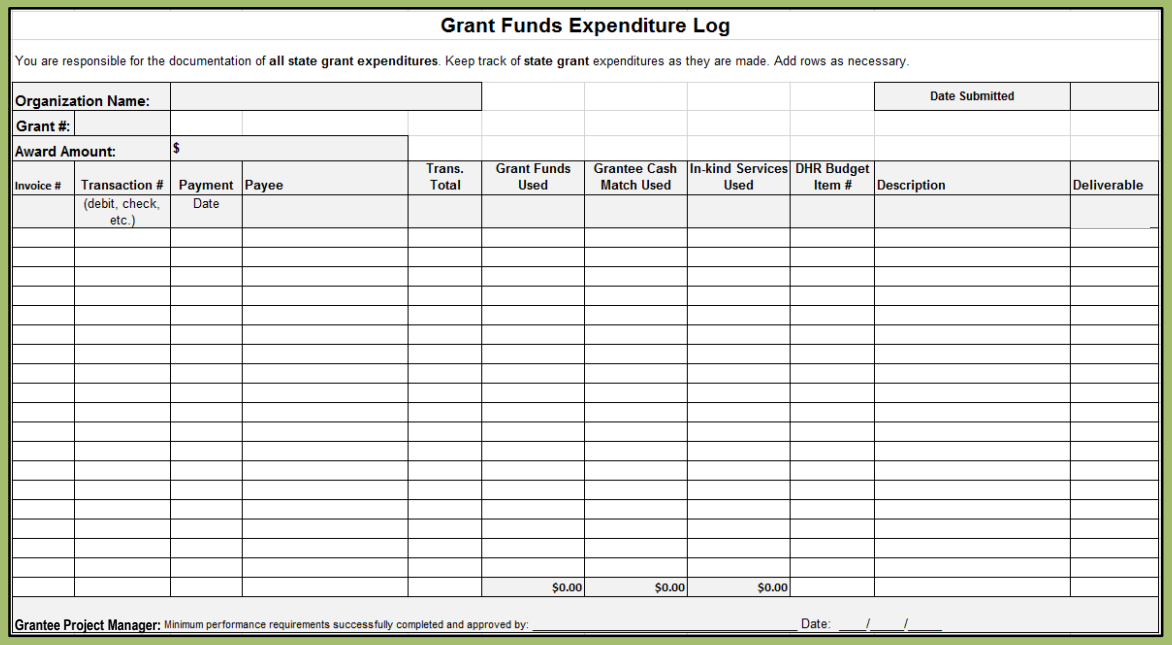
- There are missing required progress reports or these have not been approved
- If evidence for deliverables completion has not been submitted or has not been approved
- If the work completed does not conform to the scope of work specified in the Grant Award Agreement
- If work on a development project does not comply with the Secretary of Interior Standards or appropriate industry standards
- If information requested by the Grants Program has not been submitted or Grantee has incorrectly submitted payment information

NOTE: If a Grantee has grants with multiple divisions of the Department of State, noncompliance with grant procedure will halt payments from those other grants.

GRANT FUNDS EXPENDITURE LOG

Grantees must complete a **Grant Funds Expenditure Log** in the online system identifying how each expenditure (both grant funds and match) have been used.

- Budget item number (corresponding to Attachment B of the GAA)
- Deliverable (as per the agreement)
- Grant funds used
- Match used
- In-kind used
- Invoice number
- Check number
- If credit card used
- Payee



Grant Funds Expenditure Log

You are responsible for the documentation of **all state grant expenditures**. Keep track of **state grant** expenditures as they are made. Add rows as necessary.

Organization Name:									**Date Submitted**	
Grant #:										
Award Amount:		$								
Invoice #	**Transaction #**	**Payment**	**Payee**	**Trans. Total**	**Grant Funds Used**	**Grantee Cash Match Used**	**In-kind Services Used**	**DHR Budget Item #**	**Description**	**Deliverable**
	(debit, check, etc.)	Date								
					$0.00	$0.00	$0.00			

Grantee Project Manager: Minimum performance requirements successfully completed and approved by: _____ Date: ___/____/____

Grant Funds Expenditure Log

You are responsible for the documentation of **all state grant expenditures**. Keep track of **state grant** expenditures as they are made. Add rows as necessary.

Organization Name:	Preservation Project 1	**Date Submitted**	**6/14/2016**
Grant #:	S1699		
Award Amount:	**$33,000**		

Invoice #	Transaction #	Payment	Payee	Trans. Total	Grant Funds Used	Grantee Cash Match Used	In-kind Services Used	DHR Budget Item #	Description	Deliverable
	(debit, check, etc.)	Date								
2021	4500	1/15/2016	Grant World Construction Company	$25,000	$25,000	$0.00	$0.00	2	Installation of new roof	Payment 2 will be fixed price. The Grantee will have completed at least 30 percent of the project prior to this payment. The Performance measure documenting satisfactory completion of Deliverables will be completed Application and Certificate for Payment (AIA Document G702) and Schedule of Contract Values (AIA Document G703), or its equivalent, showing at least 30 percent of the project completed.
2021	4501	2/10/16	Grant World Construction Company	$5,000.00	$2,500.00	$2,500.00	$0.00	3	Purchase and installation of new HVAC units	Payment 2 will be fixed price. The Grantee will have completed at least 30 percent of the project prior to this payment. The Performance measure documenting satisfactory completion of Deliverables will be completed Application and Certificate for Payment (AIA Document G702) and Schedule of Contract Values (AIA Document G703), or its equivalent, showing at least 30 percent of the project completed
					$27,500.00	**$2,500.00**	**$0.00**			

Grantee Project Manager: Minimum performance requirements successfully completed and approved by: _____ Date: ____/____/_____

SCHEDULE OF CONTRACT VALUES

For Development Projects, a completed **Application and Certificate for Payment** (AIA Document G702) and **Schedule of Contract Values** (AIA Document G703), or its equivalent must be submitted.

Schedule of Contract Values

(This form must be completed by the Contractor for the Project.)

PROJECT NAME: APPLICATION NO:
PROJECT #: APPLICATION DATE:
CONTRACTOR: PERIOD TO:
PERCENT COMPLETE TO DATE:

A	B	C	D	E	F	G	H	I	J
ITEM NO.	DESCRIPTION OF WORK	SCHEDULED VALUE	WORK COMPLETED FROM PREVIOUS APPLICATION (D + E)	WORK COMPLETED THIS PERIOD	MATERIALS PRESENTLY STORED (NOT IN D OR E)	TOTAL COMPLETED AND STORED TO DATE (D+E+F)	% (G ÷ C)	BALANCE TO FINISH (C - G)	RETAINAGE (IF VARIABLE RATE)
	(Fill in & break down contract values)								
	(Add any change order(s) descriptions)								
	GRAND TOTALS	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**

Contract Manager: Minimum performance requirements successfully completed and approved by: _____ Date: ___/___/____

NOTE: Must be completed by the architect or contractor.

Schedule of Contract Values

(This form must be completed by the Contractor for the Project.)

PROJECT NAME: Preservation Project 1
PROJECT #: SC706
CONTRACTOR: Building Stuff Inc.

APPLICATION NO: FCS17-0044
APPLICATION DATE: 6/15/2015
PERIOD TO: 1/31/2016
PERCENT COMPLETE TO DATE: 39.41%

A	B	C	D	E	F	G	H	I	J
ITEM NO.	**DESCRIPTION OF WORK**	**SCHEDULED VALUE**	**WORK COMPLETED FROM PREVIOUS APPLICATION (D + E)**	**THIS PERIOD**	**MATERIALS PRESENTLY STORED (NOT IN D OR E)**	**TOTAL COMPLETED AND STORED TO DATE (D+E+F)**	**% (G ÷ C)**	**BALANCE TO FINISH (C - G)**	**RETAINAGE (IF VARIABLE RATE)**
	(Fill in & break down contract values)								
1	Exterior & Structural Repairs & Mobilization	$243,000.00	$55,555.55	$0.00	$0.00	$55,555.55	22.86%	$187,444.45	$5,555.56
2	Interior Repairs – Including Mold Remediation, Insulation	$74,000.00	$0.00	$12,250.00	$0.00	$12,250.00	16.55%	$61,750.00	$1,225.00
	(Add any change order(s) descriptions)								
	GRAND TOTALS	**$317,000.00**	**$55,555.55**	**$12,250.00**	**$0.00**	**$67,805.55**	**39.41%**	**$249,194.45**	**$6,780.56**

Contract Manager: Minimum performance requirements successfully completed and approved by: _____ Date: ____/_____/_____

Payment Request Processing

What happens after the submission of payment request?

- Your grants manager will verify that your progress report is in compliance with all reporting and other requirements specified in your Grant Award Agreement.
- All deliverables, as outlined and agreed upon in your grant agreement, must be reviewed and approved by the Division of Historical Resources before funds can be released.
- Once reviewed and approved, the Grants Program submits an invoice for payment to the Department's Accounting section for processing. Approved payments are then sent to the Department of Financial Services.
- The payment process may take as long as two to four weeks.

Noncompliance Policy

NONCOMPLIANCE POLICY

The Department of State has an official department-wide grant **noncompliance** policy.

The goal of this policy is to make sure all grant funds are spent properly and all grant project objectives are met.

Monthly evaluations are conducted by the Grants Program to identify projects in noncompliance.

*** To ensure the project is not labelled as noncompliant, the Grantee must adhere to the requirements, restrictions, and deadlines specified in the project's Grant Award Agreement.**

How does a project become noncompliant?

- Progress Reports late and/or incomplete
- Not meeting agreement deadlines regarding encumbrance
- If applicable, not submitting draft contracts for review
- Not submitting grant products (draft or final) by deadline
- Expending grant funds or match on items not agreed upon in the grant agreement
- Conducting project work in violation of the **Secretary of the Interior's Standards** and/or **FAC 1A-46** for Archaeological Survey Projects
- Failure to correct grant products and/or construction documents as notified/requested by the Grants Program

WHAT ARE NONCOMPLIANCE CONSEQUENCES?

- Grantee placement on official Department of State Noncompliance List
- Immediate grant payment suspension for **all** grants from any Division within the Department of State
- Escalated penalties for failing to correct violations, including
  - Return of grant award (a portion of or entire amount)
  - Prohibited from applying for additional grants with the Division of Historical Resources or other Divisions within the Department of State
  - Grant cancellation

Closing Out Projects

Grant Completion Timeline

Small Matching

All work must be completed by June 30, 2018.

Final Progress Report, Schedule of Values, Expenditures Report and all deliverables submitted by July 30, 2018.

Special Category

All work must be completed by June 30, 2019.

Final Progress Report, Schedule of Values, Expenditures Report and all deliverables submitted by July 30, 2019.

Note: Always check the project's Grant Award Agreement for specific date of completion. If in need of an extension, this petition must be submitted in writing 30 days prior to the project's deadline, for evaluation by the Division. For Small Matching projects, the extension cannot exceed 30 days. For Special Category projects, the extension cannot exceed 120 days.

Grant Close Out Submissions

Final Progress and Expenditure Reports Must Include:

- Detailed description of the work accomplished under the grant
- Final deliverables evidencing work completion
- Total expenditures (both grant and match) for the reporting period
- Completed Single Audit Act Form
- Any reversion of funds must be acknowledged in a formal statement
- Check made out to Department of State for interest earned from Advance Payments
- Evidence of completion of work will be reviewed by the Division before any final payment is processed and only when finalized work and documents are approved will the final payment be triggered

RETURNING ACCUMULATED INTEREST

IF YOU CHOSE TO RECEIVE AN ADVANCE YOU MUST:

- Set up a separate, interest-bearing checking account to keep track of the interest
- Track the interest accrued on the money throughout the duration of the grant
- Remit the interest earned with your Final Progress and Grant Expenditure reports. This cannot be deducted from your final payment.
- Make the check out to the **Department of State**

MANAGING EFFECTIVELY

DOCUMENTS TO KEEP AT HAND

- Grant Award Agreement
- Project's Timeline
- Small Matching Guidelines and/or Special Category Guidelines
- Guidelines for the Submission of Photographs
- Guidelines for the Submission of FMSF forms
- Schedule of Values
- Time Sheet Form (if volunteers or labor as in kind donation)
- Single Audit Form (for close-out)

Tips for a Successful Grant

- Thoroughly read and reference the project's Grant Award Agreement prior to execution and prior to requesting any payment
- Stay in contact with your assigned Grants Program manager
- Establish and keep up with the project's timeline
- Ensure all deliverables are met and submitted on time for review
- Submit progress photographs following the instructions outlined in the photograph submission guideline with each progress report
- If a Grantee or project Contact has more than one open project, these must be maintained as separate and managed as such
- Inform of problems and obstacles that may arise as soon as possible
- Contact the Grants Program if questions arise during the project

For Additional Information

Physical Address:
Division of Historical Resources
R.A. Gray Building, 4th Floor
500 S. Bronough St.
Tallahassee, Florida 32399

Division phone:
1.800.847.7278 or
850.245.6333

Grants Staff Contact:
Yasha Rodríguez, Historic Preservation Supervisor
850.245.6362 yasha.rodriguez@dos.myflorida.com

Kechia Herring, Historic Preservation Grants Specialist
850.245.6310 kechia.herring@dos.myflorida.com

Eric Case, Historic Preservation Grants Specialist
850.245.6338 eric.case@dos.myflorida.com

Drew Begley, Historic Preservation Grants Specialist
850.245.6466 drew.begley@dos.myflorida.com

Josh Gates, Historic Preservation Grants Specialist
850.245.6355 joshua.gates@dos.myflorida.com

Tim Knoepke, Historic Preservation Grants Specialist
850.245.6393 timothy.kneopke@dos.myflorida.com

DOS GRANTS

FLORIDA DEPARTMENT OF STATE

DIVISION OF

Historical Resources

www.flheritage.com