Florida Department of State
Division of Historical Resources

How to Manage Your Grant

Historic Preservation Grants Program

REV 10.2018
HISTORIC PRESERVATION GRANTS STAFF

GRANTS SPECIALISTS:
Drew Begley, FCCM
Laura Bright, M.A., FCCM
Eric Case, M.A., FCCM

GRANTS SUPERVISOR:
Tim Knoepke, M.A. FCCM
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/historical/grants/small-matching-grants
http://dos.myflorida.com/historical/grants/special-category-grants

Note: Rule and program guidelines undergo yearly review.
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 Project Contact for each funded project for review and execution. Additional documents may be required, depending on project type, in order to execute a Grant Award Agreement with the Division.

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
- Performance measures
- Reporting requirements

- Encumbrance deadline
- Estimated budget
- Payment information
- Financial consequences
- Termination clauses

Note: Please familiarize yourselves with each section of the grant award agreement to avoid any future complications with your project.
LENGTH OF AGREEMENTS

SMALL MATCHING
(one fiscal year)
July 1, 2018 – June 30, 2019

SPECIAL CATEGORY
(two fiscal years)
July 1, 2018 – June 30, 2020

Note: Work undertaken prior to the grant period will not be covered by the award.
AGREEMENT BETWEEN
THE STATE OF FLORIDA, DEPARTMENT OF STATE
AND
UNIVERSITY OF FLORIDA
19.5.11.10.046

This Agreement is by and between the State of Florida, Department of State, Division of Historical Resources hereafter referred to as the "Division," and the University of Florida hereafter referred to as the "Grantee."

The Grantee has been awarded a Small Matching Grant by the Division, grant number 19.5.11.10.046 for the Project "Seashore Key Lighthouse Restoration," in the amount of $500,000.00 (Grant Award Amount). The Division enters into this Agreement pursuant to Line Item 3436, contained in the 2019 General Appropriations Act, HB 5001, Laws of Florida. The Division has the authority to administer this grant in accordance with Section 227.067, 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 "Seashore Key Lighthouse Restoration," the public purpose for which these funds were appropriated.
   a. The Grantee shall perform the following Scope of Work:
   "Grant funds will be used to purchase and install a reproduction of a fourth order fixed Fresnel lens, with two exterior revolving flash panels. Funds will also be used to purchase and install a fourth order pedestal, with carriage bearing, and gear motors to support and drive the revolving flash panels. The pedestal and lens will be installed in the lantern room of the Seashore Key Lighthouse in the Cedar Key National Wildlife Refuge."
   All tasks associated with the Project shall meet the requirements set forth in this agreement.
   b. The Grantee agrees to provide the following Deliverables and Performance Measures related to the Scope of Work for payments to be awarded.

<table>
<thead>
<tr>
<th>Payment Number</th>
<th>Deliverable Number</th>
<th>Deliverable Description</th>
<th>Documentation</th>
<th>Payment Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>The Grantee will provide evidence that the fourth order fixed Fresnel lens has been ordered.</td>
<td>Evidence that the fourth order fixed Fresnel lens has been ordered.</td>
<td>$12,500</td>
</tr>
<tr>
<td>2</td>
<td>2</td>
<td>The Grantee will provide evidence that the fourth order fixed pedestal has been ordered.</td>
<td>Evidence that the fourth order fixed pedestal has been ordered.</td>
<td>$12,500</td>
</tr>
</tbody>
</table>
## Example of Agreement

<table>
<thead>
<tr>
<th>Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td>of the grantee and that they are installed and working correctly. The performance measure documenting satisfactory completion of Deliverables will also be the submission and acceptance of a Final Project Progress Report that certifies that all project funds have been expended in the way here agreed upon and the Project has been closed out. In addition, a Single Audit Form shall be completed by the Grantee and submitted along with the Final Progress Report prior to final payment.</td>
</tr>
<tr>
<td>$25,000</td>
</tr>
</tbody>
</table>

Clauses of Length

c. The Grantee has provided an Estimated Project Budget based upon reasonable expenditures projected to accomplish the Grantee's Scope of Work and Deliverables outlined in the Agreement. The Budget provides details of how grant and match funds will be spent. All expenditures shall be in accordance with this budget (which is incorporated as part of this Agreement and entitled Attachment A) and must be incurred during the term of this Agreement, as stated in Section 2 of this Agreement.

2. Length of Agreement. This Agreement shall begin on 7/1/2018 and shall end 6/30/2019 unless terminated in accordance with the provisions of Section 3 of this Agreement. Contract extensions will not be granted unless Grantee is able to provide substantial written justification and the Division approves such extension. The Grantee’s written request for such extension must be submitted to the Division no later than thirty (30) days prior to the termination date of this Agreement and no amendment will be valid until a written amendment is signed by both parties as required in Section 7 and Section 15 of this Agreement.

3. Contract Administration. The parties are legally bound by the requirements of this Agreement. Each party’s contract manager, named below, will be responsible for monitoring its performance under this Agreement, and will be the official contact for each party. Any notice or other communications in regard to this agreement shall be directed to or delivered to the other party’s contract manager by utilizing the information below. Any change in the contact information below shall be submitted in writing to the contract manager within 10 days of the change.

For the Division of Historical Resources:
Yasha Rodriguez
Florida Department of State
R.A. Gray Building

Page 2
GRANT FILE
**GRANT FILE**

Per Section 20 of the Grant Award Agreement “Financial records, supporting documents, statistical records, and all other records including electronic storage media pertinent to the Project shall be retained for a period of five (5) years after the close out of the grant. If any litigation or audit is initiated, or claim made, before the expiration of the five-year period, the records shall be retained until the litigation, audit, or claim has been resolved.”

The Grantee is contractually obligated to keep the following documents in their grant file:

a) Grant Award Agreement  
b) Vendor Contracts  
c) Copies of Checks  
d) Copies of Invoices  
e) Amendments to the Grant Award Agreement  
f) Copies of Deliverables (if applicable)

Per Section 21 of the Grant Award Agreement “the Grantee must make all grant records of expenditures, copies of reports, books, and related documentation available to the Division or a duly authorized representative of the State of Florida for inspection at reasonable times for the purpose of making audits, examinations, excerpts, and transcripts.”

**Note:** If Grantee has multiple grants, a separate grant file must be maintained for each project.
PROCUREMENT REQUIREMENTS AND CONTRACTS
PROCUREMENT REQUIREMENTS

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

Expenditures shall be in compliance with the state guidelines for allowable project costs as outlined in the Small Matching and Special Category Grants Guidelines. Non-allowable expenditures cannot be considered for grant funds or matching funds.

Resources for Expenditure Compliance:

• Small Matching Guidelines http://dos.myflorida.com/historical/grants/small-matching-grants

• Special Category Guidelines http://dos.myflorida.com/historical/grants/special-category-grants

Requirements Justification

Why have procurement requirements?

• To guarantee transparency.
• To make sure that the grant recipient, and the state, is getting the best work for the best price.
• To ensure maximum open competition when procuring goods and services.
• To promote good faith effort to use small business firms, and minority-owned firms.
PROCUREMENT PROCESS

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
  • Qualifications of the contractor
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)

Note: For ITNs at least two written bids must be demonstrated.
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). When preparing the project’s timeline, 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.
SUBCONTACTS

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

• Outline the scope of work as identified in the 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

NOTE: The Grantee must retain contracts and related documents in the grant file for 5 years following completion of work or until all related claims have been settled.
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.

<table>
<thead>
<tr>
<th>QUARTERS</th>
<th>SMALL MATCHING PROJECTS</th>
<th>SPECIAL CATEGORY PROJECTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>JULY 1-SEPTEMBER 30</td>
<td>OCTOBER 30, YEAR 1</td>
<td>OCTOBER 30, YEAR 1</td>
</tr>
<tr>
<td>OCTOBER 1 – DECEMBER 31</td>
<td>JANUARY 30, YEAR 1</td>
<td>JANUARY 30, YEAR 1</td>
</tr>
<tr>
<td>JANUARY 1 – MARCH 31</td>
<td>APRIL 30, YEAR 1</td>
<td>APRIL 30, YEAR 1</td>
</tr>
<tr>
<td>APRIL 1 – JUNE 30</td>
<td>JULY 30, YEAR 1</td>
<td>JULY 30, YEAR 1</td>
</tr>
<tr>
<td></td>
<td></td>
<td>OCTOBER 30, YEAR 2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>JANUARY 30, YEAR 2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>APRIL 30, YEAR 2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>JULY 30, YEAR 2</td>
</tr>
</tbody>
</table>

Note: To ensure that your project is in compliance you must submit progress reports by the established deadlines.
PROGRESS REPORT DETAILS

PROGRESS

• Provide 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 other required documents showing the progress of the development activity, survey work, educational activity, and such, to evidence project status.
The Progress Report and all other documents will be submitted on the DOS grants online system at:

DOSGrants.com
Feel free to use the instructions as an outline
* Meetings, conference calls, and general planning qualify as progress if actual project activity has not yet begun.
PHOTOGRAPH SUBMISSION GUIDELINES

A Key Plan must be 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 not 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

CURRY HOUSES COMPLEX: REHABILITATION PROJECT
CURRY HOUSES COMPLEX: REHABILITATION PROJECT

#1 East façade 5/2014 Pre-rehabilitation
CREDIT LINE TO ACKNOWLEDGE GRANT FUNDING

Pursuant to Section 10 of the grant award agreement, the grantee must include a credit line as follows: “This project is sponsored in part by the Department of State, Division of Historical Resources and the State of Florida.”

Education and Publication project Example:

The DHR logo is available on the grants program webpage for your convenience.
Credit Line to Acknowledge Grant Funding (Continued)

All Site-Specific Projects such as Development or Archaeological Excavations or On-Site Exhibits must fabricate and install a sign acknowledging grant funds. This sign can be paid for using grant or match funds, must include the DHR logo, and be visible at all times.

Development and Archaeological Excavation project Examples:

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

The sign can be wood, sintra, or another durable material.
# Grant Funds Expenditure Log

## Organization Name

<table>
<thead>
<tr>
<th>My Organization</th>
<th>Grant #</th>
<th>Award Amount</th>
<th>Date Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>$500,000</td>
<td></td>
</tr>
</tbody>
</table>

## Link to Contract Details

- Add new record
- Export to Excel

## Transaction Table

<table>
<thead>
<tr>
<th>Invoice</th>
<th>Transaction</th>
<th>Payment Date</th>
<th>Payee</th>
<th>Transaction Total</th>
<th>Grant Funds</th>
<th>Cash Match</th>
<th>In Kind</th>
<th>Budget Category List</th>
<th>Description</th>
<th>Deliverable</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Total Transaction: $0.00</td>
<td>Total Grant Funds: $0.00</td>
<td>Total Cash Match: $0.00</td>
<td>Total In Kind: $0.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Comments:

Format: 

- [Text Editor]

Submit
Go Back
**Grant Funds Expenditure Log**

Grantees must complete the **Grant Funds Expenditure Log** identifying how each expenditure (both grant funds and match) have been used and include:

- Invoice number
- Transaction number
- Payment date
- Payee
- Transaction total
- Grant funds used
- Cash match used
- In-kind services used
- Deliverable
- Budget category
- Description
REQUESTING PAYMENTS
Payments may be requested 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 (which can include volunteer services and donated materials)

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

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

NON-ALLOWABLE EXPENDITURES INCLUDE:

• Expenses incurred or obligated prior to or after the grant period
• Expenditures for work not consistent with the applicable preservation standards
• Expenditures for furniture
• Private entertainment, food, beverages, plaques, awards, or gifts
• Project Administration that exceeds 5% of the grant award amount
• Purchase of equipment other than that which is incorporated as capital improvements into a historic building during restoration or rehabilitation*

Note: If special equipment is required only for the grant period to complete the project, it shall be rented for the grant period.
NON-ALLOWABLE EXPENDITURES (CONTINUED)

• Vehicular circulation and parking
  Exception: Provision of code-required handicapped parking pad
• Sidewalks, landscape planting, and site lighting
  Exception: Sidewalk required to link code-required handicapped parking pad and limited site lighting required for security
• Capital improvements to the interior of religious properties
  Exception: Repairs to primary elements of the structural system, such as foundation repairs, load-bearing wall framing, roof framing, etc.
• Code-required accessibility improvements for religious properties
• Insurance costs
  Exception: Costs for builder’s risk, workers’ compensation, and contractor’s liability insurance
• Travel
  Exception: Transportation to and from an archaeological site
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 the Federal Minimum Wage, unless a professional rate for an equivalent service is documented.
- In-Kind and Volunteer time sheets are available on the grants program webpage.

DONATED MATERIALS

- Signed invoice or statement from donor justifying value of donated item that states how the donated item relates to the Scope of Work

Note: Record of documentation to be maintained by Grantee.
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.

TO REQUEST A PAYMENT, GRANTEE SHALL:

- **Access Grant Record Details** and select “Payment Request.” Complete all requested information on the Payment Request page.

- **Update 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)

- **Submit 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
Example of Payment Request Page

Payment Request #2 for Grant Record 17.h.sm.200.016

Fields with an asterisk* are required on submission

My Grants | Return to Grant Record Details

Project Overview

<table>
<thead>
<tr>
<th>Grant Number</th>
<th>FEIN</th>
<th>Grant Name</th>
<th>Project Number</th>
<th>Organization Name</th>
<th>Payment Address</th>
<th>Amount Paid</th>
<th>Grant Period</th>
<th>Award Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>17.h.sm.200.016</td>
<td>59-0432545</td>
<td>St. John's Cemetery Preservation Plan</td>
<td>S1716</td>
<td>St. John's Cemetery, Inc.</td>
<td>$2,500</td>
<td>7/1/2016 - 9/30/2017</td>
<td>$10,000</td>
<td></td>
</tr>
</tbody>
</table>

Payment request; (Fixed Price)

Select one or more deliverables for this payment:

<table>
<thead>
<tr>
<th>Deliverable Number</th>
<th>Deliverable Amount</th>
<th>Deliverable Description</th>
<th>Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>$2,500.00</td>
<td>N/A</td>
<td>Grant Agreement, Attachments A-C, Exhibit 1</td>
</tr>
<tr>
<td>1</td>
<td>$2,500.00</td>
<td>Payment 2 will be fixed price in the amount of 25% of the grant award. Provide evidence of the completion of the two (2) volunteer training seminars. Evidence will include a list of seminar participants, seminar content/agenda and example handouts/forms, and a projected fieldwork schedule with volunteers pledging to conduct field work.</td>
<td>Grant Agreement, Attachments A-C, Exhibit 1</td>
</tr>
<tr>
<td>2</td>
<td>$2,500.00</td>
<td>Payment 3 will be fixed price in the amount of 25% of the grant award. Provide a copy of the draft preservation plan and a copy of the draft survey report, both conforming to Chapter 1A-46, Florida Administrative Code.</td>
<td>Grant Agreement, Attachments A-C, Exhibit 1</td>
</tr>
<tr>
<td>3</td>
<td>$2,500.00</td>
<td>Payment 4 will be fixed price in the amount of 25% of the grant award. Provide one (1) electronic and one (1) hard copy of each of the updated FMSF historical cemetery form, including photographs and maps, the final survey report, and the final preservation plan. The preservation plan and final survey report shall conform to Chapter 1A-46, Florida Administrative Code.</td>
<td>Grant Agreement, Attachments A-C, Exhibit 1</td>
</tr>
</tbody>
</table>

Payment Details (Fixed Price)

Invoice Period Begin Date:* [ ]
Invoice Period End Date:* [ ]

ATTN: [ ]

Notes:

| B | I | E | O |

Payment Documentation

Select the ‘Add new file’ button to upload payment documentation.

<table>
<thead>
<tr>
<th>Title</th>
<th>Description</th>
<th>Choose File</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

No items to display

Save Submit
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.

**NOTE:** Must be completed by the architect or contractor.
PAYMENT REQUEST PROCESSING

WHAT HAPPENS AFTER THE SUBMISSION OF PAYMENT REQUEST?

• The grants specialist will verify that the project’s progress report is in compliance with all reporting and other requirements specified in the Grant Award Agreement.

• All deliverables, as outlined and agreed upon in the 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 will submit 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 is released by the Department of Financial Services.

Note: The payment process may take as long as two to six weeks.
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 NOT BE APPROVED WHEN:

- Missing required progress reports or these have not been approved
- Work completed does not conform to the scope of work specified in the Grant Award Agreement
- Work on a development project does not comply with the Secretary of Interior Standards or appropriate industry standards
- Information requested by the Grants Program has not been submitted or grantee has incorrectly submitted payment information
- When Grantee has been placed in non-compliance status

Note: If a Grantee has grants with multiple divisions of the Department of State, non-compliance with grant procedure will halt payments from those other grants.
NON-COMPLIANCE POLICY
The Department of State has an official department-wide grant non-compliance 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 organizations in noncompliance.

To ensure the project is not identified as noncompliant, the Grantee must adhere to the stipulations, restrictions, and deadlines specified in the project’s Grant Award Agreement along with other Division requirements.

**Note:** Setting up a timeline or calendar with important dates and deadlines is crucial for time management.
HOW DOES A PROJECT BECOME NON-COMPLIANT?

- Progress Reports late and/or incomplete
- Not meeting agreement deadlines regarding encumbrance
- If applicable, not submitting draft contracts for review
- If applicable, not submitting executed approved contracts for our records
- 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
- Failure to respond to emails or phone calls in a timely manner
What are non-compliance consequences?

• Grantee placement on official Department of State Non-Compliance 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
AMENDMENTS AND EXTENSIONS
AMENDMENT REQUESTS

• Either the Grantee or the Division may request modification of the provisions of this Agreement, including scope of work, budget, and extension of project completion date

• These changes must be mutually agreed upon and will only be valid when an amendment form is completed and executed

• If changes are implemented without the Division’s written approval, the organization is subject to non-compliance, and the grant award is subject to partial reduction or complete refund to the State of Florida and termination of this agreement
AMENDMENT REQUESTS (CONTINUED)

EXTENSIONS TO PROJECT COMPLETION DATE:

- The only way to extend an agreement is by the preparation and execution of an amendment extending the project’s completion date.
- The extension must be requested a minimum of 30 days prior to the end date of the agreement.
- To be valid, this needs to be fully executed by both the Organization and the Division of Historical Resources.
- No work will be paid for if completed after the project completion date and no amendments can be signed after that date has passed.
AMENDMENT REQUESTS (CONTINUED)

From your Grant Records Details page select “Add Change Request”
From your Create Change Request page select all that apply, give a reason for the amendment, and a description of what will change. Then click “Continue.”
Make the applicable edits to each section. At the bottom of the page click the box that states you are authorized to submit the amendment request. Then click “Submit.”
Once you hit “submit” your grant manager can begin to review the amendment request. If your grant manager approves the amendment request they will generate the amendment and make it available for you to sign, date, and submit back for execution. The amendment is not official until it is executed in the system.
CLOSING OUT PROJECTS
GRANT COMPLETION TIMELINE

SMALL MATCHING

All work must be completed by June 30, 2019.


SPECIAL CATEGORY

All work must be completed by June 30, 2020.

Grant Completion Timeline (Continued)

- Always check the project’s Grant Award Agreement for the specific date of completion. If in need of an extension, this petition must be submitted in writing a minimum of 30 days prior to the project’s deadline.

- Work items that were not conducted within the project’s timeframe will not be approved as part of the grant. All expenditures must be made during the grant period.

- Scope of work items not completed during the grant period will not be fully paid for (as funds will be reduced).
GRANT CLOSE-OUT SUBMISSIONS

FINAL PROGRESS AND EXPENDITURE REPORTS MUST INCLUDE:

• Detailed description of what was accomplished under the grant.
• Final deliverables.
• Total expenditures (both grant and match) for the reporting period.
• Completed Single Audit Act Form (available on the Grants Program webpage).
• Any reversion of funds must be acknowledged in a formal statement.
• Check made out to Department of State for interest earned from Advance Payments.
RETURNING ACCUMULATED INTEREST

IF YOU CHOSE TO RECEIVE AN ADVANCE YOU MUST:

• Set up a separate checking account to keep track of the funds.

• Spend the advance payment within the first three months of the grant period and provide evidence of having met this requirement.

• If set up in an interest-bearing checking account:

  • Track the interest accrued on the advance.

  • 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 Consult Frequently

• Grant Award Agreement
• Project’s Timeline
• Progress Report Form
• Guidelines for the Submission of Photographs
• Guidelines for the Submission of FMSF Forms
• Payment Request Form
• Expenditure Log (to update continuously)
• Schedule of Values
• Time Sheet Form (if volunteers or labor as in-kind donation)
• Single Audit Form (for close-out)
MAJOR PITFALLS

To manage a grant successfully avoid:

• Beginning work on the project before July 1

• Non-allowable expenditures (allocated to grant or match funds)

• Contractors with no historic preservation experience (if applicable)

• Unaccounted for time by volunteers and grant administrators

• Performing work that does not meet the standards or guidelines

• Lack of communication with assigned Grants Specialist

• Missing deadlines for progress reports and other time-sensitive documentation
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 Specialist.
• 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 ASSISTANCE

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Tallahassee, Florida 32399

DIVISION PHONE:
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850.245.6333

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