

**Ohio Department of Alcohol and Drug Addiction Services
SFY 2014 Guidance for Applicants (GFA)
Prevention Grantee Reporting Requirements**

General Information

All ODADAS Prevention GFA grantees will be required to submit all reporting requirements and revision requests via the Proving Ohio's Prevention Success system (POPS). Additional instructions for reporting requirements are available in the POPS system Document Library to assist the grantee in completing Semi-annual Program Summary Reports, expenditure reports, budget revisions, and program revisions. Program Summary Reports basis and expenditure reports are due on a mid-year and annual basis. As identified in the Notice of Award, please contact the ODADAS AOD Prevention Program Specialist for programmatic questions or the Grants Coordinator for expenditure report or budget revision questions.

REQUIRED REPORTS

Program Summary Report

- The Semi Annual Program Summary Report is to be based on the approved State Fiscal Year (SFY) 2014 Grant Application Prevention funding application. The program summary report is located in the POPS system in the Report section under the Main Navigation Menu. The program summary report must be submitted via the POPS system by the following dates:

Reporting Period

Mid Year: July 1, 2013 to December 31, 2013

Final: January 1, 2014 to June 30, 2014

Date Due to ODADAS

January 31, 2014

September 30, 2014

For questions regarding the Program Summary Report please contact the AOD Program Specialist listed in the SFY 2014 Notice of Award.

Continuous Quality Improvement

- The Continuous Quality Improvement (CQI) plan is to be completed at the end of contracted fiscal year. For SFY14 you will only complete one CQI plan based on an intervention/NOM/objective of your choice. Definitions for the components of the CQI plan can be found in the Definitions Document located in the Toolbox.

Reporting Period

July 1, 2013 to June 30, 2014

Date Due to ODADAS

September 30, 2014

For questions regarding the CQI plan please contact the AOD Prevention Program Specialist listed on your SFY14 Notice of Award.

Expenditure Report

- The expenditure report is a management tool used to assist the grantee and ODADAS in monitoring the approved budget. The expenditures must be properly tracked and matched to appropriate agency accounting records. The mid-year report includes expenditures from the first and second quarters of the state fiscal year. The final report includes expenditures from all four quarters of the state fiscal year. Expenditure reports must be submitted electronically via the POPS system by:

Reporting Period

Mid Year: July 1, 2013 to December 31, 2013
Final: July 1, 2013 to June 30, 2014

Date Due to ODADAS

January 31, 2014
September 30, 2014

- The **Final** expenditure report is due to the Department by **September 30, 2014**. This report will reflect all expenditures to date including payments for items previously encumbered for the budgeted period. ***This report is considered the official record of final expenditures for the grant and ODADAS may adjust future funds based on the amount of funds reported as remaining on the final expenditure form.*** The Department may request that unexpended funds be returned to your local ADAMHS/ADAS Board. If your program funding does not flow through an ADAMHS/ADAS Board, ODADAS will review the circumstances and determine the proper course of action for any unexpended funds. Do not return the funds to ODADAS unless instructed.
- An **approved** Budget by Line Item is enclosed with the Notice of Award. Expenditure reports are to be completed based on the line items in the most recently approved budget.

Follow the instructions below when completing expenditure reports:

- The implementing agency Fiscal Officer must electronically submit the SFY 2014 Mid-Year and End Year expenditure reports via the POPS system under “Reports” – “Expenditure Reporting.” The implementing agency Fiscal Officer will select corresponding Provider Service Plan and Report type. The expenditures should then be entered into the Expenditure Report for each line item. **Expenditure reports not submitted via the POPS system will not be processed and therefore will not be considered for review and approval.**
- Report actual funds expended with either ODADAS funds or Other Funds for the appropriate reporting period. List the expenditures in the appropriate categories based on the approved Budget by Line Item in the POPS system.
- After receiving prior approval from ODADAS, programs purchasing equipment/furniture with ODADAS grant funds are required to submit a list to ODADAS which includes the type of equipment/furniture, serial number, and cost for each item. Please use the **ODADAS Equipment/Furniture Purchase Form**. The completed form is to be uploaded to the Supporting Documents Section of the Final Expenditure Report under Fiscal in the “Reports” – “Expenditure Reporting.” of the POPS system. Note that the option for you to upload supporting documents is disabled until you initially save the Expenditure Report.
- The ODADAS Equipment/Furniture Purchase Form is available in the POPS system Toolbox under the Fiscal Section in the Document Library of the Main Navigation Menu and the ODADAS website at www.odadas.ohio.gov under “Services,” “Fiscal,” “Fiscal and Grant Reporting Forms,” and “SFY 2014 Grants Reporting Forms.”

For questions regarding expenditure reports, please contact the Grants Coordinator listed in the SFY 2014 Notice of Award.

REVISIONS

Budget Revision

- **Revisions to the approved Budget by Line Item and Narrative must be requested by grantees via the POPS system.** There are specific reasons for each Budget that require a formal Budget Revision Request and Approval from ODADAS.
- Information for submitting a Budget Revision via the POPS system is available in the POPS system Toolbox in the Document Library under the Main Navigation Menu.
- The Department will respond to the budget revision request within twenty (20) calendar days. Programs must receive **prior approval** from ODADAS before incurring costs for a change in the budget.
- Budget revisions for SFY 2014 must be received no later than **April 30, 2014**. **Requests must be submitted via the POPS system. Requests submitted in any other format will not be processed and considered for review and approval.**
- **A Budget Revision to the Budget by Line Item is required if a program is requesting a change in the ODADAS Budget Categories I (Personnel Costs), II (Non-Personnel Costs), III (Motor Vehicle/Travel/Food/Conference), or IV (Equipment/Furniture Costs) that is greater than 10% of the Total Category.** For example, your agency has been approved for \$10,000 for the Category I line items. The program decides to transfer \$2,500 to line items in Category II. Therefore, a budget revision would be required because the transfer exceeds 10% of Category I. If the program decided to transfer \$450 to the Personnel line item from the Fringe Benefits line item, no budget revision would be necessary as they are both line items in Category I.
- **Any changes or additions in ODADAS Budget Category IV (Equipment/Furniture Costs) must be pre-approved by ODADAS with the submission of a Budget Revision.** The request must include justification for the purchase of the Equipment and/or Furniture in relation to the prevention services plan. A Budget Revision Approval Notice must be received from ODADAS before the purchase(s) can be made.
- **A Budget Revision Approval Notice from ODADAS with the Director's signature is the official pre-approval the Agency must receive before incurring costs for a change in the Budget by Line Item.**
- Changes in the program's budgeted Other Funds, which will impact planned services, also must be reported to ODADAS.
- To request a Budget by Line Item and Narrative Revision, provide a revised Budget and detailed Narrative identifying the amount of the change, reason for the change, and any impact of the change on the program. The Revised Budget by Line Item and Narrative must be completed in the Prevention Services Plan Budget by Line Item section once the POPS system is placed in Revision Started Status. Please enter a comment on the Status Change Verification page specifying which changes will be made.
- **Budget by Line Item Revision requests not using the POPS system will not be processed and therefore will not be considered for review and approval.**

For questions regarding budget revisions, please contact the Grants Coordinator listed in the SFY 2014 Notice of Award.

Program Revisions

- Anticipated significant change in the overall thrust of the program is to be reported via the POPS system as soon as practical during the award period. Program Revision Instructions are in the in the Toolbox Document Library under the Main Navigation Menu.
- Prevention Service Plan revision(s) can be submitted via the POPS system once the Status is placed into Revision Started. Please enter a comment on the Status Change Verification page specifying which changes will be made.
- Prevention Funding Application revisions for SFY 2014 must be received no later than **February 15, 2014. Requests received after this date will not be processed and therefore will not be considered for review and approval.** Prevention Program Specialists will send a notice via the POPS system to the implementing agency indicating the decision made on the program revision request.
- If approved, these revised Prevention Service Plans are to be used for the remainder of SFY 2014.

For questions regarding program revisions, please contact the AOD Prevention Program Specialist listed in the SFY 2014 Notice of Award.