



DOCK 2.0 Subrecipient Onboarding Webinar

Kansas Office of Broadband Development | Kansas Commerce
Digital Opportunities to Connect Kansans 2.0

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Introductions KOBD Team



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Introductions WOB Team



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Agenda

1. DOCK 2.0 Overview
2. KOBD Responsibilities
3. Subrecipient Responsibilities
4. Single Audit Requirements
5. Items Submitted to KOBD Post-Award
6. Reporting Requirements Overview
7. Monthly Reporting
8. Eligible Costs
9. Reimbursement Process
10. Change Requests and Event Reporting
11. Quarterly Monitoring Meetings
12. Closeout Requirements
13. Questions

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DOCK 2.0 Overview

State Fiscal Recovery Funds Program (SFRF) General Overview

- Authorized by the American Rescue Plan Act (ARPA) of 2021
- Administered by the U.S. Department of Treasury
- Subject to the requirements of:
 - [2 CFR 200 Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards](#)
 - [US Treasury Program Guidance](#)
 - [State Fiscal Recovery Fund \(SFRF\) Award Terms and Conditions \(Attach F\)](#)
 - [KOBD Program Guidelines](#)



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KOBD Responsibilities

What KOBD Does to Help You Succeed

- **Grant Oversight** – Ensure compliance with federal and state requirements which involves:
 - a) Fiscal Management – Review budgets, process reimbursements, and ensure allowability
 - b) Reporting – Collect data, track KPIs, and submit reports to federal agencies
 - c) Monitoring & Compliance – Conduct risk assessments, desk audits and provide corrective action recommendations
 - d) Closeout – Guide final reporting, perform a final reconciliation of expenditures, and retain records for a minimum of 5 years.
- **Subrecipient Support** – Provide onboarding, technical assistance, and resources



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Subrecipient Responsibilities

What Does That Mean For You?

- **Maintain a Financial Management System:** Ensure your organization has a financial management system that is setup to track expenditures separately for each federal funding source, funds must not be co-mingled.
- **Document Time and Effort:** Ensure your organization has a system setup to maintain accurate records for all employees compensated with federal funds.
- **Prohibition on Match Funds:** Federal funds may not be used as match for other non-federal grants.



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Subrecipient Responsibilities

What Does That Mean For You Continued

Maintain compliance to include:

- Adhering to the terms and conditions of the grant agreement
- Notifying KOBD of any conflicts of interest that arise
- Maintaining an active and update registration on SAM.gov
- Ensure compliance with 2 CFR 200, SFRF-specific rules, federal and local guidelines and state policies, as applicable
- Submitting accurate and timely financial and performance reports in accordance with provided templates and guidelines
- Submitting additional reports and information as requested by KOBD



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Slide 8

MM[0 This should be SFRF

Marie McNeal [KDC], 2025-06-16T21:25:19.114

Single Audit Requirement

[2 CRF 200 Subpart F](#)



- **Single Audit Applicability:** Organizations that expend more than \$1,000,000 in federal funds during their most recent fiscal year are subject to a Single Audit. This requirement does not apply to for-profit subrecipients.
- **Submission to KOBD:** If your organization is subject to the Single Audit requirement, you must submit to KOBD the most recently completed Single Audit.
- **For Non-Audited Entities:** Entities below the threshold must retain records and make them available for review for audit upon request by KOBD or federal oversight agencies.
- **Ongoing Compliance:** Submit your most recent Single Audit:
 - At the time of contract execution
 - Annually thereafter, if applicable

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Submit to KOBD Post Award



- ✓ Contact information for primary contact and technical contact
- ✓ 3 State of Kansas Required Contract Attachments
- ✓ Valid W-9
- ✓ ACH Payment Authorization Contact Information
- ✓ Risk Assessment Questionnaire
- ✓ Single Audit
- ✓ Internal controls policies and procedures
- ✓ Accounting system compliance with segregated expenditures
- ✓ Conflict of Interest policy
- ✓ Organization chart

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Reporting Requirements Overview

Grant Performance Period
September 16, 2024, through July 31, 2026

Grant expenses must be incurred and funds expended during the grant performance period. Funds may be used for costs incurred after September 16, 2024, subject to KOBD approval. All funds must be expended by July 31, 2026.



Subrecipients Required To

Submit monthly program and financial report by the 5th of every month

Inform KOBD of recipient organization changes or proposed material changes

Attend quarterly calls with the KOBD office to discuss project progress

Submit a closeout report within 45 days of project completion



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Monthly Reporting

Details

Submission occurs via the Submittable online grant portal

- ✓ Use the KOBD monthly reporting template which will be emailed with instructions and the Submittable link following contract execution.

Submission is required every month

- ✓ Even if not including a request for reimbursement
- ✓ Supports timely review and cash flow

Submission includes:

- ✓ Monthly report template
- ✓ General Ledger or Expenditure Tracking Report (if requesting reimbursement)
 - Must detail all revenue and expenses
- ✓ Success stories (optional)



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Monthly Reporting

Deadlines

- Due by end of day on the fifth of each month. If the fifth falls on a weekend or holiday, the report is due the next business day.
- First report due by the fifth of the first month after contract execution. If executed during the final week of the month, submission is due by the fifth of the second month following execution.
- Reports submitted after the fifth will be processed with the next month's submissions.



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Reporting Template

The reporting template contains the following tabs:

Program Narrative: Used to briefly describe the progress or activities as well as any successes and/or challenges that occurred during the month being reported.

Project Expenditures: Used to list expenditures for the month being reported and for which reimbursement is being requested. Expenditures listed on this tab must be clearly associated with a corresponding payment to confirm its eligibility for reimbursement.

Expenditures by Category: Pivot Table displaying the sum of total expenditures reported on the Project Expenditure tab) by budget category.

Completion Status: Used to provide information on progress toward completing project milestones.

Metrics: Used to provide updates on established KPIs

Approved Budget: Contains a copy of the approved budget that is not editable.

Project Changes: Provides information on how to submit material project changes to KOBD for approval. Examples of project changes are provided on the tab.



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KPI Groupings: DOCK Digital Equity Projects

Training Activities	General	Public & Community Services
<ul style="list-style-type: none">• Number of trainings/ workshops• Number of participants served• Hours of skills training by training modality, participant type and topic• Completion rates• Participation rates• Digital skill gains and retention• Digital skill application• Post-training progression• Change in access to and use of devices• Change in access to and use of broadband internet services	<ul style="list-style-type: none">• Participant demographics• Number of technical support requests• Number of community partnerships	<ul style="list-style-type: none">• Change in participant engagement with community services• Number of participants that secure or advance in employment• Number and nature of partnerships• Rate of public service use
	<div>Digital Navigators</div> <ul style="list-style-type: none">• Number of volunteers/digital navigators trained• Number of volunteer hours• Digital skill gains• Social media engagement	



Note: Each subrecipient will track a subset of these metrics relevant to their specific program. The approved application will serve as a starting point for determining which metrics will be tracked and reported.

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Eligible Costs

Cost Eligibility Criteria

- To be considered eligible, costs must meet the following criteria:
- Comply with Applicable Regulations:** Align with 2 CFR 200 Subpart E – Cost Principles, U.S. Treasury regulations, and the DOCK Program Guidelines.
- Reasonable and Necessary:** Be reasonable in nature and amount, and necessary to carry out the objectives of the project.
- Consistent Application:** Be consistent with the subrecipient's internal policies and procedures which are applied uniformly across all activities.
- Proper Allocation:** Be allocated in proportion to the benefit received by the grant-funded project.



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Eligible Costs

Cost Eligibility Criteria Continued

- **GAAP Compliant:** Financial tracking and expenditure reporting must be compliant with Generally Accepted Accounting Principles (GAAP).
- **Within the Period of Performance:** Be incurred during the approved project performance period.
- **Budgeted and Approved:** Be included in the approved budget or within the allowable 10% threshold by category, unless a formal budget revision has been submitted.
- **Document Retention:** All expenditures must be supported by proof of purchase, payment, time and effort, and other supporting documentation, which must be retained for a minimum of 5 years.



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Reimbursement Process

10% Holdback: KOBD withholds 10% of the total grant amount until final project closeout is completed.

Monthly Processing Goal: Reimbursement requests are reviewed on a rolling basis, with efforts made to process payments by the end of each month.

Preferred Payment Method: ACH (Automated Clearing House) is the preferred method for disbursement.

Support & Follow-Up: The WOB team will contact you if additional information or documentation is needed for report reviews or to complete processing.



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Material Change Request Process



Material Project Changes Require Prior Approval

- Advance approval from KOBD is required for any material change to the approved project.
- Expenditures made without prior approval may be deemed unallowable and may not be reimbursed.
- KOBD will provide an initial response within 3 business days of receiving a complete request.

Examples of Material Changes Requiring Approval:

- Serving a different population or location than originally approved
- Modifying the project scope or intended outcomes
- Reducing the number of individuals benefiting from the program
- Substituting electronics manufacturers or model numbers
- Budget variances exceeding 10% in a budget category
 - ✓ Include a draft of the modified budget being proposed when submitting the change request form.

Form available online at [Grant-Material-Project-Change-Request-Form.pdf](#)

Submit the completed change request form to: KDC_broadband@ks.gov

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Event Reporting Process



Subrecipients must notify KOBD within 10 calendar days of any of the following events:

- Significant changes to the organization's financial position
- Changes in ownership or control of the subrecipient's entity
- Updates to key project personnel or changes to contact information

Form available online at [Grant-Event-Reporting-Form.pdf](#)

Submit the completed change request form to: KDC_broadband@ks.gov

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Quarterly Monitoring Meetings

Up to 4 times per year

- January, April, July, October
- Monitor progress toward implementation

Agenda

- Overview of project status and progress toward implementation
- Project-specific technical assistance as needed
- Achievements and concerns



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Closeout Requirements

Final Report

- Due within 45 days of project completion
- A narrative overview of the project including successes, challenges, partners involved, lessons learned and overall impact.
- Final metrics
 - *Must match agreed-upon metrics including approved changes*
- A closeout expenditure report providing all final project expenditures and supporting documentation.



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Closeout Requirements

Closeout Meeting

- Upon receipt and validation of the final report, KOBD will schedule a closeout meeting.
- This meeting is a final review of the closeout report submission and an opportunity to share relevant information related to the project and its impact.
- Once the closeout meeting is complete, KOBD will release the final reimbursement payment.



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