Idaho Department of Correction	**Standard Operating Procedure**	Title: **Grant Management**		Page: 1 of 8
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Open to the public: ☒ **Yes**

SCOPE

This standard operating procedure (SOP) applies to any Idaho Department of Correction (IDOC) employee or contractor who participates in the grant process or manages the processes described herein.

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<tr><td>Revision Summary</td></tr>
<tr><td>Revision date (05/01/2017) version 2.0: Major revision, combined SOPs 126.03.06.001 Grant Management and policy 126 Grant Management into this SOP including updates throughout.</td></tr>
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BOARD OF CORRECTION IDAPA RULE NUMBER

None

POLICY CONTROL NUMBER 126

Grant Management

PURPOSE

Grant management consists of all administrative and monitoring activities associated with the handling of grants, such as the approval process, application process, the award process, measurement, and computation of key performance indicators, monitoring, and reporting.

The purpose of this standard operating procedure (SOP) is to establish:

- The roles and responsibilities of key personnel involved in grant management

- The expected oversight elements for application development and approval

- The expected oversight elements for grant award and project implementation

- The general guidelines to ensure grant requirements and appropriate reporting protocols are met

RESPONSIBILITY

Director of the IDOC

The director of the IDOC or designee is responsible for application approval.

Chief of the Management Services Division

The chief of management services or designee is responsible for overseeing and monitoring the provisions provided herein.

Business Support Manager

The business support manager or designee of the management services division is responsible for overseeing the contract administration unit (CAU) and activities of grant officers to ensure the guidelines, standards, and procedures set forth in this SOP are followed.

Fiscal Staff

The designated fiscal staff (located in the fiscal unit at central office) is responsible for grant accounting, fiscal reporting, and managing the fiscal grant binder.

Grant Manager

An IDOC employee identified during the application process and who will participate in developing the submission. The grant manager is typically a subject matter expert within the grant area. Once a grant is funded, the grant manager is in direct operational charge of the grant or project.

Grant Officer

The IDOC employee primarily responsible for overall administrative grant-related duties and responsibilities, which include but are not limited to, researching and identifying grant opportunities for the department, working with subject matter expert(s) to write the grant, submission and reporting of grants.

Leadership Team

The leadership team consists of the director of the IDOC, division chiefs, and any director appointee.

STANDARD PROCEDURES

1. Ethical Conduct

Any employee involved in the grant management cycle, to include applications, awards, procurement, oversight, administration, management, and monitoring of all grant-related goods and activities must conduct all business in an ethical and professional manner at all times and in accordance with I.C. § 67-9233 and IDOC Policy 217, *Ethics and Standards of Conduct*.

2. Identification of Grant Opportunities

Pre-Application Research

Research must be incorporated for new grant opportunities. Research conducted by the grant officer determines available funding opportunities and grant requirements that is compatible with IDOC's priorities and needs. Once a compatible grant has been found, a call for projects communication is sent to the leadership team and potential grant managers.

Call for Projects

A call for projects communication must contain the grantor's name, the length of the grant period, the grant amount available, grant guidelines, eligible expenses, summary or synopsis of what the grant will cover, and past history (if applicable). The grant officer, who prepared the call for projects, will meet with the applicable division chief or deputy chief(s) and walk through the grant opportunity with them. If it is determined that a grant application will be prepared, the grant officer will continue to section 3 of this SOP. If there is no response or interest in pursuing the grant opportunity, the grant officer will note this in the grant-tracking tool and the process ends here.

3. Application Cycle

All grant applications must be developed and submitted in collaboration with IDOC subject matter experts. The application development process and the approval process outlined in this SOP must be completed in conjunction.

Pre-Draft Application Planning

Utilizing the timeline established in the call for projects communication, the grant officer will review the grantor's *Request for Proposal* (RFP) document and identify the grant requirements. The grant officer will work closely with the subject matter experts and grant manager to ensure all grant requirements are understood and met. Requirements

may include narrative goals and objectives, performance measures, a budget and budget narrative, match dollar requirements, letters of support, or evaluation criteria.

Stakeholder Identification

A grant may impact other IDOC divisions, bureaus, or units. Stakeholder identification must be done early in the grant application stage and collaboration must take place with all parties involved in grant operations and activities. The grant officer must develop a communication plan to ensure this collaboration of stakeholders occurs.

Budgetary Planning

Before submitting a draft for leadership approval, the grant manager and grant officer must work with the fiscal staff to coordinate a plan for documenting match dollars, appropriated dollars, and determine any involvement required by the Idaho Department of Financial Management (DFM). If any grant-funded personnel are being requested, note that all full-time employees must be requested through the legislative process.

Grant Writing

After reviewing the grantor's RFP, the grant manager and grant officer collaboratively develop a draft application with the appropriate requirements and submit it to the division chief and the business support manager for approval. Once the draft has been approved, the grant officer will review and edit the final application documents for compliance with all grantor **and** relevant IDOC, State of Idaho, and federal regulations.

Pre-Application Approval Form (IDOC)

Shortly after a grant manager is chosen, and once the project description and budget have been sufficiently developed, the grant officer must complete and submit a *Grant Pre-Application Approval Form* to the applicable division chief or designee for approval. For informational purposes, a copy of the division chief signed *Pre-Application Approval Form* must be given to the IDOC Budget Unit.

DFM Grant Approval Form

Once the *Pre-Application Approval Form* has been completed, the grant officer must complete the DFM's *Grant Approval Form.* A blank copy of this form can be obtained from DFM's website. The DFM requires an exit strategy letter and a copy of the division chief signed *Grant Pre-Approval Form* to be included in its approval form. The grant cannot be submitted without the DFM *Grant Approval Form.*

Submission Approval

Once the DFM approves the *Grant Approval Form* and a final draft of the submission has been created, the grant officer must prepare an application packet for the IDOC director's review and signature. As needed, the grant manager will review the submission packet. The director must review and sign the grant according to the grant requirements. The grant cannot be submitted without the director's signature and approval.

Submission

The grant officer prepares the final submission packet. Depending upon the grant, the packet must contain all required application materials. These materials commonly

include a cover memo summarizing key points of the grant and the name of the grant manager, a copy of the signed *Grant Pre-Approval Form*, and match dollar information. The application packet must be submitted by the grantor's established due date.

Pre-Award Duties

It is the responsibility of the grant officer to monitor the grantor's grant review process and to provide timely information to the grantor as requested. If the grant is awarded to the IDOC, the process continues with section 4 of this SOP. If the grant is not awarded, the process ends here.

4. Grant Award

The grant officer acts as the IDOC point of contact throughout the application cycle. Upon notification of award or intent to award, the grant officer must report the award to IDOC staff including the division chief, grant manger, budget unit, and the designated Fiscal Staff.

Grant File-Management Services

The grant officer is responsible to coordinate the completion and submission of applicable award documents to ensure that the grantor obligates the funds to the IDOC.

The entire grant file must be kept for the duration of the grant, and, in some cases, for a specified amount of time once the grant has closed. The grant file may be used for audit purposes, so ensure any documents not listed but are applicable to the grant activities are also included in the grant file.

The grant officer is also responsible to ensure the completion and retention of all grant documentation, including

- a copy of the call for projects email
- a copy of the grantor's RFP
- the applicable grant requirements
- a copy of the exit strategy letter
- one copy of the completed application packet signed by the IDOC director
- the *Grant Pre-Application Form* with original signatures
- a copy of the DFM signed *Grant Approval Form*
- copies of emails, notes, and other correspondence
- one copy of the official grant award notification received from the grantor, award instructions, and the funding documents (including a final budget) signed by the grantor

Fiscal Grant Binder-Fiscal Staff

The grant officer must ensure that the fiscal staff is provided with a copy of the initial components of the official grant file to include:

- A copy of the call for projects email
- A copy of the grantor's RFP and the appropriate requirements

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- A copy of the exit strategy letter

- One copy of the completed application packet signed by the IDOC director

- The most current version of the signed *Grant Pre-Approval Form*

- The signed *Grant Approval Form*

- The official grant award notification

- The approved grant budget

5. Project Implementation

Grant Financial Plan

Once the grant officer provides notification of award or intent to award, the grant manager, grant officer, and fiscal staff meet and jointly develop a grant financial plan. One copy of the grant financial plan must be retained in the official grant file (managed by the grant officer) and one copy in the fiscal grant binder.

Notification Requirements

The fiscal staff must submit a request to fiscal management to set up a grant program cost account (PCA) code in the Statewide Accounting and Reporting System (STARS). The grant financial plan must then be entered into the STARS. The grant financial plan must have a PCA before it can be entered into STARS. Additionally, the grant officer is responsible to ensure that any vendor receiving $100,000 or more of grant funds is verified against the Excluded Parties List System (EPLS) to ensure eligibility. For applicable vendors, a letter of vendor eligibility including the name of the vendor and the date verified in the EPLS must be kept in the grant file.

Implementation

As the subject matter expert, it is the responsibility of the grant manager to directly oversee project implementation and to ensure that all IDOC and State of Idaho policies are adhered to while implementing and managing grant functions, which includes agency and funder inventory requirements, procurement of equipment and contractors, contractor background checks, and employee hiring policies. Any documentation regarding any of the above must be provided to the grant officer for inclusion in the grant file.

6. Grant Monitoring

Grant monitoring includes all actions taken to ensure that the agency complies with the requirements of the Grant and may include some functions related to grant approval and application, project development and closeout, meeting grant general and reporting requirements. In some cases, grant management may include tracking of invoices and monies received, monitoring, and evaluation of grant-funded project, progress tracking, regular status meetings, and day to day management. These tasks are generally accomplished by the grant manager, the fiscal staff, and the grant officer.

Budgetary Monitoring

As needed, the fiscal staff, the grant officer and grant manager must jointly monitor grant expenditures in order to keep the grant budget on target and ensure that monies spent

on program activities fall within grant compliance. Budgetary reports will be made available to the grant officer and grant manager upon request within three business days. Match dollars must also be monitored to ensure there are sufficient match dollars to support the requirements of the grant award.

Auditing

It is the responsibility of the grant officer to ensure at least one audit is conducted within the first year of the grant and again during the final year of the grant. Depending upon the length, importance, and requirements of the grant, more audits may be needed. An audit must review performance information, financial reports and records, property management records (if applicable), and grant objectives in order to ensure all deliverables and objectives are being met in compliance with grant requirements. When completing an audit, the grant officer must complete a report of the findings, present the report to the grant manager and business support manager. Audit findings must be addressed and a response and action plan formulated for each finding. Audit records must be filed in the management services division recordkeeping area and a copy must be included in the grant file.

Action Plans

In the event that an audit finds a discrepancy between project activities and grant compliance, the findings must be addressed and an action plan created by the grant manager. The action plan must include a determination of what caused the errors to occur, what actions will be taken to remedy the error, and a timeline for completing all action items. Action plans must be included in the grant file.

7. Reporting Requirements

For all active grants, the grant officer must develop, maintain, and adhere to a schedule of reporting due dates. Prior to the scheduled due date, the grant officer coordinates with the grant manager and fiscal staff to compile all required reports, review all reports received, and edit them to meet the grant requirements. Reports concerning program activities, project goals, and performance information must be obtained from the grant manager and retained in the grant file. Grant expenditures, receipts, and match dollar reports must be obtained from the financial specialist. All reports must be maintained in the fiscal grant binder.

The procedures for grant accounting and financial reporting can be found in *Grant Accounting and Financial Reporting,* SOP 114.03.06.001.

8. Grant Modification and Extension

If a grant agreement must be modified or extended, the grant manager must notify the grant officer of the need for modification or extension. The grant manager and grant officer jointly develop the modification/extension prior to the end date of the grant and/or prior to any unauthorized expenditure or activity. The grant officer will then review the proposed modification/extension and compare it to the grantor's requirements and determine the appropriateness. Jointly, the grant officer and grant manager will determine what impact the modification/extension will have on the grant budget and timeline(s) and communicate to the fiscal staff. The grant officer must submit any extension/modification paperwork to the grantor before the end date of the grant. Once an extension/modification has been approved, the fiscal staff must be informed of the financial impact. The grant officer must

retain all modification/extension paperwork for the grant file, with a copy given to the fiscal staff to be retained in the fiscal grant binder.

DEFINITIONS

Division of Financial Management (DFM): The state of Idaho governor's budget and policy office

Excluded Parties List System (EPLS): A General Services Administration (GSA) system that includes information regarding entities debarred, suspended, proposed for debarment, excluded or disqualified under the non-procurement common rule, or otherwise declared ineligible from receiving federal contracts, certain subcontracts, and certain federal assistance and benefits.

Grant: A conveyance of funds or services to the Idaho Department of Correction (IDOC) to subsidize an IDOC program or project

Grantor: An individual or organization that makes a grant or contribution to a grantee.

Match Dollars: A contribution of services, items, staff time, and/or money (always stated in terms of dollars) that the grantee or another party agrees to contribute to the overall cost of the project being funded.

Program Cost Account (PCA) Code: A five character alphanumeric code entered in the Statewide Accounting and Reporting System (STARS) that is used to identify a specific program structure.

Grant Request for Proposal (RFP): This is typically the document that is submitted in the grant application. The RFP includes all documents, whether attached or incorporated by reference, requested by the grantor. The grant request for proposal is led by the grant officer with the grant manager and fiscal staff member.

Statewide Accounting and Reporting System (STARS): The state of Idaho's Office of the State Controller's computer system that is used for processing and reporting accounting transactions.

REFERENCES

Grant Pre-Approval Form

Standard Operating Procedure 114.03.06.001, *Grant Accounting and Financial Reporting*

State of Idaho, Division of Financial Management (*www.dfm.idaho.gov*)

State of Idaho, Division of Financial Management, *Grant Approval Form*

State of Idaho, Office of the State Controller (*www.sco.idaho.gov*)

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