STATE OF MONTANA
DEPARTMENT OF CORRECTIONS
POLICY DIRECTIVE

Policy No. DOC 1.2.17	Subject: **DEPARTMENT GRANTS AND ASSISTANCE MANAGEMENT**
Chapter 1: ADMINISTRATION AND MANAGEMENT	Page 1 of 4 and Attachments
Section 2: Fiscal Management	Effective Date: April 1, 1997
Signature: /s/ Mike Batista, Director	Revised: 03/01/2016

I. POLICY

The Department of Corrections manages pre-award and post-award activities associated with federal, state, and private assistance including grants, cooperative agreements, and technical assistance and facilitates grants management as a collaborative effort between the Department facility or program receiving the award and Department grant staff.

II. APPLICABILITY

All divisions, facilities, and programs Department-owned and contracted, as specified in contract.

III. DEFINITIONS

Cooperative Agreement – Federal assistance involving substantial government participation in programmatic work under an award; differentiated from grants by the level of federal involvement.

Grant – A monetary award from a federal or state agency or a private foundation used to fund a specific program or to offset costs incurred because of certain activities.

Grants Contracts Coordinator (GCC) –The position responsible for seeking potential sources of funding for projects specified by the Department. This position also reviews potential funding sources, determines eligibility, writes the grant proposals, and submits the grant applications.

Grants Manager (GM) – The position responsible for the management of grant-related activities. This position also coordinates post-grant award related activities for the Department, maintains contact with federal and state funding agencies, and reviews grant funded programs for program and reporting compliance with grantor regulations.

In-Kind Support - Contributions to a project in lieu of cash support, e.g., committing paid Department employee time to a project.

Interagency Agreements – Arrangements entered into and negotiated by two or more governmental units or agencies.

Leadership Team – A group of Department directors, division and facility administrators appointed by the Department director to consult on Department business.

Letter of Support – Written endorsement by a Department employee supporting a project within or outside of Department activities.

Match – The grant recipient's share of a project costs including "in-kind" or "cash" that correspond with the value of donated services.

<u>Program Manager (PM)</u> – The lead on a grant, generally a field expert and/or administrator, responsible for implementing programmatic requirements and meeting grant conditions.

<u>Request For Proposal (RFP)</u> – A request from a federal or state agency or a private foundation that asks potential grantees to submit applications or proposals about programs they wish to have funded.

<u>Subaward</u> **-** Monetary financial assistance to an eligible subrecipient made under an award by a recipient.

<u>Supplant</u> - To deliberately reduce allocated state or local funds in favor of federal funds awarded for the same purpose.

<u>Technical Assistance (TA)</u> – Services provided by a federal or state agency or a private foundation to help the Department develop or improve programs.

IV. DEPARTMENT DIRECTIVES

A. General Requirements

1. The Department will actively pursue non-general fund resources to promote activities or projects consistent with the Department's mission.

2. The Department director and division administrators will stay informed regarding potential funding opportunities for topics or projects.

B. Pre-Award Process

1. Internal funding needs are identified by Department employees or when a grant posting suitable to the Department's goals is announced.

2. A grant project team will be identified by the GCC.

3. A project lead is identified and will be the primary contact between grant and program staff.

4. The GCC will present RFP requirements to the project team and set project deliverable due dates.

5. The GCC, GM, and project lead will delegate tasks regarding the grant project.

6. The project team is responsible for determining project scope and providing programmatic details and statistics to the GCC and GM.

7. All grant project information including, but not limited to, project details, statistics, letters of support, and position descriptions must be sent to the GCC at least 7 working days prior to the grant application due date.

8. The budget narrative must be completed by the GM and submitted to the GCC at least 3 working days prior to the grant application due date.

9. Application edits and modifications must be finalized by the GCC and the application submitted to the awarding agency prior to the application deadline.

C. Post-Award Process

1. Upon the Department's receipt of the grant award, the GM will forward the GAN to budget and accounting.

2. The Department director, or designee, will sign post-award materials. The GM must submit post-award materials to the grantor within 21 days of GAN.

3. The project lead and division administrator assume primary responsibility of the project and must establish regular meetings, as required by the grant.

4. The GM will continually assess compliance with grant conditions and determine whether corrective action or grant adjustments are needed.

5. The GM will collect program progress reporting information from the project leader and submit reports, at pre-determined intervals, to the awarding agency.

6. The GM will meet with the project team to complete grant close-out and submit any required reports to the awarding agency.

D. Grants and Assistance Management

1. The Program Manager will:
   a. define program needs unmet through current available funding resources;
   b. submit proposals, including the program description, to the GCC using the Grants and Assistance Research Request form;
   c. review the RFP requirements of current federal assistance opportunities with the GCC and work with the GCC to determine the best RFP posting for project goals;
   d. work with the GCC to develop project-specific details for all RFP required deliverables and mandatory requirements for compilation of the grant application;
   e. monitor all items listed in the grant award, including but not limited to goals, objectives, performance measures, implementation, budget management and policies;
   f. coordinate with the GM and GCC to determine the accuracy of expenditures and propose grant adjustment requests relating to the project scope and budget;
   g. submit corrective action plans to the GM for identified compliance issues; and
   h. complete the final grant closeout, in coordination with the GM and GCC.

2. The Grants Contracts Coordinator (GCC) will:
   a. develop and maintain a network of potential public and private funding sources;
   b. review proposals submitted by division administrators;
   c. research funding opportunities that correspond with verified Department needs;
   d. notify the director, Leadership Team, and appropriate administrator of funding opportunities;
   e. provide advisement and guidance to the management team regarding prioritizing proposals including the most appropriate submission in the case of conflicting project proposals for the same funding;

      f.   assist with the pre-award and post-award processes including participation in work groups, clarifying proposal scope, and contributing to compiling application contents;

      g.   develop goal/objective measures for specific projects;

      h.   ensure application compliance with RFP requirements;

      i.   submit applications on behalf of the Department; and

      j.   collaborate with the GM to provide quarterly program and fiscal status reports to the program managers of grant-funded projects and increase public awareness of grant activities.

3. The Grants Manager (GM) will:

      a.   assist with the pre-award process by reviewing abstract proposals, participating in work groups, and developing the application's budget proposal;

      b.   complete post-award activities including accepting the award, providing key staff with an orientation, implementing the grant project, establishing internal controls, reporting performance data as required, and closing out the grant;

      c.   submit award documentation to budget analysts for submission of a budget change document (BCD) to the Office of Budget and Program Planning;

      d.   monitor all expenditures of federal funds and follow appropriate cash management policies and procedures;

      e.   collect data on match contributions, such as number of hours contributed to grants, organizational coding, and other information

      f.   provide ongoing technical assistance related to project management;

      g.   prepare and submit quarterly program and financial status reports to awarding agencies for each grant-funded program;

      h.   identify issues of concern and suggest corrective action;

      i.   prepare and submit grant adjustments and budget modifications to awarding agencies as appropriate;

      j.   prepare and submit the Department's Indirect Cost Rate (IDCR) proposal to its federal cognizant agency, US Department of Justice, which is used in all applicable federal assistance applications;

      k.   maintain a current listing of federal assistance awarded to the Department and publish it on the Department website quarterly; and

      l.   maintain complete electronic files for all Department federal assistance.

V. CLOSING

Questions concerning this policy should be directed to the Department's Contracts Management Bureau Chief.

VI. REFERENCES

    A.   53-1-203, MCA

VII. ATTACHMENTS

Grants & Assistance Research Request   PDF
Quarterly Grant Compliance