

YOUTH SERVICES POLICY

Title: Grants Administration Program	Type: A. Administrative
Next Annual Review Date: 07/05/2017	Sub Type: 3. Fiscal
	Number: A.3.6
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References: La R.S. 39:1481, et seq.; La. R.S. 39:78 "Uniform Accounting Procedures, "State Treasurer Policies and Procedures Manual and Generally Accepted Accounting Principles" LAC Title 34, Part V; and an OCR pamphlet entitled "Contracting for Professional, Personal, Consulting and Social Services"; YS Policy No A.1.9 "Public Records Management"	
STATUS: Approved	
Approved By: <i>James Bueche, Ph.D., Deputy Secretary</i>	Date of Approval: 07/05/2016

I. AUTHORITY:

Deputy Secretary of Youth Services (YS) as contained in La. R.S. 36:405. Deviation from this policy must be approved by the Deputy Secretary.

II. PURPOSE:

To set policy and outline the procedures for the grants administration program within Youth Services (YS).

III. APPLICABILITY:

Deputy Secretary, Assistant Secretary, Undersecretary, Chief of Operations, Deputy Assistant Secretary, Regional Directors, Facility Directors, Regional Managers, and all employees authorized by the Unit Head to make grant applications.

IV. DEFINITIONS:

Grants Coordinator – A Central Office (CO) employee, who is assigned to Continuous Quality Improvement Services (CQIS) and charged with the responsibility of seeking out supplementary revenue in the form of public and private grants. This person is also responsible for providing oversight of the entire grant-writing and grants-management process.

Continuous Quality Improvement Services (CQIS) - The CO performance- based and results-driven competency and efficiency management system.

Grant - A subsidy for state general funds received from a source outside of YS for the purpose of establishing (or continuing) a specific project.

Grantee - A budget unit that receives grant funds.

Grantor - Agency (or private entity) from which grant funds are received.

Project Manager – A unit staff member appointed by the Unit Head to act as liaison between the Grants Coordinator and all employees and contractors responsible for operating a particular grant-funded project. This person is responsible for running the day-to-day operations of that project.

Grant Writer – A unit staff member charged with compiling application materials and writing the application, or parts of it, to be submitted to the Grants Coordinator for final submission.

Unit Head – Deputy Secretary, Facility Directors and Regional Managers.

V. POLICY:

It is the Deputy Secretary's policy that all grants shall be administered through the Grants Coordinator in accordance with applicable state and federal laws. The Grants Coordinator and Project Managers shall be responsible for maintaining grant files for a minimum of three (3) years after the final end date of grants, unless the grantor requires additional retention of records. (Refer to YS Policy No. A.1.9)

The Deputy Secretary, Undersecretary, and the Chief of Operations shall be kept apprised of any grant applications and the match responsibilities attested to under said applications.

VI. DUTIES AND RESPONSIBILITIES

A. The Grants Coordinator shall be responsible for the following:

1. Seeking and securing grant funding for YS/OJJ;
2. Writing grant applications (proposals) and submitting them;
3. Providing oversight of the grant-writing and grant-management process;
4. Implementing grants from beginning to end or assisting Project Managers with the implementation of grants from beginning to end;
5. Maintaining relationships with granting agencies and updating OJJ profiles in federal government systems and other grants management systems.
6. Planning, cooperation, and compliance with granting agencies and technical advisors;
7. Initiation of contracts; and
8. Planning all fiscal activities with the assigned Budget Analyst from Public Safety, Office of Management and Finance; this includes but is not limited to due dates of all fiscal reports submitted to funding agencies, tracking employee salaries and benefits, tracking employee time keeping, ensuring that all invoices are paid and purchases are made, ensuring that grants expenses are tracked and charged to the appropriate grant.

- B. The Project Manager shall be responsible for the following:
1. Following the direction of the Grants Coordinator and absorbing, at the Grants Coordinator's discretion, one or all of items 4 – 8 in Section A above (depending on the scope of the grant);
 2. Implementing day-to-day grant activities;
 3. Supervising staff who have grant-related responsibilities; and
 4. Working to make sure that all deliverables, goals, objectives, and benchmarks on funded grant projects are met on time.

Special Note: It is entirely possible that the Grants Coordinator will also function as Chief Writer or as the Project Manager after the project is funded. Each grant, depending on its size and the department from which it is run, will have its own organizational chart. The chart shall show the names and responsibilities of those in charge of running the grant, and it will also show the project's connection to OJJ's administration as a whole.

VII. PROCEDURES:

- A. Grant Planning/Proposal Writing
1. Phase I of grant planning and proposal writing shall take place when unit staff brings an idea for a grant application to the attention of the Grants Coordinator. The Grants Coordinator becomes the Chief Writer and organizer of proposal-writing efforts at this time. His/her first task is to examine the application and proposal instructions and determine whether or not a proposal can be written that reasonably seeks a solution to OJJ's needs. If so, the next steps are as follows:
 - a. Seek the permission of the Chief of Operations and the Unit Head of the affected department to write the proposal.
 - b. If permission is given by the Chief of Operations and the Unit Head, send an email informing the Deputy Secretary, Undersecretary, and others who may need to know, that the proposal writing process has begun. The email must contain the amount OJJ is applying for and the match responsibility, at minimum.
 - c. The Grants Coordinator and Chief of Operations shall choose a Project Manager who would be best qualified to lead the grant-funded project upon funding. This employee must come from inside the department that will benefit most from the grant.
 2. Phase II shall include a mandatory meeting, at least three (3) weeks prior to the application due date. During this meeting the Grants Coordinator will:

- a. Enlist the help of the intended Project Manager; the Project Manager or a representative from his/her staff shall be required to write parts of the proposal, if needed, so that the appropriate expertise is inserted into the application. The Project Manager shall submit writings or other ideas to the Grants Coordinator by an agreed-upon due date that leaves ample time for the final version of the proposal to be submitted to the grantor;
 - b. Assign roles to others involved in the proposal process, such as Chief Writer, Contributing Writer, Gatherer of commitment letters, Budget Preparer, Logic Model Preparer, etc.
 - c. Ensure that all persons involved fill out and sign the "Assigned Roles/Application Process form [see Attachment A.3.6 (a)].
3. Phase III shall be the grant-writing process. All employees assigned to the grant writing process shall respond to requests from the Grants Coordinator on or before the due dates. The Grants Coordinator and/or Grant Writer will then ensure that all parts of the proposal, from all contributors, are inserted into the application.

The application shall be a neat, well-written, error-free argument that follows the format instructions given by the Grantor. The proposal shall contain, at least:

- a. An enumeration of OJJ's needs;
 - b. An explanation of how grant money can meet said needs;
 - c. A plan showing how grant money will be spent;
 - d. Conclusions or predicted outcomes showing how OJJ's position will be changed for the better after grant monies have been spent; and
 - e. All addenda, pictures, charts, graphs, abstracts, timelines, signed documents, statements, budget worksheets, etc. that the Grantor calls for in the proposal instructions.
4. Phase IV shall be the submission process. The Grants Coordinator shall compile and edit all application parts and submit the completed grant application. In most cases, the grantor will require electronic submissions, which will necessitate use of a computer and reliable internet access. In order to overcome delays caused by computer problems, glitches in the grantor's website, or other unforeseen circumstances, the Grants Coordinator shall begin the submitting process two (2) days in advance of the due date.
- In a few cases, the granting agency will require hard-copy, printed applications to be mailed. OJJ requires that the proposal be submitted at least two (2) days before the due date, using appropriate postage and delivery priority. The best way to proceed from this point is to send the package overnight and to require signature upon delivery.

5. Grants shall be applied for under the name of the Chief of Operations, who shall ultimately be responsible for any major decisions in the completion of the grant process, should it be funded. The Chief of Operations becomes the legal signer when the application is submitted.
- B. Grant Awards and Programs
1. Upon receipt of the grant award (or notice of non-acceptance), the Grants Coordinator shall inform the applying unit of the notification and seek permission from both the Chief of Operations and the Unit Head of the applying unit to begin the grant.
 2. The Grants Coordinator shall oversee the implementation of grant activities, both financial and programmatic.
 3. The Project Manager shall ensure that all day-to-day programmatic functions are completed effectively and on time. The Project Manager shall ensure that all staff assigned to do work on the grant complete their tasks.
 4. The Project Manager will order all supplies and equipment; he/she will also keep all records of said purchases from the outset of the order through to delivery of the items. This includes, but is not limited to, purchase orders, 156-Bs, quotes, correspondence with the seller, receipts, copies of the payment from OJJ's book-keeping program, and packing slips.
 5. Grant funds are subject to the same policies as general funds and must be expended and accounted for through utilization of La. R.S. 39:78 "Uniform Accounting Procedures," State Treasurer Policies and Procedures Manual, and Generally Accepted Accounting Principles.
 6. The Project Manager shall report all progress or problems to, and consult with, the Grants Coordinator in making changes to programming or scheduling.
 7. The Project Manager and the Grants Coordinator shall identify positions and Table of Organization (T.O.) necessary for the grant, and shall request any positions needed through PSS/OMF Human Resources (HR).
 8. All personnel who have been assigned roles and salary percentages to grants (except for those assigned 100% to a single grant), whether in match funding or federal funding, shall maintain and complete a PAR (personal activity report) every pay period. Unlike employee time sheets, there is no need to make sure that PARs add up to 80 hours every two weeks; PARs shall ONLY reflect work done on grants. Please use attachment A.3.6 (b) below. Each PAR will:

- a. Comply with federal OMB 2 CFR, Part 225 for the purpose of tracking how much work has been done on each grant project by each employee;
 - b. Be submitted to the Grants Coordinator at the same time that time sheets are due; this activity shall continue until respective grants have expired;
 - c. Contain a minimum of information that includes, hours worked, days worked, separation by grant, and totals for every two-week period;
 - d. Include actual hours worked, not an average, estimated, or evenly divided breakdown per time period;
 - e. Be signed by the employee;
 - f. Act only as a supplement to the employee's timesheet, not take the place of it;
 - g. NOT contradict the employee's time sheet; all employees shall take care to make sure that work done on grants is not recorded while the employee was on leave.
9. The Grants Coordinator and Project Manager shall determine if professional services contracts are necessary. If so, they will write the duties and responsibilities necessary for a contractor into an RFP, if needed, and enter those same duties and responsibilities into a contract.
 10. If an RFP is needed, the Grants Coordinator will submit the RFP draft to the State Office of Contractual Review (OCR) for processing. The Grants Coordinator will keep all records of the process from initiation through the judging and scoring of the RFP, and through to the awarding of the contract.
 11. The Grants Coordinator shall formally request the contract through the State OCR according to that office's guidelines for contracting. At minimum, the Grants Coordinator and Project Manager shall keep on file updated copies of all Louisiana laws and rules governing contracts and purchasing procedures, which are: La R.S. 39:1481, et seq.; LAC Title 34, Part V; and the OCR pamphlet entitled "Contracting for Professional, Personal, Consulting and Social Services".
 12. The Project Manager shall review contract invoices, approve as appropriate, and forward the invoices to PSS/OMF for payment using the PSS's email procedure. The subject line of each payment email shall contain the invoice month, the contract number, the name of the contractor, and the grant number on which the payment should be charged.

13. The Budget Analyst shall request the drawdown of grant funds from the grantor agency and prepare related reports.
14. The Project Manager shall send all purchase requests to the CQIS administrative assistant. The assistant will prepare the 156-B "Request for Purchase" or other initiating form, which shall ALWAYS contain a notation as to the uses of the order and the grant number from which the funds will be drawn.
15. The Project Manager shall check with the Budget Analyst once every seven (7) days to ensure that all purchases, contract payments, personnel expenditures, and other grant-related costs are being reimbursed by and drawn down from the correct grant funds.

C. Grant Reporting

The Grants Coordinator shall:

1. Determine the reporting requirements of awarded grants in conjunction with grantor requirements.
2. Notify the Grants Project Manager and PSS/OMF Accountant in advance of required program reports and due dates.
3. Be responsible for timely completion and submission of program reports to the grantor agency.
4. Meet with the Budget Analyst to ensure that the grant fiscal records are reconciled to the Integrated Statewide Information System - Advantage Financial System (ISIS-AFS) reports; for assuring that grant projects are reported in a timely manner; and for performing the appropriate close-out functions upon completion of a grant project.

D. Grant Close-out

The Project Manager shall:

1. Prepare a close-out timeline, for each grant, wherein the end date conforms to the end date assigned by the granting agency.
2. Host a meeting and discuss the timeline with all relevant employees at least two (2) weeks before the beginning date of the timeline.
3. Ensure that all employees complete close-out tasks by assigned due dates.
4. Complete any final reports required by the granting agency before the granting agency's prescribed due date.

5. Ensure the Budget Analyst completes all final fiscal reports required by the granting agency.
 6. Prepare an internal final report of programmatic activities completed during the grant period, including, but not limited to:
 - a. Enrollment totals and completion percentages with regard to performance measures and indicators;
 - b. Other completed activities or corrective actions;
 - c. A summary of all funds spent to date;
 - d. A description of completed contract activities, including contract numbers for each entry and a confirmation of whether or not all invoices have been received and paid for; and
 - e. A copy of any and all reports that were submitted by evaluating contractors, consultants or auditors, including a description of how OJJ and its assigned employees chose to address those reports.
 7. Submit copies of the above close-out reports to the Chief of Operations and the Undersecretary no more than 60 days following the scheduled end date of close-out activities.
- E. Fiscal Year-end Report

The Grants Coordinator shall be responsible for:

1. Submitting a Fiscal Year-end report to the Chief of Operations and the Undersecretary on or before August 31st of each year.
2. Consulting with the Budget Analyst and obtaining a complete summary of:
 - a. Expenditures on contracts for each grant (whether closed or active) for the ending fiscal year;
 - b. Expenditures on salaries for each grant (whether closed or active) for the ending fiscal year;
 - c. Expenditures on equipment and supplies for each grant (whether closed or active) for the ending fiscal year;
 - d. Any other expenditures for each grant (whether closed or active) for the ending fiscal year; and
 - e. Summaries of how much funding remains for each grant.
3. The Fiscal Year-end Report shall contain the following:
 - a. The financial summary mentioned above;
 - b. Separate summaries, for each active grant, of all activities and performance indicators the ending fiscal year; summaries shall include brief commentary on contractor progress and plans for the following fiscal year.

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- c. Separate summaries, for each grant that closed during the fiscal year, of all activities and performance indicators for the ending fiscal year; summaries shall include brief commentary on contractors' completed work; and
- d. Any charts, graphs, photos, or other attachments deemed necessary for clarification of reported activities.

Previous Regulation/Policy Number: A.3.6

Previous Effective Date: 03/10/2015

Attachments/References:



A.3.6 (a) Assigned Roles Grant Application Process 12-14-12.docx