

**County Policy**

Subject:	Grants Policy
Authority:	Board of Supervisors
Policy Owner:	CEO-Government Affairs & Communications
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A. Policy

The Board of Supervisors (Board) has ordered that a regular and comprehensive report listing all grants involving County departments (Departments) be placed on the Board meeting agenda for approval. Per Board directive, this policy serves as the procedure and protocol that is to be followed by the Board, Departments, and County Executive Office-Legislative Affairs (CEO-LA) during the submittal and approval of all grant applications and awards.

As set forth herein, the Board must approve receipt of pre-authorized or reoccurring grants, grant awards over \$50,000, and all grant applications prior to submittal to the Grantor. Grant awards under \$50,000 shall be approved by the County Executive Officer (CEO) or designee. The process to seek Board approval of grant applications and grant awards is through the Grants Report, which is prepared and placed on the Board agenda by CEO-LA. The Grants Report also informs the County's Sacramento and Washington, D.C., advocates of County grant activities involving state and federal agencies.

B. Purpose

This policy is intended to provide direction to Departments when submitting grant applications and awards via the Grants Report for consideration and approval by the Board.

C. Authority

All grant eForms prepared for inclusion in the Grants Report shall be reviewed for compliance with Grant and ASR policies by CEO-LA prior to submission to the Board for final approval. CEO-LA is authorized to request changes or additional information before agendizing the item in the Grants Report. It is the Department's responsibility to be aware of and comply with all submission deadlines to the appropriating agency, and work with CEO-LA to provide all information requested in a timely manner. CEO-LA will not be responsible for any delays caused as a result of incomplete or incorrect information provided by the Department, which may result

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in missing a grant application or award deadline.

All grant awards less than or equal to \$50,000 shall be approved by the CEO or designee. The Board shall approve all grant applications prior to submittal to the Grantor, grant awards greater than \$50,000, as well as all “retroactive” or “ratify” grant items, regardless of their amount.

D. Scope

Departments submitting grant items using the Grants Report for Board and CEO-LA consideration and approval shall adhere to this policy.

E. Responsibilities

There are three entities responsible for the preparation and filing of the Grants Report: (i) Department Grant Coordinators, (ii) Department Head or designee and (iii) CEO-LA.

F. Definitions

Term	Definition
Approve	Formal Board action to consent to the submission of a grant application on behalf of the County and/or to accept a grant award/contract.
Agenda Staff Report (ASR) Process	Filing of ASR to be included on the Board meeting agenda. See OC Agenda Library, click here: https://ocgov.sharepoint.com/sites/intraCOB/OCAgendaLibrary
CEO Notification Form	An electronic form used by Departments to seek CEO approval of grant awards up to \$50,000.
CEO Memo	A memo submitted along with the CEO Notification Form to the CEO for approval to accept grant awards up to \$50,000. The memo shall be written on the Department’s letterhead and signed by the Department Head. The memo shall include details of the grant and if awarded, how the funding will be implemented.
eForm	An electronic form summarizing grant applications and/or awards included in the Grants Report. The eForm contains information provided in the Record submitted by the Department via OC Grants.
Grant Application	A group of required forms and documents that contains specific program and project information, budget details and all information required by the Grantor.
Grant Award	The document that provides funds to a recipient to carry out an approved program or project (based on an approved application or progress report).



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Term	Definition
Grant Record	The grant application and award information submitted on OC Grants. This includes important details about the grant request and award, recommended actions and the use of the funds.
Grantor	A state or federal department or agency, a for-profit organization, or a nonprofit organization that posts funding opportunities or manages the submission of funding opportunities. The Grantor is responsible for monitoring compliance with funding guidelines.
Grants Matrix	A cumulative, annual table of a Department’s recurring grants. The matrix is submitted to CEO-LA for inclusion in the Grants Report and must be submitted to and approved by the Board annually.
Grants Report	The central method by which County grant applications, awards and the County’s grants activities shall be processed and monitored. The Grants Report shall be a standing item on the Board agenda to facilitate the submission of time-sensitive grant applications or awards.
Grants Resources SharePoint	The internal site used by CEO-LA to share grant deadlines, templates and other information with the County’s Grant Coordinators.
OC Grants	The online platform used by Departments to submit grant applications and awards for Board and CEO approval.
“Ratify” Grant	A grant application submitted to the Grantor before obtaining Board approval or an award submitted to the Board more than 30 calendar days after the award notification due to circumstances beyond the Department’s control.
“Retroactive” Grant	A grant application submitted to a Grantor before obtaining Board approval or an award submitted to the Board more than 30 calendar days after award notification due to circumstances within the Department’s control.
“Retroactive” or “Ratify” Grant Memo	A memo submitted along with the eForm to the CEO for initial approval. The memo shall be submitted on the Department’s letterhead and signed by the Department Head. The memo shall include a detailed justification on why the grant did not receive prior Board approval. Once approved by the CEO, the “retroactive” or “ratify” grant memo and eForm will be included in the Grants Report for the Board’s approval.

**County Policy****G. Procedure****I. General Guidelines**

- A. The Board shall approve all grant applications prior to submittal to the Grantor, grant awards greater than \$50,000, all “retroactive” and “ratify” grant requests, and all grant requests that require a resolution.
- B. Grant awards less than or equal to \$50,000 shall be approved by the CEO or designee.
- C. Grant coordinators are the primary point of contact with CEO-LA and are responsible for reviewing and submitting all grant items for inclusion on the Grants Report. CEO-LA will also contact Department Grant Coordinators with relevant grant information, grant opportunities, training sessions, or new program policies. Departments shall notify CEO-LA via email of any change to their designated grant coordinator at the earliest opportunity.
- D. Departments shall submit a complete Grant Record with all required information and documents with necessary approvals to CEO-LA through OC Grants no later than **5 p.m. on Tuesday, one week prior to the applicable Board meeting date** to be included on the Grants Report for said meeting.
- E. CEO-LA shall provide confirmation to the Department’s Grants Coordinator within 24 hours of receipt to confirm inclusion of the grant item requested by each Department.
- F. CEO-LA schedules a standing briefing with Board staff every Thursday prior to a regular Board of Supervisors meeting the following week, to preview the Grants Report and provide a brief summary of all application and award requests from Departments. CEO-LA may request a Department representative attend the briefing as needed to discuss their grant items.
- G. Any Recommended Actions included in each record for Board approval of grant applications and awards, and any delegation of authority to execute grant documents or agreements provided therein, shall not conflict with, or otherwise supersede, established County policies and procedures approved by the Board of Supervisors for the procurement of goods and services, as stated in the County’s Procurement Policies and Procedures. Any exceptions shall be approved through a separate agenda item and shall not be included in the Grants Report pursuant to the Grants Policy.

II. Grants Report

The Grants Report is a standing agenda item for all regular Board of Supervisors meetings and allows the Board to approve all recommended actions with one vote, similar to the Consent Calendar. Only those grant applications and awards that are straightforward, standard funding opportunities from state and federal government agencies, as well as for-profit and nonprofit organizations, shall be included.

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All grant applications and awards that involve multiple agreements, multiple Board resolutions, or are determined to be a unique circumstance by CEO-LA shall be submitted as a stand-alone ASR and follow the standard ASR timeline. All grant applications and awards submitted as a stand-alone ASRs shall also be uploaded to OC Grants.

CEO-LA shall have the final authority to determine whether a grant item is eligible for inclusion on the Grants Report.

CEO-LA shall prepare a draft Grants Report using the information submitted by each Department through OC Grants. This draft is presented to Board staff on the Thursday prior to a regular Board of Supervisors meeting the following week. CEO-LA shall then file the draft Grants Report with the Clerk of the Board. Once approved by the Board during its regular meeting, a final copy of the Grants Report shall be sent to the Clerk of the Board and uploaded to the County's SharePoint.

III. Grant Application Approval Process

A. Procedure for Acceptance of Applications

The Board shall approve all grant applications prior to submittal to the Grantor, all "retroactive" and "ratify" grant applications and all grant applications that require a Board resolution.

- i. To be included in the Grants Report, the Department shall complete a Grant Authorization eForm (eForm). eForms must be submitted to CEO-LA **with all required approvals via [OC Grants](#) no later than 5 p.m. on Tuesday, one week prior to the applicable Board meeting date.**
- ii. If the grant application requires a resolution or agreement signed by the Chair, the Department shall work with its assigned deputy county counsel to obtain approval of the document. Approved resolutions or agreements must be attached to the record in OC Grants. Review and approval of resolutions or agreements by the assigned deputy county counsel must be completed before CEO-LA reviews the grant application and by the specified deadline above.
 - a. Resolutions
 1. Resolutions shall include language authorizing the requesting Department to apply for funding only with Board approval.
 2. Resolutions shall be reviewed and approved by the Department's assigned deputy county counsel before submission to CEO-LA via OC Grants.
 3. The Grant Record's Recommended Actions must include language requesting adoption of the resolution.
 4. A Microsoft Word file of the final resolution draft shall be uploaded to OC

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Grants. The final draft of the resolution must follow the standard resolution template available on the [Grants Resources SharePoint](#).

b. Agreements

1. Agreements that require the Chair's signature will be included in the Grants Report. Agreements that do not require the Chair's signature will not be included in the Grants Report.
2. Agreements that require the Chair's signature shall be reviewed, signed, and stamped "Approved as to Form" by the Department's assigned deputy county counsel.
3. The Grant Record's Recommended Actions must include language requesting the Board approve and sign the agreement.
4. A PDF of the final "Approved as to Form" agreement shall be uploaded to OC Grants for inclusion in the grants report.

All grant applications must be taken to the Board for approval prior to submittal to the Grantor. Applications submitted without prior Board approval must be taken to the Board as a "retroactive" or "ratify" grant application. If the Board chooses not to approve a grant application, it is the Department's responsibility to notify the Grantor. Any costs resulting from this action shall be paid directly by the Department.

- iii. All "retroactive" or "ratify" grant applications must be included in the Grants Report as soon as possible, but no later than 30 calendar days following the Grantor's deadline. Applications beyond the 30-day deadline must be submitted as a stand-alone ASR by the Department for Board consideration. Grant applications submitted as a stand-alone ASR by Departments shall also be uploaded to OC Grants.

For Example:

- If the grant application deadline is July 1st, then
 - The grant application shall be presented to the Board for approval before July 1st, or
 - The "retroactive" or "ratify," grant applications shall be presented to the Board, if presented after July 1st but no later than July 31st, or
 - The "retroactive" or "ratify," grant applications shall be presented to the Board by the Department as a stand-alone ASR, if presented after August 1st.
- iv. Departments partnering with an outside agency as part of a larger grant application in which the County is not the lead agency must still receive Board approval prior to the submittal of an application and acceptance of any grant funds under the following circumstances:

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- Grant funds will be used to support a staff position, or
- The Department will be contributing matching funds, or
- A resolution or Board-authorized agreement is required.

B. Recurring Grants

For recurring grants, the Department may choose to complete the [Grants Matrix](#) and submit it to CEO-LA for inclusion in the Grants Report. The Matrix must be submitted to and approved by the Board annually. Recurring grant applications that require a resolution or Board-authorized agreement are not allowed for inclusion on the Grants Matrix.

- i. Departments requesting to submit a recurring Grants Matrix shall complete an eForm and Grants Matrix. Both documents shall be submitted to CEO-LA no later than **5 p.m. on Tuesday, two weeks prior to the next applicable Board meeting date.**
- ii. Required elements of the eForm and Matrix are:
 - a. Requesting Agency/ Department;
 - b. Grant Name;
 - c. Project Name;
 - d. Sponsoring Organization/Grant Source;
 - e. Requesting Funding Amount;
 - f. County Match;
 - g. Application Due Date;
 - h. Type of grant: Competitive/Other Type, please explain;
 - i. Date of prior Board approval;
 - j. Purpose of Grant Funds;
 - k. New full- or part-time positions, if any, and;
 - l. Will this support a new or existing program;
 - m. Whether a CEQA finding is necessary.

IV. Grant Award Approval Process**A. Procedure for Grant Acceptance of Awards greater than \$50,000**

The Board shall approve all grant awards greater than \$50,000, all “retroactive” and “ratify” grant awards, and grant awards that require a resolution.

- i. To be included in the Grants Report, the Department must submit a Grant record with all required approvals via OC Grants no later than **5 p.m. on Tuesday, one week prior to the next applicable Board meeting date.**
- ii. If the grant award requires a resolution or agreement signed by the Chair, the

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Department shall work with its assigned deputy county counsel to obtain approval of the document. Approved resolutions or agreements must be uploaded to the Grant Record on OC Grants. Review and approval of resolutions or agreements by the assigned deputy county counsel must be completed before CEO-LA reviews the grant award and by the specified deadline above.

a. Resolution

1. The resolution shall include language authorizing the requesting Department to receive or accept funding only with Board approval.
2. Resolutions shall be reviewed and approved by the Department's assigned deputy county counsel or authorized designee before submission to CEO-LA via OC Grants.
3. The Grant Record's Recommended Actions must include language requesting adoption of the resolution.
4. A Microsoft Word file of the resolution shall be uploaded to OC Grants. The final draft of the resolution must follow the standard resolution template available on the [Grants Resources SharePoint](#).

b. Agreement

1. The agreement shall be reviewed, signed and stamped "Approved as to Form" by the Department's assigned deputy county counsel or authorized designee.
2. The Grant Record's Recommended Actions must include language requesting that the Board approve and sign the agreement.
3. A PDF version of the final "Approved as to Form" agreement shall be uploaded to OC Grants.

- iii. Departments shall bring all grant awards greater than \$50,000 to the Board for approval within 30 calendar days of the award notification date from the Grantor. Grant awards beyond the 30-day notification deadline shall be considered "retroactive" or "ratified" by CEO-LA, depending on the circumstances of the delay.

All "retroactive" or "ratify" grant awards must be included in the Grants Report within 60 calendar days of the grant notification date. "Retroactive" or "ratify" awards beyond the 60-day deadline must be submitted as a stand-alone ASR by the Department. Awards submitted as a stand-alone ASR shall also be shall also be uploaded to OC Grants.

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For example:

- Department receives grant award notification on July 1st, then
 - Grant award shall be presented to the Board for approval by July 31st, and
 - “Retroactive” or “ratify” grant awards shall be presented to the Board by August 30th, or
 - “Retroactive” or “ratify” grant awards submitted after August 30th shall be presented to the Board as a stand-alone ASR.
- iv. Departments partnering with an outside agency as part of a larger grant application in which the County is not the lead agency must still receive Board approval prior to the submittal of an application and acceptance of any grant funds under the following circumstances:
- Grant funds will be used to support a staff position, or
 - The Department will be contributing matching funds, or
 - A resolution or Board-authorized agreement is required.

B. Procedure for Acceptance of Awards less than or equal to \$50,000

Standard grant awards less than or equal to \$50,000 shall be approved by the CEO or designee.

- i. Departments requesting the CEO’s approval shall submit a Grant Record via OC Grants, along with a memo signed by the Department’s Director. Both documents shall be submitted to CEO-LA via OC Grants within 30 calendar days of the grant award notification.
- ii. CEO-LA shall notify the Board via memo on a quarterly basis of all such grant awards received.

V. Grant Contract Amendments

Grant contract amendments that request acceptance of supplemental grant funds over the \$50,000 grant award threshold, require a resolution or Board signature, and/or significantly change the scope of work or type of activities to be funded, shall require Board approval.

Grant contract amendments under the \$50,000 grant award threshold shall be approved by the CEO or designee following the grant award procedures listed in Section VI. B.

Grant contract amendments requesting Board approval shall be submitted by the Department via the ASR process, unless the Board previously approved the original grant contract via the Grants Report; such amendments may also be approved via the Grants Report.

Departments shall submit eligible grant contract amendments for the Grants Report as follows:

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- A. Complete and submit the Grant Record to CEO-LA for inclusion in the Grants Report before the amendment due date. Grant Records shall be submitted to CEO-LA, including all required approvals, via OC Grants, no later than **5 p.m. on Tuesday, one week prior to the applicable Board meeting date.**
- B. The Department shall work with its assigned deputy county counsel, or authorized designee, to obtain approval of the contract amendment. The “Approved as to Form” contract amendments shall be submitted with the record via OC Grants. Review and approval of Board resolutions or agreements by the assigned deputy county counsel, or authorized designee, shall be completed and approved agreements shall be uploaded to OC Grants no later than **5 p.m. on Tuesday, one week prior to the applicable Board meeting date.**

VI. Grant Tracking

Departments shall be solely responsible for tracking and maintaining all grant applications and awards via OC Grants. CEO-LA shall continue to provide grant-tracking reminders and deadlines to all Departments via email and the Grants Resources SharePoint.

CEO-LA shall use each Department’s grant-tracking information to submit quarterly grant-success reports to CEO-Budget.

VII. Best Practices

CEO-LA recommends that each Department consider the following best practices prior to accepting or applying for grant funds:

- *Is the grant match requirement obtainable?*
- *Will the grant require the hiring of additional staff to manage/operate the project/program?*
- *Will the operating expense of the grant program/project be sustainable?*

VIII. Grants Advocacy

CEO-LA recommends, when applicable, that Departments engage in legislative advocacy as part of their grant applications. In fact, many competitive grants require letters of support from outside entities, including elected officials, nonprofit organizations and municipal partners. If needed, Departments should request assistance from CEO-LA to engage the County’s legislative advocates as part of an advocacy strategy. In coordination with and approval from CEO-LA, Departments may:

- A. Request the County’s legislative advocates solicit letters of support for grant applications from elected officials and outside entities;
- B. Request the County’s legislative advocates contact the granting agency to advocate on the County’s behalf; and/or
- C. Request the County’s legislative advocates engage stakeholders in the legislative process to improve the County’s chances of being successful in a grant application.



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IX. Attachments

#	Title
A	Grant Authorization eForm
B	CEO Notification Form



CEO-Legislative Affairs Office Grant Authorization eForm

GRANT APPLICATION / GRANT AWARD

Today's Date:	
Requesting Agency/Department:	
Grant Name and Project Title:	
Sponsoring Organization/ Grant Source: <small>(If the grant source is not a government entity, please provide a brief description of the organization/foundation)</small>	
Application Amount Requested:	
Application Due Date:	
Board Date when Board Approved this Application:	
Awarded Funding Amount:	
Notification Date of Funding Awarded:	
Is this an Authorized Retroactive Grant Application/Award?	
Recurrence of Grant:	
If this is a recurring grant, please list the funding amount applied for and awarded in the past:	
Does this grant require CEQA findings?	
What Type of Grant is this?	
County Match?	
How will the County Match be fulfilled? <small>(Please include the specific budget)</small>	
Will the grant/program create new part or full-time positions?	
Will this grant support a new or existing program?	
Purpose of Grant Funds:	Provide summary and brief background on why the Board of Supervisors should accept this grant application/award, and how the grant will be implemented.
Board Resolution Required?	
Deputy County Counsel Name:	

Recommended Action(s)

(Please specify below)

Department Contact:

List the name and contact information (telephone, email) of the person to be contacted for further information.

Name of individual attending the Board Meeting:

List the name of the individual who will be attending the Board Meeting for this Grant item:



**CEO-Legislative Affairs Office
Grants Notification Form**

A CEO Grants Notification Form must be completed and submitted to CEO-LA for all grant awards requesting approval from the CEO

Today's Date:	
Requesting Agency/Department:	
Grant Name and Project Title:	
Sponsoring Organization/ Grant Source:	
Application Amount Requested:	
Board Date when Board Approved this Application:	
Awarded Funding Amount:	
Notification Date of Funding Awarded:	
Recurrence of Grant:	
If this is a recurring grant, please list the funding amount applied for and awarded in the past:	
Does this grant require CEQA findings?	
What Type of Grant is this?	
County Match?	
How will the County Match be Fulfilled? (Please include the specific budget)	
Will the grant/program create new part or full-time positions?	
Will this grant support a new or existing program?	
Purpose of Grant Funds:	
Recommended Action(s) (Please specify below)	
Department Contact:	List the name and contact information (telephone, email) of the person to be contacted for further information.