|  |  |
| --- | --- |
| Subject: | Grants Policy Manual |
| Authority: | Board of Supervisors |
| Policy Owner: | County Executive Office: Signature\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Approval Date: | 12/10/2013 |
| Revision Date(s) | 12/10/2019 , 1/24/2017 |
| Version No.: | 4.0 |

# Policy

The Board of Supervisors (Board) has ordered that a regular and comprehensive report listing all grants involving County departments (Department(s)) 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 of 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 and all grant applications prior to submittal to the Grantor, and grant awards over $50,000. Grant awards under $50,000 shall be approved by the County Executive Officer or designee (CEO). Generally speaking, the vehicle to seek Board approval of both grant applications and acceptance is the Grants Report, which is prepared and placed on the Board agenda by CEO-LA. The Grants Report also serves to inform the County’s Sacramento and Washington, D.C. advocates of County grant activities involving state and federal agencies.

1. **Purpose**

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

# Authority

All grant eForms prepared for inclusion in the Grants Report will be reviewed by CEO-LA prior to submission to the Board for final approval. CEO-LA has the authority to request changes or additional information prior to submission to the Board. It is the Department’s responsibility to be aware of 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 in missing a grant application or award deadline.

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

# Scope

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

# Responsibilities

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

# 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 ASR submittal policy, click here:  <https://ocgov.sharepoint.com/InfoCentral/KB/PPSG/policylib/County%20Policy%20Library/Agenda%20Staff%20Report%20Submittal%20to%20CEO/Policy.pdf> |
| **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 used by Departments to seek Board approval of grant application(s) and/or grant awards that is sent to CEO-LA for inclusion in the Grants Report. |
| **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).1 |
| **Grantor** | A state or federal department or agency, a for-profit organization or a nonprofit organization, which posts funding opportunities or manages the submission of funding opportunities. |
| **Grants Matrix** | A cumulative, annual table of Departments’ recurring grants for the purpose of tracking such grants. The matrix is submitted to CEO-LA for inclusion in the Grants Report. |
| **Grants Report** | The central method by which straightforward, standard 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. |
| **Letter of Intent** | A document may be required by the Grantor prior to submission of grant application for Board approval. |
| **“Ratify” Grant** | To confirm and adopt after the fact a grant application or award submitted to the Grantor prior to obtaining Board approval due to circumstances created by the Grantor that are beyond the County’s control. |
| **“Retroactive” Grant** | A grant application or award submitted to the Grantor prior to obtaining Board approval. |
| **“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. |

# Procedure

1. **General Guidelines**
2. The Board shall approve all grant applications prior to submittal to the Grantor, grant awards greater than $50,000, and all “retroactive” and “ratify” grant requests.
3. Grant awards up to $50,000 shall be approved by the CEO.
4. Departments must notify CEO-LA of their designated grant coordinator. Grant coordinators are responsible for reviewing and submitting all grant items to CEO-LA for inclusion on the grants report. CEO-LA will also contact Department grant coordinators with relevant grant information, grant opportunities, or new program policies.
5. Departments must submit all grant documents to CEO-LA no later than **5 p.m. on Tuesday**, **one week prior to the applicable Board meeting date** in order to be included on the Grants Report for said meeting.
6. Grant documents must be submitted via email to [grants@ocgov.com](mailto:grants@ocgov.com) and CEO-LA Grants Manager at [Cynthia.Shintaku@ocgov.com](mailto:Cynthia.Shintaku@ocgov.com). If the CEO grants manager is out of the office, a designee will be made available to the departments.
7. CEO-LA will provide an email confirmation within 24 hours to confirm inclusion of the grant item requested by each Department.
8. CEO-LA has a standing briefing with Board staff every Thursday, where grant items are presented. CEO-LA may request Department representative to attend the weekly legislative briefings to discuss their grant items. If a Department does not comply with this policy, their grant item is subject to be removed from the grants report.

**II.** **Grants Report**

The Grants Report is used to seek Board approval for both grant applications and awards. Grant applications and awards that are included in the Grants Report are intended to be for straightforward, standard funding opportunities from state and federal government agencies, as well as for-profit and nonprofit organizations.

Grant applications and awards that involve multiple agreements, resolutions, or are determined to be a unique circumstance by CEO-LA must be submitted as a stand-alone ASR, and follow the standard ASR timeline. The final decision on whether or not a grant item is eligible on the grants report is determined by CEO-LA.

CEO-LA will prepare the Grants Report prior to the Board meeting based on the information each Department submits through the eForm. This draft is reviewed by Board staff on the Thursday prior to the following Board meeting. Once approved by the Board, a final copy of the Grants Report will be sent to the Clerk of the Board and to each Department’s Grant Coordinator.

**III.** **Grant Application Approval Process**

1. **Procedure for Acceptance of Applications**

The Board shall approve all grant applications prior to submittal to the Grantor, as well as all “retroactive,” and “ratify” grant applications.

1. In order to be included in the Grants Report, the Department shall complete a Grant Authorization eForm (eForm). eForms must be submitted to CEO-LA via email to [grants@ocgov.com](mailto:grants@ocgov.com) no later than **5 p.m. on Tuesday, one week prior to the applicable Board meeting date.**
2. If the grant application requires a resolution or agreement, the Department shall work with their assigned deputy county counsel to obtain approval of the document. Approved resolutions or agreements must be submitted with the eForm via email to [grants@ocgov.com](mailto:grants@ocgov.com).
3. Resolution
4. The resolution shall include language authorizing the requesting Department to apply for funding only with Board approval.
5. The final draft of the resolution must follow the standard resolution template. Two copies of the resolution shall be sent to CEO-LA; one copy as a PDF and one copy as a Microsoft Word file.
6. Agreement
7. 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.
8. Agreements shall be reviewed, signed and stamped “Approved as to Form” by the Department’s assigned deputy county counsel.
9. A PDF of the final “Approved as to Form” agreement shall be sent to CEO-LA along with the eForm.
10. 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.
11. All “retroactive” or “ratify” grant applications must be included in the Grants Report as soon as possible, but no later than 30 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.

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.

1. 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;
* The Department will be contributing matching funds;
* A resolution or Board authorized agreement is required.

1. **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 on an annual basis. Recurring grant applications that require a resolution or Board authorized agreement are not allowed for inclusion on the Grant Matrix.

1. Departments requesting to submit a recurring Grant Matrix shall complete an eForm and Grant Matrix. Both documents shall be submitted to CEO-LA via email to [grants@ocgov.com](mailto:grants@ocgov.com) no later than **5 p.m. on Tuesday, two weeks prior to the next applicable Board meeting date.**
2. Required elements of the eForm and Matrix are:
3. Requesting Agency/ Department;
4. Grant Name;
5. Project Name;
6. Sponsoring Organization/Grant Source;
7. Requesting Funding Amount;
8. County Match;
9. Application Due Date;
10. Type of grant: Competitive/Other Type, please explain;
11. Date of prior Board approval;
12. Purpose of Grant Funds;
13. New full or part –time positions, if any, and;
14. Whether a CEQA finding is necessary.

**IV. Grant Award Approval Process**

1. **Procedure for Grant Acceptance of Awards greater than $50,000**

The Board shall approve all grant awards greater than $50,000, as well as all “retroactive” and “ratify” grant awards.

1. In order to be included in the Grants Report, the Department shall complete a Grant Authorization eForm (eForm). eForms must be submitted to CEO-LA via email to [grants@ocgov.com](mailto:grants@ocgov.com) no later than **5 p.m. on Tuesday, one week prior to the next applicable Board meeting date.**
2. If the grant award requires a resolution or agreement, the Department shall work with their assigned deputy county counsel to obtain approval of the document. Approved resolutions or agreements must be submitted with the eForm via email to [grants@ocgov.com](mailto:grants@ocgov.com).
3. Resolution
4. The resolution shall include language authorizing the requesting Department to receive or accept funding only with Board approval.
5. The final draft of the resolution must follow the standard form available in CAMS (e-Agenda) Library. Two copies of the resolution shall be sent to CEO-LA; one copy as a PDF and one copy as a Microsoft Word file.
6. Agreement
7. The agreement shall be reviewed, signed and stamped “Approved as to Form” by the Department’s assigned deputy county counsel.
8. A PDF of the final “Approved as to Form” agreement shall be sent to CEO-LA along with the eForm.
9. Departments shall bring all grant awards greater than $50,000 to the Board for approval within 30 days of the award notification date from the Grantor. Grant awards beyond the 30-day notification deadline shall be considered “retroactive” or “ratify” by CEO-LA, depending on the circumstance of the delay.
10. All “retroactive” or “ratify” grant awards must be included in the Grants Report within 60 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.

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.

1. 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;
* The Department will be contributing matching funds;
* A resolution or Board authorized agreement is required.

**B. Procedure for Acceptance of Awards up to $50,000**

Standard grant awards up to $50,000 may be approved by the CEO.

1. Departments requesting the CEO’s approval must complete a CEO Notification Form and along with a memo signed by the Department’s Director. Both documents must be submitted to CEO-LA via email to [grants@ocgov.com](mailto:grants@ocgov.com) within 30 days of the grant award notification.
2. CEO-LA will 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 and/or significantly change the scope of work or type of activities to be funded will require Board approval. Grant contract amendments under the $50,000 grant award threshold may be approved by the CEO or designee following the grant award procedures listed in Section Vl. B.

Grant contract amendments requesting Board approval must be submitted by the Department via the ASR process, unless the original grant contract was previously approved by the Board 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:

1. Complete and submit the eForm to CEO-LA for inclusion in the Grants Report before the amendment due date. eForms must be submitted to CEO-LA via email to [grants@ocgov.com](mailto:grants@ocgov.com) no later than **5 p.m. on Tuesday, one week prior to the applicable Board meeting date.**
2. Departments shall include a copy of the original Grants Report previously approved by the Board with the completed eForm.
3. The Department must work with their assigned deputy county counsel and obtain approval of the contract amendment. “Approved as to Form” contract amendments must be submitted with the eForm via email to [grants@ocgov.com](file:///\\ochoa\ceo\Users\ceocshintaku\Documents\Grant%20Policy%20and%20Procedures\Grants%20P&P\grants@ocgov.com) no later than **5 p.m. on Tuesday, one week prior to the applicable Board meeting date.**
4. **Grant Tracking**

Departments will be required to track their grant items on a routine basis through the CEO-LA’s SharePoint sites located here: <https://ocgov.sharepoint.com/sites/GCR/serviceareas/legislativeaffairs/Grants/track/Pages/default.aspx>.

If a Department does not have access to SharePoint, they must submit their grant tracking information via email to CEO-LA.

CEO-LA will email specific grant tracking reminders and deadlines to all Departments.

Information from the grant-tracking site will be utilized to prepare the annual year-end grant memo to the Board of supervisors.

1. **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?*

1. **Grants Advocacy**

CEO-LA recommends when applicable that Departments engage in a legislative advocacy strategy as part of their applications for grant awards. 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 CEO-LA, Departments may:

1. Request the County’s legislative advocates to solicit letters of support for grant applications from elected officials and outside entities;
2. Request the County’s legislative advocates make contact with the granting agency to help advocate on the County’s behalf; and/or
3. Request the County’s legislative advocates to engage stakeholders in the legislative process to improve the County’s chances of being successful in a grant application.
4. **Attachments**

| # | Title |
| --- | --- |
| A | Grant Application eForm |
| B | CEO Notification Form |