

Idaho Department of Correction 	Standard Operating Procedure Management Services Division General Administration	Control Number: 126.03.06.001	Version: 1.0	Page Number: 1 of 9
		Title: Grant Management		Adopted: 3-20-2012 Reviewed: 3-20-2012 Next Review: 3-20-2014

This document was approved by Tony Meatte, chief of the Management Services Division, on 3/20/12 (signature on file).

Open to the general public: Yes No

If no, is there a redacted version available: Yes No

BOARD OF CORRECTION IDAPA RULE NUMBER

[None](#)

POLICY CONTROL NUMBER 126

[Grant Management](#)

DEFINITIONS

[Standardized Terms and Definitions List](#)

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.

Grant Manager: The Idaho Department of Correction (IDOC) employee who is primarily responsible for (1) drafting the application documents (in conjunction with the grant officer), and (2) being in direct operational charge of the grant or project, if funded.

Grant Officer: The Idaho Department of Correction (IDOC) employee who is primarily responsible for overall administrative grant-related duties and responsibilities.

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 other 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.

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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.

PURPOSE

The purpose of this standard operating procedure (SOP) is to establish a structure that identifies grant opportunities and establishes standards for applying for grants, and monitoring and reporting grant problems.

SCOPE

This SOP applies to any IDOC employee or contractor who participates in the grant process or manages the processes described herein.

RESPONSIBILITY

Chief of the Management Services Division

The chief of the Management Services Division (or designee) is responsible for overseeing and monitoring the provisions provided herein.

Deputy Chief of the Contract Services Bureau

In conjunction with the executive financial officer (or designee), the deputy chief of the Contract Services Bureau (or designee) shall be responsible for implementing this SOP and for ensuring IDOC employees are practicing the guidelines, standards, and procedures provided herein.

Executive Financial Officer

In conjunction with the deputy chief of the Contract Services Bureau (or designee), the executive financial officer (or designee) shall be responsible for implementing this SOP and for ensuring IDOC employees and contractors are practicing the guidelines, standards, and procedures provided herein.

Fiscal Unit Financial Specialist

The designated financial specialist(s) (located in the Fiscal Unit at Central Office) shall be responsible for grant accounting and fiscal reporting.

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GENERAL REQUIREMENTS

- Grant applications must be developed and submitted in collaboration with IDOC staff.
- Research must be incorporated for new grant opportunities.
- Communication and collaboration must take place with parties involved in grant operations and activities.

Note: The procedures for grant accounting and financial reporting can be found in SOP [114.03.06.001](#), *Grant Accounting and Financial Reporting*.

1. Pre-application Research

In order to ensure the general requirements are being met, the following procedures must be followed:

Functional Roles and Responsibilities	Step	Tasks
Grant Officer	1	Conduct research to determine available funding opportunities, grant requirements and assess compatibility with the IDOC's priorities and needs.
Grant Officer	2	<p>Send a 'Call for Projects' email to the Leadership Team that contains the following information:</p> <ul style="list-style-type: none"> • Grantor's name; • Length of grant period; • Grant amount available; • Grant guidelines; • Eligible expenses; and • Past history (if applicable). <p>Note: The Leadership Team consists of the director of the IDOC, division chiefs, and the director's administrative support manager.</p>
Leadership Team	3	<p>Discuss the 'Calls for Projects' email and determine whether to apply for the grant.</p> <p>Note: If an application <u>will</u> be prepared, a specific division chief will designate a grant manager and the process will continue with section 2 of this SOP. If an application <u>will not</u> be prepared, the process ends here.</p>

2. Application Development and Approval

In order to ensure the general requirements are being met, the following procedures must be followed:

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Functional Roles and Responsibilities	Step	Tasks
Grant Manager	1	Using the timeline established in the 'Call for Projects' email: <ul style="list-style-type: none"> Review the grantor's Request for Proposal (RFP) and identify the requirements; and In collaboration with the grant officer, develop a draft application with the appropriate requirements.
		<p>Note: Appropriate requirements may include narrative goals and objectives, performance measures, a budget and budget narrative, match dollar requirements, letters of support, evaluation criteria, etc.</p> <p>Note: Be aware of the grant's impact on other IDOC divisions, bureaus, or unit and communicate with those entities (e.g., communicate with the Information Technology [IT] Unit regarding computer equipment, or the Review and Analysis Unit for performance measure data).</p>
Grant Officer	2	Once the project description and budget has been developed sufficiently: <ul style="list-style-type: none"> Complete appendix A, <i>Grant Pre-application Approval Form</i>, and Submit it to the appropriate division chief (or designee) for approval.
Grant Officer	3	In collaboration with the grant manager, coordinate a plan for documenting the match dollars.
Grant Officer	4	If any grant-funded personnel are being requested, work with Budget Unit (located at Central Office) staff.
		<p>Note: All full-time employees (FTEs) must be requested through the legislative process.</p>
Grant Officer	5	<ul style="list-style-type: none"> Complete the State of Idaho, Division of Financial Management's (DFM) Grant Approval Form; Prepare a DFM required 'Exit Strategy' letter for the IDOC director's signature; and Email the <i>Grant Approval Form</i>, 'Exit Strategy' letter, and a copy of the division chief signed <i>Grant Pre-application Approval Form</i> to the DFM for approval. For informational purposes, email or hand-deliver a copy of the division chief signed <i>Grant Pre-application Approval Form</i> to IDOC Budget Unit (located at Central Office) staff.
		<p>Note: A blank <i>Grant Approval Form</i> can be obtained by clicking on the link above or the link in the reference section of this SOP or by visiting the DFM's website.</p>

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Functional Roles and Responsibilities	Step	Tasks
Grant Officer	6	<p>Review and edit the final application documents for compliance with all grantor requirements and relevant IDOC, State of Idaho, and federal regulations.</p> <p>Note: If DFM does not approve the <i>Grant Approval Form</i>, the process stops here until the issue is resolved.</p>
Grant Officer	7	<p>Prepare an application packet for the IDOC director's review and signature. Depending on the grant, the packet may contain any of the following:</p> <ul style="list-style-type: none"> • A cover memo summarizing key points of the grant and the name of the assigned grant manager, • A copy of the division chief signed <i>Grant Pre-application Approval Form</i>, • A copy of the DFM signed <i>Grant Approval Form</i>, and • All grantor required application materials. <p>Note: Prior to submitting the application packet to the director (and as timelines allow), make a courtesy check with Budget Unit (located at Central Office) staff to see whether there is any impact on staffing needs, spending authority, budget, and match dollar requirements, and if so make corrections accordingly.</p>
IDOC Director	8	<p>Review and sign the grant application as per grantor requirements.</p> <p>Note: For electronic submissions, give written approval for the grant officer to submit the application on behalf of the IDOC.</p>
Grant Officer	9	<ul style="list-style-type: none"> • Submit the application packet by the grantor's established due date; and • During the grantor's grant review process, monitor the review process and provide information to the grantor as requested. <ul style="list-style-type: none"> ◆ If the grant <u>is</u> awarded to the IDOC, the process continues with section 3 of this SOP. ◆ If the grant <u>is not</u> awarded, the process ends here.

3. Requirements When Funds are Awarded

In order to ensure the general requirements are being met, the following procedures must be followed when funds are awarded:

Functional Roles and Responsibilities	Step	Tasks
Grant Officer	1	Report the award to IDOC staff to include: the division chiefs, grant manager, Budget Unit (located at Central Office) staff, the executive financial officer, and the designated Fiscal Unit financial specialist.

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Functional Roles and Responsibilities	Step	Tasks
Grant Officer	2	To ensure the grantor obligates the funds, coordinate the completion and submission of the appropriate award documents to the grantor.
Grant Officer	3A	<p>Assemble and provide the Fiscal Unit (located at Central Office) the initial contents of the official grant file, to include the following (if applicable):</p> <ul style="list-style-type: none"> • A copy of the 'Call for Projects' email (see section 1); • A copy of the grantor's <i>RFP</i> and the appropriate requirements (see section 2); • A copy of the "Exit Strategy" letter (see section 2); • One copy of the completed application packet (signed by the IDOC director) (see section 2);
Grant Officer	3B	<ul style="list-style-type: none"> • The <i>Grant Pre-application Approval Form</i> that has the original signatures; • A copy of the DFM signed <i>Grant Approval Form</i>; • Copies of email, notes and other correspondence (as applicable); and • One copy of the official grant award notification received from the grantor, award instructions, and the funding document(s), including a final budget, signed by the grantor. <p>Note: The grant file may be used for audit purposes, so ensure any documents not listed above that are applicable to grant application activities are included in the grant file.</p>
Grant Officer	4	<p>Ensure the Budget Unit (located at Central Office) has <u>copies</u> of the most current version of the following documents:</p> <ul style="list-style-type: none"> • The signed <i>Grant Pre-application Approval Form</i>; • The signed <i>Grant Approval Form</i>; • The official grant award notification; and • The approved grant budget.
Grant Manager and Fiscal Unit Financial Specialist	5	Jointly develop a grant financial plan.
Fiscal Unit Financial Specialist	6	<ul style="list-style-type: none"> • File one copy of the grant financial plan in the official grant file and one copy with Budget Unit (located at Central Office) staff; and • Submit a request to the executive financial officer to set up a grant program cost account (PCA) code in the Statewide Accounting and Reporting System (STARS). <p>Note: You cannot proceed to step 7 until a PCA code authorization is obtained.</p>

Functional Roles and Responsibilities	Step	Tasks
Fiscal Unit Financial Specialist	7	Enter the grant financial plan into the STARS.
Grant Manager	8	<p>Ensure all IDOC and State of Idaho policies are adhered to while implementing and managing grant functions, which includes the following:</p> <ul style="list-style-type: none"> • Agency and funder inventory requirements; • Procurement of equipment and contractors; • Contractor background checks; and • Employee hiring policies.
Grant Officer	9	<ul style="list-style-type: none"> • Ensure that any vendor receiving one hundred thousand dollars (\$100,000) or more of grant funds is verified against the Excluded Parties List System (EPLS) to ensure eligibility. • Place a letter in the grant binder of vendor eligibility to include the name of the vendor and the date verified in EPLS.

4. Reporting Requirements

In order to ensure the general requirements are being met, the following procedures must be followed for grant reporting:

Functional Roles and Responsibilities	Step	Tasks
Grant Officer	1	For all active grants, develop and maintain a schedule of reporting due dates.
Grant Manager	2	Submit the required reports to the grant officer by the established due dates.
Grant Officer	3	<ul style="list-style-type: none"> • Review the reports received from the grant manager; and • Edit them to meet grant requirements.
Grant Officer	4	Submit a copy of all required reports to the designated Fiscal Unit financial specialist for inclusion into the official grant file.
Fiscal Unit Financial Specialist	5	<p>On a monthly basis, report the following to the grant officer and grant manager:</p> <ul style="list-style-type: none"> • Grant expenditures and receipts; and • Match dollars.
Grant Officer and Grant Manager	6	<p>Jointly:</p> <ul style="list-style-type: none"> • Monitor grant expenditures in order to keep the grant budget on target and ensure programmatic and financial compliance; and • Determine whether match dollars are sufficient to support the requirements of the grant award.
Grant Manager	7	As determined in step 6, take appropriate action to obtain sufficient match dollar levels.

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5. Modification and Extension Requirements

In order to ensure the general requirements are being met, the following procedures must be followed to modify or extend a grant:

Functional Roles and Responsibilities	Step	Tasks
Grant Manager	1	Develop the grant modification and/or extension prior to: <ul style="list-style-type: none"> The end date of the grant; or Any unauthorized expenditure or activity.
Grant Officer	2	Prior to the grant manager submitting the modification and/or extension: <ul style="list-style-type: none"> Review the grantor's requirements; and Review the modification and/or extension for appropriateness.
Grant Manager	3	Submit the required paperwork before the end date of the grant.
Grant Officer and Grant Manager	4	Inform Budget Unit (located at Central Office) staff and the designated Fiscal Unit financial specialist of the impact the modification and/or extension will have on timelines and budget.

6. Audit Requirements

In order to ensure the general requirements are being met, the following procedures must be followed for auditing grant-funded programs and projects.

Note: Audits will be conducted in the same manner as other IDOC operational audits **and** in accordance with IDOC audit policies and procedures.

Functional Roles and Responsibilities	Step	Tasks
Grant Officer	1	<ul style="list-style-type: none"> Conduct an audit at least once during the active life of the grant; 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 and are in compliance with applicable requirements; and Complete a report of findings, and present the report to the grant manager, appropriate division chief (or designee), and other staff as necessary.
Grant Officer	2	File the audit records in the Contract Services Bureau's recordkeeping area and in the grant binder.

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Functional Roles and Responsibilities	Step	Tasks
Grant Manager	3	Address the audit findings and formulate a response and action plan for each finding. The action plan must include: <ul style="list-style-type: none"> • A determination of what caused the errors to occur; • What actions will be taken to remedy the issue (error); and • Timelines for completing all action items.
		Note: The audit response must be written and placed in the grant binder.

REFERENCES

Appendix A, *Grant Pre-application Approval Form*

- [Appendix A \(Fill-in version\)](#)

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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