STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
DEPARTMENT WIDE

REVISION DATE       PAGE NUMBER       NUMBER
2/23/15             1 of 5             DOC 200.065

TITLE
POLICY

GRANT ADMINISTRATION

REVIEW/REVISION HISTORY:
Effective: 1/18/11
Revised: 7/19/12
Revised: 2/23/15

SUMMARY OF REVISION/REVIEW:
Added references to Technical Assistance (TA) throughout
I.B. - Added clarifying language
I.C. - Adjusted authority to the Senior Leadership Team
I.D. - Adjusted authority to the Senior Leadership sponsor and added expectations for
determining matching funds and designating Grant Managers/TA Points of Contact
II.A. - Adjusted Grant Administrator duties during application process
Added III.A. on Grant Administrator duties at implementation
III.B. - Adjusted Grant Manager/TA Point of Contact duties at implementation
III.C. - Added Business Office duties at implementation
Added IV.A.1. on approval of application materials for external grants
Added Section V. on documentation

APPROVED:

Signature on file

1/21/15

BERNARD WARNER, Secretary
Department of Corrections

Date Signed
REFERENCES:

DOC 100.100 is hereby incorporated into this policy

POLICY:

I. The Department encourages employees to seek grants (i.e., non-state funds received by the Department that are not appropriated by the Legislature or received as a cost reimbursement), other external funding, and Technical Assistance (TA) to enhance programs and activities consistent with the Department’s values, Strategic Plan, and business functions.

II. The Department will establish a process to ensure proposals for grant funds/TA are not duplicative and comply with federal and state reporting requirements.

III. When appropriate, the Department will:

   A. Solicit letters of support for Department grant/TA applications as required by the solicitation.

   B. Provide letters of support for grant/TA applications submitted by other state or local agencies and organizations that provide services to offenders and/or align with Department goals.

DIRECTIVE:

I. Responsibilities

   A. The Secretary will designate a Grant Administrator responsible for Department grant and TA applications.

   B. Employees will notify the Grant Administrator before applying for any grant/TA project.

       1. Applications for TA where no funds are exchanged are considered grant applications and must be submitted to the Grant Administrator for review.

   C. The Senior Leadership Team will:

       1. Review solicitations for grants and TA.

       2. Authorize preparation of grant/TA applications.

       3. For each authorized application, identify a Senior Leadership sponsor responsible for development of the application.
D. The Senior Leadership sponsor will:

1. Designate application contributors and other employees necessary to develop the grant or TA project application.

2. Consult with the Budget Office to determine sources of matching funds before submitting applications when required by solicitation.

3. Designate a Grant Manager/TA Point of Contact to lead application development, whenever possible, and manage implementation.

II. Application Process

A. The Grant Administrator will:

1. Identify funding/TA opportunities and provide the Senior Leadership Team with a brief summary.

2. Request feedback from appropriate stakeholders when the Senior Leadership Team has approved funding/TA opportunities.

3. Consult with the Senior Leadership Team to identify application contributors and, if needed, a Grant Manager/TA Point of Contact.

4. Facilitate collaboration of application contributors to design project proposals and draft documents required in solicitations.

5. Prepare application packets and send them to appropriate employees for review and feedback.

6. Provide the Senior Leadership Team with final drafts of completed application packets for review and approval.

7. Submit approved applications within specified deadlines.

III. Grant and TA Implementation

A. The Grant Administrator will:

1. Notify the Senior Leadership Team and Department stakeholders when a grant/TA application is awarded or rejected.

2. Request establishment of financial coding from the Comptroller and Budget Director for grants when appropriate.
3. Submit requests for changes to grant/TA agreements (e.g., scope of work, award period, budget).

4. Prepare and submit required reports and performance metrics to grantors/TA providers.

B. The Grant Manager/TA Point of Contact will:

1. Meet regularly with the Grant Administrator and Department stakeholders to ensure:
   a. Progress of implementation,
   b. Notification on issues or concerns,
   c. Appropriate spending,
   d. Accurate forecasting, and
   e. Timely reporting.

2. Develop and manage contracts that support grant/TA activities.

3. Review and approve invoices charged to grants or related to TA projects.

C. The Business Office will:

1. Request spending authority for unanticipated receipts from the state Legislature.
   a. If the Legislature is not in session, the request will go to the Office of Financial Management (OFM).

2. Ensure the Department meets grant/TA financial requirements, including completion and submission of required financial reports.

3. Prepare and maintain budget versus actual projections.

4. Ensure all expenditures, revenues, and receivables are recorded correctly in the Agency Financial Reporting System (AFRS).

D. The Performance Management and Research Unit will assist with tracking appropriate data to meet reporting requirements.

1. Data may also be provided to external agencies related to grants/TA projects supported by the Department.

E. The Office of Contracts and Legal Affairs will maintain all contracts that involve grant funding or matching funding.
IV. External Grants

A. The Department does not sponsor or act as lead agency for external grants, but may support the preparation of grant application materials and/or implementation of successful grant applications.

1. Grant application materials prepared by employees/external agencies or organizations will be submitted to the Grant Administrator and forwarded to the Secretary for review and approval.

2. Letters of support for external grants or any other correspondence endorsing external grants must be forwarded to the Grant Administrator.

   a. Requests for letters of support must be accompanied by:

      1) A copy of the proposal or an executive summary outlining the proposal, and

      2) Specific expectations of the Department if the grant is awarded.

3. The Grant Administrator will submit letters of support for external grant applications to the Secretary/designee for approval and signature.

V. Documentation

A. All information and documentation related to grants and TA will be maintained on the Grant Administration SharePoint site.

DEFINITIONS:

Words/terms appearing in this policy may be defined in the glossary section of the Policy Manual.

ATTACHMENTS:

None

DOC FORMS:

None