



STATE OF WASHINGTON  
DEPARTMENT OF CORRECTIONS

APPLICABILITY  
**DEPARTMENT WIDE**

REVISION DATE  
3/29/21

PAGE NUMBER  
1 of 6

NUMBER  
**DOC 200.065**

**POLICY**

TITLE

**GRANT ADMINISTRATION**

**REVIEW/REVISION HISTORY:**

Effective: 1/18/11  
Revised: 7/19/12  
Revised: 2/23/15  
Revised: 3/13/20  
Revised: 3/29/21

**SUMMARY OF REVISION/REVIEW:**

Added Attachment 1 and II.A.9. that the Grant Administrator will ensure compliance with 42 CFR 50 Conflict of Financial Interest  
III.C.4. - Adjusted language for clarification


**APPROVED:**

Signature on file

\_\_\_\_\_  
**STEPHEN SINCLAIR**, Secretary  
Department of Corrections

3/15/21

\_\_\_\_\_  
Date Signed

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## REFERENCES:


DOC 100.100 is hereby incorporated into this policy; [42 CFR 50](#)

## 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 research, regulatory and reporting requirements.
- III. When appropriate, the Department will:
  - A. Solicit grant/TA application letters of support from collaborators 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 incarcerated individuals or individuals under Department supervision in the community, 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 Executive Strategy Team will:
    1. Review solicitations and proposals for grants and TA from other Department employees.

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2. Determine if the proposal is a good fit for the agency and aligns with the agency's mission, vision, and values.
3. Authorize preparation of grant/TA applications.
4. For each authorized application, identify an Executive Strategy Team sponsor responsible for development of the application.


D. The Executive Strategy Team sponsor will:

1. Designate application contributors and other employees necessary to develop the grant or TA project application.
2. Consult with the Budget Program to determine whether the grant is fiscally viable for the agency and verify any sources of matching funds before submitting applications when required by solicitation.
3. Request assistance and approval from the Budget Program for any budget information required by the application 30 days prior to the submission deadline.
4. Coordinate with the Research and Data Analytics (RDA) Unit to assist in the identification of appropriate data to track for meeting non-financial data reporting requirements.
5. Designate a Grant Manager/TA Point of Contact and/or Principal Investigator to lead application development, whenever possible, and manage implementation.
6. Identify a replacement Grant Manager/Principal Investigator if the designated employee leaves the organization.

II. Application Process

A. The Grant Administrator will:

1. Identify funding/TA opportunities and provide the Executive Strategy Team with a brief summary.
2. Request feedback from appropriate stakeholders when the Executive Strategy Team has approved funding/TA opportunities.
3. Consult with the Executive Strategy Team to identify application contributors and, if needed, a Grant Manager/TA Point of Contact or Principal Investigator.

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4. Consult with the RDA Unit and identify data needs and sources.
5. Facilitate collaboration of application contributors to design project proposals and draft documents required in solicitations.
6. Prepare application packets and send them to appropriate employees for review and feedback.
7. Provide the Executive Strategy Team with final drafts of completed application packets for review and approval.
8. Submit approved applications to the funding agency/sponsor within specified deadlines.
9. Ensure compliance with 42 CFR 50 Financial Conflict of Information when applying for a Public Health Service grant, including criteria listed in Attachment 1.


### III. Grant and TA Implementation

#### A. The Grant Administrator will:

1. Notify the Executive Strategy 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. In partnership with the agency program employee administering the grant, submit required reports and performance metrics to grantors/TA providers.

#### B. The Grant Manager/TA Point of Contact or Principal Investigator 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.

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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 and Budget Program 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.
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 state's financial reporting system.

D. The RDA 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 Initiated Grants

A. The Department does not sponsor or act as lead agency for external grants written by other organizations 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 shared with the Budget Program, Business Services, and the RDA unit for review and feedback. All input will be forwarded to the Executive Strategy Team sponsor 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 for review.

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- 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.

#### **DEFINITIONS:**

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

#### **ATTACHMENTS:**

None

#### **DOC FORMS:**

None