



FINANCIAL OPERATIONS

GRANT POLICIES & PROCEDURES

GRANT POLICIES AND PROCEDURES MANUAL

20066

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FOREWORD

The City of Richmond Grant Policies and Procedures Manual has been developed and published for the purpose of standardizing grant and grant related activity associated with the City of Richmond. The Policies and Procedures are effective July 1, 2006, and apply to all current and future and grant activity.

Revision to this manual will be issued as required. The policies within the manual that require the change or update will be replaced.

All City of Richmond personnel must follow the policies and procedures included with this manual when engaging in grant related activity.

Any questions concerning this manual should be directed to the Budget Grants Office, Department of Budget and Strategic Planning at (804) 646-5048.

Upon adoption, this City of Richmond Grant Policies and Procedures Manual replaces City of Richmond Grant Regulations, effective date August 1, 2001 in its entirety.

APPROVAL

Harry E. Black
Chief Financial Officer

Date

FORMAT

This manual is divided into an introduction and six sections:

The **Introduction** provides the general overview of the document

Section One – Administrative discusses conflict of interest and roles and responsibilities

Section Two – Grant Planning pertains to organizational planning for grant acquisition at the agency level

Section Three – Pre-Award describes activities related to preparing and submitting an application

Section Four – Award Acceptance outlines the steps associated with accepting a grant award

Section five – Post Award Management details the management of grant funded projects or programs

Section Six – Appendices provides a flow chart of the grant process, example project charts, budget and financial forms, and a Glossary of Terms that provides a simple explanation of technical terms and acronyms used in the grant process

This policies and procedures manual is issued by the Chief Financial Officer. It serves as a central resource for policies and procedures governing grant activity and is applicable to all City Agencies.

The City of Richmond Grant Policies and Procedures Manual is intended to document and strengthen the practices of the City and to provide employees and other interested parties with an accessible source of information regarding the grant policies and procedures of the City of Richmond. Additionally, this manual serves as a training resource for new and current employees whose job duties involve grant writing or grant management. Each Policy contains the following elements:

- Subject
- References and/or Exhibits
- Policy Number
- Effective Date
- Policy being replaced
- Purpose
- Scope
- Organizational Units
- Policy Statement
- Procedures
- Definitions
- Policy Owner

Introduction

Grant funds received by the City of Richmond (henceforth the City) support important programs and services that the City provides to the community. These funds allow the City to extend pre-existing services, introduce new initiatives, gain technological advances, and subsidize programmatic staffing. Grant funds are dispersed throughout the City and impact a variety of efforts, including homeland security, economic development, social services, public safety, recreation, and infrastructure improvement and maintenance, among others. Because grant funding allows the City to leverage local public funds in order to extend and enhance the services it offers to the community, the impact of grant funding upon the community is significant. So too should be the process that governs it. The City considers the term *grant* to include the following funding streams:

- Competitive (Discretionary) Grants
- Block Grants or Formula Grants
- Continuation of any grant type
- Cooperative Agreements and Contracts
- Earmarks
- Reimbursement programs
- Foundation Grants
- Corporate Grants

The purpose of this policies and procedures manual is to develop, implement, and maintain meaningful grant oversight and coordination for the City thereby increasing grant related revenue, limiting the City's exposure grant related legal liability, and improving the efficiency and impact of programs and services funded through grants. The policies and procedures contained herein are intended to foster exceptional stewardship of the public trust through a rigorous adherence to ethical standards associated with grant related activity. The policies and procedures aim to do the following:

- Promote the use of best practices
- Promote sound financial management
- Ensure that grant related activity is consistent with the City's strategic priorities
- Ensure the integrity of the City's good standing among grant making entities
- Ensure the detection and mitigation of potential grant related problems before they harm the City
- Promote efficiency and effectiveness in grant funded projects and programs
- Ensure accountability for financial and programmatic elements of grant administration and management

Adherence to the following policies and procedures will promote increased efficiencies, better transparency, greater accountability to ethical standards, a strategic approach to funding opportunities, and generally place the City in a more competitive footing for securing grant funds. Significantly, these efforts will provide our City leaders with a comprehensive real-time overview of the current grant milieu, including the source, destination, and disposition of grant funds, matching funds, and pending applications. This information will lend support to City leaders in managing the City's progress into the future.

SECTION ONE

Administrative

Subject: Conflict of Interest	Number: 1.1
	Effective Date: 7/1/2006
References and/or Exhibits: Administrative Regulations Section I, A.R. Number 1.5	Replaces: 8/1/2001 G.R. No. 1.1

I. PURPOSE

Conflicts of interest can damage the reputation and credibility of the City. Further, the appearance of a conflict of interest can be just as damaging to the City’s reputation and credibility as an actual conflict. The purpose of this policy is to avoid the appearance, as well as the actuality, of any conflict of interest or breach of trust by an official or employee of the City.

II. SCOPE

Conflict of interest situations may cover a broad range of matters from more to extremely serious, and may involve ethical, legal, or other issues. Such situations, if unresolved, may be the cause of damage to the City. This policy is designed to protect both the individual and the City. It is not an attempt to define all of the areas or circumstances in which there is potential for conflict of interest to arise. The onus is on the City officials or employees to be diligent in the identification of potential conflicts of interest. This policy is applicable to all officials or employees of the City working in any capacity with any proposed or funded grant involving the City.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Finance, and all City Agencies

IV. POLICY STATEMENT

No officer or employee of the City shall have any interest, financial or otherwise, direct or indirect, or have any arrangement concerning prospective employment that will, or may be reasonably expected to, bias the design, conduct, or reporting of a grant funded project on which he or she is working.

V. PROCEDURE

It shall be the responsibility of the Grant Project Manager for each particular grant funded project to ensure that in the use of project funds, officials or employees of the

City and nongovernmental recipients or sub-recipients shall avoid any action that might result in, or create the appearance of:

1. Using his or her official position for private gain
2. Giving preferential treatment to any person or organization
3. Losing complete independence or impartiality
4. Making an official decision outside official channels
5. Affecting adversely public confidence in the grant funded program in particular and the City in general

Any violation of this statement for City employees is governed by Administrative Regulations Section I, A.R. Number 1.5 “Code of Ethics”.

VI. DEFINITIONS

Conflict of Interest – An officer or employee of the City acting or appearing to act on behalf of someone other than the City; or in carrying out duties has or appears to have a self interest from which a personal profit or gain is realized or that is actually or potentially adverse to the best interests of the City

Official - Any person appointed or elected to an office, position, committee, or commission of the City of Richmond, whether or not he or she receives compensation.

VII. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

Subject: Roles and Responsibilities	Number: 1.2
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 1.2

I. PURPOSE

The purpose of this policy is to establish the roles and associated responsibilities of the various City of Richmond Agencies involved in the grant process.

II. SCOPE

The following rules shall govern responsible parties for activities surrounding the submittal, implementation, maintenance, reporting and other related duties for grant funded projects by or on behalf of the City of Richmond. The full development of a project requires the assistance and support from all affected parties. Roles are addressed herein for:

- Office of the Mayor
- Department of Budget and Strategic Planning
- Department of Finance
- The Department of Procurement Services
- Office City Attorney
- All City Agencies that apply for or receive grant funds

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Finance, Department of Procurement Services, Office of the Attorney, Office of the Mayor, and All City Agencies

IV. POLICY STATEMENT

City Agencies and their staff that occupy positions of responsibility with respect to grant activity have specific roles and responsibilities that they shall perform and uphold both ethically and in the best interests of the City of Richmond.

V. PROCEDURE

1. Office of the Mayor

The Chief Administrative Officer has sole responsibility for approving external funding for projects and programs that involve negotiation and finalizing budgets. Therefore, the Chief Administrator or his or her designee has the sole authority to authorize, through signature, the submission of grant proposals, the acceptance of grant awards, and the execution of grant contracts and grant agreements.

Grant proposals often require the name and contact information for the “Project Administrator” or a similar title representing the senior authority for the City of Richmond. In these cases the name and requested information of the Chief Administrative Officer shall be provided.

2. Department of Budget and Strategic Planning

The Department of Budget and Strategic Planning, through its Grants Division (henceforth the Budget Grants Office), serves as a clearing-house or focal point of grant activity that can generate reporting and tracking of grant submittals, awarded grants, identification of Grant Project Manager, and grant reporting requirements. The Budget Grants Office is responsible for general oversight of the City’s grant activities. Therefore all grant activity (Federal, State, Local, Non- Profit, and Private) must be routed through the Budget Grants Office in accordance with this policy and procedure manual. Additional responsibilities of the Budget Grants Office include strategic grant planning, training of internal customers, promotion of grant opportunities, technical assistance, grant writing, maintenance of informational web pages, identifying and investigating issues that may arise with respect to the management of City grants, and mediation towards collaborative grant submittals between internal/external Agencies, organizations, and individuals. Other responsibilities are indicated throughout this manual.

The Department of Budget and Strategic Planning, through its Budget Analysis Division, is responsible for creating an Agency’s financial accounting code in accordance with City Council’s Adopted Ordinance. An account code set-up by Budget gives an Agency authorization to obligate their approved funding.

3. Department of Finance

The Department of Finance, through its of Grants and Special Revenue Division (henceforth the Finance Grants Unit), is responsible for the oversight of grant related financial activity. In this role, the Finance Grants Unit establishes a specific account in the “Grants Special Revenue Fund” for each grant as appropriate, review of financial reports generated by recipient Agencies, establishing and maintaining a master file for each grant received by the City, identifying and investigating issues that may arise with respect to the management of City grants, and general oversight of other grant related issues. Other responsibilities are indicated throughout this manual.

Grant proposals often require the name and contact information for the “Finance Officer” or a similar title representing the City’s senior financial authority. In these cases the name and requested information of the Chief Financial Officer shall be provided.

4. The Department of Procurement Services

The Department of Procurement Services processes purchase orders according to the grant agreement, federal laws and regulations, and City policy and regulations. All other activities related to procurement, including funds received as a grant, must follow Chapter 74 of the Richmond Municipal Code titled “Public Procurement” and the general policy and procedures maintained by Procurement Services. Grants’ project managers must keep in mind that they are ultimately responsible to adhere to the stipulations from the approved award/contract to ensure that allowable expenditures are conducted.

5. Office of the City Attorney

Grant agreements are different from many other contracts in that there is little or no negotiation involved. In the vast majority of circumstances the City will either sign the agreement or decline the award. Despite the City’s lack of bargaining power in this regard, it is nevertheless prudent to conduct a legal review of grant agreements to ensure that all of the terms of the agreement are legally enforceable. The Office of the City Attorney shall review the terms and conditions of the award as the initial step in the O&R process. O&R requests to accept and appropriate the grant funds shall be accompanied by a copy of the grant agreement or award letter that delineates the terms and conditions of the grant.

6. City Agencies

City Agencies are responsible for all aspects of the grant process including planning for grant acquisition, preparation and submitting grant proposals, preparing Ordinance and Resolution requests to accept funds, developing grant implementation plans, managing grant programs, preparing and submitting reports to grantors, and properly closing out grant projects, as detailed throughout this manual. The internal organization of agency grant staff and their relationships with the Departments of Budget and Strategic Planning and Finance, with respect to grant activity, is defined and formalized through the mechanism of a Service Level Agreement between the Agency and the Chief Financial Officer.

Grant proposals often require the identification of a “Project Director” or a similar title representing the senior position over the Agency that will perform the grant initiative. In these cases the name and requested information of the Agency head shall be provided.

VI. DEFINITIONS

Service Level Agreement (SLA) - A formal written agreement made between two parties: the service provider and the service recipient. The SLA itself defines the basis of understanding between the two parties for delivery of the service itself.

VII. POLICY OWNER

The Department of Budget and Strategic Planning, in consultation with the Department of Finance, the Department of Procurement Services, the Office of the City Attorney, and the Office of the Mayor, is responsible for modifications to this Policy.

Subject: Grant Tracking Form	Number: 1.3
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

I. PURPOSE

The purpose of this policy is to provide a single document for capturing authorization initials and signatures and an efficient and effective method to allow the City to capture pertinent information for the purpose of entering grant data into the City’s Grant Management System and assessing grant applications from a fiscal impact perspective and how they align with City priorities.

II. SCOPE

This policy is applicable to City Agencies that seek grant funding.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning and all City Agencies

IV. POLICY STATEMENT

A Grant Tracking Form shall accompany pre-applications, applications, award acceptance notifications, and amendment notifications that are submitted to the Grants Budget Office.

V. PROCEDURE

1. Complete a Grant Tracking form and check the appropriate box at the top of the form when submitting a pre-application, application, award notification, or modification notification to the Grants Budget Office. Electronic copies of the Grant Tracking Form in pdf and Excel formats can be found on StarNet by pressing the Information tab, selecting Forms, and selecting the preferred Grant Tracking Form in the Budget section. The Grant Tracking Form includes instructions describing how to complete it. A copy of the Grant Tracking Form can be found in Appendix B.

VI. DEFINITIONS

N/A

VII. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

Subject: Letter of Support Requests from External Organizations	Number: 1.4
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

I. PURPOSE

External organizations frequently seek support from the City for a grant application they intend to submit to a grantor. Requests for such support often are made to Agency staff or directors who may be unaware of whether other City Agencies are competing for the same grant opportunity. Additionally, there may be other reasons why it would not be in the City’s interests to provide support. The purpose of this policy is to establish a process and standards for providing a letter of support for a grant application to external organizations.

II. SCOPE

This policy is applicable to City Agencies.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning and all City Agencies

IV. POLICY STATEMENT

Letters of support for a grant application prepared by an external entity, and for which the City is not a collaborating partner, shall be authorized by the appropriate Deputy Chief Administrative Officer and approved in writing by the CAO through the Budget Grants Office before it can be provided to the requesting organization.

V. PROCEDURE

1. Upon receiving a request from an external organization for a letter of support for a grant application it intends to submit to a grantor, an Agency must decide whether to support the request.
2. If the Agency decides not to support the request, the external organization should be notified in writing that the City will not provide a letter of support.
3. If the Agency supports the request, the Agency director must inform the appropriate Deputy Chief Administrative Officer (DCAO), or other CAO designee, of the request and justify the Agency’s position regarding support, including a discussion of whether the mission and activities of the requesting organization, and the proposed project the letter would support, are consistent with City priorities, and whether the proposed project or the letter of support has the potential for future obligations by the City. The Agency must also provide a draft letter of support for consideration.

4. If the DCAO decides that a letter of support is warranted, a request for authorization by the CAO should be submitted through the Budget grants Office. The Budget Grants Office will review the request, including a comparison of the request to pre-applications received by City Agencies to ensure that the City is not in competition for the same grant opportunity. The Budget Grants Office will submit the request to the CAO for authorization along with a recommendation.
5. The CAO or designee will either approve or not approve. If approval is granted, the letter of support can be provided to the external organization. If approval is denied, the external organization should be notified by the Agency in writing that the City will not provide a letter of support.

VI. DEFINITIONS

N/A

VII. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

Subject: Grants Management Database	Number: 1.5
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

I. PURPOSE

The Grants Management Database is a tool to assist in the management of grants awarded to the City; improve coordination; enhance oversight; and provide a snapshot of the current Citywide grant landscape. The purpose of this policy is to describe the use of the Grants Management Database and to establish the responsibilities for entering the required grant related data, along with requirements for maintaining and updating that data.

II. SCOPE

This policy is applicable to City Agencies that seek grant funding.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Finance, and all City Agencies

IV. POLICY STATEMENT

A grant record shall be created in the Grants Management Database for each grant awarded to the City. Each grant record shall include all information requested in the Grants Management Database as applicable to the associated grant, including the due dates of all required reporting, relevant information from the Implementation Plan, and completion dates of all tasks and deliverables. Each grant record shall be updated upon any change to the status of the grant and/or the information previously entered.

V. PROCEDURE

1. Upon receipt of a Pre-Application Grant Tracking Form, the Budget Grant Office will enter the available information into the Grants Management Database and conduct a check of the database to determine if there is another record of intent to submit an application for the same grant opportunity.
2. Upon receipt of an Application Grant Tracking Form or Award Acceptance Grant Tracking Form, the Budget Grant Office will enter the available information into the Grants Management Database.
3. Upon completion of a Grant Implementation Plan, the recipient Agency shall enter the relevant data into the Grants Management Database, including completion dates of all tasks and deliverables.

4. Upon completion of each task and deliverable identified in the Grants Management Database, the recipient Agency must indicate its completion in the Grants Management Database, which will be date and user I.D. stamped.
5. Upon any change to the status of a grant and/or information previously entered into the Grants Management Database, the recipient Agency shall update the associated grant record.

VI. DEFINITIONS

N/A

VII. POLICY OWNER

The Department of Budget and Strategic Planning, in consultation with the Department of Finance, is responsible for modifications to this Policy.

Subject: Internally Competing Applications	Number: 1.6
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

I. PURPOSE

Grantors generally will not consider any proposal from a jurisdiction if that jurisdiction has submitted more than one proposal during the same funding round. Thus it is imperative that the potential for multiple submissions to the same grantor during the same funding round is resolved. The purpose of this policy is to identify the procedure for resolving such conflicts

II. SCOPE

This policy is applicable to City Agencies that seek grant funding.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Finance, and all City Agencies

IV. POLICY STATEMENT

The City shall not submit multiple grant applications to the same grantor during the same funding round unless explicitly allowed by the grantor. In the event that multiple Agencies intend to submit an application to the same grantor during the same funding round, and the grantor will not accept more than one application from the City, the Chief Administrative Officer shall be the final arbiter of which Agency will submit the application.

V. PROCEDURE

1. Upon identifying the potential for the submission of multiple grant applications to the same grantor during the same funding cycle, the Budget Grants Office shall seek to determine whether the grantor permits multiple submissions. If the grantor allows multiple submissions the Agencies in question may continue the application process.
2. If the grantor does not allow multiple submissions, the Budget Grants Office Shall meet with the agencies in question and seek to determine whether a collaborative approach is feasible. If a collaborative approach is feasible, a joint application can then be pursued.
3. Should a collaborative approach prove infeasible, the Grants Budget Office shall convene and facilitate meeting of the Budget Analysts for the Agencies in

question. The Budget Analysts for the Agencies in question shall work together to determine a solution that is in the best interests of the City and then make a joint recommendation to the Chief Administrative Officer.

4. In the event that the Budget Analysts for the Agencies in question cannot arrive at an agreed upon solution, competing recommendations will be presented to the Chief Administrative Officer.
5. The Chief Administrative Officer shall take the recommendation(s) into consideration and make the determination of which Agency shall submit the application.

VI. DEFINITIONS

N/A

VII. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

Subject: Grants.Gov Registration	Number: 1.7
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

I. PURPOSE

Many Federal grant programs have the requirement or option of submitting grant applications through the Grants.Gov Internet website. In order to submit Federal grant applications through Grants.Gov, the individual submitting the application must be an Authorized Organizational Representative. The purpose of this policy is to identify the procedure for registering as an Authorized Organizational Representative with grants.gov.

II. SCOPE

This policy is applicable to City Agencies that seek grant funding.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning and all City Agencies

IV. POLICY STATEMENT

Federal grant applications submitted through Grants.Gov require the individual submitting the application to be an Authorized Organizational Representative. Authorization can only be granted by the City's E-Business Point of Contact who is registered with the Federal government's Central Contractor Registry. All grant applications submitted through grants.gov shall comply with the standard policies and procedures for submission of grant applications as described in Section 3 of this manual.

V. PROCEDURE

1. In to submit a grant application through grants.gov the individual submitting the grant must be an Authorized Organizational Representative (AOR). In order to be registered as an AOR go to www.grants.gov and follow the instructions describing how to prepare to apply for grants through Grants.Gov. The AOR registration process has three steps that must be taken in order as follow:
 - a) Registration with the Credential Provider
 - b) Registration with Grants.Gov
 - c) Authorization as an AOR by the City's E-Business Point of Contact

Note: It is important to register as an AOR well in advance of the grant submission due date to avoid last minute problems that could cause the deadline to be missed.

2. Once registration with the credential provider and with Grants.Gov has been completed, an e-mail will be sent to the City’s E-Business Point of Contact in the Budget Grants Office. The E-Business Point of Contact for the City is the Grant Coordinator and the Alternate E-Business Point of Contact is the Director of Budget and Strategic Planning.
3. The E-Business Point of Contact will authorize the request on a case-by-case basis.
4. All grant applications submitted through grants.gov must comply with the standard policies and procedures for submission of grant applications as described in Section 3 of this manual.
5. Once authorized, the AOR has the authority to electronically sign grant applications and the required certifications and/or assurances that are necessary to fulfill the requirements of the application process. **Any grant submitted by an AOR through Grants.Gov must have the written approval of the City’s Chief Administrative Officer or his or her designee.**

VI. DEFINITIONS

Authorized Organizational Representative (AOR) - An AOR is authorized to submit grants through Grants.Gov on behalf of the City. AORs have the authority to electronically sign grant applications and the required certifications and/or assurances that are necessary to fulfill the requirements of the application process. Any grant submitted by an AOR through Grants.Gov must have the written approval of the City’s Chief Administrative Officer or his or her designee.

VII. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

SECTION TWO

Grant Planning

Subject: Strategic Grant Seeking Plan	Number: 2.1
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 1.4

I. PURPOSE

In order to coordinate the City’s grant activities effectively the Budget Grants Office must have knowledge of prioritized Agency needs for the various Agencies that potentially can be met through grants. This knowledge will allow the Budget Grants Office to coordinate common needs among Agencies, plan for submission of proposals to regular cyclical grant opportunities, and be pre-positioned to assist the Agencies in the submission of proposals to those opportunities when they arise. Finally, such knowledge would allow the Budget Grants Office to identify the potential for parallel or redundant submissions, as well as areas for potential collaboration among Agencies. The purpose of this policy is to promote a strategic approach to grant seeking and to enhance the City’s ability to coordinate grant activity on a Citywide scale.

II. SCOPE

This policy is intended to provide an annual overview of Agency-level needs that have the potential for being met through grant funding, and is applicable to City Agencies that seek grant funding.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning and all City Agencies

IV. POLICY STATEMENT

Each City Agency that seeks grant funding shall undergo an annual strategic planning process for grant acquisition coordinated through the appropriate Deputy Chief Administrative Officer or other CAO designee and produce a prioritized list of Agency needs that can potentially be met through grant funding. Budgets and narrative statements should then be developed for each of the needs, as should goals and objectives that, once achieved, will address the identified need.

V. PROCEDURE

1. The Deputy Chief Administrative Officer (DCAO) for each portfolio of agencies, or other CAO designee, shall determine how strategic planning is to be conducted by subordinate Agencies. Ideally, coordination of grant planning through the DCAOs will mitigate the potential for internally competing applications by disseminating DCAO priorities across portfolio agencies.
2. The Annual Strategic Grant Seeking Plan should be based on an Agency needs assessment, which identifies needs that can potentially be met through grant funding.
3. The identified needs should be prioritized and a timeframe assigned to them, indicating whether they are short-term or long-range priorities.
4. Annually or periodically recurring grant opportunities can then be matched to the prioritized list of needs and a schedule for producing grant applications should be developed.
5. Goals and measurable objectives should be identified that, once met, will address each identified need.
6. Narratives should be developed to describe how the goals and objectives for each need will be achieved, including a description of activities, personnel, equipment, facility, and other resources that will be required.
7. Budgets should be developed to determining the funds required to meet each need, the City funds available, and the existing funding gap that potentially could be met through grant funds.
8. Match identified needs and their solutions with grant opportunities that arise on a regular basis and be pre-positioned to submit an application once the Notice of Funding Availability is published.

VI. DEFINITIONS

Goal - The term “goal” is frequently (incorrectly) used interchangeably with “objective,” but these terms are not synonyms. While a goal is more focused than a broad mission/purpose statement in its description of desired ends or outcomes to be achieved, it is usually not measurable as objectives must be.

Objective - Statements of precise measurable outcomes that will be achieved within a specific time frame during the project period. They are statements of an end result sought which contain the criteria for measuring the results, the specific target population, and the time frame for achieving the objectives.

VII. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

SECTION THREE

Pre-Award

Subject: Pre-Application	Number: 3.1
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

VIII. PURPOSE

The purpose of this policy is to encourage the pursuit of grant opportunities that support the City’s strategic priorities, while assuring that possible costs to the City are identified and weighed as early as possible.

IX. SCOPE

This policy is applicable to City Agencies that seek grant funding.

X. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning and all City Agencies

XI. POLICY STATEMENT

All grant applications shall be preceded with a completed Pre-Application Grant Tracking Form to be submitted to the Budget Grants Office.

XII. PROCEDURE

1. The Agency preparing a grant application to be submitted by the City must prepare and submit a Pre-Application Grant Tracking Form (Appendix B) to the Budget Grants Office as early in the process as possible. In practical terms, this can be done well before the application period begins; as soon as the program is developed and the funding opportunity is identified.
2. The Budget Grants Office and the Agency’s assigned budget analyst in the Department of Budget and Strategic Planning will conduct a pre-application assessment. Any potential issues or problems identified will be brought to the attention of the preparer immediately. During the pre-application assessment, the following Financial and Programmatic factors will be evaluated by Budget Grants Office and Budget staff:

Financial

- Total anticipated project cost
- Match requirements and sources
- Staffing requirements (including salary and benefits increases for multi-year grants)
- Documentation of a clear continuation plan

It is required that Agencies develop continuation plans (plans for sustaining grant funded programs should funding be reduced or terminated) prior to applying for grants, which reflect the potential for loss of funding and the subsequent loss of grant funded positions or program components. Agencies must plan responsibly for either termination or reduction of the program or seek to secure alternative sources of funding. The requirement that Agencies have a continuation plan reflects the understanding that most grants are temporary.

Programmatic

- Alignment with City leadership’s strategic priorities
- Alignment with the Agency’s strategic grant seeking plan
- Provision or expansion of services to address critical needs
- Agency’s capacity to administer the financial and administrative aspects of the grant

XIII. DEFINITIONS

None

XIV. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

Subject: Application	Number: 3.2
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 1.6 A & B

I. PURPOSE

The purpose of this policy is to ensure that each grant application submitted by or on behalf of the City is aligned with an established City priority, meets the City’s expectations of document quality, has matching funds available if required by the grantor, and that the means for continuation of the project or program after the grant period ends has been given realistic consideration.

II. SCOPE

This policy is applicable to City Agencies that seek grant funding through submission of a grant application or proposal.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning and all City Agencies

IV. POLICY STATEMENT

Final grant applications shall be submitted to the Budget Grants Office, accompanied by a completed Grant Application Tracking Form. The completed grant Application Tracking Form shall be signed by the Agency Head or designee and initialed by the Grant Coordinator or designee and the Agency’s Budget Analyst prior to submission for Authorizing Signature.

V. PROCEDURE

1. Final grant applications must be submitted, accompanied by a completed Grant Application Tracking Form (Appendix A) signed by the Agency head, for review by Budget Grants Office staff five business days prior to the day the application will be sent via U.S. mail, a courier service, electronically submitted, or hand delivered.
2. The applications must be clearly labeled at each location that requires a signature with “sign here” adhere label. In the case of electronically submitted grant applications, a hardcopy of the electronic application must be submitted in the same manor as hardcopy grant applications and written authorization from the authorizing authority be obtained in lieu of a signed signature page.
3. Budget Grants Office staff will review final proposals to ensure that they reflect the pre-application assessment and meet the City’s expectations of document quality.

4. The Agency’s budget analyst will review the proposal to ensure that any match required of the City is available.
5. The signed application will then be returned to the Agency by the Budget Grants Office for submission.
6. All Grant Application Tracking Forms must be signed by the Agency head and initialed by the grant coordinator and budget analyst prior to submission to the Chief Administrator’s Office for Authorizing Signature

VI. DEFINITIONS

None

VII. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

Subject: Approval to Submit Application	Number: 3.3
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 1.6 C

I. PURPOSE

The Chief Administrative Officer has the sole authority to authorize the submission of applications for funding on behalf of the City. As such, it is critical the he or she is fully informed about the nature and purpose of that which he or she is being asked to authorize. The purpose of this policy is to (1) provide the Chief Administrative Officer with the information and assurance that he or she will need to make an informed decision; and (2) ensure that each grant application submitted by or on behalf of the City is formally authorized by the Chief Administrative Officer prior to submission.

II. SCOPE

This policy is applicable to City Agencies that have prepared a grant proposal and are seeking official authorization to submit it to the funder.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Chief Administrator’s Office, and all City Agencies

IV. POLICY STATEMENT

The Chief Administrative Officer or his/her designee shall have the sole authority to approve proposals to be submitted to funding sources. There are no exceptions to this requirement.

V. PROCEDURE

All grant proposals and applications submitted by or on behalf of the City, whether submitted to the granting entity electronically or as hardcopy, require authorization by signature of the Chief Administrative Officer or his or her designee prior to submission.

1. Grant applications must be submitted to the Chief Administrator’s office by Budget Grants Office staff five business days prior to the date of submission. If it is received in the Chief Administrator’s office less than five business days prior to the date of submission, it may not be reviewed by the CAO in time to meet time submission date requirement.
2. Budget Grants Office staff will prepare a memorandum with a synopsis of the application and initial the Grant Application Tracking Form, both of which will

be forwarded along with the application to the Chief Administrative Officer for signature.

3. Once the authorizing signature has been obtained, Budget Grants Office staff will make a file copy of the application and authorization, and then inform the submitting Agency that the application has been authorized and is ready for submission.

VI. DEFINITIONS

None

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Chief Administrator's Office is responsible for modifications to this Policy.

SECTION FOUR

Award Acceptance

Subject: Award Notification	Number: 4.1
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 2.1 A

I. PURPOSE

The purpose of this policy is to ensure that all relevant Agencies are made aware of award notices in a timely fashion.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that receive grant awards.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning and all City Agencies

IV. POLICY STATEMENT

Chief Administrator’s Office, Budget Grants Office, and receiving Agency shall be provided with copies of each award notice received by the City within two days of their receipt.

V. PROCEDURE

1. All award notices received by Chief Administrator’s Office shall be date stamped, duplicated, and the original forward to the recipient Agency with a copy to the Budget Grants Office within two days of receipt.
2. Upon receipt of an original award letter, the Budget Grants Office shall date stamp, make a duplicate copy, and make the original available to the recipient Agency, with a copy to the Chief Administrative Officer.
3. All Agencies that receive an original award letter shall date stamp, duplicate, and forward duplicates to the Budget Grants Office and the Chief Administrative Officer within two days of receipt.

VI. DEFINITIONS

None

VII. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

Subject: Award Review	Number: 4.2
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 2.1 B

I. PURPOSE

The purpose of this policy is to standardize the procedure for, and document the acceptance or decline of, grant awards made to the City.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that receive grant awards.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning and all City Agencies

IV. POLICY STATEMENT

A completed Award Acceptance Grant Tracking Form shall be submitted to the Budget Grants Office, accompanied by copies of the award notification, the grant agreement or contract, and any memoranda of understanding. Any negotiated changes shall be clearly articulated and attached to the Award Acceptance Grant Tracking Form.

V. PROCEDURE

1. Once the award letter has been delivered to the recipient Agency, the Agency is responsible for reviewing the document to assure that all conditions required by the Grantor can be fulfilled.
2. If the review is positive, the recipient Agency must submit an Award Acceptance Grant Tracking Form to the Budget Grants Office, accompanied by copies of the grant agreement or contract and any memoranda of understanding.
3. In the event that funds awarded by the granting entity are reduced from those requested in the original grant application, the recipient Agency must ensure that the goals, objectives, and evaluative components can still be accomplished.
4. If the review has been negotiated to the Agency's satisfaction, the Agency must request that the grantor provide the changes in writing. When the changes have been received in writing from the grantor, the Agency must submit an Award Acceptance Grant Tracking Form to the Budget Grants Office, accompanied by copies of the grant agreement or contract, any memoranda of understanding, and written changes from the grantor.

5. If the review is negative, then the recipient Agency must prepare a letter from the Chief Administrative Officer to the granting entity declining the award and carbon copy the letter to the Budget Grants Office. The letter should express the City's regret in declining the award and clearly articulate the specific reason(s) the award is being declined.

VI. DEFINITIONS

None

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Chief Administrator's Office is responsible for modifications to this Policy.

3. The O&R request must be accompanied by a copy of the award letter and grant agreement.
4. Once the City Council has acted on the O&R, the recipient Agency must notify the Budget Grants Office of the Council's action and the associated O&R number.

VI. DEFINITIONS

O&R (Ordinance or Resolution) - A formal legislative enactment by the City Council that has the full force and effect of law within the boundaries of the City.

VII. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

Subject: Attorney Review	Number: 4.4
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

I. PURPOSE

Grant agreements are legal contracts and, therefore, it is prudent to conduct a legal review of them. The purpose of this policy is to ensure that that all of the terms and conditions of grant agreements to which the City is a party are legally enforceable.

II. SCOPE

This policy is applicable to the Office of the City Attorney, with respect to the acceptance of grant awards that are part of an O&R request, and all City of Richmond Agencies that have submitted and O&R request to accept grant funds.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, the Office of the City Attorney, and all City Agencies

IV. POLICY STATEMENT

The Office of the City Attorney shall conduct a legal review of grant agreements to assess whether the terms and conditions of the agreement are legally enforceable prior to forwarding an O&R request to City Council for action.

V. PROCEDURE

1. The Office of the City Attorney shall conduct a legal review of the grant agreement
2. If the legal review identifies any potential legal issues stemming from the terms and conditions of the agreement, the submitting Agency must contact the granting entity and seek to resolve the potential legal issue. If a resolution cannot be reached, the submitting Agency must prepare a letter from the Chief Administrative Officer to the granting entity to decline the award and carbon copy the letter to the Budget Grants Office.
3. If the legal review identifies no potential legal issues stemming from the terms and conditions of the agreement, the Office of the City Attorney may submit the O&R to City Council for consideration.

VI. DEFINITIONS

Terms and Conditions - Requirements imposed on a grant recipient by a Grantor.

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Office of the City Attorney is responsible for modifications to this Policy.

Subject: Approval to Accept Award	Number: 4.5
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 2.2 C

I. PURPOSE

The City carries a significant legal and ethical responsibility when accepting grant funding. It is the City’s responsibility to carry out the project and/or activities associated with a grant to their full extent, while adhering to all of the terms and conditions prescribed by the Grantor. Failure to do so increases the City’s exposure to legal liability and compromises current and future grant funding. The purpose of this policy is to ensure that acceptance of each award granted to the City is formally authorized by the Chief Administrative Officer.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that have received a grant award.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning and all City Agencies

IV. POLICY STATEMENT

All contractual material shall be signed by the Chief Administrative Officer or his or her designee before the acceptance of the award is officially sanctioned by the City.

V. PROCEDURE

The Chief Administrative Officer will sign the grant agreement or contract only after:

1. The award letter, which is a contractual agreement, has been reviewed and endorsed by Agency receiving the grant and a memo to that effect has been submitted to the Chief Administrative Officer
2. An O&R request has been submitted to and approved by the City Council
3. The Chief Administrative Officer approves the intent of the grant and contractual conditions
4. The adopted ordinance (approved by City Council) states that, “the Chief Administrative Officer is authorized to accept a grant to the City of Richmond, Virginia for the given dollar amount and on behalf of the respective Agency.”

5. The grant agreement or contract have been submitted to and reviewed by the Budget Grants Office and forwarded to the Chief Administrative Officer

VI. DEFINITIONS

None

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Chief Administrator's Office is responsible for modifications to this Policy.

SECTION FIVE

Post Award Grant Management

INTRODUCTION

Once grant funding has been awarded, the work of project implementation begins. The Agency receiving the award must focus on the implementation, monitoring, and evaluation of the grant funded program. Those charged with managing the program must work to ensure that they maintain high standards, achieve their stated goals and objectives, meet agreed upon deadlines, stay within budget, expend funds as required, comply with the granting entity’s terms and conditions, maintain appropriate records, meet financial and programmatic reporting requirements, and communicate results. Oversight of this process is critical to ensure that the interests and responsibilities of the City are met. Grants Management entails the establishment of standard operating procedures and clear, regular communication by the Agency with the Departments of Budget and Finance about the status of the grant funded project and required communication the granting entity.

Subject: Grant Implementation Plan	Number: 5.1
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

I. PURPOSE

To facilitate the successful completion of a grant funded project. The Grant Implementation Plan will serve as a guide for the recipient Agency and as an oversight tool for the Budget Grants Office and the Finance Grants Unit.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that have been awarded grant funds.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning and the Department of Finance and all City Agencies

IV. POLICY STATEMENT

All City Agencies that receive grant funding shall develop a Grant Implementation Plan that identifies the goals and objectives to be achieved, the project timeline, milestone events, an anticipated expenditure schedule, roles and responsibilities, and takes into account grantor terms and conditions. Agencies with work plans that provide the same information for a specific grant can use it as an implementation plan.

V. PROCEDURE

1. Upon notification of a grant award, the recipient Agency shall convene an implementation planning process to include Agency grant management and accounting staff, key project staff, and any other key individuals. If there already exists a work plan with sufficient detail about the specific grant to include the required information in number two below, it can take the place of an implementation plan.
2. The Grant Implementation Plan shall have the following elements:
 - i. Project overview
 - ii. Project goals and objectives
 - iii. Identification of activities and dates (see Appendix C for a sample activity and responsibility matrix)

- iv. Identification of roles and associated responsibilities
 - v. Anticipated expenditure schedule
 - vi. Evaluation matrix that identifies the measurable objectives, the metrics used to measure them, the anticipated completion date, and fields to enter the actual completion date and outcome measure (see example in Appendix D)
3. The recipient Agency shall forward copies of the Grant Implementation Plan to the Budget Grants Office and Finance Grants Unit upon its completion.

VI. DEFINITIONS

None

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Department of Finance is responsible for modifications to this Policy.

Subject: File Management	Number: 5.2
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 2.3

I. PURPOSE

To establish standardized file management practices. It is important that file management is consistent for all grants across all agencies. Standardized file management protocols allow for a smooth transition during changes in personnel, instill confidence in granting entities during site visits, expedite reviews by Budget Grants Office and Finance Department staff, and ease the audit process.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that have been awarded grant funds.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, the Department of Finance, and all City Agencies

IV. POLICY STATEMENT

All City Agencies shall maintain a file format for grant related documents to include separate sections for document associated with submittal, research, award, finance, and reports, with clear separation between fiscal years unless otherwise directed by the grantor. The grantor's preferred file structure shall always take precedence.

V. PROCEDURE

1. File Structure

All Agency and master files associated with a grant award must include the following five sections with clear separations between different fiscal years, unless otherwise directed by the grantor:

- i. Submittal (e.g., application guidance and a copy of the application)
- ii. Research (e.g., statistical and other information used in preparation of and support of the grant)
- iii. Award (e.g., award letter, O&R, grant agreement, and anything else relating to the award)
- iv. Finance (e.g., account set up, purchase orders, invoices)
- v. Reports (e.g., reports to granting entity and evaluation components)

2. File Retention

The City of Richmond maintains records for at least five years following the closure of their most recent audit report. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the five-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular five-year period, whichever is later. Grantors may require retention periods in excess of five years.

3. Coverage

The retention requirements extends to books of original entry, source documents supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, cancelled checks, and related documents and records. Source documents include copies of all awards, applications, and required recipient financial and narrative reports. Personnel and payroll records shall include the time and attendance reports for all individuals reimbursed under the award.

4. File Maintenance

Recipient Agencies are also obligated to protect records adequately against loss, theft, fire or other damage.

5. Access to Records

The granting entity, Federal Agencies, the Comptroller General of the United States, or any of their authorized representatives, City of Richmond Chief Administrator's Office, Agency Heads, Finance Grants Unit, City Attorney, City Auditor, Budget Grants Office and/or any other legally authorized party shall have the right of access to any pertinent records in order to make audits, examinations, excerpts, and transcripts.

VI. DEFINITIONS

None

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Department of Finance is responsible for modifications to this Policy.

Subject: Special Revenue Fund	Number: 5.3
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 3.1 & 3.2 B

I. PURPOSE

To outline the accounting requirements for receiving and expending grant funds.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that have been awarded grant funds.

III. ORGANIZATIONAL UNITS

Department of Finance and all City Agencies

IV. POLICY STATEMENT

All revenue accepted by the City of Richmond in the form of a grant shall be established as a Special Revenue Fund, with the exception of awards to fund capital projects adopted by the Capital Improvement Plan, or unless otherwise directed by the Chief Financial Officer.

V. PROCEDURE

1. Upon formal acceptance of a grant award through the O&R process and execution of a grant agreement or contract by the CAO, the recipient Agency must complete a New Fund/Organization Request Form and submit it to the Finance Grants Unit and dictate whether or not the account is to be interest bearing (a copy of the New Fund/Organization Request Form can be found in Appendix F). The New Fund/Organization Request Form must include the following information:
 - i. Grant Name (The name may be the title given to the grant program, and/or it may be assigned by the grantee. Please include both if applicable)
 - ii. Grant Number (The number may be a Federal, State, or local agency's identification used as their internal tracking. Some organizations, especially nongovernmental rely on the "Grant Name" to serve this purpose.)
 - iii. The City's Internal Tracking Number assigned by the City's Grants Management Database
 - iv. Grantor Name (indicate if funds are Federal, State, or local and the granting entity's name)
 - v. Grant Period (indicate the beginning and ending project period)
 - vi. Grant Fiscal Year (the City of Richmond Fiscal year is July 1 to June 30).
 - vii. Copy of approved budget from the grantor
2. The Finance Grants Unit will review the grant award or contract documents provided by the Agency to establish interest bearing accounts, if applicable, a

fund number, new org numbers, if needed, with expense and revenue object codes and funding sources.

Note: The Department of Budget and Strategic Planning has defined the structure of the Appropriation Unit.

3. Once the Special Fund Account has been established, Expenditure Budget (EB) forms and Revenue Budget (RB) forms must be prepared and forwarded to the Finance Grant Unit. (See Appendix E for a sample EB/RB form.)

Note: In some cases an Agency may need to create a new object code or “appropriation unit” for the amount added by the EB. Each Agency financial data entry staff member should be able to advise if this is relevant, otherwise the Agency should contact the Budget Analyst assigned to it. This activity limits the cumulative expenditures in a grouping of object codes that allow Agencies to control the amount of money expended in certain types of expenditures (e.g., personnel, supplies, equipment). It is necessary to call the Department of Budget and Strategic Planning to obtain an appropriation unit number before data entry is performed.

4. The Finance Grants Unit reviews the information to ensure funds have been successfully approved and then forwards the EB to the Department of Budget and Strategic Planning for system approval. The Agency Budget Analyst in the Department of Budget and Strategic Planning may advise the Agency of additions or changes prior to approval.
5. The Finance Department “certifies” that revenues have been received and thus can be appropriated by subsequent EBs, which will need Budget Approval.

VI. DEFINITIONS

Capital Improvement Plan (CIP) - A financial plan or budget that outlines spending for capital projects such as buildings, parks, streets, etc., and their financing sources.

EB (Expenditure Budget) Forms - An EB is the method of modifying the expense budget in the City of Richmond accounting system.

Object Codes - A budgetary account representing a specific object of expenditure.

Org (Organization) Numbers - Agencies are typically divided into organizations based on the types or geographic location of services offered by the agency. Each organization has an identifying number associated with it used for accounting purposes.

RB (Revenue Budget) Form - An RB is the method of modifying the revenue budget in the City of Richmond accounting system.

Special Revenue Fund - Fund(s) used to account for the proceeds of specific revenue sources that are legally restricted to expenditures for specified purposes.

VII. POLICY OWNER

The Department of Budget and Strategic Planning is responsible for modifications to this Policy.

Subject: Budget Modifications	Number: 5.4
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

I. PURPOSE

To identify the process of modifying a budget associated with a grant funded project.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that have been awarded grant funds.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Finance, and all City Agencies

IV. POLICY STATEMENT

Modifications to the budget associated with a grant funded project in such a way that will alter the grant amount or move funds from one budget line item to another, shall require prior approval of the Department of Budget and Strategic Planning and approval from the grantor or as per the grantor’s terms and conditions.

V. PROCEDURE

If a need arises to modify the budget associated with the grant funded project, the Grant Project Manager must:

1. Request approval for the modification from the Agency’s Budget Analyst in the Department of Budget and Strategic Planning.
2. If approval is granted by the Budget Analyst, request a budget modification from the grantor. If the grantor provides verbal approval, the recipient Agency must follow-up with written verification and submit hard copies of the approval to the Budget Grants Office and Finance Grants Unit.
3. If approval is provided in writing from the grantor, an Expense/Revenue Budget Appropriation Form must be submitted with proper documentation and support (especially payroll expenses).

VI. DEFINITIONS

None

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Department of Finance is responsible for modifications to this Policy.

Subject: Receipt of Grant Funds	Number: 5.5
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 3.2 A

I. PURPOSE

The purpose of this policy is to identify the avenues through which grant funds can be accepted.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that are awarded grant funds.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Finance, and all City Agencies

IV. POLICY STATEMENT

No funds shall be dispersed until an O&R has been approved by the City Council, the Finance Grants Unit has established a Special Revenue Fund account or an account has been established in the CIP or General Fund, and the required documentation has been completed.

V. PROCEDURE

Monies received are conveyed to the City of Richmond in different ways. In order to prepare and plan for the successful management, identification of the “type of money transfer” must be made. The three types of money transfers are (1) Electronic Transfers (EDI’s), (2) Reimbursement, and (3) Lump Sum. All grant award money transfers are coded as revenue (account type 31). In all cases, requests for reimbursement to the granting entity must be authorized in advance by the Accounting Manager of Grants and Special Revenue Funds.

1. Types of money transfers, Electronic Transfers (EDI’s), Reimbursement, and Lump Sum transfers, must be identified and coded as revenue (account type 31).
2. A Cash Deposit Form must be completed by the recipient Agency for Electronic Transfers (EDI’s).
3. Reimbursements to the expense budget (account type 22) shall be at actual cost or at a rate specified in the grant. When there are conflicts between reimbursement rates of the grantor and the City, the lower of the two rates must prevail.

VI. DEFINITIONS

None

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Department of Finance is responsible for modifications to this Policy.

Subject: Supplanting	Number: 5.6
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

I. PURPOSE

The purpose of this policy is to protect the City from the revocation of grant funds and exposure to legal liability associated with improper use of grant funds.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that receive grant funds.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Finance, and all City Agencies

IV. POLICY STATEMENT

Grant funds awarded to the City of Richmond shall not be used to supplant an existing expense so that current funds can be diverted to another use unless such use of grant funds are explicitly identified as allowable in writing by the granting entity.

Grant funds can only be used to supplement (augment) current funding, not to supplant (replace) it. It is illegal to use grant funding to cover an existing expense so that current funds can be diverted to another

Violations can result in a range of penalties, including suspension of future funds from the grantor, return of all funds associated with the award, including those already expended, and civil and/or criminal penalties.

V. PROCEDURE

N/A

VI. DEFINITIONS

Supplanting - To deliberately reduce budgeted funds because of the existence of grant funds. For example, when City funds are appropriated for a stated purpose and grant funds are awarded for that same purpose, the City replaces its budgeted funds with the grant funds and shift the budgeted funds to a different purpose.

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Department of Finance is responsible for modifications to this Policy.

Subject: Procurement	Number: 5.7
	Effective Date: 7/1/2006
References and/or Exhibits: Chapter 22.1 of the Code of the City of Richmond (1993), as amended	Replaces: 8/1/2001 G.R. No. 3.2 C

I. PURPOSE

The purpose of this policy is to clarify that all procurement activity associated with grant funds must be consistent with the City’s established procurement policy.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that purchase goods or services with grant funds.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Procurement Services, and all City Agencies

IV. POLICY STATEMENT

All procurement activity associated with grant funded projects shall follow the procedures outlined in the City’s Procurement Policies and Procedures Manual. No Exceptions.

V. PROCEDURE

1. The City has an established procurement process governed by a procurement policy, which is available from the Department of Procurement Services and is available on starNET. All procurement activity must legally follow the procedures outlined in the City’s Procurement Policies and Procedures Manual.
2. The recipient Agency must coordinate all procurement activity with the Department of Procurement Services. Clear communication with the Department of Procurement Services early in the implementation process of grant funded projects is a key element of their success.
3. When requesting services through the Department of Procurement Services, a copy of the grant agreement or contract must be provided to the Department of Procurement Services to ensure that the Department of Procurement Services understands what the grantor requires of the procurement process.

VI. DEFINITIONS

Procurement - The combined functions of purchasing, inventory control, traffic and transportation, receiving, inspection, storage, payment, salvage, and disposal.

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Department of Procurement Services is responsible for modifications to this Policy.

Subject: Program Income	Number: 5.8
	Effective Date: 7/1/2006
References and/or Exhibits: Office of Management and Budget Circular A-110	Replaces: 8/1/2001 G.R. No. 3.2 D

I. PURPOSE

The purpose of this policy is to identify the treatment of program income associated with grant funded activity.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that receive program income through grant funded projects.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Finance, and all City Agencies

IV. POLICY STATEMENT

All program income resulting from a grant funded project or program shall be managed and maintained as established in the award letter, grant agreement, contract, special conditions, or other document generated by the granting entity.

V. PROCEDURE

1. If an Agency anticipates receiving program income it must be budgeted appropriately.
2. For federal and state-funded grants, program income, if allowed, could result in an equivalent reduction in reimbursement from the grantor. Many corporate and foundation-funded grants encourage the generation of program income and do not reduce their reimbursements.
3. In any case, an account for the receipt of program income must be established with approvals and control procedures prior to soliciting program income.

VI. DEFINITIONS

Program Income - Gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award. Program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds. Interest earned on

advances of Federal funds is not program income. Except as otherwise provided in Federal awarding agency regulations or the terms and conditions of the award, program income does not include the receipt of principal on loans, rebates, credits, discounts, etc., or interest earned on any of them. (Source: Office of Management and Budget Circular A-110)

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Department of Finance is responsible for modifications to this Policy.

Subject: Reporting	Number: 5.9
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 3.3

I. PURPOSE

The purpose of this policy is to convey the expected course for the reporting of grant activity to the Department of Finance, the Department of Budget and Strategic Planning, and grantors.

II. SCOPE

This policy is applicable to all City of Richmond Agencies who receive grant funds.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Finance, and all City Agencies

IV. POLICY STATEMENT

Recipient Agencies shall prepare accurate reports as required by the grantor. Copies of all financial status and final reports prepared for submission to the grantor shall be provided, along with the associated Fund/Agency/Organization number, to the Finance Grants Unit at the time of submission to the grantor. Copies of all progress and other programmatic reports prepared for submission to the grantor shall be provided, along with the associated Fund/Agency/Organization number, to the Budget Grants Office at the time of submission to the grantor.

V. PROCEDURE

Grants awarded to the City require that progress and financial reports are submitted to the grantor. Accurate and timely reporting are critical to maintaining a good relationship with the grantor and late or inaccurate reports may negatively impact future funding.

1. Recipient Agencies must prepare accurate financial reports as required by the grantor. Copies of all financial status and final reports prepared for submission to the grantor shall be provided, along with the associated Fund/Agency/Organization number, to the Finance Grants Unit at the time of submission to the grantor.
2. Recipient Agencies must prepare accurate progress or other programmatic reports as required by the grantor. Copies of all progress and other programmatic reports prepared for submission to the grantor shall be provided, along with the

associated Fund/Agency/Organization number, to the Budget Grants Office at the time of submission to the grantor.

2. The Finance Grants Unit will review the financial reports for content and quality and address any issues with the recipient Agency. Upon satisfaction with the report, the Finance Grants Unit will place a copy of the report in the master file. The recipient Agency must provide support or reconciliation to the general ledger.
4. The Budget Grants Office will review any programmatic reports for content and quality and address any issues with the recipient Agency. Upon satisfaction with the report, the Budget Grants Office will send a copy to the Finance Grants Unit, which will place a copy of the report in the master file.

VI. DEFINITIONS

Financial Status Reports - A recipient report that contains information on total outlays (grantor and recipient shares) and unobligated recipient balances for the reporting period. Financial status reports are used by the grantor to monitor the financial progress of the grant and show the status of grant and matching funds.

Progress or Performance Report - A recipient report that contains information on the comparison of actual accomplishments to objectives established for the reporting period. In addition, where the output of the project can be quantified, a computation of the cost per unit of output may be required.

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Department of Finance is responsible for modifications to this Policy.

Subject: Special Revenue Fund Closeout	Number: 5.10
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: 8/1/2001 G.R. No. 4.0

I. PURPOSE

The purpose of this policy is to convey the expected course of action for ending a grant agreement or contract.

II. SCOPE

This policy is applicable to all City of Richmond Agencies who receive grant funds.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, Department of Finance, and all City Agencies

IV. POLICY STATEMENT

Upon completion of the grant period of each grant the recipient Agency shall alert the Finance Grants Unit as to the status. If a Special Revenue Fund account is associated with the grant funded project the Special Revenue Fund account must be closed and a memorandum of the closure must be entered into the master file.

V. PROCEDURE

1. Upon completion of the grant period of each grant with an associated Special Revenue Fund account, the recipient Agency must prepare a memorandum that identifies the name of the grant and the Special Revenue Fund account number. The memorandum must indicate that the grant is being closed and describe the final disposition of the funds and required activities (see Appendix G for a copy of the closeout checklist).
2. Upon review of the memorandum and satisfaction of any discrepancies, the Finance Grants Unit will update the accounting system, notify the Budget Grants Office, and place the memorandum in the master file.

VI. DEFINITIONS

None

VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Department of Finance is responsible for modifications to this Policy.

Subject: Grant Oversight	Number: 5.11
	Effective Date: 7/1/2006
References and/or Exhibits:	Replaces: N/A

I. PURPOSE

The purpose of this policy is to help ensure that all grant funded programs are managed according to the City’s Grant Policies and Procedures Manual, to protect current and future grant funding, and to reduce the City’s exposure legal liability with respect to mismanagement of grant funded projects.

II. SCOPE

This policy is applicable to all City of Richmond Agencies that receive grant funds.

III. ORGANIZATIONAL UNITS

Department of Budget and Strategic Planning, the Department of Finance, and all City Agencies

IV. POLICY STATEMENT

During the grant period of any grant received by the City, the Budget Grants Office or the Finance Grants Unit may review the files associated with the grant and the project or program it funds.

V. PROCEDURE

1. The Budget Grants Office or the Finance Grants Unit may review the files, activities, equipment, and facilities, and interview relevant personnel and contracted entities of any City of Richmond project or program that is funded with grants awarded to the City.

VI. DEFINITIONS

Oversight - Watchful care or management of a process

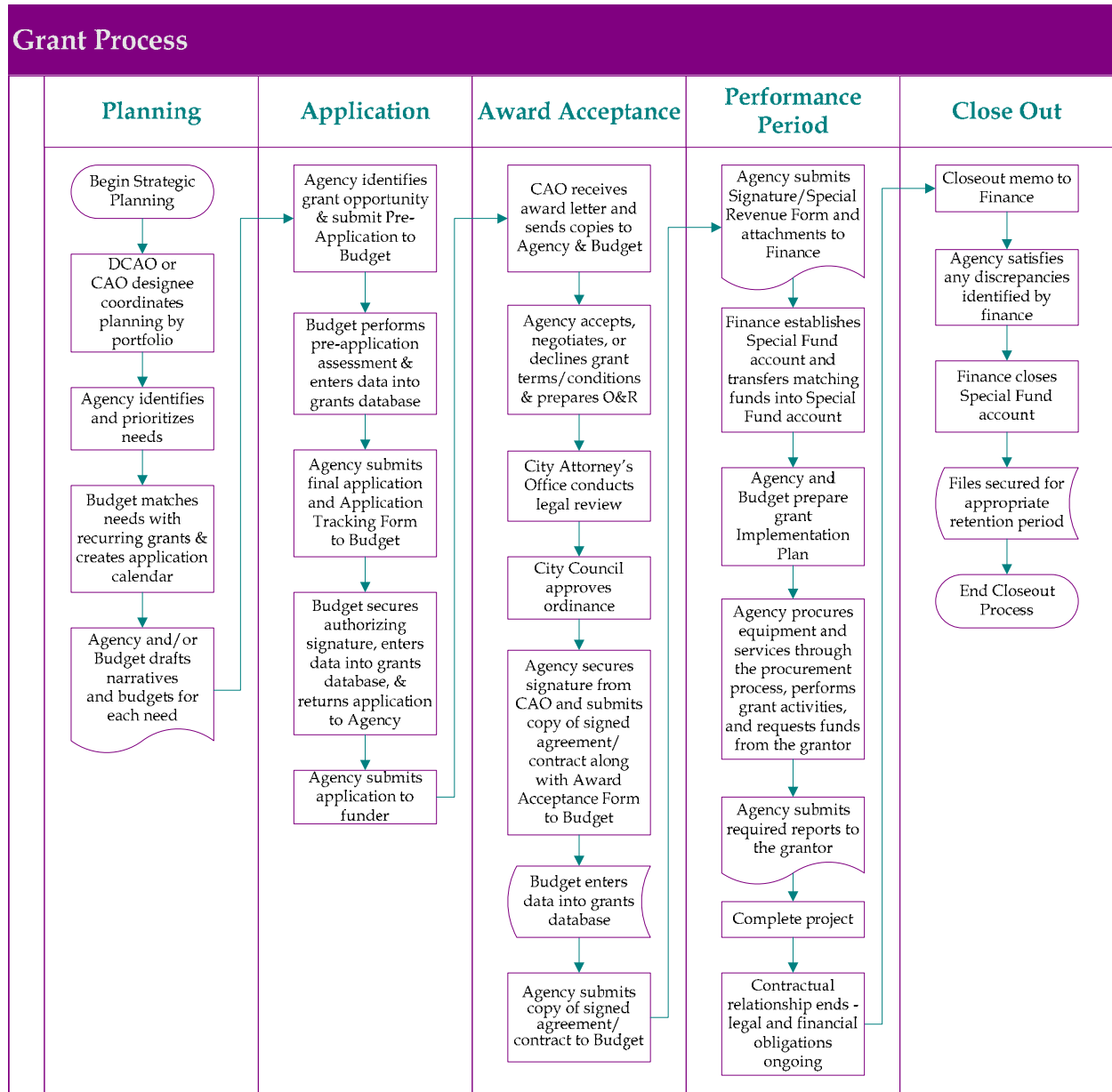
VII. POLICY OWNER

The Department of Budget and Strategic Planning in conjunction with the Department of Finance is responsible for modifications to this Policy.

SECTION SIX

Appendices

Appendix A: Grant Process Flow Chart



Appendix B: Grant Tracking Form

Instructions for Completing the Grant Tracking Form

Complete the Grant Tracking Form on the following page according to the directions below, attach the appropriate documentation, and submit it to the Budget Grants Office located in the Department of Budget & Strategic Planning.

Item	Entry:	Item	Entry:
Form type	Select whether the form is a: <ul style="list-style-type: none"> • Pre-Application Grant Tracking Form • Application Grant Tracking Form • Award Acceptance Grant Tracking Form • Amendment Grant Tracking Form 	Funding type	Use the pull-down menu to identify the funding type.
	NOTE: If this is an Amendment Grant Tracking Form, the only remaining portion of the form that needs to be filled-in is the "Description of Project or Amendment" section.	Grant type	Use the pull-down menu to identify the grant type.
Agency	Enter the City of Richmond Department or office submitting the form.	New or continuation	Use the pull-down menu to identify the grant new or continuation status.
Contact person	Enter the name of the City of Richmond Agency person completing this form.	CFDA Number	Enter the CFDA (Catalogue of Federal Domestic Assistance) Number if the source is Federal.
Role	Use the pull-down menu to identify the role of the contact person.	Electronic or hardcopy	Use the pull-down menu to indicate whether the grant will be/was submitted electronically or as hardcopy.
Phone	Enter the work phone number of the contact person.	Description of Project or Amendment	If this is a Pr-Application, Application, or Award Grant Tracking Form, provide a brief description of the project. If this is an Amendment Grant Tracking Form, provide a detailed description of the amendment or modification (attach additional pages if necessary).
E-mail	Enter the work e-mail address of the contact person		
Grant name	Enter the grant name identified by the grantor.	Continuation Plan	Enter Continuation Plan if this is an Application Grant Tracking Form. Otherwise leave blank.
Grantor	Enter the name of the granting entity. If the grantor is a federal or state grantor, enter the federal or state agency name.	How is the match amount determined	Identify the amount of match if it is a fixed amount determined by the grantor or enter a percentage if it is a percentage of the total project costs. If it is neither, select "Other" and explain how it is determined in the space provided.
Database tracking number	Enter the database tracking number assigned by the City's Grants Management Database. If a database tracking number has not been assigned yet, leave the field blank.	Match budgeted/not budgeted & source	For the City fiscal year in which the grant will begin, enter the amount of the required cash match that is already budgeted and available in your Agency's budget and the amount that is not in your Agency's budget. Identify the source(s) of the cash match in the space provided – Fund/Agency/Org for the amount budgeted and the source for the amount not budgeted.
Total project cost	This field will automatically be populated when you complete the award and match amounts. Do not enter anything into this field.	Projected budget all years	If the grant will span multiple City fiscal years, identify the City fiscal years in the left column and enter the projected amount from each source (Federal, State, other, and cash and in-kind match) for each fiscal year.
Total award amount	Enter the amount of funds that are either requested of the grantor if this is a pre-Application or Application Grant Tracking Form or the amount awarded by the grantor if this is an Award Acceptance Grant Tracking Form.	Authorization	This applies only to grant Applications. <u>All Application Grant Tracking Forms must include the signature of the Agency Head</u> of the requesting agency before it will be forwarded to the CAO for authorization.
Total cash match	Enter the amount of proposed cash match if this is a pre-Application or Application Grant Tracking Form or the amount of required cash match if this is an Award Acceptance Grant Tracking Form.		
Total in-kind match	Enter the amount of proposed in-kind match if this is a pre-Application or Application Grant Tracking Form or the amount of required in-kind match if this is an Award Acceptance Grant Tracking Form.		
Application date	Enter the date the application is due or the date the application was submitted.		The CAO will authorize submission of the application only after it has been reviewed and the associated Application Grant Tracking Form has been initiated by the Grant Coordinator and the Budget Analyst for the requesting Agency.
Grant period from & to	Enter the date that the grant period begins (grant period from) and the date it ends (grant period to). Use the d/m/yy format.		


Grant Tracking Form						
Pre-Application <input type="checkbox"/>		Application <input type="checkbox"/>		Award Acceptance <input type="checkbox"/>		Amendment <input type="checkbox"/>
Agency: <input style="width: 100%;" type="text"/>						
Contact person: <input style="width: 100%;" type="text"/>						
Role: <input type="text" value="Select Role"/>		Phone: <input style="width: 150px;" type="text"/>		E-mail: <input style="width: 150px;" type="text"/>		
Grant name: <input style="width: 100%;" type="text"/>						
Grantor: <input style="width: 150px;" type="text"/>				Database tracking number: <input style="width: 100px;" type="text"/>		
Total project cost: \$ <input style="width: 100px;" type="text" value="0.00"/>		Total award amount: \$ <input style="width: 150px;" type="text"/>				
Total cash match: \$ <input style="width: 100px;" type="text"/>		Total in-kind match: \$ <input style="width: 150px;" type="text"/>				
Application date: <input style="width: 100px;" type="text"/>		Grant Period From: <input style="width: 100px;" type="text"/>		Grant period to: <input style="width: 100px;" type="text"/>		
Funding type: <input type="text" value="Select Funding Type"/>		Grant type: <input type="text" value="Select Grant Type"/>		New or Continuation: <input type="text" value="Select Status"/>		
CFDA Number: <input style="width: 100px;" type="text"/>		Electronic or Hardcopy submission: <input type="text" value="Select Type"/>				
Project discription: <div style="border: 1px solid black; height: 60px; width: 100%;"></div>						
Continuation plan <div style="border: 1px solid black; height: 50px; width: 100%;"></div>						
How is the match amount determined? Fixed amount of \$ <input style="width: 100px;" type="text"/> or % of project cost of <input style="width: 50px;" type="text"/> % or Other <input type="checkbox"/>						
Explanation of "Other" means of determining match: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>						
For this City fiscal year, how much of the required local cash match amount is:						
Already in the Agency budget: \$ <input style="width: 100px;" type="text"/>		Not budgeted: \$ <input style="width: 100px;" type="text"/>				
Proposed source of match: <input style="width: 100%;" type="text"/>						
Match						
Budget Year	Federal	State	Other	Cash	In-kind	Total each year
FY <input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	\$0.00
FY <input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	\$0.00
FY <input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	\$0.00
FY <input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	\$0.00
FY <input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	\$0.00
TOTAL	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Grant Coordination comments: Initials _____		Budget Analyst comments: Initials _____		Authorization for application submittal: _____ Agency Head signature/date _____ Chief Administrative Officer signature/date		

Appendix D: Sample Evaluation Matrix

Evaluation Matrix


Objectives	Metric used to Measure Objective	Anticipated Completion Date	Actual Completion Date	Outcome Measure
Objective 1				
Objective 2				
Objective 3				

Appendix E: EB / RB Form

 CITY OF RICHMOND EXPENSE/REVENUE BUDGET APPROPRIATION FORM					Doc Type	Agency	Doc ID Number
Ordinance Number <input style="width: 150px;" type="text"/> Fund Name <input style="width: 250px;" type="text"/>							
Trans Date <input style="width: 200px;" type="text"/> Acct Period <input style="width: 70px;" type="text"/> Budget FY <input style="width: 70px;" type="text"/>							
Fund <input style="width: 70px;" type="text"/> Agency <input style="width: 350px;" type="text"/>							
Line Action	Orgn	Actv	Appr Unit	Object/Rev Source	Current Appropriation	Inc/Dec Amount	New Appropriation
01							-
02							-
03							-
04							-
05							-
06							-
07							-
08							-
09							-
10							-
11							-
12							-
TOTALS					-	-	-
Prepared By: _____			Telephone Number _____		Department Approval: _____		Date _____
Finance Approval (Special Funds): _____				Date _____		Budget Approval: _____	
						Date _____	

Date Revised: 7/27/01

Page ____ of ____

 <p>CITY OF RICHMOND EXPENSE/REVENUE BUDGET APPROPRIATION FORM</p>	Doc Type	Agency	Doc ID Number
	-	-	0

Ordinance Number Fund Name

Fund Agency

Line Action	Orgn	Actv	Appr Unit	Object/ Rev Source	Current Appropriation	Inc/Dec Amount	New Appropriation
13							-
14							-
15							-
16							-
17							-
18							-
19							-
20							-
21							-
22							-
23							-
24							-
24							-
26							-
				TOTALS	-	-	-

Appendix F: New Fund/Organization Request Form



CITY OF RICHMOND

INTRACITY CORRESPONDENCE

NEW FUND/ORGANIZATION REQUEST FORM

When requesting a new fund or organization, the Department of Finance will need all of the following information:

	Y/N	
New Fund/Organization (Specify New Fund or Organization #)		
Indicate City of Richmond Grant Tracking Number from Grant System		
Grant Name or Special Fund Activity (Should match name assigned by awarding agency)		
Grant, Contract or Identification Number		
Please indicate amount of award		
Grant Matching Amount.		
Is a copy of Grant Award Letter attached? If no please explain.		
Adopted Ordinance approved by City Council (Specify ordinance number)		
Copy of Grant Application with special conditions and approved budget		
Identify source of Original Funding (Federal, State, Local Gov't, Private)		
Name of Agency Awarding the Funds		
Name of Pass-Thru Agency for the Federal Funds		
CFDA Number (Federal Funds) Must be provided for direct or pass-thru		
Funding\Grant Period (Please indicate beginning and ending dates)		
Grant FY (as it applies to the City Budget)		
Please indicate the required frequency of financial reporting to Awarding Agency (monthly, quarterly, annually)		
Does this grant earn interest? Support must be provided.		
Contact Person and Phone Number		

Preparer (Print)

Phone Number

Date

Appendix H: Glossary of Grant Terms

501(c)(3)

The section of the Internal Revenue tax code that defines the nonprofit, charitable (as broadly defined), tax-exempt organizations. Contributions made to these organizations are tax-exempt for the donors. To convey that status, they often represent themselves as 501(c)(3) organizations, rather than merely nonprofit organizations.

A

Abstract

Summarizes the purpose, importance and scope of the proposed project.

Accessibility

The extent to which programs or services can be reached or obtained by those who want or need them.

Activity

The functional elements of a program.

Administrative Costs

All direct and indirect costs associated with the management of grant programs. Often capped by the grantor at a certain percentage of the grant.

Application

A request for financial support of a project or activity submitted to a funder.

Applicant

A party requesting a grant.

Application

Number

When an application has been successfully submitted to a funder and the funder assigns a unique number to that application. Applicants should keep a record of the application number and reference it when communicating with the funder.

Application

Package

A package that contains the application notice for one or more discretionary grant or cooperative agreement programs and all the information and forms needed to apply for those programs.

Assessment

The process of collecting and analyzing information to make judgments.

Assurances

A listing of a variety of requirements, found in different federal laws, regulations, and executive orders, that applicants agree to by signature in an application.

Audit

An examination of grant records and financial accounts for accuracy and legal compliance which may lead to recommendations for corrective action.

Authorized Official

The individual, named by the applicant organization, who is authorized to act for the applicant and to assume the obligations imposed by the laws, regulations, requirements, and conditions that apply to grant applications or grant awards.

Award

An award is a funder's agreement to contribute funding to a specific project. When a funder approves an award, a formal notice is sent to the recipient. This notice is usually in the form of a grant or a contract.

Award

An official document signed by the funder stating the amount and the terms and conditions of an award.

Notification**Award**

The identifying number for a discretionary grant or cooperative agreement award issued by the funder.

Number**B****Bidder's Conference**

A meeting to discuss with potential bidders, technical, operational and performance specifications, and/or the full extent of financial security and contractual obligations related to a grant solicitation.

Block Grant

A broad intergovernmental transfer of funds or other assets by the U.S. Congress to state or local governments for specific activities such as secondary education or health services but with few strings attached. Block grants are distributed according to legal formulas defining broad functional areas such as health, income security, education, or transportation. They are used for a variety of activities, largely at the recipient's discretion. For example, the community development block grant program, administered by the federal Department of Housing and Urban Development, funds community and economic development programs in cities, in counties, on Indian reservations, and in U.S. territories. A block grant's relative lack of restrictions allows recipient jurisdictions to spend the money to supplement other resources as they see fit

Boilerplate

A form or section of a document that is used so often as to become standard and reused.

Budget

The financial expenditure plan for the grant-supported project or activity. The budget consists of funder (grant) funds and, if required by the funder, grantee participation in the form of matching or cost sharing.

Budget Period

An interval of time into which a project period is divided for budgetary purposes, usually twelve months.

C**Capital Expenditure**

The cost of an asset (land, building, equipment), including the cost to put it in place. A capital expenditure for equipment includes the net invoice price and the cost of any modifications, attachments, accessories, or auxiliary apparatus to make it usable for the purpose for which it was acquired. Other charges, such as taxes, in-transit insurance, freight, and installation, may be included in capital expenditure costs in accordance with the recipient's regular accounting practices consistently applied regardless of the source of funds.

Capital Support

Funds provided for endowment purposes, buildings, construction or equipment.

Carry-Forward

A pool of unexpended funds which is moved to the next funding period

Catalog of Federal Domestic Assistance (CFDA)

A publication, and database, that lists the grants and assistance programs of all federal agencies and gives information about a program's authorization, fiscal details, guidelines, eligibility requirements, program contacts, application and award process. The program's CFDA number is required on grant application forms.

Certification

A statement, signed by an applicant or grantee as a prerequisite for receiving funds, that it (1) meets or will adhere to certain conditions and/or (2) will undertake or not undertake certain actions.

Challenge Grant

A grant offered with the stipulation that the recipient will raise additional funds from another source or sources. Also called a "matching grant."

Charitable Choice

A requirement, placed in recent legislation, that state governments contracting with private sector organizations cannot discriminate against a faith-based social services provider because the provider is religious.

Code of Federal Regulations (CFR)

A compilation of all final regulations issued by federal agencies, published annually and divided by numbered “Titles.”

Cognizant Agency

The Federal agency which, on behalf of all Federal agencies, is responsible for implementing the requirements of the Single Audit Act which include: reviewing, negotiating, and approving cost allocation plans, indirect cost rate and similar rates; receiving and approving non-federal audit reports; conducting federal audits as necessary; and resolving cross-cutting audit findings.

Community Foundation

A 501(c)(3) organization, usually considered a public charity, that makes grants for specific purposes in a specific community or region. Funds are derived from many donors and held in an endowment that is independently administered.

Competitive Review Process

The process used by a funder to select applications for funding, in which subject-area experts score applications and only applications with the highest scores are considered for funding.

Concept Paper

Preferred by foundations as a first submission, a concept paper contains key elements of a project, including information about the applicant, the target population, the need, objectives, total budget, other contributors and what makes it remarkable. Concept papers should not exceed three pages, including the cover letter.

Consortium Agreement

A formalized agreement whereby a project is carried out by the grantee and one or more other organizations that are separate legal entities.

Consultant

An individual who provides professional advice or services for a fee, but normally not as an employee of the engaging party. In unusual situations, an individual may be both a consultant and an employee of the same party, receiving compensation for some services as a consultant and for other work as a salaried employee. Consultants also include firms that provide professional advice or services.

Contact Person

The representative of the funder for the grant program, and may also serve as the program administrator or grant officer.

Continuation Grant

A continuation grant provides additional funding for budget periods subsequent to the initial budget period.

Cooperative Agreement

A type of Federal assistance; essentially, a variation of a discretionary grant, awarded by a Federal agency when it anticipates having substantial involvement with the grantee during the performance of a funded project.

Cost-Benefit Analysis

A quantitative procedure that assesses the desirability of a project by totaling and comparing the equivalent money value of the benefits and costs of a given project. The outcome of the analysis is a cost-benefit ratio, which demonstrates whether the net value of benefits exceeds the net value of costs.

Cost-Effectiveness

A systematic quantitative method for comparing the costs of alternative means to achieve the same benefits of a given objective. Cost-effectiveness is generally determined by performing a cost-benefit analysis.

Corporate Foundation

A private foundation whose assets are derived primarily from the contributions of a for-profit business. While a company-sponsored foundation may maintain close ties with the parent company, it is an independent foundation with its own endowment and its own board.

Corporate Giving Program

A grant-making program established and administered by a profit-making company. Corporate giving is planned as part of the company's budgeting process and usually is funded with pre-tax income.

D**Deadline Date**

The receipt date by the funder for an application to be considered for funding.

Deliverables

Those products that are produced by a grant project. They may be quantified achievement or singular outcomes.

Direct Costs

Specific and identifiable costs of project operation.

Discretionary Grant

An award of financial assistance in the form of money, or property in lieu of money, by the Federal government to an eligible grantee, usually made on the basis of a competitive review process.

Demonstration Grant

A grant made to fund an innovative project with the intention of duplicating the project elsewhere.

DUNS Number

A Data Universal Numbering System (DUNS) number, a unique identifier available to organizations by registering with Dun and Bradstreet.

E**Earmark**

Requirement by Congress that a Federal agency set aside funds within an appropriation for a stated recipient or purpose

Employer Identification Number

The Employer Identification Number (EIN) is a 9-digit number assigned by the Internal Revenue Service.

Encumbrance

An obligation in the form of purchase orders, contracts, or salary commitments which are chargeable to an award and for which a part of the awarded amount is reserved. They cease to be encumbrances when paid.

Endowment

Financial support kept permanently by an institution and invested to provide income to support programs or operations.

Evaluation

The process of collecting and analyzing data on various aspects of a program, usually for the purpose of program planning and goal setting, improving processes and outcomes, securing and allocating resources. Includes formative (collecting and analyzing data to focus on “what’s working and what needs to be improved”) and summative (collecting and analyzing to investigate “what’s been achieved” in a program).

Expiration Date

The date specified in the grant award notification after which expenditures may not be charged against the grant unless to satisfy obligations committed before that date.

F**Federal Information Processing Standards (FIPS) Code**

The FIPS Code is the unique 5-digit number that is assigned to each county in the United States. This number is comprised of a 2-digit State code followed by a 3-digit county code.

Federal Register

A daily compendium of federal regulations and notices, including announcements or RFPs for grant awards.

Federated Giving Program

A joint-fundraising effort, usually administered by an umbrella organization that, in turn, distributes the contributed funds to several non-profit agencies.

Fee

An amount, in addition to actual, allowable costs, paid to an organization providing goods or services consistent with normal commercial practice. This payment also is referred to as “profit.”

Financial Status Reports

A recipient report that contains information on total outlays (grantor and recipient shares) and unobligated recipient balances for the reporting period. Financial status reports are used by the grantor to monitor the financial progress of the grant and show the status of grant and matching funds.

Fiscal year (FY)

The 12-month accounting period at the end of which the books are closed for an agency or governmental unit.

Formula

A grant that the Federal agency is directed by Congress to make to grantees, for which the amount is established by a formula based on certain criteria that are written into the legislation and program regulations; this funding is directly awarded and administered in the Federal agency’s program offices.

Grant**For-Profit Organization**

An organization, institution, corporation, or other legal entity that is organized or operated for the profit or financial benefit of its shareholders or other owners. Such organizations also are referred to as “commercial organizations.”

Funder

The governmental unit, foundation or other entity that awards grants.

Funding Cycle

The schedule of events starting with the announcement of the availability of funds, followed by the deadline for submission of applications, review of applications, award of grants and release of funds.

Funding Priorities

A means of focusing a competition on the areas in which a funder is particularly interested in receiving applications. Priorities take the form of specific kinds of activities that applicants are asked to include in an application to receive preference in the review process.

G**Gantt Chart**

A popular type of bar chart that aims to show the timing of tasks or activities as they occur over time. Although the Gantt chart did not initially indicate the relationships between activities this has become more common in current usage as both timing and interdependencies between tasks can be identified.

Grant

A financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity.

Grant Agreement

A grant agreement is a legal instrument for the transfer of funds from the funder to the grantee and which sets forth the terms and conditions of the award.

Grantee

An organization that has been awarded financial assistance for a project. The grantee is the entire legal entity even if a particular component (e.g., department, office ,or agency) carries-out the grant –funded activities. The grantee is legally responsible and accountable to the funder for the performance and financial aspects of the grant-supported project or activity.

Grantor

A governmental unit, foundation, or other entity that awards grants.

Grant Period

The period that extends from the effective date through the expiration date.

I**In-kind**

A contribution of equipment, supplies or other tangible resource, as distinguished from a monetary grant. Some organizations may also donate the use of space or staff time as an in-kind contribution.

Indirect Costs

Indirect costs cover general administrative costs of a project, including such items as rent, utilities, maintenance, depreciation and custodial services.

Indirect Cost Rate

The percentage of a grant, approved by a federal or state agency, or that a particular organization can use to reimburse itself for indirect costs incurred in doing the work of the grant project.

J**Journal Vouchers**

An accounting entry for the recording of certain transactions, corrections or information. The journal voucher usually contains an entry or entries, explanations, references to documentary evidence supporting the entry or entries, and the signature or initials of one or more properly authorized officials.

K**Key Personnel**

The individuals who contribute to the development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Consultants also may be considered key personnel if they meet this definition. "As needed" is not an acceptable level of involvement for key personnel.

L**Letter-of-Intent**

A letter-of-intent expresses the grantor's willingness to commit funds to a project if other conditions are met.

Letters-of-Commitment

Letters-of-commitment specifically list services, money or other inputs promised to the project by partner organizations.

Letters-of-Support

Letters-of-support are written endorsements of an application for funding. They are provided by organizations or individuals who are familiar with the applicant's ability.

M**Matching Funds**

Funds other than the funder's grant funds required by a grant program to pay the percentage of project costs not covered by the grant.

Matching Grant

A grant made by one grantor or donor to match those provided by another grantor or donor.

Memorandum of Understanding (MOU)

An agreement developed and executed among partners relating to their roles in a joint operation.

Monitoring

A grantor's review and evaluation of specific aspects of a grantee's activities under a grant agreement. These activities include (1) measuring a grantee's performance, (2) assessing a grantee's adherence to applicable laws, regulations, and the terms and conditions of the award, (3) providing technical assistance to grantees, and (4) assessing whether a grantee has made substantial progress.

N**Nonprofit**

A designation secured from the state by a corporation whose board members receive no remuneration from its activities.

Notice of Funding Availability (NOFA)

A term some funders use for the announcement of a funding competition or RFP.

O**Obligated Funds**

Funds that are unexpended but are encumbered at the end of the funding period to cover the known obligations. They are considered to be unexpended funds.

Office of Management and Budget (OMB)

A branch of the Executive Office of the President. OMB helps the President formulate his spending plans; evaluates the effectiveness of agency programs, policies, and procedures; assesses competing funding demands among agencies, and sets funding priorities. OMB ensures that agency reports, rules, testimony, and proposed legislation are consistent with the President's budget and with administration policies. In addition, OMB oversees and coordinates the administration's procurement, financial management, information, and regulatory policies. In each of these areas, OMB's role is to help improve administrative management, to develop better performance measures and coordinating mechanisms, and to reduce any unnecessary burdens on the public.

OMB**Circulars**

Administrative policy documents issued by OMB that give instruction to Federal agencies on a variety of topics, including the administration of Federal grants and cooperative agreements.

Operating Foundation

An operating foundation uses the majority of its funds to conduct research or run programs for the common good. An operating foundation may make a few, small grants.

Outreach

An active effort by program staff to encourage individuals in the designated service delivery area to avail themselves of program services.

P**Partnerships**

Partnerships involve similar organizations that help each other meet their respective goals, without making substantial changes in the services they provide.

Performance Funding

Performance funding is based on the timely submission of deliverables according to the specifications negotiated between grantor and grantee.

Performance Period

The total amount of time during which the funder authorizes a grantee to complete the approved work of the project described in the application. Performance periods of more than 1 year in duration are divided into budget periods.

Performance Report

See 'Progress Report'

PERT Chart

A PERT chart is a project management tool used to schedule, organize, and coordinate tasks within a project. PERT stands for *Program Evaluation Review Technique*, a methodology developed by the U.S. Navy in the 1950s to manage the Polaris submarine missile program.

Program

A coherent assembly of plans, project activities, and supporting resources contained within an administrative framework, the purpose of which is to implement an organization's mission or some specific program-related aspect of that mission.

Progress Report

A recipient report that contains information on the comparison of actual accomplishments to objectives established for the reporting period. In addition, where the output of the project can be quantified, a computation of the cost per unit of output may be required.

Program Income

Gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award. Program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal awarding agency regulations or the terms and conditions of the award, program income does not include the receipt of principal on loans, rebates, credits, discounts, etc., or interest earned on any of them. (Source: Office of Management and Budget Circular A-110)

Program Year (PY)

The 12-month period beginning in July 1 and ending June 30 for the Commonwealth and beginning October 1 and ending September 30 for the federal government.

Programmatic Report

See 'Progress Report'

Project**Narrative**

A descriptive statement about the proposed grant activities or purchases, which explains why the grant funds are needed and the benefits to be realized from the use of the grant funds.

Project Period

An extended amount of time, during which a grantee is required to complete the approved work of a project.

R**Real Property**

Land, including land improvements, structures, and appurtenances, but not movable machinery and equipment.

Recipient

The organizational entity or individual receiving a grant or cooperative agreement.

Renovation

Work that changes the interior arrangements or other physical characteristics of an existing facility or of installed equipment so that it can be used more effectively for its currently designated purpose or adapted to an alternative use to meet a programmatic requirement.

Request-for-Application (RFA)

An RFA is used in non-competitive grant programs, seeking information from a grantee who usually is entitled to receive funds according to a demographic formula.

Request-for-Proposal (RFP)

A solicitation by a grantor seeking applications from potential grantees. Also used by organizations to hire professional services.

Responsive proposal

A submission that meets all the mandatory requirements stipulated in the RFP and addresses the legislative intent of the program.

Reviewer, Grant Reviewer, Peer Reviewer, Field Reviewer

An individual who serves the funder by reviewing and scoring a competitive proposal. Reviewers are chosen for their subject-area expertise and typically serve on a panel or "technical" panel of at least three members.

S

Seed Money

A grant or contribution used to start a new project or organization.

Selection Criteria or Evaluation Criteria

Standards by which different components of a proposal are rated and scored to qualify for funding.

Set-asides

Funds reserved by a grantor for a specific purpose or project.

Solicitation for Grant Application (SGA)

A term some agencies use for the announcement of a funding competition or an RFP.

Standard Form 269 (SF-269)

A standard Federal form for reporting expenditures for a grant or cooperative agreement for a particular reporting period, usually the 12-month Federal fiscal year, which runs from October 1 through September 30.

Standard Form 424 (SF-424)

A standard Federal form required for applications for federal assistance.

Stipend

A payment made to an individual under a grant in accordance with preestablished levels to provide for the individual's living expenses during the period of training. A stipend is not considered compensation for the services expected of an employee.

Supplanting

To deliberately reduce budgeted funds because of the existence of grant funds. For example, when City funds are appropriated for a stated purpose and grant funds are awarded for that same purpose, the City replaces its budgeted funds with the grant funds and shift the budgeted funds to a different purpose.

Supplemental Award

The addition of funds to an existing award to:

1. Support New or additional activities which are not identified in the current grant or which significantly expand the project's scope beyond the purpose(s) for which the current grant was awarded;
2. Support an expansion of the grant approved activities; or
3. Provide for an increase in costs due to unforeseen circumstances.

For supplemental awards, the budget and grantor numbers remain the same.

Suspension

Temporary withdrawal of a grantee’s authority to obligate grant funds, pending either corrective action by the grantee, as specified by the funder, or a decision by the funder to terminate the award.

T

Target area

Usually a geographic area, such as a city, neighborhood, county, certain census tracts or school districts, school service areas.

Targeted population

The target group to receive direct assistance through the project.

Terms and Conditions

All legal requirements imposed on a grant by the funder, whether based on statute, regulation, policy, or other document referenced in the grant award, or specified by the grant award document itself.

Total Project Costs

The total allowable costs incurred by the grantee to carry out a grant-supported project or activity.

U

Unallowable Cost

A cost determined to be unallowable in accordance with the applicable cost principles or other terms and conditions contained in a grant award.

Unexpended Funds

The funding (money) not spent during the award process.

Z

Zero Balance

At the closing of a grant, when cash, expenditures, budget, and revenue are equal, the budget is said to have a zero balance.