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Steven Harpe, Director Oklahoma Department of Corrections		Signature on File	

Grant Application and Administration

The Oklahoma Department of Corrections (ODOC) may seek grant monies to initiate or expand appropriate programs to fulfill its mission. The Grants unit monitors federal grant websites and routes grant opportunities to applicable units as they become available. Additionally, ODOC units are encouraged to seek out funding opportunities and share those opportunities with the Grants unit. It is the Grant's unit responsibility to assist in the preparation of the grant application within the required timeframe to meet the deadline for the application and provide post award management of the funds.

I. Application Procedure

A. Request for Grant Application

1. Any ODOC employee may submit a request for grant application.

2. The procedure for requesting a grant application will consist of the following:
 - a. Local unit/grants unit identify funding sources and/or opportunities.
 - b. Discuss funding opportunity with the senior/executive staff for appropriateness.
 - c. Notify the Grants unit of the opportunity and intent to apply by sending an email to docgrants@doc.ok.gov.
 - d. If the Grants unit finds the funding opportunity, the opportunity will be forwarded via email to the appropriate senior/executive staff for review, and an appropriate subject matter expert (SME) will be chosen as the grant coordinator.
 - e. The SME will develop a preliminary budget draft with the grant accountant.
 - f. The SME will fill in the "Request for Grant Application" ([Attachment A](#), attached) and attach the preliminary draft budget then submit completed form and budget to the senior/executive staff for approval.
 - g. Once approved, the SME will send the approved request form to the Grants unit.
 - h. In the event that the funding source and/or opportunity is identified by the agency director or unit administrator, the grant application will be exempt from the requirement of having a signed "Request for Grant Application" ([Attachment A](#), attached) and the grants manager will work under the direction of the agency director or unit administrator to begin the design and development phase.
 - i. The Grants unit will complete the appropriate "Executive Order 2019-40 Instructions for Completing the Federal Grant Approval Application Form" (Attachment D, not web accessible) or "Executive Order 2019-40 Instructions for Completing the Non-federal Grant Approval Application Form" (Attachment E, not web accessible) and submit it with the "Request for Grant Application" ([Attachment A](#), attached) and the draft budget to the chief Financial Officer for review and approval.
 - j. Once approved, the chief Financial Officer will send the request packet to the agency director for review and approval.

- k. The grants manager will submit the approved "Executive Order 2019-40 Instructions for Completing the Federal Grant Approval Application Form" (Attachment D, not web accessible) or "Executive Order 2019-40 Non-federal Grant Approval Application Form" (Attachment E, not web accessible) to the Cabinet Secretary and the Secretary of Budget copying the OMES Budget Comptroller.
- l. The grants manager will notify the SME and the initial requestor if the grant is denied after it has been submitted to the Grants unit.

II. Design and Development

A. Grants Manager

The grants manager will provide consultation to applicants on the technical aspects of the grant application procedure, and will act as project manager for the team; however, the SME is responsible for reading and understanding the guidelines of the grant application.

1. The grants manager will call a team meeting to discuss the grant, create a more solid program design, and to create the task list.
 - a. The grant team will, at a minimum, be comprised of the unit/regional appointed SME, the grants manager, and the grants accountant. Stakeholders may also be in attendance, if necessary to the design of the program. Other stakeholders may include program managers, facility heads, external stakeholders, etc.
 - b. The task list will be based on the requirements of the grant and will be provided to the team after the initial team meeting showing delegated tasks with due dates.
 - c. The SME will work with the grant accountant to develop a final budget.

B. Production Phase

The SME will work with the grants manager to write a narrative to fulfill the requirements of the grant, including the budget narrative once the budget is finalized with the grants accountant.

1. The grants manager will compile, and assemble the application in accordance with the guidelines, requirements, and deadlines of the agency to which the request will be submitted (granting agency) for ongoing draft and final reviews.

2. Upon completion of a full draft, the SME will review narratives and make edits as needed to create the tentative final draft.
3. The tentative final draft with budget will be submitted to the appropriate senior/executive staff for final review and editing, if needed.
4. Final edits will be made by the Grants unit and/or grants accountant.
5. The grants manager will submit a cover memo with the final draft to the agency director through the appropriate chain of command for signature.

C. Submission

The agency director is the only person who can legally bind the agency by signing and approving a grant application.

1. The Grants unit is responsible for submitting applications directly to the funding agency in accordance with grantor guidelines.
2. The grants manager will ensure all grant applications are signed and submitted in accordance with grantor guidelines.

III. Post Award Procedures

A. Award Acceptance

All grant awards and corresponding contracts will be routed to the Grants unit. The grants manager is the authorized designee to accept awards on behalf of the agency director who previously approved submissions in Section II. item C. of this procedure.

B. Acceptance Procedures

1. The grants manager will send an email to initiate review by the General Counsel and Contracts and Acquisitions offices prior to execution.
2. Attached will be the original agreement(s) and a copy of the grant acceptance contract.
3. Once the grant agreement is accepted, the Grants unit will deliver the document to the granting agency, in the form specified by grantor.
 - a. If an agreement is to be delivered by mail, certified return/receipt U.S mail will be used or other expedited service if the mailing is time sensitive.

C. Post Acceptance Procedures

1. The fully executed original agreement will be received by the grants manager and a post-award meeting will be scheduled.
 - a. The purpose of this meeting is to review grant compliance requirements and to establish responsibilities.
 - b. Attendees will include, at a minimum, the unit/regional appointed SME, the grants manager, and the grants accountant. Other relevant stakeholders may be in attendance. Other stakeholders may include program managers, facility heads, external stakeholders, etc.
2. At this meeting, the grants manager will review the grant agreement with the SME and the grants accountant. Information to be discussed and established includes:
 - a. Project manager's name;
 - b. Lead unit/division (if applicable);
 - c. Project budget;
 - d. Purchase orders, vendors, contracts, and contract deadlines;
 - e. Compliance requirements;
 - f. Reporting deadlines;
 - g. Person responsible for preparing and submitting status/reimbursement reports to the Grants unit;
 - h. Audit requirements;
 - i. Inventory requirements, if applicable;
 - j. Process for potential grant extensions, budget changes or grant amendments; and
 - k. Unit/division identification, expense and revenue accounts (if applicable).

D. Compliance Monitoring and Reporting

1. The grants manager is responsible for grant compliance monitoring and the grant accountant is responsible for financial oversight of grant awards. Monitoring includes the oversight of reporting

deadlines, compliance requirements, and the review of all grant related financial reporting.

2. The project manager, or their designee, is responsible for providing the information for all reports including programmatic and reimbursement reports and any other reports as may be required.
 - a. Project managers are responsible for the timely submittal of complete and accurate progress reports, approved invoices for payment, financial reports and reimbursement requests to the grants accountant.

E. Grant Adjustment Notice (GAN)/Grant Award Modifications (GAM)

A Grant Adjustment Notice (GAN) or Grant Award Modification (GAM) is a request to make a programmatic, administrative, or financial change to a grant.

F. Budget Modifications

A GAN/GAM may be initiated for a budget modification if the request is to modify an approved budget to reallocate funds among the budget categories. This type of GAN/GAM can also be used to de-obligate a portion of the award amount; however, the original award amount may not be increased by this procedure. GANs/GAMs for budget modifications may be submitted if:

1. The proposed cumulative change is greater than 10% of the total award amount.
2. The budget modification changes the scope of the project. For example, authorizing use of a subcontractor or other organization that was not identified in the original approved budget.
3. A budget adjustment affects a cost category that was not included in the original budget. For example, if the direct cost category "Travel" did not exist in the original budget.

G. Change to the Scope of the Award

A GAN or GAM will be initiated for a change in scope, duration, activities, or other significant areas such as:

1. A change or alteration to programmatic activities, a change in the purpose of the project, or a change in the project site.
2. Experiencing or making changes to the organization or staff with primary responsibility for implementation of the award, contracting out, sub-awarding, or otherwise obtaining the services of a third party

to perform activities which are central to the purpose of the award.

3. Changes in the scope that affect the budget.

H. Changes in Project Period

A request to change the project end date (a no cost extension), will be made to the grants department no later than 60 calendar days before the project end period date.

1. The request for a no cost extension will justify the need for the extension and indicate the additional time requested.
2. The maximum extension allowable for any project period is 12 months.
3. Requests for retroactive extensions will not be considered.
4. Only one extension per award will be permitted.
5. Extensions of liquidation periods may be allowable if approved by the awarding agency.
6. The criteria for extending the award period for a project or program include:
 - a. All applicable federal financial reports and progress reports will be on file; complete and current.
 - b. All special conditions attached to the award will be satisfied, except for those conditions that will be fulfilled in the remaining period of the award. This criterion also includes the performance and resolution of audits in a timely manner.
 - c. A narrative justification will be submitted with the project or program extension request. Complete details will be provided, including the justification and the circumstances which require the proposed extension. The effect of a denial on the project/program will be explained.

I. Grant Administration (GAN)/(GAM) Requests

1. The project manager is responsible for submitting GAN/GAM requests to the Grants unit via email.
2. Thoughtful consideration will be given before requesting a GAN/GAM, and project managers will have an overall plan in mind for the GAN/GAM.

3. The grants manager will organize a meeting with the project manager, grants accountant, and other stake holders, if necessary, to discuss the GAN/GAM and create a new program design or budget narrative to support the GAN/GAM.
4. The grants manager will submit the GAN/GAM to the funding agency.

IV. Grants Management

A. Grants Manager

The grants manager will be responsible for:

1. Conducting continuous research that identifies new funding opportunities and sources to support evidence-based, mission-driven agency projects;
2. Coordinating the review and final application process for all grant proposals;
3. Coordinating technical assistance, as needed, for writing and developing grant proposals;
4. Coordinating with other offices in the agency and other agencies that might assist or support the proposal and selecting the specific grant project team;
5. Identifying grant resources, as necessary;
6. Coordinating with units to develop and assist in development of promising grant proposals;
7. Coordinating the submission of all grant applications to ensure timely submission in accordance with grantor guidelines;
8. Monitoring the management of all grants awarded to the ODOC.
 - a. Monitoring will be accomplished through a combination of financial record reviews, regular review of timeliness and quality of required grant reports, and on site program reviews.
 - b. The grants manager will conduct internal reviews of grant files, project goals, MOUs/MOAs, and reporting documents at least annually;
9. Preparing quarterly updates of significant grant activity for the affected administrator/division head.
10. Reviewing monthly payroll reports to verify accuracy of grant staff

being paid by grant funds or the salaries that are being used for match purposes.

11. Monthly review and update of the Grants Portfolio.

B. Program Implementation, Reporting, and Evaluation

Program implementation, reporting, and evaluation of grants are the responsibility of the sponsoring senior staff. The responsible senior staff will also ensure the availability of required matching funds.

C. Financial Administration

The grants accountant is responsible for:

1. The financial administration of all grants awarded to ODOC and will serve as the primary financial officer on grant applications.
 - a. Financial administration shall consist of the following:
 - (1) Processing and filing reimbursement claims with the grantor.
 - (2) Processing all grant related purchase requests.
 - (3) Processing all grant related invoices for payment.
 - (4) Filing all grant financial reports as required by the grantor.
 - (5) Assisting the SME and grants manager in the creation of an initial budget.
 - (6) Providing monthly status updates to the project managers.
 - (7) Other financial duties as required by the grantor.
2. Providing the chief Financial Officer a quarterly status report of all active grants by the end of the following month.
3. Providing an annual status report of all active grants from the previous fiscal year to the chief Financial Officer by the end of the first quarter.
4. Assisting the budget comptroller with the grants portion of the comprehensive annual financial report (CAFR).

5. Providing the completed quarterly grant transparency report to the budget comptroller by the end of the following month.

V. Letters of Support, and Memorandums of Understanding/Agreement for Other Agencies

To obtain a letter of support, letter of commitment, memorandum of understanding/agreement, or any other such request, submit an "Oklahoma Department of Corrections Request for Letter or Memorandum" form ([Attachment C](#), attached) to the Grants unit at docgrants@doc.ok.gov at least 20 working days (four weeks) before the grant application is due to the funding agency.

VI. Notice of Other Funding Support

Any ODOC staff who is aware or becomes aware that a program, project, or unit is utilizing or plans to utilize grant funds will complete the "Oklahoma Department of Corrections Notice of Funding Support" form ([Attachment B](#), attached) and notify the grants manager and grants accountant at docgrants@doc.ok.gov by attaching the form to an email message.

VII. Sub-Granting

Sub-Granting of eligible grants will be governed through the processes detailed in the "Management of Sub-Grants Procedure Manual" ([Attachment F](#), attached).

VIII. References

Policy Statement P-120100 entitled "Management of State Funds and Assets"

IX. Action

The affected senior staff and grants manager is responsible for compliance with this procedure.

The administrator of Budget is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the agency director.

This procedure is effective as indicated.

Replaced: OP-120104 entitled "Grant Application and Administration" dated January 20, 2022

Distribution: Policy and Operations Manual
Agency Website

<u>Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment A	"Oklahoma Department of Corrections Request for Grant Application"	Attached
Attachment B	"Oklahoma Department of Corrections Notice of Funding Support"	Attached
Attachment C	"Oklahoma Department of Corrections Request for Letter or Memorandum"	Attached
Attachment D	"Executive Order 2019-40 Instructions for Completing the Federal Grant Approval Application Form" (Not Web Accessible)	Attached
Attachment E	"Executive Order 2019-40 Instructions for Completing Non-federal Grant Approval Application Form" (Not Web Accessible)	Attached
Attachment F	"Management of Sub-Grants Procedure Manual"	Attached