

Grants Management

<u>Section</u>	<u>Page</u>
I. OBJECTIVE.....	2
II. INTRODUCTION.....	2
III. TERMS and DEFINITIONS	
Types of Grant Funding.....	2
Recipient, Sub-Recipient.....	3
Vendor.....	3
Types of Match.....	3
IV. GRANT ROLES and RESPONSIBILITIES.....	4
Department Director.....	4
Grant Coordinator.....	4
Fiscal Contact.....	5
V. CONFLICT of INTEREST.....	5
VI. SHAREPOINT GRANTS SITE	5
VII. GRANT APPLICATION PROCESS.....	6
Pre-Application Risk Assessment Form.....	6
Administrative Approval.....	6
Legal Review.....	6
Novus Agenda Items.....	7
Charlotte County Grants Checklist.....	7
Letters of Support Requests from External Organizations.....	7
Grant Signature Authorization.....	7
Electronic Signature Authorization.....	7
D-U-N-S Number Oversight.....	8
VIII. AWARD NOTIFICATION, REVIEW and ACCEPTANCE.....	8
IX. USE and RECEIPT of GRANT FUNDS.....	8
Purchasing.....	8
Payroll.....	9
Central and Indirect Costs.....	9
Supplanting	10
Commingling of Funds.....	10
X. GRANT OVERSIGHT.....	10
Administrative Costs.....	10
Documentation.....	10
Labor Costs.....	11
Vendor Costs.....	11
XI. INTERNAL CONTROLS OVER COMPLIANCE.....	12
XII. GRANT MONITORING.....	12
XIII. GRANT REPORTING.....	13
General Reporting.....	13
Grant Reporting Procedure.....	13
XIV. Grant Maintenance.....	14
File Management and Access.....	14
Record Retention.....	14
Grant Closeout.....	14

Appendices

- A. Project Number Request Form
- B. Pre-Application Risk Assessment Form
- C. Administrative Approval Form
- D. Example of Novus Agenda Item-Applying
- E. Charlotte County Grants Checklist
- F. Example of Novus Agenda Item –Accepting

I. Objective

The purpose of Grant Management policies and procedures is to develop, implement and maintain meaningful grant oversight and coordination for the County thereby increasing grant related revenue, limiting the County's exposure to grant related legal liability, increasing grant compliance awareness, and improving the efficiency and impact of programs and services funded through grants.

II. INTRODUCTION

Grant funds received by Charlotte County support important programs and services that the County provides to the community. These funds allow the County to extend pre-existing services, introduce new initiatives, gain technological advances, and add programmatic staffing. Grant funds are dispersed throughout the County 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 County 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, with the process of grants administration and management a critical and important function. Furthermore, the financial integrity of Charlotte County is of utmost importance, and adopting a set of financial policies is a key element to maintain this integrity.

These policies and procedures are intended to foster exceptional stewardship of the public trust through a rigorous adherence to ethical and professional standards associated with grant related activity. Adherence to these policies and procedures will promote efficiency, better transparency, greater accountability, a strategic approach to funding opportunities, and generally place the County in a more competitive position for securing grant funds.

III. TERMS and DEFINITIONS

Types of Grant Funding:

- **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 justice initiatives, housing, health, and human services, but with few restrictions attached. Block grants are distributed according to legal formulas defining broad functional areas such as health, income, security, education, or transportation.
- **Discretionary Grant** - Non-formula grants that use competitive procurement methods to distribute funding. A **Competitive Grant** is 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 based on a competitive review process.
- **Cooperative Agreement & Contract** - Types 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 Reimbursement** - A type of funding mechanism under which the grantee is reimbursed for qualifying expenditures after they have been incurred, as specified in the terms of the grant agreement for such a program.

- Earmark - Also known as Special Projects, Member Projects, or Turkeys, designate a certain source of revenue for specific projects made at the request of a legislator. Typically, the County submits requests for projects to State and Federal legislators who seek to obtain funds for those requests, usually to be spent in the district the legislator represents. Earmarking bypasses the normal procedure by which revenues are allocated into a general fund, then divided among various government programs.
- Formula Grant - Are usually Block Grant funds. A Formula Grant is a grant that a 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 regulation. This funding is directly awarded and administered in the Federal agency's program offices, or may be a pass-through grant to another unit of government.
- Pass-Thru Grant - Grant funds are received by one grantor, but passed through to another grantor or funding source.

Recipient /Sub-Recipients

- Prime Recipient - A non-federal entity that receives funding in the form of a contract, grant, or loan, directly from the federal government.
- Sub-recipients/Sub-awardee - Are non-federal entities that are awarded funding through a contract from the prime recipient to support the performance of any portion of the substantive project or program for which the prime recipient received the funding. The terms and conditions of the award are carried forward to the sub-recipient. A sub-recipient may also be a prime recipient of other awards directly.

Vendors

- Vendors are entities or individuals from which the prime recipient or sub-recipient procures goods or services needed to carry out the project or program. Vendors are not awarded funds by the same means as sub-recipients and are not subject to the terms and conditions of the federal financial assistance award.

Types of Match

Some grant programs require that grant funds are matched proportionately, or that the grantee participate in the cost of the project. With a few exceptions that are listed below, either or both of the following may satisfy matching or cost sharing requirement:

- Cash Match: Allowable costs incurred by the grantee, sub-grantee or a cost-type contractor under the grant agreement. This includes costs borne by non-Federal grant or by other cash donations from non-Federal third parties.
- In-Kind Contributions: The value of goods and/or services from the grantee or a third party under the grant agreement. The contributions must be applicable to the period to which the cost sharing or in-kind matching requirements apply.
- Allowable Match Costs - Match may be satisfied by using any nonfederal sources of funding including program income if allowed under the terms of the grant. A cost sharing or matching requirement may not be satisfied with Federal funds, except as provided by a Federal statute.

- Match Recording - All cash match, including overmatch, provided with County funds shall be recorded in the grant project in the general ledger.
- Sub-recipient Match - The Grant Coordinator ensures through monitoring that any source of required match is provided according to the contractual agreement, and is a single match and is not being used to meet multiple match requirements, and is properly documented.

IV. GRANT ROLES and RESPONSIBILITIES

Department Director

The Director of each department is ultimately accountable for the grant funding administered through their Department. It is the Director's responsibility to ensure that grants are properly administered in accordance with the guidelines set forth in this manual. Responsibilities to include:

- Ensuring that the risk associated with a grant is thoroughly calculated and vetted through risk assessment.
- Ensuring that department personnel are properly trained and qualified to carry out the tasks related to administering the grant.
- Ensuring the accuracy of programmatic reports.
- Ensuring that critical reporting timelines are met.
- Ensure the grant is in compliance.

The Director shall identify the process to assign a Grant Coordinator for each grant, and will ensure each Grant Coordinator is familiar with the grant guidelines in general and complies with the expectations outlined in this manual.

Grant Coordinator

The Grant Coordinator is responsible for the administration of each grant and ensures that the processes and procedures outlined in this manual are followed. The Grant Coordinator is responsible for coordinating all grant-related activities and is the primary contact for grant related inquiries.

Following is a list of the Grant Coordinator's responsibilities:

- Researching program requirements prior to submitting a grant application.
- Prepare a Risk Assessment Form (RAF) to determine if the department has the capacity to properly implement and manage each program associated with a grant.
- Coordinating the preparation and submission of a grant application.
- Arranging sign-on permissions for internet access at grant site.
- Verifying that multi-departmental processes and procedures are properly followed.
- Monitoring sub recipients.
- Establishing a thorough tracking and reporting process.
- Submitting timely and accurate reports.
- Monitoring the performance and outcomes of the programs associated with a grant.
- Preparing for and coordinating grant audits.
- Provide the proper closeout and retention of required program records at the conclusion of each grant.

The Grant Coordinator will be responsible for communicating program status and outcomes with various levels of staff and management.

Fiscal Contact

The Fiscal Contact ensures that the fiscal processes and procedures outlined in this manual are followed. The Fiscal Contact is responsible for coordinating all financial grant-related activities and is the primary contact for fiscal related inquiries.

Following is a list of responsibilities for the Grants Fiscal Contact:

- Prepare budget portion of grant requests.
- Generate grant project numbers and set up new accounts.
- Assign split funding cost accounting for staffing and budget items.
- Submit all required documents necessary to satisfy periodic reporting requirements.
- Prepare and submit fiscal reports in accordance with grant and county requirements.
- Request grant reimbursements in accordance with Grant Policy.
- Provide fiscal information and statistical data as needed and necessary.
- Monitor the funding and expenses associated with the grant.
- Coordinate, prepare and participate in all required monitoring reviews and audits.
- Maintain record retention for all fiscal grant files in accordance with State and Grant Statutes.

The Fiscal Contact for grants will be responsible for communicating the financial status with various levels of staff and management.

V. CONFLICT of INTEREST

Grant audit findings due to conflicts of interest can damage the reputation and credibility of the County. Further, the appearance of a conflict of interest can be just as damaging to the County's reputation and credibility as an actual conflict. The purpose of this policy is to avoid the appearances as well as the actuality, of any conflict of interest or breach of trust by an official or employee of the County.

No officer or employee of the County 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.

VI. SHAREPOINT GRANTS SITE

One purpose of SharePoint is to have one place where all information related to a grant can be found quickly and easily. This is a tool used for auditing and tracking the steps of the grant process.

- Upon BCC acceptance of a grant – Have a grant folder set up in SharePoint for that grant. The documents to be added at that time would include the Novus Agenda item and any supporting documentation for the grant application process.
- Contact Fiscal Representative to complete the Project Request Form under the Forms tab in the Grants site.
- On-going - Post all pertinent grant documents to the SharePoint Grants site. This will include grant reports, fully executed contracts and amendments, grant correspondence,

payments, purchase orders, fiscal adjustments (journal entries or project adjustments), copies of the award check or electronic deposits related to the grant.

Instructions for using the SharePoint site are located at <http://mac-moss/boccc/budg/budg/grants/default.aspx>, the homepage of the Grants site, in the “Quick Link” menu in the far right column. An example of how to complete the Project Request Form to apply for a grant number in SharePoint is **appendix A**.

VII. GRANT APPLICATION PROCESS

The purpose of this policy is to promote a strategic approach to grant seeking, to enhance the County’s ability to coordinate grant activity on a countywide basis and provide an annual overview of department–level needs that have the potential for being met through grant funding. These needs shall be aligned with the County’s strategic plan.

Pre-Application Risk Assessment

Various types of risk are associated with the acceptance of grant funding. It is important to review the risks associated with each grant prior to accepting funding.

The Pre-Application Risk Assessment Form (RAF) is used as a risk assessment. This form is an internal form and will be completed prior to applying for a grant. The department considering the grant application will be responsible for completing the RAF. This process should be done in consultation with the Fiscal Division Representative.

Once completed, determined by staff that it is a feasible grant to apply for, and signed by the Director, the RAF will be placed in the grant folder located in SharePoint, after the grant folder has been setup. If staff determines that the grant would not be feasible for the County to pursue after review of the RAF, then the completed form will be kept on file at the department that completed it so any future inquiries into why that grant was not pursued can be answered by that document.

The RAF is located in the Budget Forms. An example of how to complete the checklist is **appendix B**.

Administrative Approval

If a department finds that due to time restraints they are unable to go to the Board for approval to apply for a grant, then the County Administrator can sign approval through the Administrative Approval Form located on Charlotte’s Web under the Budget Department Forms, Once signed and approved, a copy is to be placed in the Department grant file. Once the grant is accepted, the form is to be placed in SharePoint. The form is located on the Charlotte County website under Budget Forms. An example of how to complete the form is **appendix C**.

Legal Review

The BCC approval process to authorize to submit the grant application begins with the Legal review, which is to occur before a department applies for a grant. The legal review shall include the following.

- The Grant Coordinator and appointed Legal representative shall review the application to make sure the County is able to meet all legal requirements of the grant program.
- Assure that all prerequisite legal work has been performed.
- Review the certifications and assurances for compliance.

Documents required: Grant application any exhibits or attachments, and information about the grant program or grant requirements.

Novus Agenda Items

After the Legal review is complete, the next step in applying for a grant is for the Department to complete a BCC Agenda Item, which must include specific information regarding the grant under consideration. The item is placed on the BCC agenda under Consent Agenda. A department representative shall attend both pre agenda and the Board meeting to answer any questions the Board of Commissioners may have. An example of how to complete the Novus Agenda Item to apply for a grant is **appendix D**.

Charlotte County Grants Checklist

This checklist is completed by the requesting Department and submitted with the Novus Agenda Item pertaining to grant applications. Complete one form for each grant. This process should be done in consultation with the Fiscal Division Representative.

Once completed, the checklist will be placed in the grant folder located in SharePoint, after the grant has been approved and accepted. If the BCC denies the grant application, the checklist will be kept on file at the department that completed it along with the RAF.

The BCC checklist is located in the Budget Forms. An example of a completed Grants Checklist is **appendix E**.

Letters of Support Requests from External Organizations

Letters of support for a grant application prepared by an external entity, and for which the County is not a collaborating partner, shall be coordinated by the Department Director or their designee.

The Department Director, or their designee, is responsible for documenting the information and reasoning behind the decision, and for ensuring that no potential liabilities to the County will be incurred as a result of their action. If the request is supported, and a letter of support will be provided, the Grants Coordinator will be provided with the name, mission and activities of the requesting organization, the name and description of the proposed project, and whether or not there will be future obligations by the County. The Grants Coordinator will ensure the County is not in competition, or is likely to be in competition for the same grant opportunity by comparing the request to pre-application reporting received from County departments. If the County is likely to be in competition for the same grant opportunity, the request for a letter of support shall be denied. If approved, the Department Director may supply the appropriate letter of support and provide a copy of the letter to the Grants Coordinator.

Grant Signature authorization

The purpose of this policy is to identify who may approve and provide authorized written signatures on grant applications and subsequent grant agreements. This shall be done well in advance of grant submission due dates to avoid last minute delays or problems that could cause the grant deadline to be missed.

Electronic Signature Procedure

Many federal and state grant programs have the requirement or option of submitting grant applications and reporting through the internet. The purpose of this policy is to identify the procedure to provide authorized electronic signatures.

D-U-N-S Number Oversight

Dun & Bradstreet (D&B) issues a D-U-N-S Number, a unique nine digit identification number that is required to apply for US federal government contracts or grants. The Clerk's Finance Department has the sole responsibility of managing and obtaining D-U-N-S numbers for Charlotte County from the federal government's Central Contractor Registry.

VIII. AWARD NOTIFICATION, REVIEW and ACCEPTANCE

The Grant Acceptance process begins after the granting agency has indicated that an application has been approved. BCC must authorize acceptance of the award prior to execution of a grant agreement. The process begins with a legal review by the County Attorney, which occurs before a department goes to the Board for approval to accept the grant award.

If the contract is for a re-occurring grant, review for any changes from previous year's agreement. New contracts are reviewed for legal sufficiency, clarity, and any terms that may be ambiguous. If legal issues of concern are identified, a memo will be drafted to the department noting the issues. The department needs to contact the appropriate agency with the concerns. Unless the issue is significant the state or federal program is unlikely to change the contract, but the County has documented the potential issues.

Documents required: Contract with all the exhibits or attachments

After the Legal review is complete, the next step is for the Department to complete a Novus Agenda Item to have the BCC accept the grant award, which must include specific information regarding the award under consideration. The item is placed on the BCC agenda under Regular or Consent Agenda. A department representative shall attend both pre agenda and the Board meeting to answer any questions the Board of Commissioner's may have.

The completed example is **appendix F**.

IX. USE and RECEIPT of GRANT FUNDS

Purchasing

Unless otherwise specified in the grant, County Purchasing procedures will be followed. The manual is located on the Charlotte County website on the Purchasing Department web page.

- The Grant Coordinator is responsible for reviewing the funding agreement associated with each grant to ensure that grant specific procurement requirements are adhered to and to notify Purchasing about the grant specific procurement requirements.
- The typical forms of payment include purchase orders, visa credit cards and check requests.
- If a purchase order is being used as a form of payment for goods or services, the department generates a receiver in the County's Financial Software System which goes to the Purchasing Department along with the invoice.
- A check request is typically used for services or one time purchases. The check request is forwarded to the Fiscal Representative who will send it to the Finance Department for payment after reviewing it.

- If a visa credit card is being used as a form of payment, the credit card reconciliation sheet is forwarded to the Purchasing Department who then sends it to the Finance Department.
- For supporting documentation, refer to grant requirements located in the grant contract.

Payroll

- Understanding that some of the grant expenses incurred is going to be payroll related and will run through the County's payroll system, it is imperative that the salaries related to grants are charged to the appropriate project in the County's Financial Software System. For the Board related salaries, the project could either be added to the position through position control or charged on the actual timesheet submitted by the employee each pay period (preferred method if the % of time charged to the project will vary by period).
- Whenever possible, additional employees that are required for grant purposes and paid for by the grant should be employed as contract employees. Their pay will still go through the County payroll system and the County will be required to pay the salary, retirement benefit (if the employee is to be employed for a term of six (6) months or longer), and the social security on that employee. The contract should have an end date that usually will correspond to the grant end date. The hiring department will coordinate the new grant hire with the Human Resources Department. Grant-specific employees will not be utilized for non-grant related tasks.

Central and Indirect Costs

Some grants will allow indirect costs without a pre-established rate so long as they conform to certain guidelines. The County contracts with a company to allocate Central and Indirect costs within the departments. In most cases, these costs can be used, if allowed by the grant. Prior to including indirect costs in grant budgets, the Grant Coordinator and applicable County management shall ensure the following:

To be allowable under grant awards, costs must be:

- Necessary and reasonable for the performance and administration of awards.
- Allocable to grants awards as stated in the specific.
- Authorized or not prohibited under State or local laws or regulations.
- Consistent with policies, regulations, and procedures that apply uniformly to both grant awards and other activities of the governmental unit.
- Accorded consistent treatment. A cost may not be assigned to a grant award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the grant award as an indirect cost.
- Determined in accordance with generally accepted accounting principles.
- Not included as a cost or used to meet cost sharing or matching requirements of any other grant award, except as specifically provided by law or regulation.
- A net of all applicable credits.
- Adequately documented.

This information is provided in the OMB Circular A-87 which establishes principles and standards for determining allowable direct and indirect costs for grant awards.

Supplanting

Grant funds may not be used to replace State or local funds that would, in the absence of Federal aid, be available or forthcoming. Instead, grant funds must be used to increase the total amount of such other funds used.

The possibility of supplanting will be the subject of careful application review, possible pre-award review, post-award monitoring and audit of any finding. If there is a potential presence of supplanting, the applicant or grantee will be required to supply documentation demonstrating that the reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds. Any supplanting of non-Federal funds with grants is a ground for potential suspension or termination of grant funding, recovery of funds already provided, and other civil or criminal sanctions.

Commingling of Funds

Federal agencies shall not require physical segregation of cash deposits or the establishment of any eligibility requirements for funds which are provided to a recipient. However, the accounting systems of all recipients and subrecipients must ensure that agency funds are not commingled with funds from other Federal agencies. Each award must be accounted for separately. Recipients and subrecipients are prohibited from commingling funds on either a program-by-program or project-by-project basis.

Funds specifically budgeted and/or received for a project may not be used to support another. Where a recipient's or subrecipient's accounting system cannot comply with this requirement, the recipient or subrecipient shall establish a system to provide adequate fund accountability for each project it has been awarded.

X. GRANT OVERSIGHT

Oversight

- Tracking of all costs associated with grants is of utmost importance.
- Detailed tracking of costs is required to enable accurate reporting, documentation of grant outcomes and seamless audit reviews.
- The documentation must be stored in SharePoint.
- Grant Coordinator will be responsible for Program oversight.
- Fiscal Contact will be responsible for Fiscal oversight.

Administrative Costs

- Direct grant administrative costs are sometimes allowable expenses in grant budgets. If these costs were included in the grant budget application, and were accepted by the grantor agency that awarded the grant, they should be tracked and documented in SharePoint.
- Examples of direct administrative costs include percentage of the grant coordinator's time or supplies and materials specifically used to support administrative activities performed in support of a particular grant.

Documentation

- The Grant Coordinator shall obtain documentation of staff time directly related to grant administration.
- The Grant Coordinator will indicate on the record the amount of time and cost directly related to grant activities.
- Invoices or purchase orders for grant supplies will be obtained from the County's Financial Software System.
- This information shall be included in the grant file.

- Documentation of an indirect cost rate shall be included in the electronic grant file.

Labor Costs

- Labor costs include all costs associated with wages for personnel that will be reimbursed by a grant. Normally, when a grant application is submitted, a wage rate is identified for each position that will be funded by a grant.
- Wage rates are established by calculating an hourly rate for each employee that includes salary costs as well as fringe benefits. If assistance is needed calculating an hourly rate including fringe benefits, the Payroll Department can provide the necessary information.
- The method for documenting the number of hours eligible personnel work on a grant, in order to obtain reimbursement, vary from grant to grant. The method for documenting the hours associated with a grant should be identified when the funding agreement for each grant is reviewed. The funding agreement will often include a formatted spreadsheet for this purpose.
- In addition to documenting eligible hours in the format specified by each grant, the following information must be documented for each employee charged to the grant:
 - Timesheet
 - Payroll summary showing that each employee was paid for the hours worked
- Unless otherwise deemed unnecessary by grant specific guidance, this information must be kept as backup to the spreadsheet for each grant.

Vendor Costs

- Contractor and Vendor (contractor) costs must be accurately tracked in order to receive reimbursement and/or to document allowable costs for work associated with a grant.
- The following documentation shall be saved in the grant file for the appropriate project:
 - Purchase orders
 - Receiving reports
 - Vendor invoices
 - Proof of payment
 - Time sheets or payroll reports where applicable
- If a contractor invoice does not accurately document what type of work or service was performed, a description must be filed with the invoice.
- A “correct report type” should be printed and filed for each invoice in order to substantiate payment.
- In addition to cost documentation, procurement information for each contractor associated with a grant must be filed in each grant file in SharePoint.
- The procurement information that shall be filed for each subcontract award is as follows:
 - Request for Bids or appropriate type of solicitation
 - All bids that are submitted
 - Bid tabulation
 - Contract document (formal contract or purchase order)

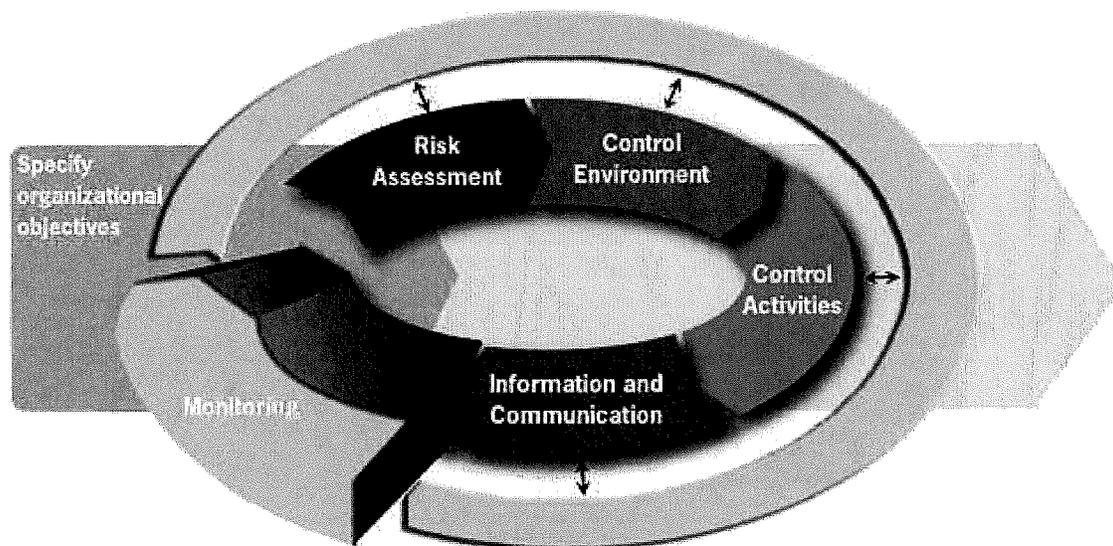
XI. INTERNAL CONTROLS OVER COMPLIANCE

Maintain internal control over compliance for grant programs that provides reasonable assurance that the County is managing grant awards properly.

Refer to your grant for these fourteen compliance requirements that could be reviewed during an audit:

1. Activities Allowed or Unallowed
2. Allowable Costs/Cost Principles
3. Cash Management
4. Davis Bacon Act
5. Eligibility
6. Equipment and Real Property Management
7. Matching, Level of Effort, Earmarking
8. Period of Availability
9. Procurement, Suspension and Debarment
10. Program Income
11. Real Property Acquisition and Relocation Assistance
12. Reporting
13. Subrecipient Monitoring
14. Special Tests and Provisions

XII. MONITORING



Monitoring is the process of conducting ongoing and/or separate evaluations to enable management to determine whether the other components of internal controls continue to function over time. Monitoring is an essential and integral component of internal control compliance. If monitoring is implemented effectively, the County is more likely to:

- Identify and correct internal control problems on a timely basis.
- Produce more accurate and reliable information for use in decision-making.
- Prepare accurate and timely financial statements.
- Be in a position to provide periodic certifications or assertions on the effectiveness of internal control.

- Comply with laws, regulations, and the provisions of contracts or grant agreements related to each of its programs.
- Ensure that the audits required are properly performed and submitted when due.
- Follow up and take corrective action on audit findings, including preparation of a summary schedule of prior audit findings and a corrective action plan.

For monitoring responsibilities, see Grant Coordinator and Fiscal Contact Roles and Responsibilities.

Deficiencies

- Any deficiencies in SharePoint grant files or grant management (exception reports) shall be reported to the applicable Grant Coordinator or the Fiscal Contact.
- The Director will ensure corrective action items are completed within the stated timeframes.
- Deficiencies are communicated to Management. Serious deficiencies and internal control problems are promptly reported to top management.

XIII. GRANT REPORTING

Full and easy access to information on government spending promotes accountability by allowing detailed tracking and analysis of the deployment of government resources. Such tracking and analysis allow both the public and public officials to gauge the effectiveness of expenditures and to modify spending patterns as necessary to achieve the best possible results. Transparency also gives the public confidence that we are properly managing its funds.

General Reporting

Grants awarded to the County may require that progress, programmatic and financial reports be submitted to the grantor. Accurate and timely reporting is critical to maintaining a good relationship with the grantor. Late or inaccurate reports may negatively impact current or future funding.

Grant Reporting Procedure

- Recipient departments must prepare timely and accurate progress, programmatic or financial reports as required by grantor. This includes putting the information into SharePoint.
- If the report preparer is not the department's Grant Coordinator or equivalent, the preparer shall submit all reports to the Grant Coordinator for review and approval before submitting them to the grantor. If the preparer is the department's Grant Coordinator or equivalent, the reports shall be submitted to the appropriate Department Director when submitting them to the grantor.
- Copies of all financial status and final reports prepared for submission to the grantor shall be provided, along with the associated grant name and year to the Department's Grant Coordinator, Director, and Fiscal Representative.
- The assigned Fiscal representative will review and place a copy of the financial report in the appropriate SharePoint file. The Fiscal representative must provide support or reconciliation to the general ledger.
- The Grant Coordinator will review any programmatic reports for content and quality and address any issues. The Grant Coordinator will place a copy of the program report in the appropriate SharePoint file.

XIV. GRANT MAINTENANCE

File Management and access

All department and financial files associated with a grant award must maintain a file structure on SharePoint with clear separations between different fiscal years, unless otherwise directed by the grantor.

Record Retention

Departments must ensure that they comply with retention requirements specified by each grantor. Retention requirements extend to 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, application, and required recipient financial and narrative reports. Personnel and payroll records shall include the time and attendance reports, personal activity reports or equivalent documentation for all individuals reimbursed under the award.

Grant Closeout

Upon completion of the grant period of each grant, the recipient department must closeout the grant in accordance with the grantor's procedures. Place all closeout documents on SharePoint.

Project Request Form

File Name (must be unique):	Low Income Home Energy Assistance (LIHEAP)-g641302-April 2012
Date Requested:	3/29/2012
Grant Name (As It Appears in SharePoint):	Low Income Home Energy Assistance (LIHEAP)-g641302-April 2012
Department:	Human Services
Department Contact Name:	Studenwalt, Kelly
Department Contact Phone / Email:	941-764-4986 kelly.studenwaltfl.com
Grant Type:	Federal
Grant Contract Number or Other ID#:	12EA-0F-09-18-01-007
Project Number Requested:	G641302
Former Project Number (if applicable):	G641202

List of Funding Sources:

Description	Amount	Account Number	Task	Phase	Detail
Federal Grants	\$460,916.00	1081.684231.331.691.0000	500	501	

List of Expenditures:

Description	Amount	Account Number	Task	Phase	Detail
Administration - Personal Services	\$0.00	1081.684231....	330	60037	
Administration - Operating	\$0.00	1081.684231....	330	60038	
Direct Client Services	\$0.00	1081.684231....	330	60039	
Required County Match	\$0.00	1081.684231....	430	60048	
County Overmatch	\$0.00	1081.684231....	430	60049	

Project Has Been Created:

Charlotte County Grant Pre Application Risk Assessment Form

General Information	
Title of Grant	
Agency	
County Department	
Grant Submission Deadline	
Date RAF Submitted	
General Purpose of the Grant	
Grant Risk Assessment Information	
ITEM	DISCUSSION
1. Financial	
Administration of grant Costs/ Time	
Matching Type/Source/Amount	
Total anticipated funding	
Staff time spent on grant application process	
2. Programmatic	
Alignment with County/Department mission and goals	
Knowledge and experience of staff	
Requirements for partner agency participation (MOU)	
Sustainability/program continuation post award	
Documented need for project/service	

Approved/Denied

Reason: _____

Signature: _____ Date: _____

**Charlotte County
Administrative Approval**

1. DEPARTMENT MAKING REQUEST/NAME/EXTENSION:

Budget and Administrative Services/Fiscal Division

2. DATE:

XX/XX/XXXX

3. REQUESTED MOTION/ACTION:

- A) Request Administrative approval to apply for "Name of Grant"
- B) Authorize the County Administrator to execute any and all documents related to submission of the grant application.

4. IS THIS ITEM BUDGETED (IF APPLICABLE)?: YES_ NO_ IF NO, STATE ACTION REQUIRED

BUDGET ACTION:

State grant application amount and identify if match is required, type of match, and amount of match.

IF YES-NONE

IF NO-

5. BACKGROUND: (WHY IS THE ACTION NECESSARY, AND WHAT ACTION WILL BE ACCOMPLISHED

- Describe the grant and due date of grant application
- Identify funding method, if this is a reimbursement grant or advance payment
- Identify if a federal or state grant
- Identify Federal and/or the State Agency administering the grant.
- Identify if it's a formula (automatic approval of agency's allocation) or a competitive grant
- Identify match, include amount and type if it's cash or in-kind. If there is no match, please state as such.
- If new positions or retained positions are a component, identify how many, FT or PT, job title and requirements after grant period is over. Include any maintenance contracts or any information that the County has to fund to receive this grant.
- Obtain approval to move forward on the project.
- Include any pertinent backup i.e., detailed project description, maps, cost benefit analysis, etc.

6. RECOMMENDED APPROVAL AND DATE (YES & NO BLOCK INDICATE IF APPROVAL IS/IS NOT REQUIRED)

DIVISION/DEPARTMENT DIRECTOR	PURCHASING	BUDGET	OTHER	COUNTY ATTORNEY	COUNTY ADMINISTRATOR
YES <u>X</u> NO	YES__ NO	YES__ NO <u>X</u>	YES__ NO	YES__ NO__	YES <u>X</u> NO

DRAFT

AGENDA ITEM:

Charlotte County Board of County Commissioners Agenda Item Summary					
1. DEPARTMENT MAKING REQUEST/NAME/EXTENSION: Budget and Administrative Services/Fiscal Division			2. MEETING DATE: XXXXXXXXXXXX		
3. REQUESTED MOTION/ACTION: A) Approve grant application for submission to receive Federal/State Funded "Name of Grant". B) Authorize the Chairman or his designee, to execute any and all documents related to submission of the application and receipt of program funds.					
4. AGENDA CONSENT <input checked="" type="checkbox"/> REGULAR <input type="checkbox"/> PRESENTATION <input type="checkbox"/> TIME REQUIRED: _____	5. IS THIS ITEM BUDGETED (IF APPLICABLE): Yes__ No <input checked="" type="checkbox"/> <i>IF NO, STATE ACTION REQUIRED</i> <i>BUDGET ACTION:</i> State/Federal grant application amount and identify if match is required, type of match, and amount of match. <i>FINANCIAL IMPACT STATEMENT:</i> DETAILED ANALYSIS ATTACHED? Yes__ No <input checked="" type="checkbox"/> BUDGET OFFICER _____ DATE _____				
6. BACKGROUND: (<u>WHY</u> IS THE ACTION NECESSARY, AND <u>WHAT</u> ACTION WILL BE ACCOMPLISHED) <ul style="list-style-type: none"> ➤ Describe the grant ➤ Identify funding method, if this is a reimbursement grant or lump sum ➤ Identify if a federal or state grant ➤ Identify Federal agency administering the grant and/or the State Agency administering the grant. ➤ Identify if it's a formula or competitive grant ➤ Identify match, include amount and type if it's cash or inkind ➤ If new positions or retained positions are a component, identify how many, FT or PT, job title and requirements after grant period is over. Include any maintenance contracts or any information that the County has to fund to receive this grant. ➤ Obtain approval to move forward on the project. ➤ Include any pertinent backup with the Novus, i.e. detailed project description, maps, cost benefit analysis, etc. 					
7. RECOMMENDED APPROVAL AND DATE (YES & NO BLOCK INDICATE IF APPROVAL IS/IS NOT REQUIRED)					
DIRECTOR YES <input checked="" type="checkbox"/> NO	PURCHASING YES__ NO <input checked="" type="checkbox"/>	BUDGET/MSBU OFFICER YES <input checked="" type="checkbox"/> NO	OTHER YES__ NO <input checked="" type="checkbox"/>	COUNTY ATTORNEY YES <input checked="" type="checkbox"/> NO	COUNTY ADMINISTRATOR YES__ NO
8. COMMISSION ACTION: __ APPROVED __ DENIED __ DEFERRED DATE TO BRING BACK: __ OTHER SPECIFY:					

DRAFT

Charlotte County Grants Checklist

Department: Human Services
Staff Completing Form: Name
BCC Meeting Date: June 26, 2012

Instructions:

- For Departments to attach to Novus Agenda items pertaining to grant applications.
- Fill out one form for each grant.
- Contact your Fiscal Services Representative with any questions.

1. How much will the Department/County be receiving from the grant?

\$62,094

2. How many years have we been receiving this grant?

This is the first year. These are non-reoccurring grant funds.

3. Is there a County match required? If yes, what type of match and amount?

Yes-Charlotte County: Environmental Study paid previously	\$18,000
Toll Revenue credit match	<u>\$44,094</u>
Total:	\$62,094

4. What will the grant be used for?

To help fund repair and improvement of Transit parking lot at 25490 Airport Rd, Punta Gorda, FL. The combined grant funds available for parking lot repair and improvement are \$62,094 from Florida Department of Transportation (FDOT) + \$124,188 from Federal Transit Administration (FTA) = \$186,282

5. Is it for additional or new services/equipment/facilities?

The improvement to the parking lot will provide better equipment/Vehicle security and protection from damage.

6. Does it pay for something that the County already does?

The current parking lot is inadequate.

7. Does it pay for any positions? If yes, what happens to the position(s) if the grant goes away?

No

8. Is the County obligated to pay for anything after the grant goes away?

County has no ongoing grant funding requirements. County will provide routine parking lot maintenance as needed.

DRAFT

AGENDA ITEM:

**Charlotte County Board of County Commissioners
Agenda Item Summary**

1. DEPARTMENT MAKING REQUEST/NAME/EXTENSION:
Budget and Administrative Services/Fiscal Division

2. MEETING DATE:
XXXXXXXXXX

3. REQUESTED MOTION/ACTION:

- A) Request the Board to accept the "Name of grant or project" award in the amount of \$xxx,xxx.
- B) Approve budget amendment # _____ in the amount of \$ _____ to add the "Name of the grant" to the County FY XX budget.
- C) Authorize the Chairman or his designee to sign all necessary documents related to this grant.

4. AGENDA

CONSENT X
REGULAR _____
PRESENTATION _____
TIME REQUIRED: _____

5. IS THIS ITEM BUDGETED (IF APPLICABLE): YES_ No X IF NO, STATE ACTION REQUIRED

BUDGET ACTION:
Approve budget amendment # _____ in the amount of \$ _____

FINANCIAL IMPACT STATEMENT: The budget for the "Name of grant" grant will be added to the County's Fiscal Year 20XX budget in "Name of fund/org" Fund - "Account name". Address match requirements: ex. match amount,

6. BACKGROUND: (WHY IS THE ACTION NECESSARY, AND WHAT ACTION WILL BE ACCOMPLISHED)

(Address Grant Purpose)

Budget and Administration has been allocated \$xxx,xxx for the "Name of the grant or project". The grant application was submitted on XX/XX/20XX.

The focus of the "Name of the grant" is on Low-Income people becoming more self-sufficient and having improved living conditions. Outcomes include client's receiving educational certificates, enrolling children in before and after school programs, increased education and training opportunities.

DIRECTOR	PURCHASING	BUDGET/MSBU OFFICER	OTHER	COUNTY ATTORNEY	COUNTY ADMINISTRATOR
YES <input checked="" type="checkbox"/> X No	YES__ No <input checked="" type="checkbox"/> X	YES <input checked="" type="checkbox"/> X No	YES__ No <input checked="" type="checkbox"/> X	YES <input checked="" type="checkbox"/> X No	YES__ No

8. COMMISSION ACTION:

- APPROVED
- DENIED
- DEFERRED DATE TO BRING BACK:
- OTHER SPECIFY:

DRAFT