



# DEPARTMENT OF MENTAL HEALTH POLICY/PROCEDURE

<b>SUBJECT</b> <b>GRANTS MANAGEMENT</b>	<b>POLICY NO.</b> <b>110.1</b>	<b>EFFECTIVE DATE</b> <b>05/15/04</b>	<b>PAGE</b> <b>1 of 4</b>
<b>APPROVED BY:</b>  Director	<b>SUPERSEDES</b> <b>3/1/94</b> <b>110.1</b>	<b>ORIGINAL ISSUE DATE</b> <b>12/1/89</b>	<b>DISTRIBUTION LEVEL(S)</b> <b>1</b>

## PURPOSE

- 1.1 To provide systematic guidelines and procedures for the coordinated, efficient, appropriate and timely submission of grant applications; maintenance of quality control; optimization of funding; monitoring of funds use; and interaction of divisions/bureaus within the Department of Mental Health (DMH) responsible for providing grant-funded services.

## POLICY

- 2.1 DMH shall maintain a system for researching, reviewing and applying for grant funding opportunities; for monitoring and reporting progress of grant-funded programs and projects; and for monitoring, managing and reporting use of grant funding.

## PROCEDURE

- 3.1 Staff of the Resource Development Division (RDD) of the Planning and Program Support Bureau will coordinate development of all grant proposals and applications to request funding to support new and existing programs/projects. The RDD will coordinate monitoring and reporting of funds utilization with the Accounting Division of the Fiscal Services Bureau in accordance with County Fiscal Policy 8.2.2.
- 3.2 Grant Funding Research
  - 3.2.1 Staff of the RDD will regularly review Federal government notices of funding availability published in The Federal Register, on funding agency websites, e.g., the Substance Abuse and Mental Health Services Administration (SAMHSA), National Institute of Mental Health (NIMH), and other sources to determine appropriateness to DMH objectives and organization.
  - 3.2.2 Reviews will be conducted on an ongoing basis and include review of websites, mailed notices received from potential funders, and publications related to the field.
  - 3.2.3 The RDD staff will develop and maintain a log of weekly grant seeking activities to be reviewed and approved weekly by the Chief of RDD. Notices deemed to have potential as a funding opportunity will be forwarded to the appropriate Deputy Director(s) to determine if they wish to apply and to identify participating program specialists to be



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involved in developing the funding proposal or application. Department programs generally receive governmental funding, as most private foundations exclude public agencies from application.

- 3.2.4 The RDD staff will maintain a current inventory of all grant opportunities, including funding source, program identification number and Catalog of Federal Domestic Assistance (CFDA) number, program purposes, funding amount, term, matching funds requirements, program requirements, deadlines and disposition, including supporting grant documentation.
- 3.3 Staff of the RDD will coordinate with other Divisions/Bureaus and agencies to develop innovative program concepts, detailed needs statements, timelines, key staff biographies, target population estimates and demographics, “best practice” and precedent programs, outcome evaluation methods and potential for replication of the proposed program.
- 3.4 If a program concept is developed prior to the identification of potential grant funding, staff of the RDD will investigate potential sources of funding, including Federal, State and local government agencies, private philanthropic foundations, corporations and individuals based on the concept, budget, staffing requirements, service location(s), target population(s) and implementation timeline. Investigation may range from widely available online publications, e.g., the Catalog of Federal Domestic Assistance (CFDA), to special reference library resources, e.g., The Information Center of the California Community Foundation and The Grantsmanship Center.
- 3.5 Programmatic Performance Monitoring and Reporting
  - 3.5.1 The RDD will review and approve progress reports prepared by staff of grant-funded programs as required by funding agencies. Program Managers and District Chiefs will be responsible for daily operations, record keeping, staffing and Departmental reporting as in all Department operated programs. Program Managers will be responsible for submitting to RDD a copy of all progress reports required by funding agencies.
- 3.6 Internal Control of Funds
  - 3.6.1 Staff of RDD and appropriate Divisions within the Financial Services Bureau will coordinate internal controls pertaining to the reporting of use of funds to granting agencies/organizations in compliance with the standards established in County Fiscal Manual, Sections 8.2.2 through 8.2.8.



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3.6.2 The RDD will be responsible for ensuring that grant revenue is maximized by:

- exploring potential grant sources (8.2.2);
- coordinating grant application by Department (8.2.2);
- developing program/project budgets in cooperation with the Financial Services Bureau's Budget Division and Program Managers (8.2.2); and
- ensuring program activity compliance with the contract (8.2.2).

3.6.3 The Financial Services Bureau's Accounting Division will be responsible for:

- tracking grant receipts in the Accounts Receivable listing to ensure timely receipt in accordance with the contract terms (8.2.2);
- ensuring that grant funds are properly accounted (8.2.2);
- ensuring that grant funds (receipts and disbursements) are properly reconciled, including reconciliation of Department records of monies allocated to other agencies (sub-contractors) with total grant monies (8.2.2);
- appropriate use or disposition of carryover receipts (8.2.5); and
- contacting the Program Manager for clarification of the use of authorized funds.

3.6.4 Financial Services Bureau's Third Party Claiming Unit will be responsible for:

- expediting receipt of grant monies (8.2.2);
- timely drawdowns for advances or claims submitted (8.2.2);
- requesting timely billings from cooperating County departments or contracted service providers (8.2.2);
- retaining Departmental Grant Accounting Records (8.2.3);
- timely and complete reporting (8.2.4); and
- year-end closing of accounts (8.2.8).

3.6.5 Financial Services Bureau's Budget Division will be responsible for:

- ensuring that overhead (also known as indirect cost or administrative oversight cost) is properly calculated and recovery is maximized to the extent allowable (8.2.2); and
- development of the Department's indirect cost proposal (ICP) in accordance with Federal guidelines (8.2.2).

3.6.6 Financial Services Bureau's Audit Division will be responsible for:



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- coordination of the Federal Grant Single Audit and the County's Auditor-Controller Audit Division and other audits as required by grant funding authority (8.2.7).

### 3.7 Grant Program Implementation and Management

- 3.7.1 Grant-funded programs will be implemented and regularly managed as part of the sponsoring Division/Bureau's programs, with special assistance from RDD as needed. The Program Managers identified in the grant narrative and/or application will be responsible for daily activities and outcomes and will inform RDD of all proposed material changes to activities, staffing, facilities, target populations and other aspects of the program as described, including difficulties in implementing the program in a timely manner. RDD will coordinate communication with the funding source, including formal requests to revise the grant contract.

### AUTHORITY

County Fiscal Policy, Sections 8.2.2 through 8.2.8.

### REVIEW DATE

This policy shall be reviewed on or before May 15, 2009.