

TOWN OF PROSPER PERSONNEL POLICIES AND PROCEDURES MANUAL	REFERENCE NO. 9.08 PAGE NO. 1 of 4
Chapter 9: MISCELLANEOUS	INITIAL EFFECTIVE DATE: SEPTEMBER 24, 2013
Title: GRANT MANAGEMENT POLICY AND PROCEDURES	LAST REVISION DATE:

**Purpose:** The purpose of this policy is to outline standardized procedures for the grants management process, in order to ensure compliance with all applicable federal, state, and local regulations related to the application for, and the administration of grant funding. This policy and the procedures outlined herein may change at any time.

The policy applies to all departments that are applying for, or have received grant funds on behalf of the Town. Any exceptions to this policy shall only be allowed with written approval from the Town Manager.

## I. Roles and Responsibilities

Throughout the process, it is critical that Town staff works together to ensure that grant requirements are met, and that the Town of Prosper achieves the identified goal that created the need for the supplemental funding.

### A. Finance Director

The Finance Director, or an authorized designee, is responsible for the following:

1. Serving as the central point-of-contact for all grant activities.
2. Managing the development, implementation, administration, and close-out of grant proposals and agreements, and ensuring compliance with all grant requirements.
3. Tracking grants through a monthly status report identifying all grant awards that have not yet terminated, grant proposals that are in development or have been submitted to the grantor agency pending approval, and those opportunities that have been referred to interested departments.
4. Assisting departments with:
  - a. researching and identifying funding opportunities;
  - b. formulating grant proposals and completing grant applications;
  - c. providing technical assistance during grant administration.

### B. Departments

Departments are responsible for the following:

1. Working with Finance staff to identify, develop, and submit grant applications and proposals.
2. After receiving a grant award, a department staff member will serve as Project Manager, who is responsible for the following:
  - a. maintaining the project grant file;
  - b. carrying-out project activities identified in the grant document;
  - c. working with the appropriate staff members to ensure all financial and purchasing activities are in compliance with the grant requirements;
  - d. overseeing and monitoring project activities; and
  - e. maintaining ongoing communication with all associated staff.

3. Working with the Finance Department to assist outside auditors with information required for annual Town audit/single audit, as required.

#### **C. Accounting Division**

The Accounting Division is responsible for the following:

1. Providing financial support, such as submitting required periodic fiscal reports in coordination with the Project Manager.
2. Establishing applicable funding and appropriations in the Town's financial system.
3. Assisting departments with submitting requests for reimbursement to the grantor agency.

#### **D. Purchasing Division**

The Purchasing Division is responsible for the following:

1. Supporting the Town's Grant Management Policy by following proper purchasing guidelines as outlined in the grant documents, and ensuring all purchases are in compliance within all legal constraints.
2. Working with the Town Attorney to ensure all required terms and conditions are included in contract documents, if required by the granting agency.
3. Conducting appropriate debarment checks prior to award of contract and/or issuance of a purchase order in which grant funds are being utilized.

#### **E. Town Council**

The Town Council is responsible for the following:

1. Considering the approval and acceptance of grant proposals/awards that are brought before the governing body.

## **II. Procedures**

All grant proposals and applications, regardless of the format, shall follow the grant application procedures described within. The following procedures identify the process to be followed through the life of the grant:

#### **A. Submitting the Grant Proposal**

1. The initiating department shall study all grant requirements prior to applying for a grant, to ensure the Town can meet the requirements.
2. The initiating department shall contact the Finance Director to discuss the feasibility of submitting the grant application, and the process that will be followed to complete and submit the application by stated deadline.
3. If requested, the Finance Director assists the initiating department with writing the grant proposal and completing the grant application.
4. After completing the grant proposal and/or application, the initiating department shall submit the documents to the following departments/divisions as applicable:

- a. Human Resources: for review of the application if employees' salaries are to be funded with grant proceeds.
  - b. Engineering/Capital Projects: for review of all infrastructure and capital project related grant proposals/applications.
  - c. Purchasing Division: for review of all purchasing requirements and contract terms and conditions.
  - d. Finance Department: for review of the application for indirect cost rate, if any; matching fund requests; in-kind contributions; or any other budget related issues.
5. The department will complete a final review of all grant proposals/applications, obtain legal review, and submit to Town Council for approval. All grant proposals must have Town Council approval prior to submission.
  6. The department will submit the grant proposal/application to the grantor agency, with a copy to the Finance Director.

#### **B. Grant Award Acceptance**

A grant that is awarded must be accepted by the Town Council, who authorizes the Mayor to execute the award documents.

1. All award notifications and contracts should be forwarded to the Finance Director immediately upon receipt.
2. The department obtains legal review of the award document, prepares and processes the Agenda Item, and submits the executed award document to the grantor agency for their signatures. Upon receipt of the fully executed award document, the department provides a copy to the Town Secretary, the Finance Director, the Accounting Division, the Purchasing Division, and other departments as applicable.
3. Upon receipt of the award document, the Accounting Division will set-up fund and accounting line item numbers, and forward the information to the initiating department.
4. Upon receipt of the award document, the initiating department shall schedule a meeting with all associated departments to discuss grant related issues, and establish a timeline for the various phases of the project (e.g. bid process, contract development, award process, project start and end dates, reporting requirements, etc.).

#### **C. Grant Administration**

The Town must maintain accurate records to provide information to the grantor agency, Town Management, and auditors; and must follow any applicable records retention requirements.

1. The department will maintain the official grant file. The grant file should include, but not be limited to the following documents:
  - a. grant proposal/application;
  - b. grant award document/agreement and sub-recipient agreement(s);
  - c. grant budget;
  - d. grant/contract number;
  - e. granting agency contact information;
  - f. internal/external reports;
  - g. debarment certification;

- h. payroll certification documents provided by the contractor(s), if applicable, to ensure compliance with Davis-Bacon and related acts;
  - i. supply/equipment inventory records;
  - j. electronic employment eligibility verification records (provided by Human Resources) for all grant funded positions, if applicable;
  - k. copy of purchase order issued utilizing applicable grant funds;
  - l. grant close-out documents; and
  - m. all other correspondence related to the grant process.
2. The Project Manager completes project activities in accordance with grant requirements, and:
  - a. Ensures that expenditures are allowable and purchasing requirements are followed.
  - b. Submits expense invoices to the Accounting Division, which follows Accounts Payable procedures.
  - c. Works with the Finance Director to complete and submit required periodic fiscal reports, as well as requests for reimbursement from the grantor agency.
  - d. Works with the Finance Director to complete and submit required periodic program reports to the grantor agency.
3. To help ensure compliance with program rules and requirements, the Finance Director conducts regular desk and on-site monitoring of grant activities, and provides technical assistance when necessary.
4. Should a grant modification or amendment be necessary, the Project Manager will notify the Finance Director. The Finance Director will assist the department with working with the grantor agency to complete the necessary steps for the modification.
5. The Finance Director investigates and responds to any complaints received about grant activities, with a copy to the Project Manager.

**D. Grant Closeout**

1. The Project Manager shall confirm with all involved responsible parties that all requirements of the grant have been met, all reports have been filed with the granting agency, and the grant file contains a complete and accurate account of all grant activities.
2. The Project Manager shall work with the Accounting Division to ensure all financial transactions are recorded, all reimbursements have been requested and received from the granting agency, and any refunds due to the granting agency have been processed.
3. Coordinating with the grantor agency, the Project Manager and the Finance Director will review grant activities for compliance, and follow the grant procedures to close-out the grant.

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The Town of Prosper Grants Management Policy and Procedures is hereby approved this 24<sup>th</sup> day of September, 2013.

  
Harlan Jefferson, Town Manager