
 <p>State of Connecticut Department of Correction</p> <p>ADMINISTRATIVE DIRECTIVE</p>	Directive Number 3.15	Effective Date 04/28/2017	Page 1 of 3
	Supersedes Grants and Contracts, dated 10/17/14		
Approved By  Commissioner Scott Semple	Title Grants Development and Management		

1. Policy. The Department of Correction shall actively pursue grants and other funding opportunities which advance its mission and goals, establish strategic partnerships, and exercise responsible management and stewardship of those resources.

2. Authority and Reference.

- a. Connecticut General Statutes, Sections 3-39a, 4-8, 4-28, 4-29, 4-31, 4-31a, 4-33a, 4-73a, 4-98, 4-168, 4-173, 4a-50 through 4a-75, 4b-51, 4d-9, 18-81 and 18-101i.
- b. United States Department of Health and Human Services, Discretionary Grants Administration Manual, Grants and Contracts Management Division/OFM.
- c. United States Department of Justice, Grants Management System (GMS).
- d. United States Department of Justice, Office of Justice Programs, Office of the Comptroller's Financial Guide.
- e. Centralized Federal Grant System (www.grants.gov).
- f. United States Office of Management and Budget, OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments.
- g. United States Office of Management and Budget, OMB Circular A-102, Grants and Cooperative Agreements.
- h. United States Office of Management and Budget, OMB Circular A-133, Cost Principles for Non-Profit Organizations.
- i. State of Connecticut, Office of the State Comptroller, State Accounting Manual.
- j. State of Connecticut, Office of Policy and Management, Notice of Intent (NOI).
- k. Administrative Directives 1.7, Research; and 3.13, Contracts.

3. Definitions. For the purposes stated herein, the following definitions apply:

- a. Grant. An award of funds made by a foundation, corporation or the government to a public or other tax-exempt entity to support general operations, capital projects, programs, research and evaluation projects or to acquire equipment.
- b. Grants and Contracts Manager. Administrative staff responsible for the acquisition and management of grants.
- c. Indirect Cost Rate. The Department's federally approved rate of reimbursement for administrative and in-direct grant related expenses.
- d. Letter of Support. An official written endorsement of a grant and/or other types of competitive applications.
- e. Memorandum of Agreement (MOA). A written agreement outlining shared duties and responsibilities between grant partners. Other agreements: Memorandum of Understanding (MOU) or Letter of Agreement (LOA).
- f. Project Director. The person responsible for fulfilling the terms and conditions of a project grant.
- g. Project Manager. The person under the direction of the Project Director who implements and manages a grant-funded program.
- h. Request for Grant Application (RGA). Department form (CN 31501) used to request approval to pursue a grant or other type of solicitation for resources.
- i. Request for Qualifications (RFQ). Solicitation process conducted by the Grants and Contracts Manager to select partner agencies prior to submitting an application.

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4. Grant Guidelines. The Deputy Commissioner of Administration shall oversee the Department's grants development and management program, and issue and periodically update internal protocols to guide the Department's pursuit, acceptance and management of grants and similar resources.

5. Grant Development Process.

- a. The Grants and Contracts Manager shall actively identify and solicit funding opportunities on the Department's behalf.
- b. The Grants and Contracts Manager shall disseminate notices of funding opportunities to Division Heads, Unit Administrators, and key staff.
- c. Department staff who identify funding opportunities shall forward the announcement and all pertinent information to the Grants and Contracts Manager. The Grants and Contracts Manager shall disseminate the funding notice, as deemed appropriate, after reviewing the information and determining the Department's eligibility to apply.
- d. Staff who intend to pursue a grant must complete CN 31501, Request for Grant Application (RGA) in accordance with Attachment A, Request for Grant Application - Instructions and submit the completed form to the Department's designated Grants and Contracts Manager 30 days prior to the application due date.
- e. The Grants and Contracts Manager shall initiate and carry out the Request for Qualification (RFQ) process.

6. Funding Partnerships and Letters of Support. The Department may collaborate with public agencies, academic institutions, service providers, faith-based groups, and other suitable entities.

- a. The Department shall consider the implications of forming grant partnerships in terms of:
 - i. The alignment of the partnership with the Department's mission, priorities and programs;
 - ii. The costs (e.g., access to correctional facilities and Department staff to support grant-funded activities of other agencies); and,
 - iii. The Department's ongoing obligations once the grant ends.
- b. All requests for letters of support shall be directed to the Grants and Contracts Manager to coordinate with the appropriate Division Head or Unit Administrator.
- c. The Grants and Contracts Manager may consult staff and the requestor for additional information about the proposal to obtain clarification about the endorsement and determine cost(s) to the Department.
- d. In no case shall a grant application, letter of intent or letter of support be submitted without the review and approval of the Commissioner, Deputy Commissioner of Administration or their designee.

7. Grant Management. The management of grants and other awards to the Department shall be as follows:

- a. Grants and fiscal services staff shall work collaboratively at post-award to establish all appropriate fiscal accounts and records and maintain such accounts and records in accordance with the guidelines established by the funding source and federal and state laws, policies and procedures.
- b. The Grants and Contracts Manager shall review the requirements of each award with the designated Project Director or Department liaison, in the case of a grant awarded to a partner agency, to ensure full understanding and compliance with its terms and special conditions.
- c. The Project Director shall be responsible for the programmatic oversight of a grant. This includes the preparation for timely submission of all programmatic reports.
- d. Grants and fiscal services staff shall have joint responsibility for the fiscal oversight of all grant awards and for preparing all required fiscal reports.

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- e. The Grants and Contracts Manager shall develop and submit all fiscal and programmatic reports to the funding agency as required by the grant agreement.
 - f. All purchasing associated with any grant award shall be approved and processed through the Fiscal Services Unit.
 - g. All requests for grant-funded positions, or changes in positions, shall be reviewed by the Fiscal Services and Human Resources units and approved by the Deputy Commissioner of Administration.
 - h. A copy of the application, grant award, all reports, and related correspondence shall be maintained in a master file by the Grants and Contracts Manager. Any modification to the terms, goals, or performance measures of a grant must be approved and certified by the funder and documented in the official file by the Program Director.
8. Grant Listing. The Grants and Contracts Manager shall maintain and provide to the Director of Fiscal Services a listing of all active grants of the Department upon request. The list shall contain, at a minimum, the following information:
- a. Source of funding;
 - b. Total amount of grant award funding;
 - c. Number of positions included in the grant;
 - d. Awarding agency's grant number;
 - e. Unit Administrator and Project Director responsible for overall administering of a grant and the Project Manager responsible for managing a grant;
 - f. Amount expended to date;
 - g. Termination date for the grant; and,
 - h. Any other specialized information deemed necessary by the Director of Fiscal Services.
9. Compliance and Accountability.
- a. The Program Director shall be responsible for the implementation and adherence to grant guidelines, award terms and conditions, and all applicable laws and policies.
 - b. The Grants and Contracts Manager, in collaboration with the appropriate division head, shall provide monitoring and oversight to ensure the Department's compliance with the award terms and conditions, as well as compliance with all applicable laws and policies.
10. Forms and Attachments. The following forms and attachments are applicable to this Administrative Directive and shall be utilized for the intended function:
- a. CN 31501, Request for Grant Application; and,
 - b. Attachment A, Request for Grant Application - Instructions.
11. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.