
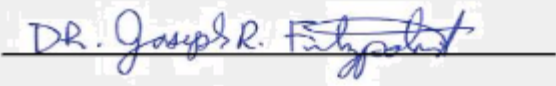


POLICY TITLE: GRANT APPLICATION AND MANAGEMENT		PAGE 1 OF 5
POLICY NUMBER: 2.7		
CHAPTER 2: FISCAL MANAGEMENT		
	STATE of MAINE DEPARTMENT OF CORRECTIONS Approved by Commissioner: 	PROFESSIONAL STANDARDS: See Section VII
EFFECTIVE DATE: December 15, 2003	LATEST REVISION: July 15, 2016	CHECK ONLY IF APA [<input type="checkbox"/>]

I. AUTHORITY

The Commissioner of Corrections adopts this policy pursuant to the authority contained in 34-A M.R.S.A. Section 1403.

II. APPLICABILITY

Entire Maine Department of Corrections

III. POLICY

It is the policy of the Department of Corrections that methods used for grant management shall be in accordance with the rules and regulations as specified in the United States Office of Management & Budget (OMB) policies and circulars and the State of Maine Department of Administrative and Financial Services. The Department's Grants Manager shall be responsible for the overall management of any grants.

IV. CONTENTS

- Procedure A: Grant Administration, General
- Procedure B: Grant Pre-Application Process
- Procedure C: Application Process
- Procedure D: Grant Project Implementation

V. ATTACHMENTS

- [Attachment A: Grant Application Instructions](#)
- [Attachment B: Intent to Submit Grant Application Pre-Approval](#)
- [Attachment C: Grant Application Pre-Approval](#)
- [Attachment D: MDOC Pre-Approval Package Executive Summary - Federal Grant](#)

VI. PROCEDURES

Procedure A: Grant Administration, General

1. Department staff may refer grant solicitation notifications that are suitable to the Department to the Department's Grants Manager and may submit grant applications that are suitable to the Department upon approval from the Department's Grants Manager.
2. All grant proposals and applications are subject to internal review and approval.
3. It is the responsibility of staff submitting the grant application to allow adequate time to obtain approvals prior to the grant submission deadline.
4. The Department's Grants Manager shall have the primary responsibility to coordinate and oversee the grant application and the grant management process, including, but not limited to the following:
 - a. serve as the primary point of contact for the Department's grants;
 - b. identify and apply for suitable grants for the Department;
 - c. assist staff who have been authorized to apply for grants;
 - d. identify staff to serve on the grant review team;
 - e. review proposals submitted by staff;
 - f. assist with the pre-award and post-award process;
 - g. provide training, if applicable, to staff who have the responsibility of managing a grant;
 - h. coordinate the submission of completed reports to the granting organization by the required due date;
 - i. when necessary, prepares and submits all requests for programmatic and budget changes and any other requests;
 - j. retains complete, detailed, and accurate supporting documentation, in accordance with requirements of the grant; and
 - k. ensures that he or she, or an equally qualified designee, is readily available for any audit.

Procedure B: Grant Pre-Application Process

1. If staff is interested in applying for a grant, he or she shall review the Grant Application Instructions (Attachment A) and submit the Intent to Submit Grant Application Pre-Approval form (Attachment B) to his or her supervisor.
2. If the supervisor approves pursuing the grant solicitation, he or she shall submit the Intent to Submit Grant Application Pre-Approval form with his or her signature to the applicable Chief Administrative Officer, or designee, Regional Correctional Administrator, or designee.

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
2.7 Grant Application and Management	2. Fiscal Management	Page 2 of 5 7/15/16R

3. The applicable Chief Administrative Officer, or designee, or the applicable Regional Correctional Administrators, or designee shall indicate approval or disapproval to submit the grant application on the Intent to Submit Grant Application Pre-Approval form and shall ensure it is submitted to the Department's Grants Manager.
4. If the grant solicitation request is from Central Office staff, and the supervisor approves pursuing the grant solicitation, the staff requesting approval shall submit the Intent to Submit Grant Application Pre-Approval form, to the Grants Manager who shall consult with applicable facility Chief Administrative Officer(s), or designee(s), or the applicable Regional Correctional Administrator(s), or designee(s), for the facility or region for whom the grant is intended for his or her determination to approve or disapprove applying for the grant solicitation. If that Chief Administrative Officer(s), or designee(s), and/or the Regional Correctional Administrator(s), or designee(s), approves pursuing the grant solicitation, the Grants Manager shall submit the Intent to Submit Grant Application Pre-Approval form to the Deputy Commissioner, or designee.
5. If the Department's Grants Manager determines that the Department can comply with and fulfill all of the necessary requirements, he or she shall forward the Grant Application Pre-Approval form to the Commissioner, or designee, for a determination if the grant solicitation should be pursued or not.
6. If the Commissioner, or designee, approves that a grant solicitation should be pursued, the Department's Grants Manager shall notify the applicable Chief Administrative Officer, or designee, the Regional Correctional Administrator(s), or the Deputy Commissioner, or designee, to have a completed Grant Application Pre-Approval form (Attachment C) submitted to the Department's Grants Manager.
7. The Department's Grants Manager or other staff assigned to write the application shall:
 - a. develop a budget and, if applicable, include any indirect costs, i.e., the Statewide Indirect Cost Allocation Plan (STACAP), the Department's plan to allocate indirect costs (DICAP), or other indirect costs; and
 - b. create a budget narrative with detailed breakdowns of all budget categories, to include as to how those costs were determined and the source of any matching funds.
8. The Corrections Service Center Director, or designee, shall ensure that the financial terms can be satisfied and verification of the accuracy of the budget amounts and calculations.
9. The Department's Grants Manager shall identify a grant review team to determine whether or not a grant application should be submitted basing their decision on the following, including, but not limited to: if the grant is compatible with the Department's mission; the needs of the Department; the impact of the time and

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
2.7 Grant Application and Management	2. Fiscal Management	Page 3 of 5 7/15/16R

resources on the Department; and any matching funds or resources required by the Department.

10. The grant review team, consisting of Department staff, and may also include stakeholders from outside the Department, shall make their decision within fourteen (14) days from the date of submission of the Grant Application Pre-Approval form.
11. If the grant review team disapproves pursuing the grant solicitation, staff submitting the grant application may request a meeting with grant review team to further discuss the application.

Procedure C: Application Process

1. If the grant review team approves the submission of a grant application, the Department's Grants Manager shall determine if he or she shall be responsible for the development of the grant application or designate the responsibility of writing the grant application to another staff member(s). If it is assigned to another staff member(s) to complete, the Department's Grants Manager shall provide assistance, as needed. If the Grants Manager shall complete the grant application, the Department's Grants Manager may designate staff to assist in the process.
2. The Department's Grants Manager shall submit the completed grant proposal for review to the following:
 - a. a Department Contract Grant Specialist or other staff with the responsibilities of managing contracts and purchasing;
 - b. the Corrections Service Center Director, or designee; and
 - c. the Department's Director of Human Resources, or designee (if the grant includes funding for positions).
3. If any of the above staff determines that revisions are necessary, the application shall be returned to the designated staff member(s) for revision(s).
4. Once the grant proposal is drafted and noted as final, the Department's Grants Manager shall be responsible for collecting official signatures from the Commissioner, or designee, and the Governor's Office on the MDOC Pre-Approval Package Executive Summary - Federal Grant form (Attachment D).
5. Upon notification from the Governor's Office of approval to submit the grant application, the Department's Grants Manager shall proceed with submitting the grant application.
6. The Grants Manager shall submit a copy of the final proposal to the Corrections Service Center Director, or designee.
7. The Grants Manager shall monitor the acceptance process and keep all parties informed as to the status of the application.

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
2.7 Grant Application and Management	2. Fiscal Management	Page 4 of 5 7/15/16R

Procedure D: Grant Project Implementation

1. Upon notification of a grant award, the Department’s Grants Manager shall:
 - a. read any special conditions that are attached to the award to determine if anything has been changed or added, and shall advise applicable staff of changes, if any;
 - b. obtain the Commissioner’s signature on the award document to officially accept the award; and
 - c. provide the Corrections Service Center Director, or designee, with a copy of the award notice to ensure that an account is established from which to expend grant funds.
2. The Grants Manager shall assist in the implementation of the grant, as necessary and shall ensure that the grant will be implemented according to the implementation plan included in the grant application.
3. The Grants Manager shall coordinate and oversee terms of grant reporting by established deadlines.
4. The Corrections Service Center Director, or designee, shall serve as the financial officer on grant applications and be responsible for the submission of fiscal reports related directly to the grant.
5. The Department’s Grants Manager shall notify the Chief Administrative Officer, or designee, Regional Correctional Administrator, or designee, or the Deputy Commissioner, or designee, as applicable, and the Service Center Director, or designee, of any modifications to the grant.

VII. PROFESSIONAL STANDARDS

None

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
2.7 Grant Application and Management	2. Fiscal Management	Page 5 of 5 7/15/16R