



# CADDO PARISH GRANT MANAGEMENT POLICY & PROCEDURES

## **Introduction**

The purpose of these Grant Management policies and procedures is to develop, implement and maintain meaningful Non-Governmental Organization (NGO) grant oversight and coordination for the Parish in order to improve the efficiency and impact of programs and services funded through grants.

## **Policy Statement**

To ensure consistency and accountability in managing grant funds, all grant applications must be submitted through the Finance Office, which shall oversee all requests, application submissions, acceptances, and post award and closeout requirements.

## **Grant Management Roles and Responsibilities**

### *Non-Governmental Organizations (NGOs)*

NGOs that apply for and utilize grant funds are responsible for conducting all grant-related activity including: planning for grant acquisition; preparation and submission of grant proposals including proposals for continuing current awards; grant writing; preparing departmental budget revision requests to accept grant funds; preparing the Parish's agenda items to accept grant awards; developing grant implementation plans; managing grant programs and projects; preparing and submitting programmatic reports to grantors; and properly closing out grant projects as detailed in this policy and in the grant agreement or award letter that delineates the terms and conditions of the grant. Department heads are assisted with the financial and technical management of the grant by the Grants Administration staff and the Finance Department.

### *Finance Department – Grant Coordinator*

Grant Coordinator is responsible for general management and administration of the Parish's NGO grant activities; provides “pre-award” and “post-award” technical assistance to NGOs to ensure compliance with the Parish Cooperative Endeavour Agreements (CEAs).

## **Application Submission**

The purpose of this policy is to ensure that each grant application submitted by an NGO is aligned with an established Parish priority, meets the Parish's expectations of document quality, and that the means for continuation of the project or program after the grant period ends has been given realistic consideration.

## **NGO Eligibility Requirements**

1. **Contractual age.** All applicants must be of legal contractual age as defined by the state of Louisiana (18 years).
2. **Conflicts of Interest.** Parish of Caddo employees are not eligible to receive grant funding. The applicant and any program funded by the Parish will be subject to the Code of Governmental Ethics as found in Chapter 15 of Title 42 of the La. Revised Statutes.

3. **Good standing.** Applicants must be in good standing with the Louisiana Secretary of State.
4. **Compliance with law and policy.** All applicants, organizations, and the content of all projects must comply with the ordinances and policies of the Parish of Caddo.
5. **Service area.** The product funded in whole or in part by the Parish of Caddo must be provided for and accessible to the Parish of Caddo citizens and takes place in Caddo Parish.
6. **Eligibility.** The program for which an appropriation is requested must provide services to unskilled poor, low-income persons, unemployed persons or students from those families; alternatively, the program must provide a measurable means of economic development for Caddo Parish. Funds are appropriated for specific programs that an organization sponsors and cannot be used for the day-to-day operating expenses (i.e. salaries, office expenses, etc.) of an organization.
  - a. The organization has community-oriented mission and goals, services, and programming.
  - b. The organization is currently active and has conducted programming consistently for at **least two (2) years**.
  - c. The organization has oversight from a board, advisory committee, or other stewardship group. That group must include community representation.

## How to Apply

Traditional grant applications will be accepted annually with a due date in July to early August. Only high-need and/or emergency applications, as well as projects with proven economic impact, will be considered outside of this application period.

1. Review the application requirements in full on the Department of Finance NGO website.
2. Applications must be submitted electronically using our online DocuSign portal at [www.caddo.gov/finance](http://www.caddo.gov/finance)
3. Applications must be completed by 11:59 p.m. on the date of the deadline. Each application must include the following criteria to be considered complete:
  - a. Online application form
  - b. Budget
  - c. Contributors
  - d. In-kind contributions
  - e. Board of Directors list
  - f. Audited Financials
  - g. Proof of IRS Status
  - h. Proof of Good Standing with Louisiana Secretary of State
  - i. Staff List

4. Once the application has been completed and submitted, look for an automated email message confirming receipt of your application.
5. After the application period has ended, Parish staff will send all completed applications to the appropriate NGO committee for scoring and comments. The NGO committees consist of Parish Commissioners.
6. If you are awarded a grant, staff from the Finance Department will contact you to complete any necessary paperwork.

### **Additional Information about the Application Process**

1. **Application.** Submit your application online no later than 11:59 p.m. on the deadline date. Applications are made through the Department of Finance NGO website. **Late applications will not be considered.**
2. **Staff review.** Staff reviews all applications for completeness and compliance with grant requirements.
3. **Grant revisions.** Staff will contact applicants if any revisions are necessary.
4. **Questions or concerns about application.** Applicants with questions or concerns about the status of their application may contact staff.

### **5. Funding decisions.**

Annual Appropriations: The Caddo Parish Commission will make decisions on traditional NGO grants once a year during the budget adoption process in early December.

Emergency Appropriations: emergency grants may be awarded throughout the year based on the urgency of the need, as evaluated by the Commission.

### **Scoring Applications**

Applications submitted to the Parish for consideration will be scored based on four criteria.

- A. Organization Capacity
  - a.compliance
- B. Program Design
- C. Outcomes & Results
- D. Influence and Impact

### **Organization Capacity (25 points)**

- a. The NGO has a proven history of management and implementation capacity. The NGO has credibility for this kind of work (strength, name recognition, a history or track record of achievements, related mission and goals).
- b. The human (internal staff and or volunteers) and physical resources allocated to this

- project are appropriate.
- c. The project is sustainable.
  - d. Alternative sources of funding will be pursued. The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended.
  - e. In-kind contributions.

**Program Design (25 points)**

- a. Demonstration of a real need or problem.
- b. The concept is innovative and not redundant with other projects within the targeted area.
- c. The objectives are clear, appropriate, and measurable. The objectives should explain why it is important to the community. The objective should also include measurable indicators for monitoring & evaluation purposes (quantity, quality, target group(s), time, and place).
- d. Methodology. The proposed methods, approaches, and strategies are realistic, reasonable, effective, outcome-oriented; drawing on best practice and the latest thinking and research.
- e. The project activities can reasonably be expected to achieve the outputs, outcomes, and results indicated on the application.
- f. The target group(s) in the project is/are well defined.
- g. The project activities are reflected in the estimated budget.

**Outcomes (25 points)**

- a. The project outputs, outcomes, and results are clear, tangible, and include measurable indicators. The outputs, outcomes, and results are direct products of the activities undertaken as part of the project. Ultimately, the activities undertaken should achieve the stated objectives of the project and demonstrate measurable and sustainable benefits for the target groups. Examples of measurable indicators can be found at [www.caddo.gov/finace](http://www.caddo.gov/finace)
- b. The actions (and means) that have to be taken or provided to produce the desired results of the program are adequately summarized.

**Influence and Impact (25 points)**

- a. There is a long-term, wide-spread, and measurable impact on the community being served.
- b. Community and/or economic improvements are demonstrated through the measurable impact of the project on the targeted area.
- c. The expected risks (internal and/or external factors and events that could potentially and negatively affect the progress or success of the project) and the tools necessary to overcome them are well defined.

**Scoring the applications** is the responsibility of the Appropriations Committee. Each committee member and the Administrator or his designee will score each application. The Finance department will provide a summary of each application to the Committee members and Administration. The entire application will also be made available to the committee.

The scores will be averaged. Any application with a score below 60% will not be eligible for funding. Any application with a score 60% or above will be considered for funding.

#### **Award Notification, Review, and Acceptance**

Grant agreements are legal contracts. It is the NGOs responsibility to carry out the project and/or activities associated with a grant to accomplish its objectives, while adhering to all of the terms and conditions prescribed by the Parish. Failure to do so increases the NGOs exposure to legal liability and compromises current and future grant funding. Therefore, the NGO carries a significant legal and ethical responsibility when accepting grant funding.

Grant workshops will be hosted by the Parish for awardees. Attendance of a grant workshop is mandatory. You may contact the grants coordinator with any questions you may have including, but not limited to, award disbursement process, CEA clarifications, eligible expenditures, and required reporting .

#### **Grant Awards**

1. **Notifications and dispersal of funds.** The Parish notifies all applicants if their application has been successful and begins the process of securing supporting information and issuing payment for successful applicants. Grantees must submit a request for funds through the grant coordinator to arrange for payment. Checks are sent by mail or electronically to bank accounts designated by the applicant.
2. **Communications.** All official communications and notifications will be made to the named individual applicant or the individual designated as the organization's point of contact. It is this individual's responsibility to communicate the Parish of Caddo's requirements for the grant award to collaborators or other participants. This includes, but is not limited to, requirements for compliance with grant agreements, and reporting.
3. **Implementation.** Grantees shall implement programs and/or projects as outlined in the CEA. Any change to the project, venue, Grantee address, schedule, and/or changes to point of contact must be reported to [grants@caddo.gov](mailto:grants@caddo.gov).
4. **Award amount.** The Parish of Caddo reserves the right to adjust the amount of a grant award offered to an Applicant. **The grant(s) awarded by the Parish of Caddo must not exceed 50% of the NGOs budget for more than three (3) years.**
5. **Vendor forms.** Grantees must submit a current IRS W-9 form in order to receive the grant award. The W-9 must be in the same name as the Grantee named on the grant application. Failure to supply a proper W-9 may invalidate the grant award.
6. **Agreement.** When a grant award is made by the Caddo Parish Commission, the successful Applicant will be contacted by staff to sign a Cooperative Endeavor Agreement (CEA). In that agreement, the Grantee will be informed of the scope of services covered by the grant. Grantees must carefully review the program/project scope on the CEA as it may be

different from the proposed scope on the original application.

7. **Issuance of funding checks.** Once the agreement is signed, the agreement along with an invoice should be submitted to the Parish Finance Department. **Payment of grant will be paid in two payments.** The first payment of ½ the award will be disbursed within 30 days of invoice receipt. The second payment (the remaining balance) will be made at the end of the program after final report is received. Failure to submit a final grant report will result in ineligibility to apply for future grants.

## Reporting

Grants awarded to NGOs require that semi-annual financial reports be submitted to the Parish. Accurate and timely reporting is critical to maintaining a good working relationship with the Parish. Late or inaccurate reports may negatively impact current or future funding.

In addition to financial reports, an NGO Outcome Report is also due at the end of the project/program. This report should restate the goals in the application and document and support the outcome of the program. The report template can be found on the Finance website at [www.caddo.gov/finance](http://www.caddo.gov/finance).

## Grant Reporting Procedure

1. An NGO receiving grant funds through the Caddo Parish Commission's appropriation process must submit two separate reports detailing the use of those funds as follows:
2. Funds used from January 1 – June 30 of the appropriation year (due by July 31st),
3. Funds used from July 1 – Dec. 31 of the appropriation year (due by Jan. 31st of the next fiscal year).  
*Note: Each NGO must submit both reports, regardless of the amount and timing of program expenditures during the reporting period.*
4. The NGO must **include detailed expense ledgers** along with receipts and proof of payment with any other supporting documentation to the Finance Department for review. An expense ledger template has been made available to download on the Finance website at [caddo.gov/finance](http://caddo.gov/finance).
  - a. Each expense listed on the ledger should include the purpose of the expense. This ensures that the expense is related to the program scope as listed on the CEA.
5. The **NGO Outcome Report** will be used to evaluate the project/program achievements against proposed and expected results. The NGO Outcome report is due January 31<sup>st</sup> of the next fiscal year. Annual Outcome Report is **required** to close the grant file for that year.
6. The Grant Coordinator is responsible for reviewing semi-annual reports for

completeness, accuracy and compliance. Any delinquencies or deficiencies should be reported to the Director of Finance and the Parish Attorney's Office.

7. Filing reports more than 30 days late could jeopardize future funding.
8. If any organization is not in good standing with the IRS, State of Louisiana and the Parish of Caddo funding will be suspended for at least one year one good standing is obtained.

### **File Management, Access and Retention**

The Parish Administration, Commission or their designee may review the files, activities, equipment, and facilities, and interview relevant personnel and contracted entities of any NGO project or program that is funded with grants awarded by the Parish.

### **File Management Procedure**

The NGO master file shall be maintained by the Grant Coordinator. A copy of all grant applications, award letters, contracts, and financial reports shall be maintained in this file.

All files associated with a grant award must maintain a file structure that includes, at minimum, the following four sections, with clear separations between different fiscal years, unless otherwise directed by the Grantor:

- A. Application
- B. Award
- C. Finance
- D. Financial Reports

### **File Retention Procedure**

The Parish, in accordance with State records retention policies, maintains its records for at least three (3) years following the closure date of the grant award. Accounting records are maintained for at least five (5) years following the closure of its most recent audit report.

The NGO should maintain all records for at least five (5) years.