



GRANT OWNER'S PROCESS MANUAL

*UNDERSTANDING THE GRANT MANAGEMENT PROCESS IN THE SEATTLE
POLICE DEPARTMENT FROM APPLICATION TO FINAL REPORT*

**DAVE CHAVEZ,
MANAGER, GRANTS & CONTRACTS UNIT**

**OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER
SEATTLE POLICE DEPARTMENT**

Table of Contents

A.	INTRODUCTION	3
B.	OVERVIEW: UNDERSTANDING GRANTS AND HOW THEY WORK	3
C.	THE VARIOUS & SUNDRY GRANT FUNDING STREAMS	5
C-1	TYPES.....	5
C-2	SOURCES.....	6
D.	YOUR IDEAS AND REQUESTS FOR GRANT FUNDS	6
E.	GRANT APPLICATION PROCESS AND PROCEDURES	7
F.	THE GRANT APPLICATION: FORMAT AND CONTENTS	8
F-1)	PROPOSAL SUMMARY OR ABSTRACT.....	9
F-2)	INTRODUCTION/BACKGROUND OF THE PROJECT AND ORGANIZATION	9
F-3)	STATEMENT OF PROBLEM.....	10
F-4)	PROJECT GOALS & OBJECTIVES.....	10
F-5)	PROJECT METHODS OR DESIGN	10
F-6)	PROJECT EVALUATION	10
F-7)	FUTURE FUNDING	10
F-8)	PROJECT BUDGET.....	11
F-9)	APPENDICES.....	11
G.	GRANT PROJECT MANAGEMENT RESPONSIBILITIES	12
G-1	WHAT IS GRANT MANAGEMENT VERSUS PROJECT MANAGEMENT?.....	12
G-2	SO, WHAT IS PROJECT MANAGEMENT AND HOW IS IT DIFFERENT FROM GRANT MANAGEMENT?	13
H.	GRANT REPORTING REQUIREMENTS	15
I.	COMMON REASONS WHY LAW ENFORCEMENT GRANT APPLICATIONS ARE DENIED.....	15
J.	GRANT FUNDING AGENCY EXPECTATIONS	17
K.	MORE QUESTIONS AND INFORMATION	17

A. INTRODUCTION

The purpose of this manual is to provide an overview of the grant application and management process, answer some common questions about grants and explain, in general, how the process works from initial solicitation review, application and managing the grant/project to completion. Additional information and detailed materials are available by contacting the following Grants & Contracts Unit (GCU) staff:

- | | |
|--|----------|
| ✓ Dave Chavez,
Manager | 386.0057 |
| ✓ Shawn Tonkin,
Grants & Contracts Officer | 386.0063 |
| ✓ Chris Steel,
UASI Planning Analyst | 733.9809 |
| ✓ William (Bill) Wolak,
UASI Evaluation/Port Security Analyst | 733.9316 |

B. OVERVIEW: UNDERSTANDING GRANTS AND HOW THEY WORK

Most SPD grants are awards from the U. S. Department of Justice (**DOJ**). The DOJ is headed by the Attorney General of the United States and is comprised of many offices and bureaus, including the Office of Justice Programs (**OJP**) and the sister agency Community Oriented Policing Services Office (**COPS**). Within OJP, the Bureau Of Justice Assistance (**BJA**) (i.e., awards the Justice Assistance Grant [**JAG**] Program), the National Institute of Justice (**NIJ**) (i.e., DOJ's research arm), the Office for Juvenile Justice Delinquency & Prevention (**OJJDP**), (which administers Internet Crimes Against Children (**ICAC**) and The Juvenile Accountability Incentive Block Grant (**JAIBG**) Program, are among the many bureaus, offices and programs that support law enforcement around the country. In particular, the COPS Office oversees grant programs in a myriad of local and national community policing projects and programs currently ongoing.

As an important side note, the Grants & Contracts Unit (formally known as the Research, Grants & Corporate Support Unit) conceptualized and facilitated the establishment of a 501©3, non-profit organization eventually known as the Seattle Police Foundation (SPF) that would focus on, by design, the Department for service enhancement support through private community sources. The SPF provides such service enhancement support to SPD through a grant process, albeit through an entirely different process than the typical federal government grant programs.

Typically, grants are financial awards that support federal initiatives for new programs, equipment, or staffing assistance. Grant initiatives can begin at the "grassroots" level in response to community concerns evolving through the legislative process or directly from Congress to address/solve a national priority. The federal grant process usually begins with a solicitation from DOJ. SPD is currently on mailing lists for several DOJ agencies and usually receives a Competitive Grant Announcement or

solicitation notice which details the specifics about grant funding availability, eligibility requirements and specific instructions on how to apply for the opportunity.

The type of program and how the money can be used is usually determined by the federal agency. For the most part, grants are intended to encourage local police departments to start new and/or innovative programs. Typically, DOJ **does not** fund normal operating expenditures of police departments; however, there are some special programs, such as police staff hiring or equipment acquisition initiatives, that receive grant funding, e.g., through various COPS Office initiatives.

Grant awards typically specify a term of one calendar year or twelve months, although grant terms of 18, 24 or even 36 months are not uncommon. Moreover, no-cost time extensions (i.e., where no additional funding is requested) are also very common and are normally approved. Some grant programs require a certain local cash match based on a percentage of the award, usually calculated using federal cash match formulas and techniques. In some grant announcements, match requirements can be met by using an "in kind" match process, which means that the time, facilities and/or equipment provided by SPD may be applied as the local match or "contribution" toward the overall project.

As suggested earlier, the mere application for grant funding does not ensure that SPD will receive the award. In fact, just the opposite is usually the case. Most grants are very competitive, with SPD competing against other law enforcement agencies across the region and country for usually very limited available funds. Also, DOJ, as well as most other grant funds, must be used to supplement existing funds for program activities and not replace, or "supplant", those funds that have been appropriated for the same purpose, which is known more commonly as the "no supplanting rule". This means that the funds need to pay for services, equipment or programs that are "over and above" what is already budgeted. Grant funds cannot be used to pay for programs already in existence where the local funds would then be used for some other need. **Grant recipient agencies must always supplement local funding, not supplant funding.**

As mentioned previously, grant funding agencies expect awarded funds to be used within a very specific scheduled time period. Federal grant programs initiatives are often intended to address specific problems quickly. The recipients of grant funds have detailed responsibilities to track the use of the funding and maintain records of the program's success. Progress reporting is required and the DOJ often conducts periodic site monitoring visits to review the programs being funded with grants. Financial audits are also conducted of the financial management systems and controls used to account for grant expenditures.

Finally, there is often not much time to coordinate and plan the proposed grant program, get all the needed approvals, and actually write a competitive grant application within the time allowed once the Grants & Contracts Unit becomes aware of a Competitive Grant announcement. A typical time frame is about three to five weeks from the time Unit staff reviews the solicitation until it is due to the federal agency. The Grants & Contracts Unit's main focus is to get the grant application in on time and secure the award. There is always the opportunity to refine the details of the program including the proposed

budget after the award using a Grant Adjustment Notice (GAN). Albeit not advisable for number of reasons, there is always the option of declining to accept the funds if the program does not fit into the SPD or City strategy or creates some other type of unacceptable constraint. There are no options if the grant application is late or incomplete.

C. THE VARIOUS & SUNDRY GRANT FUNDING STREAMS

C-1 TYPES

FORMULA (OR BLOCK)

- Awarded to State and local governments based on a predetermined formula often based on a jurisdiction's crime rate, population, or other factors.
- Awarded to an agency in each State designated by the governor.
- Generally requires States to pass awards to local agencies and organizations via sub grants.

DISCRETIONARY

- Awarded on a competitive basis to public and private nonprofit organizations.
- Funding ranges from single awards for research, evaluation, and technical assistance to multi-site awards for program development.
- Awarded on a competitive basis, consistent with congressional earmarks, to certain discretionary programs.
- Spending is strictly managed within specific categories within very specific, non-negotiable outcomes prescribed in detail.
- The federal review process gives the funding agency "*discretion*" to determine which proposal/applications best address the program solicitation requirements and are, therefore, most worthy of funding.

NON-DISCRETIONARY

- Awarded on a competitive basis to public and private nonprofit organizations.
- Funding ranges from single awards for research, evaluation, and technical assistance to multi-site awards for program development.
- Awarded on a competitive basis, consistent with congressional earmarks, to certain non-discretionary programs.
- Spending is broadly managed within general categories

CONGRESSIONAL EARMARKS

- Hard Earmarks: Congress directs the Federal agency to provide certain funds to specific programs it has identified.
- Soft Earmarks: Congress identifies a program and directs the Federal agency to:
 - a. Evaluate the program; and
 - b. Fund the program, if warranted.

STATE GRANTS

- The State of Washington awards grants to local agencies from State agencies such as WSDOT, Parks and Recreation, the Auto Theft Prevention Authority and the Washington State Traffic Safety Commission (WSTSC).

C-2 SOURCES

US DOJ, COMMUNITY ORIENTED POLICING SERVICES (COPS) OFFICE

- Numerous discretionary programs focused on law enforcement agencies primarily.
- Competitive grant programs focused on various aspects of law enforcement.

US DOJ, BUREAU OF JUSTICE ASSISTANCE (BJA)

- Human Trafficking (HT) Grant
- Edward Byrne, Justice Assistance Grant (JAG); (City of Seattle/King County-formula based)
- Edward Byrne Memorial Grant (Competitive)

US DOJ, OFFICE OF JUVENILE JUSTICE AND PREVENTION (OJJDP)

- Internet Crimes Against Children (ICAC) Grant

US DEPARTMENT OF HOMELAND SECURITY (DHS), FEDERAL EMERGENCY MANAGEMENT ADMINISTRATION (FEMA)

- Non-competitive discretionary grant funding based on DHS identified critical cities and urban areas.
- Urban Area Security Initiative (UASI) and State Homeland Security Grant Program (SHSGP)
- Emergency Management Performance Grants (EMPG)
- Regional Catastrophic Planning Grants (RCPG)

WASHINGTON STATE TRAFFIC SAFETY COMMISSION

- Traffic Safety related grants, such as DUI, Seat Belt or Speed Enforcement

WASHINGTON STATE DEPARTMENT OF COMMERCE

- Edward Byrne, Justice Assistance Grant (JAG); (other Washington State jurisdictions-formula based)
-

D. YOUR IDEAS AND REQUESTS FOR GRANT FUNDS

While the purpose of most grants is usually determined by DOJ, there is sometimes a good deal of flexibility in how grant money can be spent. If GCU staff is aware of special needs within operational units of SPD, the Unit can be proactively looking for specific grant opportunities that might meet unique needs.

To help capture good operational ideas for grant funded projects before the idea is lost or forgotten, as well as meet tight application timelines when funding does become available, a special electronic sub-folder for project concepts/ideas has been created by the GCU Manager. The sub-folder is located on the S: drive under the folder titled "Grant_Project_Concepts" named: "idea_inbox". Any Department staff can access this sub-folder to view or save to the folder any project concepts or idea(s) for a future grant project they may have. The only requirement is to leave detailed contact information, including name, Unit Org. and a concise summary of the project concept or idea and approximate cost, when possible.

The GCU is interested in all ideas and suggestions about the potential uses of grant funding. GCU staff will assist with "brainstorming" potential projects and developing grant ideas and/or proposals to see if they are appropriate for a grant funding request (now or at some time in the future). However, while

any proposal for grant funding must include a detailed description of the project and approximate costs, it is essential that the requestor route the request via the respective chain-of-command. This will ensure that good ideas receive the attention of the appropriate executive personnel and that the correct funding decisions are made regarding the use of grants versus the regular SPD budget development process, including sustainability issues. Also, this ensures that GCU staff can proceed with the approval and understanding that a funding request meets SPD priorities and approved uses.

E. GRANT APPLICATION PROCESS AND PROCEDURES

Through various sources, the GCU, or the Chief's Office, becomes aware of the availability of grant funding in the form of a federal solicitation. Depending on the needs of the Department and size and nature of the program uses allowed in the solicitation, a subject matter expert (SME) from the appropriate SPD organizational unit is assigned by executive staff to work with GCU staff and write the basic grant project proposal that is exactly responsive to the solicitation. In some instances, staff from another city agency will be part of the "application team". The project concept may be reviewed by the appropriate chain of command (COC) for operational applicability, which may require modifications to the project idea/concept based on Department priorities and the allowable uses of the grant funds.

The grant application process no longer requires the development and adoption of a special Resolution as in past years. However, the City Budget Office (CBO) and the City Council are reluctant to start programs or hire staff with grants that might create later sustainability issues without sufficient planning, including a projection of costs. The grant application process must be vetted through the office of the Chief of Staff beginning first with GCU staff completing the CBO Grant Request Form (Attachment A) whenever there is a local match funds requirement for application, or when there are General Fund (GF) ongoing costs anticipated.

After the proposal package/application is prepared and sent to the grant funding agency by GCU staff, it can take two to six months for a grant funding decision to be made. It is not uncommon for the DOJ to ask for clarification and/or additional information about the application details. In these instances, it is essential that the Department be prepared and responsive to the inquiries. GCU staff must have the cooperation and support from the assigned SME.

If the Department is awarded the grant, a letter transmitting the Grant Award Documents (i.e., Grant Award Letter, Grant Award Statement with Terms & Conditions and Financial Clearance Memo), which specifies the approved budget amounts, the grant term, funding level and any Special Conditions that may apply to the grant program. The amount awarded may not always be what was requested. At this time, authorizing legislation to accept and spend the grant award must be developed. This may take the form of a Special Ordinance, or via a Supplemental Ordinance. This decision is usually made jointly by the CBO and SPD's Finance Unit and depends on the nature of the grant program. Special Ordinance legislation is prepared by GCU staff following a special protocol handled by assigned senior staff in the Office of the Chief of Police, ensuring that the Fiscal Unit is also notified. Appropriate legislation serves to formally accept the funds and actually insert the funding into the appropriate SPD or other city agency budget Low Org. The Fiscal Section assigns a special project and organization number for

financial tracking and cost-accounting purposes. These numbers should be used by operational staff on all purchase requests and overtime forms to ensure proper grant accounting.

Once the authorizing legislation is passed and signed into law, funds can be spent to start the program. Because the award letter is usually received after the project timeframe and the legislative process (which can take a month or two), it is not uncommon for most grant projects to have a delayed start considerably different from the expected schedule date. Accordingly, in order to complete the project and/or expend all the funds, it is usually necessary to request a "no cost extension" at some point before the start of the final quarter of the grant term. DOJ responds with a Grant Adjustment Notice (GAN) to approve such a change. Also, even after the award, the DOJ Comptroller's Office reviews the proposed grant budget and sometimes questions planned expenditures or may determine that some items are not allowed. In this case, they request a revised budget.

Depending on when a grant award notice is received, the legislative process described above can take considerably longer than usual. Typically, long delays can occur when the city council is in the budget review process at the end of the City calendar fiscal year. The council typically restricts the number of items scheduled and the number of meetings during this period. Accordingly, it often takes longer for the legislation to be approved.

Another issue in getting the grant project going is the occasional need to hire staff to manage the program. This can take several months for the Personnel process to play out, even if Temporary Employment Service (TES) employees are used. Moreover, since Departmental hires are subject to the back-grounding process, this adds considerably to the overall start-up timeframe. Most often, however, management of the grant project is the responsibility of personnel from the units receiving the funds.

Staff from the Grants & Contracts Unit is available to assist with all phases of the grant application process. It is recommended that the GCU Manager be contacted as soon as possible to ensure that the application is prepared in accordance with the rules and procedures noted above.

F. THE GRANT APPLICATION: FORMAT AND CONTENTS

The format for most grants is set (in stone) by the solicitation, including page limitations, font size and required attachments, etc. Irrespective of what need is being addressed by the solicitation, however, the basic questions that one must ask themselves before embarking on developing a project proposal for the application are:

- ü What is the problem that you are trying to solve through this body of funding?
- ü What approach will you take to solve the problem and how will this approach impact the problem?
- ü What Deliverables do you anticipate producing?
- ü How much will this approach/effort cost and how long will it take?
- ü How has the public been involved in the planning process and/or has the project proposal been vetted through the respective COC?
- ü What indicators will track success and have you developed performance measures?

While GCU staff assist in the overall application process, essentially, it is the SME project developer that writes the basic project proposal and needs to explain, in detail, what outcomes are intended and do it in a way that can be supported (by crime statistics or needs assessment data) in a sufficiently compelling fashion that persuades the funding agency of the merit and need for the program or expense. Moreover, the grant proposal must be exactly responsive to the grant application requirements described in the solicitation, without any variation.

The format for the application may specify font type and size, line spacing and required documents and signatures, and usually do. If such elements are specified, consider the specifications, as mandatory. Generally speaking, a successful grant proposal is one that is thoughtfully planned, well prepared, and concisely packaged. Although the actual form of a grant application may take slightly different appearances, as stated, there are usually nine (9) basic components in a solid proposal package:

- 1) Proposal Summary
- 2) Project Evaluation
- 3) Introduction/Background of the Project and Organization
- 4) Future Funding
- 5) Statement of Problem
- 6) Project Budget
- 7) Project Objectives
- 8) Appendices
- 9) Project Design or Methods

F-1) PROPOSAL SUMMARY OR ABSTRACT

The proposal summary or abstract in many applications appears at the beginning of the proposal and outlines the project. It can be a cover letter or a separate page. It should be brief: no longer than two or three paragraphs. It is often helpful to prepare the summary after the proposal has been developed. This makes it easier to include all the key points necessary to communicate the objectives of the project. The summary document becomes the foundation of the proposal. The first impression it gives will be critical to the success of the venture. It very possibly could be the only part of the package that is carefully reviewed before the decision is made to consider the project further. For the most part, the grant application guidelines will specify the format required, including word count, font style and size and even margin parameters.

F-2) INTRODUCTION/BACKGROUND OF THE PROJECT AND ORGANIZATION

Most proposals require a description of an applicant's organization and its past, present, and projected operations. Detailed Org Charts work the best by providing a "visual" of how the project will be incorporated into Department Operations. The Introduction should contain the following areas:

- ✓ A Brief biography of key staff members;
 - ✓ The organization's goals, philosophy and record with other grantors;
 - ✓ Applicable success stories.
-

F-3) STATEMENT OF PROBLEM

The problem statement (or needs assessment) is a key element of a proposal. It should be a clear, concise, well-supported *statement of the problem* to be overcome using the grant funding. An applicant could include data collected during a needs assessment that would illustrate the problems to be addressed. The information provided should be both factual and directly related to the problem addressed by the proposal.

F-4) PROJECT GOALS & OBJECTIVES

Any good project proposal must have overarching Goals and specific Objectives. A brief review of the basics is shown below.

GOALS:	OBJECTIVES:
✓ Describe a <i>broad plan</i> ;	✓ Describe a <i>narrow plan</i> ;
✓ <i>May not be strictly measurable or tangible</i> ;	✓ <i>Must be measurable and tangible</i> ;
✓ <i>Describe a purpose toward which an endeavor is directed.</i>	✓ <i>Is something that one's efforts or actions are intended to attain or accomplish.</i>
An example Goal is: "to achieve success in combating the gang problem in the City of Seattle".	An example Objective is: "to increase gang interdiction and reduce gang activity by 10% by the end of the first quarter of the year".

An SME applicant should explain the expected results and benefits of each objective. They should also list the specific criteria of the grant program. Then, describe how the proposal meets each criterion.

F-5) PROJECT METHODS OR DESIGN

The project method outlines the tasks that will be accomplished with the available resources. It is helpful to structure the project method as a timeline. Early in the planning process, applicants should list the tasks that will have to be completed to meet the goals and achieve the objectives of the project. They can then break these into smaller tasks and lay them out in a schedule over the grant term. This will provide a chance to consider what personnel, materials, and other resources will be needed to carry out the tasks.

F-6) PROJECT EVALUATION

Applicants should develop evaluation criteria to evaluate progress towards project objectives. It is important to define carefully and exactly how success will be determined. Applicants should ask themselves what they expect to be different once the project is complete.

F-7) FUTURE FUNDING

Applicants may be asked to address sustainability of project funding by listing expected sources of continuing funding after the conclusion of the grant. The applicant may also be required to list other sources and amounts of funding obtained for the project.

F-8) PROJECT BUDGET

Funding sources require different amounts of detail in the budget. Most governmental funding sources require a large amount of detail and usually in the form of a Budget Detail Worksheet and accompanying Budget Narrative. A Budget Narrative is a word document that provides an explanation of each budget item in detail and how the line item will be used. Also, the funding agency usually provides budget forms with specific instructions. If the funding agency requires a specific format, you must provide the grant budget in that format. GCU staff can provide a budget template in Excel to assist the PM prepare the project budget if the government agency does not provide a template.

Your budget is an estimate based on the best information available at the time of application. The funding agency recognizes that the budget submittal is an estimate. Still, you may not exceed the total amount for the grant. Typically, the agency will permit budget modification requests to change the final approved budget. Such requests must be in writing and constitutes a formal "**Grant Adjustment Request (GAR) or Grant Modification Request (GMR).**" An approved and written response on the budget modification changes the approved budget but not the conditions under which the grant was awarded. Overall, careful planning at the outset will decrease the number of changes that may be required once the grant is awarded. Also, careful planning displays honesty. This careful stewardship will be necessary to get permission for future changes.

The budget numbers and categories should be specific. Rounding a proposed budget item to the nearest thousand dollars does not inspire confidence. It also suggests to reviewers that you have not done much work preparing the budget. The reviewer will do a lot of work studying your budget and they, in turn, expect the applicant to comprehensively plan the budget. If any rounding is done, it should be to the nearest whole dollar. Along the same lines, there is no place in a proposed grant application budget for miscellaneous or contingency items. Sufficient planning in the developmental stage should allow for contingencies where pure estimates are made. For example, the grant project SME applicant is aware of a projected cost of living increase prior to when the grant period would begin. In this instance, the projected should include the projected increase in the base salaries. Similarly, if equipment purchases are projected, a contact to representative distributors prior to the application will help estimate the cost of the equipment at a more accurate level when the time comes to actually purchase the items. Essentially, the amount of thought and planning given to the preparation process for the project budget will produce a better project in the long term. It will also greatly enhance the Department's chances of receiving the grant.

F-9) APPENDICES

An individual grant application/proposal may or may not require additional appendix items. If it is necessary to include supporting documentation such as letters of support roles and

responsibilities of partner agencies, resumes of key staff, or area maps, this is where such items would be included.

The DOJ, National Institute of Justice (NIJ) sometimes requires a different format. Because NIJ grants usually deal with research projects, they want details of the evaluation approach and Résumés or Curriculum Vitae for the people who will do the project (such as university professors).

The key items in thinking about a grant are the program narrative and budget items. These ideas, however rough or vague, typically make up the concept and will provide GCU staff with enough information to assist with developing an actual grant application.

G. GRANT PROJECT MANAGEMENT RESPONSIBILITIES

Since every grant funds an operational field element at some level, the effective management of grants, in general, is a shared responsibility between Grants & Contracts Unit staff and the SME from the unit initially tasked with writing the grant project proposal and, usually, the operational unit receiving the funds for the project. GCU staff will coordinate and communicate with the granting agency, as necessary, conduct and oversee the application process, ensure that grant Special Conditions are met, ensure that required progress reports are developed by the SME and submitted, staff and respond, as necessary, to official program Audits and assist, generally, with funding agency site-monitoring visits. GCU staff is also available to help with any grant-related questions about the program.

It is the SME most knowledgeable of the projected work that will serve as the Project Manager (PM) and is usually from the operational unit receiving the grant funding for the project. The Project Manager is responsible for the day-to-day management of the actual project that is being funded by the grant, rather than the grant. Grant management and oversight is the responsibility of GCU staff. The PM will need to stay on top of the project to make sure it is progressing as expected and is tracking expenditures and results. Accordingly, the PM will also need to provide progress information so that progress reports can be prepared for submission to DOJ.

GCU staff is responsible for maintaining effective liaison with the assigned PM to ensure smooth grant project implementation and management. As noted above, the Fiscal Section collects grant expenditure data for reporting purposes. However, it is operationally necessary for the PM to authorize, via the electronic **1.5 System**, and track expenditures in order to properly manage the project. There are several reasons for this, including the time lag in the city's financial management reporting system and the need to spread the funds over the entire project period in accordance with the proposed budget.

G-1 WHAT IS GRANT MANAGEMENT VERSUS PROJECT MANAGEMENT?

Grant Management typically involves the following:

- a. Researching and identifying potential grant opportunities that support the Department Strategic Plan and Mission.

- b. Disseminating information on potential grant opportunities to relevant Department staff and soliciting their interest; conversely, consider requests from Department staff on potential grant opportunities, such as from the S: drive folder: "**Grant_Project_Concepts**".
- c. Assisting Department staff in the interpretation of grantor's guidelines.
- d. Upon decision to apply for a grant, provide technical assistance to identified SME and/or designated Project Manager in overall grant proposal writing and preparation, including budget development.
- e. Establish timelines for grant application development and submission, adhering to deadlines established by the grantor.
- f. Once the grant application package is complete, including proposal narrative, project time-line, budget, budget narrative and executive summary, obtain the approval and signature of the Chief for grant application submission. Grant application submission must be done in accordance with grantor solicitation guidelines. Ensure that Project Manager provides notification to the Department Legislative Liaison on the need for authorizing legislation, or write special authorizing legislation when required.
- g. Maintain a file for each grant awarded, which includes (at a minimum) the following:
 - 1) Grant application
 - 2) Grant award notice/amendments and any Special Conditions (must maintain originals)
 - 3) Budget
 - 4) Correspondence
 - 5) Related reports (inclusive of programmatic and fiscal reports)
- h. Work with Fiscal Section staff to:
 - 1) Set up duplicative grant file.
 - 2) Establish specific grant project coding for tracking grant expenditures.
 - 3) Oversee and approve grant expenditures and assure alignment with approved budget.
 - 4) Ensure that required Financial Reports are completed and appropriately filed with the grantor.
- i. Coordinate with the Project Manager for the timely submission of all programmatic reports, adhering to reporting cycles established by the grantor.
- j. When necessary coordinate with the Project Manager to seek formal approval for changes in the scope of the grant from the grantor.
- k. Coordinate with Project Manager the closeout of grants and ensure completion of outstanding reports.

G-2 So, WHAT IS PROJECT MANAGEMENT AND HOW IS IT DIFFERENT FROM GRANT MANAGEMENT?

Irrespective of the funding or revenue source, which can be general fund, federal, state or even Seattle Police Foundations grants, project management is the discipline of planning, organizing and managing resources, both funding and staff, to bring about the successful completion of specific project goals and objectives.

A project is a finite endeavor--having specific start and completion dates--undertaken to meet particular goals and objectives, usually to bring about beneficial change or added value. This finite characteristic of projects stands in contrast to processes, or operations--which are repetitive, permanent or semi-permanent functional work to produce products or services. In practice, the management of these two systems is often found to be quite different, and as such requires the development of distinct technical skills and the adoption of separate management.

The primary challenge of project management is to achieve all of the project goals and objectives while honoring the preconceived project constraints. Typical constraints are scope, time and budget. The secondary—and more ambitious—challenge is to optimize the allocation and integration of inputs necessary to meet pre-defined objectives.

Grant Funded Project Management typically involves the following:

- a. Manage all operational elements of the project as the SME and the staff person most knowledgeable of the project,
- b. Ensure that the Fiscal Section and Legislative Liaison are apprised of the grant award to establish a project tracking number and the required authorizing legislation, respectively.
- c. Maintain a Project Working File of the project that is complete with a detailed work plan and time line.
- d. Maintain a copy file of the awarded grant which includes (at a minimum) the following:
 - 1) Grant application;
 - 2) Grant award notice/amendments and any Special Conditions;
 - 3) Approved budget;
 - 4) Correspondence; and
 - 5) Related reports (inclusive of programmatic and fiscal reports).
- e. Ensure progress is made toward achievement of documented grant project goals.
- f. Approve and manage expenditure transactions processed against the grant project tracking number, and monitor account status, with the assistance of the Fiscal Section representative.
- g. Immediately notify the Grants & Contracts Unit Manager of any major change in staff or budget for the grant project and coordinate with the GCU Manager any requests for amendments from the grantor, which may result in changes in the scope of the grant project.
- h. Craft and coordinate with the GCU Manager the timely submission of all grant project reports, including required programmatic reports, adhering to reporting cycles established by the grantor or grant special conditions.
- i. Disseminate grant project reports and other correspondence related to the grant to the GCU Manager and Fiscal Section representative.
- j. Coordinate with GCU Manager the closeout of grants and complete outstanding reports, as necessary.

H. GRANT REPORTING REQUIREMENTS

Again, from a shared responsibility perspective, both GCU staff and the PM will need to keep records and track the results of the project for reporting purposes. For most grant projects, there are always reports (quarterly, every six months, or final reports) that the PM will need to prepare. The type of data to collect varies with the nature of the grant and project, but could include arrests (in a certain time period or geographical area), victims assisted, staff hired, training sessions held, cases sent to prosecution, and completed FTO program, etc., or other crime statistics. The Fiscal Section collects all grant-related costs and expenditures, and prepares the official Financial Reports required.

Every grant funded project will require a final closeout report. However, the format for this document will vary from one funding agency to another. Typically, the grant solicitation will outline what the reporting requirements are, including format and content. GCU staff will provide assistance in ensuring that all reports are developed and submitted in accordance with the grant guidelines.

I. COMMON REASONS WHY LAW ENFORCEMENT GRANT APPLICATIONS ARE DENIED

1. Failure to follow directions.

- a. Read the information in the guidelines in the solicitation thoroughly.
- b. Pay close attention to submittal deadlines as well as method of submittal and where.
- c. Use proper formatting as stated and do not exceed page limitations.

2. Requesting too many items.

- a. Using a "shopping cart" approach...always remember "needy, not greedy!"
- b. The items you request should be in line with the size of your department and your service area.
- c. It is advisable to keep the number of items to 3-4 per application. If you must, break the program up into phases and complete it as such, with several grants.

3. Failure to itemize your costs.

- a. If you request equipment, make sure you shop for the best price. Then spell it out clearly: 10 Units at \$100 for a total cost of \$1,000.
- b. Don't forget about training costs.
- c. Administrative costs.
- d. Travel costs to attend training or to take delivery of equipment.
- e. Shipping costs.
- f. Service and maintenance costs or extended warranties, if allowed by the grant.

4. Not making your case on a cost-benefit basis.

- a. You must show that the dollars expended produce the largest benefit to your agency and to the surrounding community. Remember to address the "triumvirate" of us, we, and them.

- b. It is imperative to include mutual aid situations and interagency cooperation. Include the other agencies in your plans, and show that your receipt of the equipment helps other jurisdictions and the community at large.
 - c. Biggest Bang for the Buck!
- 5. You didn't provide an adequate description of the problem.**
- a. You have to provide a "state of the community and my department" statement.
 - b. Describe in detail why you are having the problem.
 - c. Who, What, When, Where and Why
 - d. You are an artist painting a picture with words; you must immerse the reviewer into your community and its problems.
- 6. You didn't "shop around" for the lowest prices.**
- a. The Federal minimum guideline says that you should obtain two quotes. Remember to follow your local procurement policies and procedures.
 - b. Don't ask for a Cadillac if a VW will do the job.
 - c. Reviewer's hate "greedy" departments. If you raise the "greedy flag," you will be denied or rejected. The request must be reasonable for your department and the problem you are asking for assistance with.
- 7. Not making a compelling case of financial need.**
- a. You have to make a strong argument that you cannot afford to fund this activity (e.g., tax referendums were defeated, businesses moved out, bad crop years, etc.) State what funding events you tried and what success levels you attained, or didn't attain. If you have applied before, say that you have done so and that although you have not been able to budget it in, you still have a great need for the equipment.
 - b. Keep your request in line with your agency size, personnel and the community you service.
 - c. They must know you are attempting to handle the problem yourselves, but are not able to keep pace.
- 8. Failing to check your work in the document.**
- a. Do all your figures agree?
 - b. Have you left out an important detail?
 - c. Do you have spelling errors?
 - d. Have it proofread professionally before you push the submit button.
- 9. The grant fails to encourage collaborative efforts and interagency cooperation.**
- a. Make sure you include this element in your grant. It will give you higher scores.
 - b. Place the header or sub-header "Interagency Interoperability" so it gets noticed.
 - c. Show that the stakeholders were involved in the process or that their concerns are being addressed.
- 10. You requested items which are low priority.**
- a. Request items specifically stated to be receiving a high priority and stay away from the lower priority items.
 - b. Mixing higher priorities with lower priorities lowers your total overall score.
- 11. They ran out of money!**
- a. Too many applicants.

- b. Not enough funding.
- c. If you feel there isn't anything wrong with your application, update it and resubmit next year.

J. GRANT FUNDING AGENCY EXPECTATIONS

In awarding the funds for a specific program, the funding agency expects that SPD will do what it said it would, in accordance with normal operational rules and regulations. Awarding agencies, both federal and state, expect us to stay on schedule and are interested in seeing the results of the project as soon as possible. Agencies, particularly DOJ, also occasionally requests special information about the project's progress in order to respond to questions from Congress or the Executive Branch.

K. MORE QUESTIONS AND INFORMATION

As noted, additional information about all of the sections in this **Grant Owner's Process Manual** is available from the Grants & Contracts Unit staff. Also, if you have an idea but do not know if it will fit into a grant application or how best to proceed with a project idea, please feel free to contact the Grants & Contracts Unit Manager. GCU staff can often provide an answer immediately that will either get a project going or save you a lot of work on an idea that has little chance of getting funded.

ATTACHMENT A. CBO GRANT REQUEST FORM

CBO Grant Request - General Fund Impact

NOTE: This form is only required if the answer to questions **18 OR 22 is 'YES.'** Please forward form to the SPD Budget Section for transmittal to CBO.

1	Date Application is Due to grantor - Forms should be submitted at least 4 to 6 weeks prior to this date.	
2	Date submitted to CBO	
3	Department name:	
4	Org Unit name:	
5	BCL	
6	P Code	
7	Low org name and P code	
8	Department grant contact	
9	Phone #	
10	Grant Title:	
11	Grant Type:	
12	Grantee Name:	
13	Grant begin date:	
14	Grant end date:	
15	Purpose of grant:	
16	Year 1 Grant Amount:	
17	Total Grant Amount:	
18	General Fund Match Required:	
19	Match Amount in Year 1:	
20	Total Match Amount	
21	How will this be funded?	
22	General Fund Ongoing Costs:	
23	Amount of GF on-going:	
24	Date GF on-going is required:	
25	How will this be funded?	

Attach copy of grant information