



**CITY OF MARSHFIELD, WISCONSIN
POLICIES AND PROCEDURES**

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CHAPTER: Grants

SUBJECT: Grant Management

POLICY NUMBER: 4.400

PAGES: 6

EFFECTIVE DATE: November 27, 2012

REVISION DATE:

DEPARTMENT OF PRIMARY RESPONSIBILITY: City Administrator

Special Notes: This policy/procedure manual does not in any way constitute an employment contract and the City of Marshfield reserves the right to amend this manual at any time subject only to approval by the Common Council.

I. POLICY STATEMENT

The purpose of this policy is to establish provisions for the administration of grant funding (includes grants, contracts and cooperative agreements) in the City of Marshfield, Wisconsin. When submitting requests for grant funding, it shall be the policy of the City of Marshfield to solicit funds for programs that are consistent with the goals of the City, to administer grant funds in the most efficient way possible and to regularly evaluate programs that receive funding.

The policy establishes a grant pre-application evaluation process in addition to defining post award budget requirements.

Goals of this policy are to ensure compliance with all related grant requirements, to establish roles/responsibilities/authorities, and to maintain the City's credit rating.

Background

Historically the City of Marshfield has benefited from grant funding and all departments of the City are encouraged to seek/pursue grant funding opportunities. Effective grant management is important to ensure that only grants in the overall best interests of the City of Marshfield are pursued.

II. APPLICABILITY

This is a city-wide policy that applies to all projects funded by external agencies in which funds request support for and/or commit City of Marshfield resources (e.g. personnel, space, funds, equipment and facility use) including financial resources required to complete administrative reporting/audits. This policy also applies whether the City of Marshfield is the lead organization funded directly, or a subcontractor or collaborator under another organization's funding.

III. POLICY

A. Authority to Apply for Grant Funding

The City Administrator has the authority to authorize grant applications on behalf of the City of Marshfield. In the event the City Administrator is unavailable, the Finance Director is authorized to act as designee.

The signature of an authorized official is required by all federal organizations and is required by most state, regional and private organizations. The signature of an authorized official certifies that commitments made on grants and contracts can be honored by the parent organization, the City of Marshfield; verifies the accuracy of information provided on grant proposals or contract agreements; and ensures that all sponsored agreements conform to federal regulations, state statutes, and City policy. An authorizing signature safeguards the City from individuals who may attempt to submit grant application packages without proper approvals or permission.

B. Coordination of Grant Policy and Grant Operations

The City of Marshfield must be able to track and manage grants at all stages of the grant process from researching funding opportunities through project closeout. To help accomplish this policy requirement, the Marshfield Grant Office was established by contract with the Marshfield Community Development Authority to support the City of Marshfield.

The Grant Review Team consisting of the City Administrator, Finance Director, Director of Planning & Economic Development and Marshfield Grant Office Program Director is responsible to ensure the proper and efficient administration of this policy both during the evaluation and administration of grants. Roles & responsibilities of specific Grant Review Team members are listed in Section III D.

C. Grant Review Requirements

In order to ensure that grant funding opportunities are appropriate to pursue and to dedicate staff time and City resources, the following review requirements have been established.

1. Review Prior to Application Development

This review will assess that the funding opportunity is consistent with overall program goals of the City; will identify local match requirements and/or other budget impacts; will identify personnel requirements needed to successfully complete the project; and will identify administrative needs for fiscal monitoring and reporting.

- Applications with total project funding greater than \$10,000: Prior to application submission, all grant applications with anticipated funding over \$10,000 must be reviewed and approved by the appropriate Department Head, Grant Review Team and Common Council.

- Applications with total project funding less than or equal to \$10,000: Prior to application submission, all grant applications with anticipated funding less than or equal to \$10,000 must be reviewed and approved by the appropriate Department Head and Grant Review Team.

2. Review Prior to Submission

This review will gather the authorized signatures needed for grant application submission. The purpose of this review is to ensure that commitments made on grants and contracts can be honored by the City; verify the accuracy of information provided on grant proposals or contract agreements; and ensure that all sponsored agreements conform to federal regulations, state statutes and City policy. Required signatures will be collected on required grant application pages and the Proposal Routing Sheet.

- All applications must identify match funding requirements and proposed sources of matched funds.
- All applications must identify future implications, such as project funding requirements that will impact future budgets post-project award (e.g. maintenance on equipment or maintenance agreements, personnel, program support).
- Critical Timing Issue: If a situation arises where the Grant Management Policy will not accommodate the timeframe in which to apply for a grant, the Grant Review Team will work with the department to expedite the approval process and/or acquire the appropriate authorization to submit a grant application or subsequent award via a Critical Timing Issue. Critical Timing Issue utilization will be monitored so that it is not used as a method to avoid compliance with the intent of the Grants Management Policy.

3. Review Upon Receipt of Award

Notice of awards can provide very different terms than those in place when an application is submitted. For example a project scope may change or the amount of funding available can be altered. This review is established to accommodate changes to scope of work and/or residual changes in budget that are reflected in an award.

- Notice of awards that fund a project application as planned and budgeted will require no additional review.
- Notice of awards that require a change in scope of work must be reviewed and approved by the appropriate Department Head, the Grant Review Team and Common Council before a revised project application or budget resolution are submitted and subsequent award received.
- Notice of awards that require a change in budget must be reviewed and approved by the appropriate Department Head, the Grant Review Team, Marshfield Grant Office and Common Council before a revised budget or project application are submitted and subsequent award received.
- Critical Timing Issue: If a situation arises where the Grant Management Policy will not accommodate the timeframe in which to revise a grant in order to receive awarded funding, the Grant Review Team will work with the department to expedite the approval process and/or acquire the appropriate authorization to revise a grant application for subsequent award via a Critical Timing Issue. Critical Timing Issue utilization will be monitored so

that it is not used as a method to avoid compliance with the intent of the Grants Management Policy.

D. Roles and Responsibilities

Marshfield Grant Office

The Marshfield Grant Office, a program of the Community Development Authority of Marshfield co-funded by the City of Marshfield and Marshfield School District, is a point of contact for funding research, preparation of grant proposals and project administration oversight once a project is funded. The role of this office is to:

- a. Provide grant administration and guidance to the City of Marshfield as a member of the Grant Review Team
- b. Develop, revise and distribute the official grants policies and procedures for the City of Marshfield. Final authorization and approval of all City official grant policies resides with the City, not with the Marshfield Grant Office
- c. Identify external funding sources to support existing and planned program activities and share them with appropriate City staff
- d. Coordinate the development, writing and submission of grant proposals
- e. Develop and implement a tracking system for grant opportunities, grant applications and awarded projects
- f. Review and approve final applications for submission
- g. Upon request, review proposals written by other departments/organizations
- h. Work with City staff to coordinate tracking of grant applications, awards and major project management decisions associated with awarded grants
- i. Collect, analyze and report administrative data on the performance of program activities that are funded by external sources, i.e. federal, state and private funds
- j. Offer grants training and technical assistance services
- k. Assist departments with interpretation and application of city, county, state, federal or other grant policies
- l. Assist with dispute resolution between the City of Marshfield and funding sources
- m. Assist the City Administrator and Finance Director with Internal / External audit and reporting requirements

Departmental Responsibility for Grants

Department Heads and key technical staff are responsible for generating funding ideas, helping to identify funding opportunities, participating in program planning and proposal writing, and managing day-to-day functions associated with a successful grant award in close coordination with the Marshfield Grant Office.

Department Heads are accountable for all grants within their departmental jurisdiction. In cases where more than one department is responsible for the grant, a lead department shall be designated for accountability.

Each department that applies for and/or receives grant funding shall:

- a. Designate a project manager for every grant awarded to the department
- b. Implement awarded grant projects according to the terms and conditions of each grant award.
- c. Ensure that the department tracks grant awards and consults with the Grant Review Team on a regular basis.
- d. Ensure that all project managers know how to designate project expense codes to ensure accuracy, submit regular grant drawdown requests to the funding

- agency in coordination with the Finance Director, and monitor project funding using prescribed procedures.
- e. Ensure that requests for grant funds are promptly submitted to minimize the advance use of City funds. All drawdowns of grant funding must conform to funding source requirements and general direction of the Finance Director pertaining to the receipt of grant funds.
 - f. Ensure that project reporting requirements and deadlines for submission are met.
 - g. Maintain all required grant support documentation to meet reporting/audit requirements.

Project Manager

The Project Manager is defined as the individual designated by a funding agency to direct a project or program being supported by a grant/cooperative agreement/contract in close coordination with the Marshfield Grant Office. The Project Manager is responsible and accountable to the funding agency for the proper conduct of the funded project or program.

Responsibilities as a Project Manager include but are not limited to:

- a. Conduct work within the stated objectives of the project/program
- b. Take steps to promptly initiate the project once funding has been received/approved
- c. Meet as needed with project staff to communicate project objectives and relevant policies and procedures, and to develop methods, monitor progress, solve problems, etc.
- d. Ensure that reliable project methods are in progress and that data are of high quality
- e. Ensure adherence to the approved protocol
- f. Promptly review financial reports and resolve any discrepancies or clearly delegate such responsibility
- g. Respond in a timely fashion to questions raised by project staff
- h. Submit accurate and timely interim and final narrative/progress reports

The organization is, in turn, legally responsible and accountable to the funding agency for the activity, performance, and financial aspects of the grant/cooperative agreement/contract. In relation to these matters, the project manager is responsible for selected financial management functions. These functions include:

- Identifying and including in the project budget all anticipated expenses. This includes personnel, supply, equipment, and other expenses that are required for the conduct of the project.
- Preliminary approval of expenditures. Project Managers are responsible for authorizing only those expenditures appropriate to the project.
- Routine monitoring of monthly expenditure reports, requesting transfer of funds when appropriate, and if a total project budget is over expended, identifying funds to cover any over expenditure.

Finance Director:

- a. Is the authorized designee on behalf of the City Administrator, related to this policy, if unavailable.
- b. Has exclusive authority to deposit all grant funding received by the City into appropriate accounts that comply with grant requirements.
- c. Establish appropriate account code assignments for charging costs to grants.

- d. Record revenues and expenditures associated with approved grants.
- e. Ensure that the accounting system of the City is capable of tracking revenue and expenditures associated with every grant award regardless of how grant funding is appropriated.
- f. Issue regular reports on the status of grant-funded projects to operating departments and special reports when requested.
- g. Review, approve and process grant drawdown requests.
- h. Coordinate external audit efforts related to grants as required

Grant Review Team

The team's purpose is to assess funding opportunities to ensure that they are consistent with the overall program goals of the City; to identify local match requirements and/or other budget impacts; to identify personnel requirements needed to successfully complete the project; and to identify administrative needs for fiscal monitoring and reporting.

City Administrator

The City Administrator is the authorizing official for the City of Marshfield. Responsibilities include certifying that commitments made on grants can be honored by the City of Marshfield; verifying the accuracy of information provided on grant proposals; and ensuring that all sponsored agreements conform to federal regulations, state statutes, and City policy.

E. Internal / External Audit of Approved Grants

The Finance Director is responsible for conducting grant financial compliance audits with significant assistance from the Marshfield Grant Office and lead department for each grant. At any time, all grants awarded to the City are subject to the possibility of a financial compliance audit in accordance with generally accepted accounting principles, generally accepted audit standards or other standards/guidelines. The City Administrator or Finance Director may request a special internal or external audit of any grant awarded to the City of Marshfield at their discretion.