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| District of Columbia Department of Health Funding Opportunity Selection: Federal & Private Grant Funding | | PROCEDURE 401.000 Implementing Office: Office of the Director/Office of Grants Management Training Required: Yes Originally Issued: JUN 15 2019 Revised/Reviewed: |
| Approved by:  LaQuandra S. Nesbitt MD, MPH; Agency Director | Review by Legal Counsel:  Phillip Husband, Esq.; General Counsel | Effective Date: JUN 15 2019 Valid Through Date: JUN 30 2022 |

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| I. Authority | Reorganization Plan No. 4 of 1996; Mayor's Order 1997-42; |
| II. Reason for the Policy | New funding opportunities are routed to DC Health for consideration regularly from Executive Office of the Mayor (EOM), Federal and local funding bulletins, DC Health Program Managers and other District agencies. A protocol is needed to clarify which DC Health personnel have the authority to request financial assistance or make other obligations for the District through an application for grant funds, and/or to commit the District to the terms of a federal or private funding agreement. A protocol is also required to determine which of these funding opportunities are operationally feasible, and are most strategically aligned with DC Health's programmatic priorities. A standard process of notification to the Office of the Director of consideration of available funding opportunities and submission of funding applications is necessary. The protocol is needed to ensure that a prospective or final decision to apply for funding has been supported and approved by the DC Health Director prior to the preparation and submission of an application for funding. |
| III. Applicability | This policy applies to all DC Health employees, contract staff, members of DC professional boards and commissions, interns, and summer youth employees. This group shall be referred to collectively herein as "employees" or "DC Health employees." |
| IV. Policy Statement | Organizing the selection of funding opportunities and informing program and operations leads are part of the many functions of the Office of Grants Management (OGM) within the Office of the |

Director (OD) at DC Health. The OGM Chief is the accountable manager for all OGM tasks related to routing and tracking funding opportunities, as well as requesting and documenting senior management approvals prior to applying for funding.

- A. No employee shall submit to a prospective grantor a letter of intent to apply, begin an application for funding, or commit DC Health to apply for a grant until the funding opportunity is formally selected for application through the process enumerated herein.
- B. No employee shall submit to another DC Government agency or private organization a letter of intent to form a collaborative relationship for a funding opportunity without having the funding opportunity formally selected for application through the process enumerated herein, if any of the following are true:
 - 1. DC Health would be considered a co-applicant for funding or deploy DC Health personnel as a co-Project Director / Principal Investigator; or
 - 2. DC Health would receive funding or provide funds, including matching funds, to the applicant organization; or
 - 3. DC Health would provide in-kind staff hours for a function not already and usually assigned to DC Health personnel (e.g. surveillance, data sharing, training).
- C. For a collaborative or partnership arrangement, OGM shall determine if a proposed selection would need a letter of support vs. a formal partnership agreement for funding to be signed by the DC Health Director/designee.
- D. No employee shall pursue or obligate DC Health to sell services under a contractual agreement. This includes consideration of replying to requests for proposals or acceptance of contracts and procurements subject to the requirements of the Federal Acquisition Regulation (FAR).
- E. Any DC Health employee who receives a funding announcement directly or indirectly from a grantor is required to report that announcement to OGM for inclusion

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| | <p>in the bi-weekly compilation (see below) of published or forecasted funding opportunities and forward any available funding opportunity guidance.</p> <p>F. OGM shall be responsible for compiling a list of new, continuation, and supplemental funding opportunities on a weekly basis. The OGM Chief will designate an employee for this task. This compilation will include funding opportunities obtained through various sources, including but not limited to the following:</p> <ol style="list-style-type: none">1. Notices of Funding Opportunity Announcements (NOFO) routed from various federal agencies directly to the Authorized Organizational Representative (AOR), Principal Investigator and/or Project Director for federal funding;2. NOFO's routed to OGM from the Mayor's Office of Partnerships and Grants Services (OPGS) via the Federal Funding Bulletin, Weekly DC Funding Alert or by way of the assigned DC State Single Point of Contact (SPOC) for federal funding;3. Funding opportunities identified by DC Health personnel assigned to manage and operate programs;4. Funding opportunities that have been routed to DC Health from another District agency, to participate as a co-applicant or primary partner. <p>G. Upon completion of the weekly compilation, the Chief of OGM, or designated staff, shall conduct an assessment of each funding opportunity. The objective is to mitigate the risk of wasting resources exploring funding opportunities that are not feasible for DC Health. The result of the OGM compilation and assessment will be a DC Health Funding Alert to be distributed to program leads at a minimum bi-weekly, or ad hoc.</p> <p>At a minimum, this OGM vetting and assessment will:</p> <ol style="list-style-type: none">1. Determine if DC Health is eligible to apply (funding opportunities where the agency is not eligible may be removed); |
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2. Determine if the funding opportunity requires any contingent partnerships or has any special requirements;
3. Determine if the funding opportunity requires review or a decision by the Single State Point of Contact (SSPOC) prior to DC Health's consideration for application; and
4. Generate a recommendation on the feasibility of the timeframe to apply.
5. In addition to these decision points, the OGM Chief may include any other information s/he considers relevant to the decision of whether to apply for that funding opportunity.

H. In addition to the items outlined in section G above, OGM shall verify the following about the prospective funding source and/or the grantor agency:

1. The proposed funding is a grant and is not by definition a donation, which would be subject to Mayor's Memorandum 2015-001;
2. The prospective grantor has no outstanding obligations to the District of Columbia Government;
3. The prospective grantor has no pending contractual agreements with DC Health or DC Government as seller;
4. The extent to which the private grantor agency requires a match of local funds;
5. The extent to which eligibility to apply for funding is subject to DC Health's membership (paid or unpaid) with the prospective grantor agency or an associated professional, governmental or civic organization.

I. The DC Health Funding Alert with a summary of the OGM review shall be forwarded to the person designated by the Senior Deputy Director at each administration, who will direct a programmatic vetting of the funding opportunities relevant to that administration. At a minimum, this programmatic vetting will address the following questions:

1. Does the funding opportunity align strategically with agency/administration priorities? For example, do the grant activities address a documented need for the DC

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| | <p>population? Do the grant activities build upon, or enhance other programs in DC Health?</p> <ol style="list-style-type: none">2. Does the administration have the operational resources (accounting for resources the grant funding will add) to take on the grant activities?3. Does the administration have the personnel available to complete a comprehensive and timely funding application?4. Does the funding opportunity require any local match and are those funds available?5. Is there a requirement for maintenance of effort (MOE) (with documentation of existing allocations and projections for the life of the proposed award)?6. Does the new funding opportunity supplant, or does it supplement existing funds?7. Will this funding opportunity address a forecasted need based on the cessation or termination of current funding for a program? Does the funding opportunity address the program or operational gap, in full or partially?8. Are there community or District partners that will need to be engaged or with whom DC Health would need to enter into agreements prior to submission of the application?9. Is there a federal or local statute that mandates application for the funding?10. Would the proposed funding require any local laws to be created or amended in order to fully implement one or more activities that would be supported by the funding? (i.e. will the administration have to wait for a new/changed law in order to start-up the program?) <p>J. At the conclusion of the programmatic vetting, the Senior Deputy Director (SDD) will make a decision on which grants to pursue. The Director has the discretion to approve, modify, or overrule the SDD's decision. When an administration opts to apply for funding, the SDD, or designee, is responsible for naming an application lead, and a team, and verifying to the Chief of OGM and designated OGM staff that the administration will be applying for the funds.</p> |
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| | <p>K. OGM is responsible for providing any requested technical assistance in advance of beginning a grant application. The Chief of OGM has the discretion to convene a pre-application planning session if s/he believes the specific grant application presents challenges requiring additional guidance or pre-application planning. This includes sessions to direct program leads to requisite trainings on e-submission systems which may require technical guidance prior to constructing a preparation timeline and assigning staff to roles and arranging access.</p> <p>L. OGM staff shall maintain a log of all funding opportunities and transmissions, as well as replies by the Grants POC, program leads and SDD and prepare at a minimum a quarterly report on the number of eligible funding opportunities, number routed for review and number approved for selection by the Director/delegate.</p> <p>Any employee in violation of any part of this SOP may be subject to commensurate disciplinary action.</p> |
| <p>V. Definitions & Acronyms</p> | <p>AOR- Authorized Organizational Representative</p> <p>Contingent Partnership- An arrangement with a third party that performs work that is outside of DC Health’s scope of practice, but required or necessary for DC Health to submit a fully responsive application for a funding. A Contingent Partnership may be another DC government agency, but can be any third party whose collaboration is permitted in order to submit the grant application and receive the funding.</p> <p>Cooperative Agreement: A financial assistance award with the same kind of interagency relationship as a grant except that it provides for substantial involvement by the federal agency funding the award.</p> <p>EOM- Executive Office of the Mayor</p> <p>FAR- Federal Acquisition Regulation</p> <p>FO- Funding Opportunity. This term encompasses public announcements for requests for applications or proposals for new</p> |

funding, continuation of existing funding, or supplemental funding. The successful result of a funding opportunity would be the obligation of funding to a qualified and selected recipient that will deliver goods, services, programs or infrastructure for purposes the funder has outlined in the funding opportunity announcements and subsequent agreements.

Funding Opportunity Guidance- The funding opportunity guidance is the document published and released by the grantor agency to outline eligibility requirements, program scope, proposal/application submission requirements and evaluation or review criteria. The guidance may also include required signature documents, standard forms and templates for constructing the application.

Grant (Federal): A legal instrument used to transfer anything of value to a recipient for public support or stimulation authorized by statute. The definition does not include: any instrument considered to be a federal procurement subject to the Federal Acquisition Regulation; technical assistance (which provides services instead of money); or assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct payments of any kind to a person or persons. The main difference between a grant and a cooperative agreement is that in a grant there is no anticipated substantial programmatic involvement by the federal government under the grant award.

Grants POC – For the purpose of this SOP, this is the person that the Senior Deputy Director will assign to act as a liaison with the Office of Grants Management on matters pertaining to implementation of grants operating procedures and transactions.

Match or Cost Sharing- The value of allowable in-kind contributions and the portion of the allowable costs of a federally assisted project or program to be provided by the recipient (e.g. DC Health) assigned as other costs under the approved budget.

MOE- Maintenance of Effort. A requirement contained in authorizing legislation, or applicable regulations that a recipient must agree to contribute and maintain a specified level of financial effort from its own resources or other nongovernment sources to be eligible to receive federal grant funds. This requirement is

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| | <p>typically given in terms of meeting a previous base-year dollar amount.</p> <p>NOFO- Notice of Funding Opportunity</p> <p>OD- DC Health Office of the Director</p> <p>OGM- DC Health Office of Grants Management</p> <p>Private Grant – An instrument used to transfer anything of value from a non-governmental entity to a recipient for a purpose prescribed by terms of an agreement.</p> <p>SDD- Senior Deputy Director</p> <p>SSPOC- State Single Point of Contact. For the District of Columbia Government, the SSPOC is located in the Office of Partnerships and Grants Services (OPGS). The SSPOC agency exists in response to Executive Order 12372, "Intergovernmental Review of Federal Programs." Executive Order 12372 to establish a local program to encourage coordination between District agencies, including selection of agencies who should apply or coordinate on funding opportunities.</p> <p>Supplant - to "replace" or "take the place of" funding that is already available and utilized in state, local or agency budgets. Note: Federal law prohibits recipients of federal funds from <u>replacing</u> state, local, or agency funds with federal funds. Existing funds for a project and its activities may not be displaced by federal funds and reallocated for other organizational expenses.</p> <p>Supplement – adding funds to support a program, service or purchase that is already available and utilized in state, local, or agency budgets.</p> |
| <p>VI. Procedures</p> | <p>Procedure A: Publish and distribute a DC Health Funding Alert</p> <ol style="list-style-type: none"> OGM staff will verify and compile all funding opportunities identified since the previous compilation and set at minimum a bi-weekly schedule for distribution to Grants Points of Contact (POC's). |

2. Assigned OGM staff will locate and make best effort to ensure that the funding guidance (e.g. e-copy or hyper-link) is available for each funding opportunity listed and any pre-planning or pre-application meeting/conference dates are made known via the DC Health Funding Alert.
3. The Chief of OGM, or designee, will complete OGM vetting for all listed grants, including removal of funding opportunities where DC Health is ineligible to apply, or it has been determined by the SSPOC that another District agency shall apply.

Procedure B: Application Selection

1. Each Grants POC, or designee, will complete a programmatic vetting for every funding opportunity relevant to that administration, including engaging program leads and the Deputy Director for Operations to review opportunities under consideration.
2. The SDD will select the applications, if any, to be pursued and route a response to assigned OGM staff according to a transmission method and timeframe specified by OGM.
3. The Director may review the selection, and modify or overrule a selection at his/her discretion. OGM staff will notify the SDD, or designee, on any such decision.
4. The SDD, or designee, will name the employees who will be completing the application for funding.
5. The SDD, or designee, will verify to the Chief of OGM that a new application is beginning.
6. The Chief of OGM, or designee, will provide any requested technical assistance necessary to begin the application.
7. The Chief of OGM may, at his/her discretion, convene a pre-application planning session with the application team to address any identified issues or challenges.

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| VII. Contacts | Chief of the Office of Grants Management- (202) 442-5985 |
| VIII. Related Documents, Forms and Tools | Funding Opportunity Review (checklist) Funding Opportunity Approval Form |