Arapahoe County Grants Initiative

A Strategic Framework for Piloting a Coordinated Grants Program

August 14, 2024 (DRAFT)

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Executive Summary

Arapahoe County faces a grants landscape rich in opportunities, as well as complex application processes, cross-disciplinary programming and increasing performance demands. To take advantage of future opportunities and effectively navigate challenges, the County must embrace a collaborative approach to grants procurement and management. Its policies must foster compliant, yet creative approaches, with each grant stage supported by dedicated expertise. Most importantly, leadership support across the organization will be crucial to the success of a unified grants program. The following table summarizes recommended action items for creating and implementing a coordinated Pilot Grants Program within five key target areas.

Target Area	Action Items	
	Short-Term (Years 1-2)	**Mid- to Long-Term (Years 2-5)**
1) Cross-Functional Team Structure	➢ Establish a Pilot Grants Program within Commissioners' Office ➢ Create entity-wide "Grants Squad" to advise program	➢ Create feedback & continuous improvement opportunities ➢ Transition pilot program to permanent grants division
2) Effective Policies & Streamlined Procurement Practices	➢ Revise & adopt legislative-focused policies ➢ Centralize and streamline internal review & approval of grant applications ➢ Update administrative procedures for grant management ➢ Create internal procedures guide ➢ Negotiate indirect cost rates	➢ Expand annual signatory authorization ➢ Ensure integration of grant-related issue in legislative agenda ➢ Strengthen support systems for grants management ➢ Allocate set aside matching & leveraging funds
3) Centralized Data Sharing System	➢ Evaluate & utilize available information sharing methods across departments & offices ➢ Improve access to essential data	➢ Develop grants resource repository ➢ Establish dedicated document/data sharing & tracking system ➢ Define clear protocols & responsibilities
4) Trained & Knowledgeable Grants Staff	➢ Provide critical cross-organizational training ➢ Deliver targeted writing assistance & procurement technical support ➢ Engage external contractors to address expertise & staffing gaps	➢ Formalize grant-related responsibilities in job descriptions ➢ Integrate technology & AI tools ➢ Train staff on internal policy & processes ➢ Create & fill dedicated grant positions ➢ Provide targeted management support
5) Focused Grant Efforts Aligned with Needs & Priorities	➢ Develop & utilize vetting mechanisms to prioritize opportunities ➢ Develop pipeline of opportunities aligned with needs & priorities ➢ Foster internal partnerships for grant procurement	➢ Seek creative external partnerships for grant procurement & management ➢ Create & implement mechanisms for monitoring, reporting and evaluating ➢ Annually review processes & update as needed to maintain effectiveness

Introduction

In January 2024, Arapahoe County engaged LSI Business Development, Inc. (LSI) to develop a strategy for launching a Pilot Grants Program aimed at coordinating grant procurement and management countywide. LSI reviewed County grant-related policies, procedures, and information; interviewed leadership staff and elected officials; and received input from the Board of County Commissioners (BOCC) during an April 1, 2024, study session. Additionally, LSI facilitated an internal strategic planning workshop on May 21, 2024, to align program priorities across County departments and offices. A summary of that workshop is provided in Appendix A.

This document outlines the key issues that may impact the Pilot Grants Program—mandates, internal strengths and weaknesses, and external opportunities and challenges. It also provides recommended short- and mid/long-term action items for implementing the program within five key target areas.

Review of Mandates

The County's current grant efforts are primarily influenced by two types of mandates: 1) state legislative authority granted to the County and its elected officials; and 2) local policies enacted under this authority.

State Legislative Authority

The BOCC serves as both the policy-making and administrative body for the County. It consists of five members elected from single-member districts. The County's organizational structure is comprised of seventeen (17) strong, independently operated departments and offices. Ten (10) departments are overseen directly by the BOCC,[1] each with an appointed Director reporting directly to the BOCC. One (1) department is overseen by an independent Board of Directors appointed by the BOCC; the departmental Director reports to that Board.[2] Additionally, there are six (6) constitutional offices, led by elected officials whose powers and duties are prescribed by state statute. These offices are independent of one another and the BOCC has no direct authority over them, absent approving their budget.[3] An organizational chart is provided in Appendix B.

<u>Per state law, BOCC has sole responsibility for approving the budget for all County departments and offices, as well as for adopting County budget-related policies, including those related to grants.[4]</u>

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[1] 1) Commissioners' Office; 2) County Attorney's Office; 3) Community Resources; 4) Facilities & Fleet Management; 5) Finance; 6) Human Resources; 7) Human Services; 8) Information Technology; 9) Open Spaces; and 10) Public Works & Development

[2] Public Health Department

[3] 1) Assessor; 2) Clerk & Recorder; 3) Coroner; 4) District Attorney; 5) Sheriff; and 6) Treasurer

[4] C.R.S. 29-1-101 through C.R.S. 29-1-115 (Title 29, Government – Local, General Provisions, Article 1 Budget And Services, Part 1 Local Government Budget Law Of Colorado)

Local Policies

Arapahoe County 2023-2026 Strategic Plan

In 2023, the BOCC adopted a three-year strategic plan delineating focus areas and guiding principles for County policies and staff efforts.

6 STRATEGIC FOCUS AREAS

1. Good governance by removing barriers, providing exemplary service and building trust
2. Increased revenue to maintain existing programs/services, reduce backlog of deferred maintenance and plan for future
3. Sustainable development strategies that protect human/environmental health and combat climate change
4. Increased housing diversity, affordability and accessibility
5. Economic mobility for residents
6. Stable and diverse county workforce

PRINCIPLES

- Lens of Sustainability—human, environmental, social and economic
- Data and evidence-based best practice in utilizing resources
- Decision-making with community values and long-term/holistic financial implications
- Collaboration within and across organization
- Equity and work to remove barriers for betterment of all

County Adopted Grant Policies

In 2020, the BOCC adopted three (3) grant policies: Application and Approval; Grant Administration and Reporting; and Grant Sub-Recipient Monitoring. These apply to all grants being pursued and/or managed by County departments and offices, including those previously approved and/or being renewed. Federal formulary grants are exempt from the Application and Approval Policy. Copies of the policies are provided in Appendix C.

BASIC GRANT REQUIREMENTS. The policies provide general guidelines for pursuing grants:

- Grants should align with planned goals and objectives, not vice versa.
- Each grant must cover all its related administration, management, and reporting costs.
- Reimbursed funds are highly preferred over advanced funds, with the latter having additional internal management requirements. .

ROLES AND RESPONSIBILITIES. The County's Finance Department carries out directives, establishes procedures, and provides internal training and assistance to other departments and offices. It also, along with the County Attorney's Office, reviews grant activities for compliance.

Each department or office is responsible for all aspects of grants it pursues and/or receives, including:

- Developing and submitting applications
- Obtaining internal reviews and approvals
- Administrating funds
- Drafting and submitting reports to funders
- Monitoring subawards
- Providing information for County audits and inventories

GOALS OF CURRENT COUNTY GRANT POLICIES

✓ **Ensure proper oversight of all funds appropriated**

✓ **Minimize risk of non-compliance**

✓ **Ensure proper administration and accounting**

✓ **Meet agency and organizational expectation**

✓ **Avoid sanctions**

✓ **Facilitate stronger partnerships between grantor, grantee and sub-recipients**

INTERNAL REVIEW/APPROVAL OF APPLICATIONS. All grant applications must follow a two-step review process prior to submittal to a funder: 1) Review and recommendation by the Finance Department and County Attorney's Office, utilizing an electronic contract management system; and 2) BOCC review and approval by resolution (individually if not covered under an annually adopted authorization). This process is regardless of matching funds or resource allocation obligations.

Signing Authorization Resolution

Each year, the BOCC adopts a resolution that provides signatory authorization to departments and offices for specified agreements, contracts, forms and other documents. The 2024 resolution authorizes seven (7) departments and offices with grant-related signing authorization.[5]

Negotiated Indirect Cost Rate Agreements (NICRAs)

The County has a negotiated indirect rate of 30% with the State of Colorado, applicable to pass-through Federal grants administered by the State. The County does not have a NICRA with the Federal government.

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[5] Clerk & Recorder, Community Resources, Facilities & Fleet Management, Finance, Human Services, Open Spaces, Sheriff

Assessment of Key Issues

Strengths and Weaknesses

Organizational Perspective

The County's structure fosters specialized focus, expertise and internal collaboration within individual departments and offices. It also results in a "silo" approach across the organization, particularly in grant activities. The Finance Department and County Attorney's Office facilitate some centralized activities, including application reviews and auditing. Yet, their primary focus is budget and legal compliance.

This internalized approach can lead to duplicated staff efforts, internal competition for grants, missed opportunities for economies of scale (resources expended and funding levels), and pursuit of grants without consideration of broader organizational goals, mandates, and processes. It also limits collaboration, both internally and externally, missing opportunities to leverage partnerships between departments/offices and other entities such as local/regional governments and private industry.

Leadership and Staffing

The County's team is comprised of supportive, engaged individuals with significant subject matter expertise. There is commitment to a shared vision, as well as interest in improving mechanisms for procuring and utilizing grants. However, resistance to relinquishing autonomy, control and/or non-legislative authority may hinder full adoption and implementation of effective policies and processes.

There are inconsistencies in staffing capabilities across the organization, with some departments and offices having more grant-related expertise than others. A few departments and offices have dedicated grant staff, primarily for managing formulary grants and/or subrecipient awards. Eight (8) departments/offices have dedicated finance staff.[6] Yet, in most cases, procurement and administration of discretionary grants are considered secondary to staff's primary job responsibilities.

Internal Policies, Procedures and Processes

The County has established grant policies, procedures, and processes, yet all may not be fully effective or efficient in their current form. Adopted policies delegate grant procedures to staff, while also mandating extensive procedural details, particularly related to procurement. Many departments and offices find the internal approval process unclear and bureaucratic.

There are discrepancies between mandated procedures and actual practices. Grant applications are often addressed reactively, and last-minute. Information sharing is informal; and delayed or limited engagement with the Finance Department and County Attorney's Office often leads to rushed reviews.

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[6] Clerk & Recorder's Office, Community Resources, Facilities & Fleet Management, Human Services, Public Works & Development, Sheriff's Office, Public Health, and Treasurer's Office

There is no formal vetting process for evaluating opportunities apart from aligning with current mandates; and the broadness of some of the County's Strategic Plan focus areas make it challenging to interpret specific program priorities. Additionally, certain policies may limit substantial grant opportunities, including:

- BOCC review and approval of all individual grant applications, especially those requiring a separate resolution.
- Mandates to cover all administrative costs within a specific grant, compounded by lack of a federal NICRA.
- Resistance to receiving advanced funds.
- Placing onus of all fund management on applicant departments/offices, which may also impede cross-departmental collaboration.

Grant-Related Infrastructure

The County enjoys a strong reputation with State funding agencies and has a proven track record of successfully managing past grants. Its resilience in operating with limited resources indicates an ability to maximize the outcomes of grant-funded programs. It also has, or is in the process of establishing, operational policies and procedures to support applications on a broader scale, such as Safe Workplace and Diversity, Equity and Inclusion.

The County has substantial data at its disposal to craft compelling applications and reports. Its active legislative program is addressing grant-related state and federal policies, such as access to discretionary and sustainable funding, mitigating unfunded mandates, and educating the Federal government on local needs.

Yet, the County has recently had some compliance concerns with its grant management which could have a negative impact on securing future funding opportunities. It also faces challenges effectively communicating funding needs and return on investment (ROI), both internally and externally. While a few departments or offices have, or are developing, electronic data and document sharing programs, there is no organization-wide mechanism for managing, sharing and tracking grant-related information. Also, formal allocation of County resources to support grant activities is limited, including staffing and set asides for matching/leveraging grant funds and sustaining programs beyond grant periods.

Navigating Opportunities and Challenges

Today's grant landscape, particularly in the Federal arena, is shifting from a single focus to a multi-dimensional approach to funding. This mirrors broader trends in economic and community development that consider factors such as social determinants of health and economic mobility. Recent Federal legislation such as the Bipartisan Infrastructure Law (BIL), Inflation Reduction Act (IRA) and CHIPS and Science Act (CHIPS) illustrate this perspective, allocating funding for infrastructure, clean energy, and private industry growth integrated with workforce development, community impact, and equity initiatives.

These programs bring significant funding, but also new challenges such as lengthy and complex applications, multiple partners, and cross-disciplinary programming and reporting. To capitalize on the opportunities, it is imperative the County effectively collaborate in grant procurement, management, and programming—both internally and externally.

County policies and procedures must not only foster proactive, focused, and compliant approaches, but also remain flexible to allow creativity in meeting funding goals. Each stage of the grant process (identification, acquisition, programming, budget/financing, and reporting) must be supported by staff with the necessary expertise and authority to be successful.

Centralized coordination and creative partnerships will help reduce burdens on individual departments and offices. They also will create opportunities to address overhead costs and ROI across multiple grants, instead of requiring each grant to stand on its own.

Ultimately, support from leadership across the organization will be vital to the success of a coordinated grants program. The BOCC has already shown significant commitment by engaging with external experts, funding this strategic planning process, and embracing the concept for a Pilot Grants Project. It is important to acknowledge the progress made, including LSI's funded scope of work and staffing, rather than starting anew. Going forward, sustained support from the BOCC, and from other County leaders, will be essential. This will include formal dedication of staff time and resources, as well as flexibility in developing and supporting enhanced organizational policies and procedures.

Recommended Action Items

The following are recommended short-, mid- and long-term action items for creating and implementing a successful 5-year Pilot Grants Program, grouped into five key target areas:

      1) Cross-Functional Team Structure

      2) Effective Policies and Streamlined Procurement Practices

      3) Centralized Data Sharing System

      4) Trained and Knowledgeable Grants Staff

      5) Focused Grant Efforts Aligned with Needs and Priorities

While each target area may be addressed individually, integrating all of them will enhance the program's success and effectiveness.

PILOT GRANTS PROGRAM IMPLEMENTATION SCHEDULE		
TIME FRAME	**PROGRAM YEARS**	**FOCUS**
Short-term	1-2	Creating centralized cross-functional support for grant procurement, updating policies and procedures and providing critical training
Mid-term	2-3	Implementing new procedures, engaging internal and external partners, and strengthening support for grant management
Long-term	4-5	Formalizing staffing, document management and tracking systems and addressing program sustainability

Target 1: Cross-Functional Team Structure

Supporting successful and effective entity-wide grants procurement and management, including overarching coordination, buy-in from all departments and offices,   and essential centralized technical support

Short-Term

➢ **ESTABLISH A PILOT GRANTS PROGRAM** with the key purpose of coordinating centralization of grant activities across all County departments and offices.

- o **BOCC FORMALLY ENDORSE IMPLEMENTATION OF THE PILOT PROGRAM STRATEGIC WORK PLAN,** leveraging the Commissioners' Office's broad coordination perspective, experience in supporting other departments, and regular BOCC interaction. Official recognition by BOCC will clarify roles, lend credibility, and encourage support from other departments/offices for the program.

- o **INCORPORATE GRANTS PROGRAM COORDINATOR RESPONSIBILITIES INTO AN EXISTING MANAGEMENT ANALYST POSITION** to effectively manage key tasks without the need for additional staffing:
  - Oversee daily operations and facilitate implementation of the program work plan.
  - Coordinate internal application reviews between Finance Department, County Attorney's Office, other departments/office, and the BOCC.
  - Ensure interdepartmental communication on grant opportunities to prevent conflicts, promote collaboration, and achieve economies of scale.
  - Collaborate with internal and external SMEs to research, identify, and vet grant opportunities.
  - Work with Finance Department, County Attorney's Office, and other departments/offices to develop centralized grant-related infrastructure.
  - Manage contracted SMEs assisting with the program.
  - Communicate with departments/offices to understand grant funding and training needs.

➢ **CREATE "GRANTS SQUAD" TO ADVISE PILOT GRANTS PROGRAM** composed of staff-level representatives from each department/office, staffed by the Grants Program Coordinator. This will ensure feedback on, and foster ownership of, the Pilot Grants Program across the organization. Key responsibilities may include:

- Advising on policies, procedures and programming aimed to enhance grant-related activities.
- Vetting and/or reviewing potential grant applications.
- Liaising with and communicating needs and priorities of individual departments/offices.

- Facilitating interdepartmental collaboration on grant applications and programming.

Mid-Term

➢ **SCHEDULE QUARTERLY FEEDBACK SESSIONS** with the Grants Squad and other stakeholders to review progress of the Pilot Grants Program, address challenges, and gather input for continuous improvement.

Long-Term

➢ **TRANSITION THE PILOT GRANTS PROGRAM INTO A PERMANENT GRANTS DIVISION**, leveraging the successes and lessons learned from the pilot phase to establish a sustainable and effective grants management structure. Secure long-term funding and resources for the division to ensure its continuity and effectiveness.

Target 2: Effective Policies and Streamlined Procurement Practices

Refining grant policies and procedures to ensure clarity on decision-making guidance, flexibility to streamline and adapt procedures for evolving priorities, and provide appropriate authority for successful implementation of tasks

Short-term

➢ **ADOPT SIMPLIFIED GRANT POLICIES FOCUSED ON LEGISLATIVE OVERSIGHT, APPROVAL CRITERIA AND DELEGATION OF AUTHORITY** to establish a clear and consistent legislative framework. Remove administrative procedural details from the policies and delegate those to the Finance Department and County Attorney's Office to allow more flexibility in creating and implementing compliant, responsive and effective processes. This approach will ensure policies are easily understood and remain relevant over time and allow for continuous staff review and improvements to procedures without the need for frequent readoptions of polices.

➢ **ONCE SIMPLIFIED POLICIES ARE ADOPTED, UPDATE ADMINISTRATIVE PROCEDURES FOR REVIEWING AND APPROVING GRANT APPLICATIONS** to strengthen support for departments/offices, streamline process, utilize resources more efficiently and allow for timely responses to funding opportunities.

  o **PROVIDE CENTRALIZED COORDINATION** of the application review process through the Pilots Grant program coordinator.

  o **IMPLEMENT PRE-APPROVAL MECHANISMS** that may be used prior to spending staff resources on a full application. This may include review and approval of a grant opportunity concept (See example in Appendix D), and/or utilizing staff (i.e. department/office finance and legal staff, Grants Squad) for approval.

- o **ENGAGE DEPARTMENTAL/OFFICE-LEVEL FINANCE AND LEGAL STAFF FOR COMPLIANCE REVIEWS OF APPLICATIONS** based on established criteria, leveraging available capability and capacity. This aims to streamline review processes, expedite approvals, and alleviate workload pressures on Finance Department and County Attorney's Office.

- o **CONSIDER STREAMLINE MECHANISMS FOR REVIEW AND/OR APPROVAL BY BOCC**, including consent agendas, concept approvals for applications, and simple notification of submittals that meet certain criteria.

- o **SET GO/NO GO BENCHMARKS** to reduce inefficient use of staff time.

- ➢ **ONCE SIMPLIFIED POLICIES ARE ADOPTED, UPDATE ADMINISTRATIVE PROCEDURES FOR MANAGING PROCURED GRANTS**, including subawards, to ensure compliance with contractual obligations and other funding partners' requirements.

- ➢ **CREATE AN INTERNAL REFERENCE GUIDE** detailing all procedures, processes, specific roles and responsibilities, and guidelines for grant-related activities. This document will serve not only as a procedural guide but also as instructional guidance for staff, ensuring clarity and consistency in grant management practices.

- ➢ **NEGOTIATE AND MAINTAIN INDIRECT COST RATE AGREEMENTS** for both Federal and State Agencies to be used by all departments/offices on grant applications when appropriate and advantageous.

Mid-term

- ➢ **EXPAND ANNUAL SIGNATORY AUTHORIZATION** to encompass all departments/offices for grant applications and enable department/official-level approval for smaller grants with sign-off from Finance Department, County Attorney's Office, and the Commissioners' Office. BOCC would still approve acceptance of all grant funds.

- ➢ **ENSURE INCLUSION OF GRANT-RELATED FUNDING INTO THE COUNTY'S LEGISLATIVE AGENDA** by developing positions on relevant federal and state legislation and engaging in proactive issue advocacy to address concerns like unfunded mandates, potential loss of guaranteed funding, and general education of federal officials on local government needs.

- ➢ **STRENGTHEN SUPPORT SYSTEMS FOR MANAGEMENT OF GRANTS** by building capacity for centralized support for administering grant funds, monitoring, reporting, and analyzing returns on investment from grants.

Long-term

- ➢ **ALLOCATE A PORTION OF BUDGET TO BE SET ASIDE FOR MATCHING FUNDS** required by grant opportunities and for ensuring the sustainability of programs beyond the grant period. This may be done at both the County and the departmental/office level to ensure the County is prepared to meet grant requirements and can maintain successful programs in the long term.

Target 3: Centralized Information Sharing

Utilizing technology to provide internal stakeholders effective and efficient access to grant-related information, fostering streamlined application processes, quality submissions, consistency in organizational representation, and improved tracking for ROI evaluation

Short-Term

➢ **EVALUATE AND UTILIZE AVAILABLE INFORMATION SHARING METHODS SHORT-TERM ACROSS DEPARTMENTS/OFFICES** while working towards a formal and coordinated system. Evaluate the Contracts Management System's suitability for managing grant activities; while maybe not ideal for grant application reviews, it could serve well in organizing grant contracts and award agreements. As an interim solution, consider utilizing a shared drive folder on platforms like SharePoint.

➢ **IMPROVE ACCESS TO COMMON DEMOGRAPHICS, ESSENTIAL DATA AND INFORMATION** needed for grant applications, such as population demographics, economic indicators, health statistics and standardized organizational language. Coordinate with ongoing projects such as the Public Health Department's Lakehouse Pilot data program.

Mid-term

➢ **DEVELOP A GRANT APPLICATION RESOURCE REPOSITORY** by assembling samples of successful grant applications, standard templates and forms, digestible data, budgets, and reports, typical attachments and standardized organizational language.

Long-Term

➢ **ESTABLISH A DEDICATED DOCUMENT SHARING AND TRACKING SYSTEM** that is accessible to all relevant staff across departments/offices and features a user-friendly dashboard interface, either adapting an existing platform or developing a new one. Engage relevant departments in an internal review to determine the best sharing methods that coordinate with existing and ongoing efforts.

➢ **DEFINE CLEAR PROTOCOLS AND RESPONSIBILITIES** for file organization, regular updates of documents stored within the files, maintenance of system infrastructure, and user support.

Target 4: Trained and Knowledgeable Grants Staff

Ensuring the County's team has a clear understanding of roles and responsibilities, is equipped   with the necessary expertise, and has the support necessary to contribute to a successful grants program

Short-Term

➢ **DEVELOP AND IMPLEMENT CROSS-ORGANIZATIONAL TRAINING SESSIONS** covering Vetting Opportunities, Deciphering NOFOs, Successful Application Strategies, and Effective Utilization of AI in Grant Applications, as well as critical Grant Management and Compliance issues . Utilize both internal and external SMEs as instructors as well as utilizing training courses offered by relevant federal funding agencies and professional organizations such as the Government Finance Officers Association.

➢ **PROVIDE TARGETED GRANT WRITING ASSISTANCE** for high priority grant projects and/or departments/offices who have minimal grants-related support or expertise.

➢ **ENGAGE EXTERNAL CONTRACTORS** to address subject matter expertise and staffing gaps.

Mid-Term

➢ **FORMALIZE GRANT-RELATED RESPONSIBILITIES IN JOB DESCRIPTIONS** of staff positions within departments/offices engaged in grant-related activities and allow prioritization of time for these activities.

➢ **EXPLORE AND INTEGRATE TECHNOLOGY AND AI TOOLS** to streamline grant-related tasks, maximizing efficiency and effectiveness in grant acquisition and management.

➢ **CONDUCT COMPREHENSIVE TRAINING ON INTERNAL POLICIES, PROCESSES, AND PROCEDURES**, including utilization of shared document and tracking platforms.

Long-Term

➢ **CREATE AND FILL DEDICATED GRANT POSITIONS** to ensure all grant-related activities within the County are effectively staffed.

➢ **PROVIDE TAILORED TECHNICAL SUPPORT** in management of grants for departments/offices based.

Target 5: Focused Grant Efforts Aligned with Needs and Priorities

Developing mechanisms that prioritize opportunities and creative partnerships to support County's goals and return on investment

Short-Term

- ➢ **DEVELOP AND UTILIZE FORMAL VETTING MECHANISMS TO PRIORITIZE GRANT OPPORTUNITIES.**
  - ○ **CLARIFY SPECIFIC PROGRAMMATIC PRIORITIES WITHIN COUNTY'S STRATEGIC PLAN** focus areas and incorporate into vetting process.
  - ○ **DEVELOP AND UTILIZE AN EVALUATION MATRIX** to assist in vetting grant opportunities (See example in Appendix E).

- ➢ **DEVELOP AN ANNUAL PIPELINE OF GRANT OPPORTUNITIES** that aligns with county's priorities and needs.
  - ○ **CREATE AND** conduct an annual survey to assess department/office grant-related needs, focusing on creating a prioritized list that could benefit from grant funding, procurement or management assistance, and training requirements.
  - ○ **BROADEN THE ANNUAL COUNTY INVENTORY OF FEDERAL GRANTS** to encompass all current grant funded programs, broken down by funder to continue to address Schedule of Expenditures of Federal Awards (SEFA) reporting.
  - ○ **RESEARCH GRANT OPPORTUNITIES** and reconcile with annual survey and vetting priorities.
  - ○ **DEVELOPMENT A MECHANISM FOR INTERNAL SHARING OF PIPELINE AND FOLLOW-UP ON OPPORTUNITIES** with departments and offices.

- ➢ **FOSTER INTERNAL PARTNERSHIPS FOR GRANT PROCUREMENT** to optimize funding opportunities and distribute administrative burdens.
  - ○ **FACILITATE COLLABORATION AMONG DEPARTMENTS/OFFICES** to collectively identify and pursue grants. This includes developing procedures for grant-seeking departments to inform other relevant departments through the Pilot Grant Program.
  - ○ **ADDRESS MANAGEMENT RESPONSIBILITIES FOR MULTI-DEPARTMENTAL/OFFICE GRANTS**, potentially through intergovernmental agreements or memoranda of understanding (MOUs) for cost-sharing and operational clarity.

Mid-term

➢ **SEEK CREATIVE EXTERNAL PARTNERSHIPS** to leverage diverse and substantial funding opportunities to fund County priorities while minimizing expenditure of public resources.

    o **EXPLORE JOINT GRANT APPLICATION EFFORTS** with other public agency partners and private industry to access federal funds allocated through BIL/IRA.

    o **ALLOW EXTERNAL PARTNERS TO SERVE AS LEAD APPLICANTS** when advantageous.

    o **FOSTER RELATIONSHIPS WITH FUNDING ORGANIZATIONS**, including community foundations.

➢ **CREATE AND IMPLEMENT MECHANISM FOR EVALUATING RETURN ON INVESTMENT,** including tracking metrics such as number of grants applied for, amount of funding requested, success rate, project timelines, and fund utilization.

Long-term

➢ **ANNUALLY REVIEW AND UPDATE AS NEEDED GRANT-RELATED PROCESSES** to maintain effectiveness, including relevant IT processes.

Appendices

Appendix A. Grants Strategic Planning Workshop Summary

On May 21, 2024, LSI facilitated a 7-hour planning workshop in Aurora, Colorado to gather information for a Coordinated Grants Program. Participants included twenty-six (26) staff members and one (1) elected official, representing thirteen (13) County departments/offices. The purpose of the workshop was to gain consensus on priorities for the program. The workshop was interactive, employing various techniques to engage participants and facilitate input—small breakout sessions, group discussions, and "snow card" activities. Efforts were made to ensure diverse groupings at each table, incorporating individuals from different departments and offices.

The workshop included review of major current trends in today's grant funding environment; overview of County grant-related mandates and policies; visioning and prioritization exercises and analysis of key issues that may impact development and operation of a successful grants program. Key themes that emerged included leadership support, staff development, coordinated cross-departmental collaboration, streamlined internal processes, and the adoption of best practices both internally and externally.

Workshop Participants

- **Assessor's Office:** Michael Williams, Deputy Assessor
- **Clerk and Recorder's Office:** Karl Herrmann, Chief Deputy; William Mast, Deputy Director of Elections; Bridget Gurule, Deputy Director of Administration; Juan Guzman, Deputy Director of Records
- **Commissioners' Office: Cody O**'Brian, Management Analyst; Catherine, Management Analyst
- **Community Services:** Katherine Smith, Director; Courtney Stryker, Division Manager; Elizzebeth Loomis, Division Manager
- **Coroner's Office:** Lisa Vantine, Administrator
- **Human Services:** Cheryl Ternes, Director; Bob Prevost, Deputy Director; Jessica Williamsen, CAPS Section Manager; Nicole Brown, CAPS Section Manager; Georjette Dhliwayo, Program Project Administrator

- **Facilities & Fleet Management:** Patrick O'Neill, Director
- **Finance:** Heather Lin, Accounting Manager
- **Open Spaces:** Michele Frishman, Grants and Acquisitions Manager
- **Public Health:** Jennifer Ludwig, Director; Breanna Paderewski, Division Director
- **Public Works and Development:** Bryan Weimer, Director
- **Sheriff's Office:** Christopher Gulli, Captain; Brian Knudsen, Deputy Inspector; Shauna Deeble, Financial Analyst; Shelley Hubbard, Grants Specialist
- **Treasurer's Office:** Michael Westerberg, Treasurer (Elected Official)

SWOT Analysis

The following are consolidated responses from brainstorming internal strengths (S) and weaknesses (W), as well as external opportunities (O) and threats (T) that would influence the grants program's success. Initially discussed in smaller groups, these ideas were then combined and organized into key themes. The numbers in parentheses show the number of votes each item received when participants selected their top priorities—five votes for strengths and weaknesses, and three votes for opportunities and threats.

STRENGTHS

Leadership/Staffing

- Good Internal Subject Matter Expertise/Knowledge (15)
- Collaborative Approach (7)
- Support/Commitment from Leadership for Grant Program (6)
- Adaptability/Flexibility (5)
- Shared County Vision (4)
- We Know Our Needs (4)
- Engaged/Innovative Team (5)
- Motivated by Caring for Community/Optimism
- Resilient/Able to "Make Do with Less"

Internal Policies, Procedures and Processes

- Existing Internal Best Practices To Build On (12)
- Existing Policies in Place – e.g. HR, Finance, Legal (3)
- Existing Review Process in Place From Which to Build (3)
- Available Data to Write Compelling Grant Applications (2)
- Existing Tools that Could Be Use Better (1)
- Formulary Funding to Leverage

Credibility/Alignment with Available Grants

- Public Purpose Aligns Well with Eligibility of Available Grants (2)
- Demographics Align with Federal Grants
- Reputation in State (2)
- Demonstrated Success w/Grants
- Government Agencies

WEAKNESSES

Organizational Structure

- Silos – Independent Departments (11)
- Lack of Transparency Across Departments (2)

Leadership/Staffing

- Limited Staff Resources for Grant Activities – Applications/Implementation (5)
- Inconsistency in Subject Matter Expertise/Training Across Departments (2)
- Turnover in Staff/Loss of Institutional Knowledge (1)
- Lack of Grant-Related Lobbying/Advocacy
- Lack of Funding to Support Grant Activities/Opportunities

Internal Policies, Procedures and Processes

- Cumbersome Internal Approval Process (27)
- Lack of Common Database (8)
- Outdated Policies/Procedures (4)
- Limited Document Management/Project Tracking (2)
- Limited Grant Infrastructure – Sample/Template Repository, Tracking, Database (2)
- Inefficiency – Missed Opportunities
- Reactive Rather than Proactive with Grant Opportunities
- Lack of Criteria for Evaluating Grant Opportunities
- Limited Sustainability of Program After Grant Period

OPPORTUNITIES

Public Funding/Political Landscape

- Lack of Voter Education – Opportunity to Educate (2)
- Utilization of Taxpayer Bill of Rights (TABOR) – Potential debrucing approval (1)
- Lots of Existing Grant Opportunities (1)
- Constant Changing Political Landscape – Change of Govt Funding Available (Federal and State)
- Educating Feds on Local Government Needs

Training/Technology

- Standardized Training (7)
- Leveraging AI/New Technology (4)

External Partners

- Leveraging External Partnerships (2)
- Community Foundation Relationships (1)
- Collaboration w/Other County Partners
- Public-Private Partnerships
- Utilizing External Subject Matter Experts/LSI Contract

THREATS

Public Funding/Political Landscape

- Unfunded Mandates (7)
- Tax Payers Bill of Rights – TABOR (5)
- Changing Political Landscape (3)
- Loss of Guaranteed Funding
- Change in Leadership with Partners
- Lack of Voter Education

Economic/Demographic Changes

- Population Growth (6)
- Competitive Workforce Environment (1)
- Economic Environment/Less Revenue
- Inflation (1)

Challenging Grant Environment

- Perception County Has Too Much $$ (3)
- Increased/Difficult Reporting Requirements (3)
- Matching $$ Requirements (1)
- Non-political Funding Changes (1)
- Competition for Funds
- Potential Ineligibility of Grants Due to Conflicts with Entitlements or Other Funding Sources

Visioning Exercise #1

The following are consolidated responses to the following question: "For Arapahoe County's coordinated grants program to be successful, we must be especially good at what three things?" Initially brainstormed silently by individual participants, these ideas were then combined as a group and organized into key themes. The numbers in parentheses show the number of votes each item received when participants selected their top five priorities.

Organizational Structure

- Actively Collaborating/Non-Competing Efforts Across County Departments (9)
- Accountability/Follow Through (1)
- Transparency/Communication (1)
- Involving Finance/Legal
- Common Goals/Fiscal Responsibility

Leadership/Staffing

- Dedicating Staff Time for Grant Activities (9)
- Leadership to Support Grant Efforts/Department Level Staff (7)
- Training/Staff Development (Deciphering Grant Opportunities/NOFOs, Application, Writing Skills, Compliancy) (5)
- Utilizing Existing Internal Subject Matter Expertise (1)
- Programmatic Sustainability Beyond Grant

External Resources

- Utilizing Best Practices (7)
- Accessing Tools/Resources (2)
- Getting External Technical Assistance (1)

Internal Processes, Procedures and Resources

- Strategic Planning (12)
- Streamlining Consistent Processes/Reporting (12)
- Nimbleness/Flexibility (5)
- Tracking, Auditing, Reporting and Evaluating ROI (5)
- Supportive Infrastructure – Usable/Accessible Data/Template Repository (3)
- Managing Grant Timelines – Application & Implementation
- Document Management

Focused Grant Efforts

- Staying Abreast of Available Grants/Funding Sources (11)
- Finding "Low Hanging Fruit" (6)
- Securing $$ for Current Programs (2)
- Being Proactive (1)
- Alignment with Strategic Plan
- Prioritizing/Focusing Efforts

Visioning Exercise #2

The following are consolidated responses to the following question: "Wouldn't it be nice if…… It's 2030 and the County has a wildly successful coordinated grants program. What specific activities are driving our success?" Responses were brainstormed individually and silently by participants, then posted to the wall and organized into key themes. The numbers in parentheses indicate the frequency of duplicated ideas.

Internal Processes, Procedures and Resources

- Centralized grant identification/pipeline and vetting (9)
- Centralized databases, clearinghouse and/or repositories for applications and reporting (Digestible/usable data, templates, standard verbiage, examples of best practices, typical attachments, best practices, required attachments/forms) (8)
- Centralized, simple, streamlined, standardized and effective internal processes (5
- Centralized coordination on application process and/or management of grants (5)
- Centralized grant support of departments/offices (2)
- Specialized purchasing policies for program success and grant compliancy
- Grant strategic plan outlining priorities (2)
- Cross departmental partnerships utilizing specialized regulatory and organizational expertise
- Grants include indirect costs funds to cover management costs

Leadership/Staffing

- Centralized grant coordinator/team (8)
- Dedicated department/office grant staff and/or grant liaisons (full-time and part-time) (7)
- Professional Development/Staff Training (Vetting Opportunities, Deciphering NOFOs, Success applications, Understanding internal policies/procedures) (4)
- Partnering with department staff to obtain external grants through

External Partnerships

- Expanded outreach and partnerships with grants
- Fostering relationships with funders

**Technology**

- Maximizing technology to organize, manage, track and report on grants/contracts
- Leveraging AI

Focused Grant Efforts

- Deliberate effort to fund priorities and programming gaps (6)
- Demonstrated improvements to our ROI, including covering overhead costs (3)
- No longer being driven by "avoidance of going broke"

Appendix B: Arapahoe County Government Organizational Chart
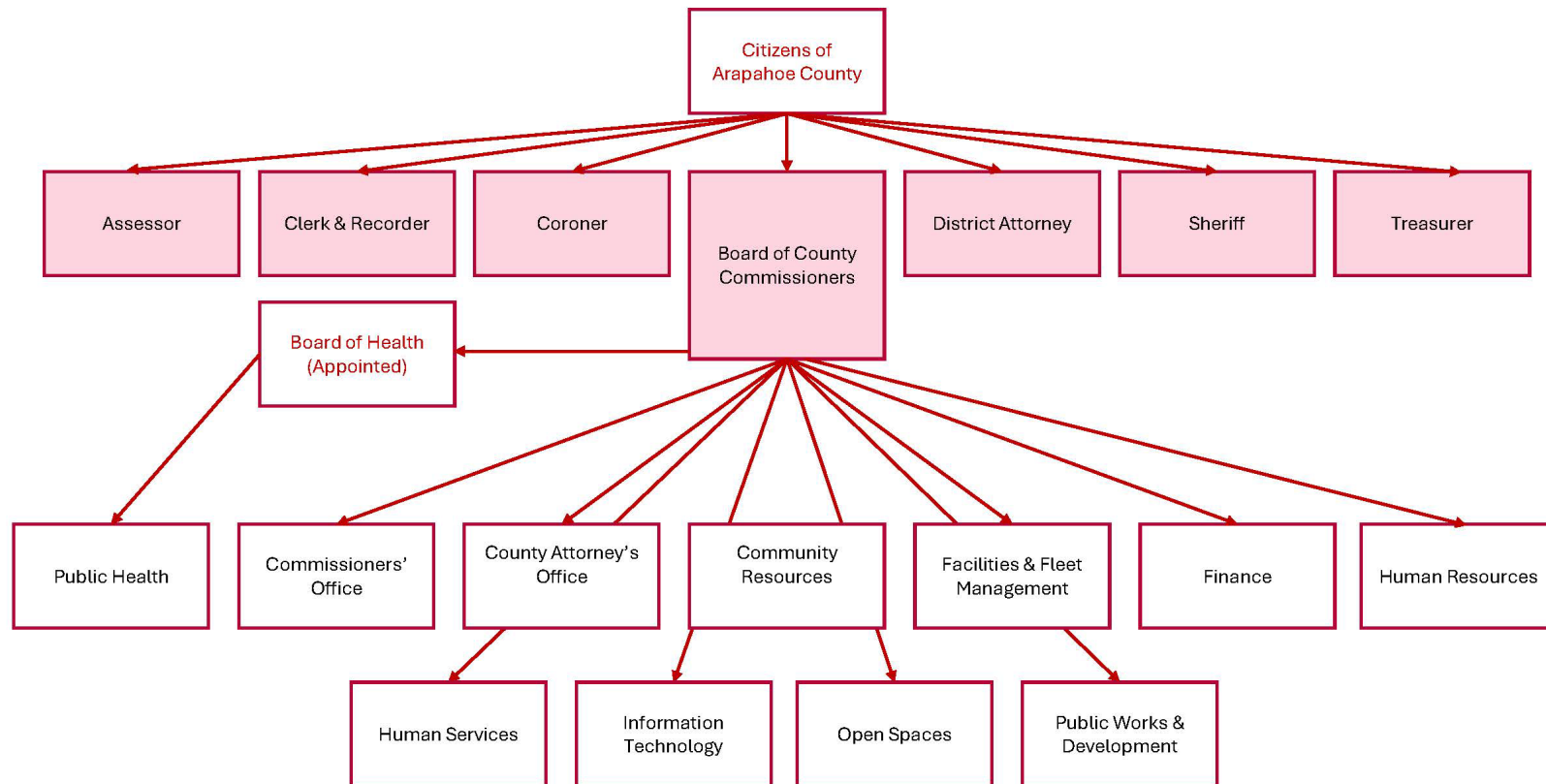
Appendix C. Current County Grant Policies

	Arapahoe County Finance Department	Policy No.: 9.1 Version: 1.0 Resolution No.: 200709
ARAPAHOE COUNTY COLORADO'S FIRST	**Grant Application and Approval Policy**	Effective Date: 10/13/2020 Owner: Finance Department Accounting Division

I. Authority:

The Board of County Commissioners has exclusive power to adopt the grant application and approval policy to help support the county government, including all offices, departments, boards, and commissions. The Finance Department is responsible for carrying out the policy directives of the Board of County Commissioners and establishing the necessary procedures to do so.

II. Purpose and Scope:

The purpose of the grant application and approval policy is to provide a uniform method of applying for grants, the roles and responsibilities of the parties, and record retention that will align with the goals of Arapahoe County.

This policy relates to all discretionary grants for which departments/offices are generating the application or the response to a request for a proposal for grant funding, including those grants that have been previously approved and are being renewed.

    A. The establishment of a Grant Application and Approval Policy for the County:
        1. Ensures proper oversight of all funds appropriated to the County.
        2. Minimizes the County's risk of non-compliance with grant requirements.
        3. Ensures proper administration and accounting of all grants.
        4. Compliance with these rules help grant staff meet agency and organizational expectations, avoid sanctions, and facilitate stronger partnerships between the grantor, grantee and sub-recipients.

III. Definitions:

    A. Advance Funding Grants – These are grants where the granting agency advances the funds to the County before any expenses have been incurred.
    B. BoCC – Board of County Commissioners.
    C. CFDA # – The Catalogue of Federal Domestic Assistance number given to each federal grant for identification and classification purposes.
    D. Discretionary grants – Grants that the requesting department are actively and voluntarily pursuing.
    E. Formulary grants –A mandatory grant that is awarded based on statistical criteria for specific types of work. The authorizing legislation and regulations define the statistical criteria and the amount of funds to be distributed. These may be Federal or State funded.
    F. Grant Inventory – Each year the Finance Department conducts an annual inventory of all departments and offices for all the active grants they are administering as of that date and during the fiscal year in order to formulate a preliminary SEFA for the auditors for single audit planning purposes and for submission to the BoCC.

Page **1** of **5** | Grant Application and Approval Policy

G. IG Rents – Intergovernmental (IG) rents are the mechanism by which the County sets aside funds annually in order to fund the replacement of the related asset at the end of its useful life.

H. Pass-through grants – Some grants that are awarded by the State and other agencies have federal dollars flowing or passing through them and therefore are subject to the single audit regulations and must be included in the SEFA.

I. Reimbursement grants – Grants requiring the County to expend its own funds initially and then apply for reimbursement by the granting agency.

J. Requesting department – The department or office that is submitting the grant application, administering the grant if the grant is awarded, and taking full responsibility for grant compliance and reporting.

K. Request for proposal/application – Grants that the State or other grantors solicit the County to apply for and require a proposal be prepared by the County for consideration.

L. SEFA – The Schedule of Expenditures of Federal Awards that is required to be included in the County's annual financial statements or Comprehensive Annual Financial Report (CAFR) and filed with the federal government within a certain time period after year end.

M. Single Audit – Governments are required to complete a Single Audit in accordance with the Title 2 CFR Part 200, Subpart F, if expenditures of federal financial assistance are in excess of a certain dollar threshold during the fiscal year.

N. Study Session – A way for the Board of County Commissioners to review and approve the item.

O. Drop-In – A way for the Board of County Commissioners to review and approve a non-controversial item that will take 5-10 minutes to request direction from the BOCC or to provide them with information.

IV. **Policy:**

A. General

1. The goals and objectives of the County departments should be established early in the planning process and should not change based on changes in the availability of different funding sources sought and received.

2. If grant policies and regulations conflict with regulations and policies of the County, the federal and state regulations will prevail unless less restrictive than County policies where County policy prevails.

   a) For example, Human Services and Homeland Security may have additional requirements.

3. No grant shall be accepted that will incur management reporting costs greater than the grant amount.

   a) Such costs include, but are not limited to, indirect costs, overhead, and any other items needed to administer the grant.

4. Formulary Grants

   a) Although they still need to abide by all relevant Federal, State, grant and single audit compliance regulations, formulary grants that departments receive as a matter of course annually from the State are not addressed in this policy as it pertains to the "Application" and "Approval" policies; all other policies, including 9.2 Grant

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Administration & Reporting and 9.3 Grant Sub-Recipient Monitoring do apply to Formulary grants.

b) Federal funding that the County administers but does not apply for is excluded from this policy as it pertains to the "Application" and "Approval" sections; however, policies 9.2 Grant Administration & Reporting and 9.3 Grant Sub-Recipient Monitoring do apply to these type of funds.

5. Advance Funding Grants
   a) The BoCC strongly encourages that the County not enter into any advance funding grants; however, if it is necessary, the requesting department must make advanced arrangements for managing the cash received. See Responsibilities of Parties, Requesting Departments, section C.

B. Application
   1. Contact with the County Attorney's Office and the Finance Department for feedback early in the application process is highly encouraged in order to catch and address compliance, budgetary and other operational issues.
   2. The requesting department must fill out the grant application in full in the Contract Management System for review as soon as possible in order to allow enough time for review by the County Attorney's Office and the Finance Department. All related documents should be submitted to the Contract Management System including, but not limited to:
      a) Completed Grant Evaluation Form.
      b) Application instructions, certified assurances, and any other required attachments or guidance documentation, completely filled out and followed.
      c) Online applications such as Grants.gov for Federal grants and Colorado Grants Management System (COGMS) for State grants that have all of the application items filled in, and a link to all instructions, certifications, requirements, program descriptions and other relevant information included for reviewers.
   3. Generally speaking, a **minimum** of one week for the County Attorney's Office and one week for the Finance Department is preferred to review the application and grant. Last-minute opportunities for advantageous grant applications will be expedited as much as possible by the reviewing departments given resource constraints and the complexity of the grant, but a thorough review and evaluation will not be omitted due to time constraints.
   4. The filling out of the Grant Evaluation Form and the review of the complete application by both the County Attorney's Office and the Finance Department **is required** even if the requesting Department Director or Elected Official has signing authority for the grant.
   5. A copy of the Grant Evaluation Form must be retained with the grant records by the requesting department and by the Finance Department for future reference.
   6. Access to online applications such as Grants.gov mentioned above will be given only to staff members designated by the Finance Department.

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  (a) Ensuring purchasing policies and requirements are followed when getting estimates or purchasing grant-funded equipment, goods or services, including checking vendor debarment lists at every step in the process and documenting those checks

  (b) Ensuring a fixed asset number is assigned so that purchase order can be created, if necessary.

  (c) Arranging for IG rents to be set up if it is anticipated that the equipment will eventually need to be replaced with County funds

 (3) Ensuring budget supplementals are arranged in conjunction with the requesting department or office for receiving the grant award, appropriating the use of the grant proceeds, and any IG rents that may be needed

b) Is responsible for inquiring about appropriate processes in place to track grant expenditures and reimbursements appropriately and in compliance with requirements.

c) Is responsible for setting up of special fields in the County's SAP financial system and training on their usage.

d) Is responsible for maintaining a copy of the completed Grant Evaluation Form for future reference.

V. Related Documents and Procedures:

A. Title 2 CFR Part 200
B. Basis of Accounting 5.1
C. Financial Reporting Policy 5.2
D. Grant Application Procedures 9.1.1
E. Grant Evaluation Form

This policy supersedes and replaces the Grant Application and Approval Policy 4.4 dated 02/14.

Page **5** of **5** | **Grant Application and Approval Policy**

	Arapahoe County **Finance Department** **Grant Administration and Reporting Policy**	Policy No.: 9.2 Version: 1.0 Resolution No.: 200709 Effective Date: 10/13/2020 Owner: Finance Department Accounting Division

I. Authority:

The Board of County Commissioners has exclusive power to adopt the grant administration and reporting policy to help support the county government, including all offices, departments, boards, and commissions. The Finance Department is responsible for carrying out the policy directives of the Board of County Commissioners and establishing the necessary procedures to do so.

II. Purpose and Scope:

The purpose of the grant administration and reporting policy is to provide a uniform method of administering and reporting of grants, roles and responsibilities of the parties, and record retention that will align with the goals of Arapahoe County.

This policy relates to all grants for which departments/offices are currently administering grant funding, including those grants that have been previously approved and are being renewed.

   A. The establishment of a Grant Administration and Reporting Policy for the County:
      1. Ensures proper oversight of all funds appropriated to the County.
      2. Minimizes the County's risk of non-compliance with grant requirements.
      3. Ensures proper administration and accounting of all grants.
      4. Ensures proper reporting of all grants within the control of the County.
      5. Compliance with these rules help grant staff meet agency and organizational expectations, avoid sanctions and facilitate stronger partnerships between the grantor, grantee and sub-recipients.

III. Definitions:
   A. Advance Funding Grants – These are grants where the granting agency advances the funds to the County before any expenses have been incurred.
   B. BoCC – Board of County Commissioners.
   C. CAFR – Comprehensive Annual Financial Report.
   D. CFDA # – The Catalogue of Federal Domestic Assistance number given to each federal grant for identification and classification purposes and must be included in the annual SEFA for single audit purposes.
   E. Discretionary grants – Grants that the requesting department are actively and voluntarily pursuing.
   F. Formulary grants – A mandatory grant that is awarded based on statistical criteria for specific types of work. The authorizing legislation and regulations define the statistical criteria and the amount of funds to be distributed. These may be Federal or State funded.
   G. Grant Inventory – Each year the Finance Department conducts an inventory of all departments and offices for all the active grants they are administering as of that date

and during the fiscal year in order to formulate a preliminary SEFA for the auditors for single audit planning purposes and for submission to the BoCC.

H. IG Rents – Intergovernmental (IG) rents are the mechanism by which the County sets aside funds annually in order to fund the replacement of the related asset at the end of its useful life.

I. OIG – Office of Inspector General is the agency that conducts audits of Federal grants to ensure that they are compliant with all regulations.

J. Pass-through grants – Some grants that are awarded by the State and other agencies have federal dollars flowing or passing through them and therefore are subject to the single audit regulations and must be included in the SEFA.

K. Reimbursement grants – Grants requiring the County to expend its own funds initially and then apply for reimbursement by the granting agency.

L. Requesting department – The department or office that is submitting the grant application, administering the grant if the grant is awarded, and taking full responsibility for grant compliance and reporting.

M. Request for proposal/application – Grants that the State or other grantors solicit the County to apply for and require a proposal be prepared by the County for consideration.

N. SEFA – The Schedule of Expenditures of Federal Awards that is required to be included in the County's annual financial statements or Comprehensive Annual Financial Report (CAFR) and filed with the federal government within 30 days of the audit opinion.

O. Single Audit – Governments are required to complete a Single Audit in accordance with the Title 2 CFR Part 200 Subpart F, if expenditures of federal financial assistance are in excess of a certain dollar threshold during the fiscal year.

P. Study Session – A way for the Board of County Commissioners to review and approve the item.

Q. Drop-In – A way for the Board of County Commissioners to review and approve a non-controversial item that will take 5-10 minutes to request direction from the BOCC or to provide them with information.

IV. Policy:

A. General
   1. If grant policies and regulations conflict with regulations and policies of the County, the federal and state regulations will prevail unless less restrictive than County policies where County policy prevails.
      - For example, Human Services and Homeland Security may have additional requirements.
   2. Formulary Grants
      a) Although they still need to abide by all relevant Federal, State, grant and single audit compliance regulations, formulary grants that departments receive as a matter of course annually from the State are required to follow policies 9.2 Grant Administration & Reporting and 9.3 Grant Sub-recipient Monitoring.

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b) Federal grant funding that the County administers but does not apply for are required to follow policies 9.2 Grant Administration and Reporting and 9.3 Grant Sub-recipient Monitoring.

B. Administration and Reporting
1. All grant responsibilities, administration, compliance, reporting and other items as needed, reside with the requesting department.
   a) The requesting department must therefore designate its own finance officer who will be responsible for maintaining, tracking and reporting on all the grants within the Department or Office.
   b) The Finance Department will provide training and assistance in grant administration but will not prepare or sign the reports, as only those parties directly involved in the administration of the grant will have sufficient knowledge to attest to the required reports.
2. Every department will participate in the grant inventory conducted at the end of year for consideration by the independent auditors for reporting purposes in the Comprehensive Annual Financial Report (CAFR) and for reporting to the BoCC.
3. The Finance Department will be available as a resource to assist the departments in administering and tracking the grant if it is being tracked within the County's SAP financial system.
   a) Reconciliation between any outside tracking system and the County's financial system will be the responsibility of the requesting department.
      (1) See the *Basis of Accounting Policy 5.1* for the book of record of the County
4. All requesting departments are responsible for handling all OIG, single and other audits.
   a) The requesting departments are responsible to pay for all related expenses of such audits, even if they are not covered in the grant award.
   b) The requesting department is required to notify the Finance Department if the granting agency requested an audit.
      (1) The Finance Department will offer assistance in these audits, but the requesting department will be the responsible party.

C. Responsibilities of Parties
1. Requesting Department
   a) Is responsible for the administration of the grant, including meeting all accounting, purchasing, budgeting and reporting requirements and signing all documents and reports.
   b) Is the Finance Officer for grants requiring such a designation.
   c) Is responsible for ensuring that appropriate accounting and internal controls are set in place and in compliance with any grant or OMB requirements.
   d) Is responsible for handling all audits such as OIG, single audit and other program audits.

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e) Participates in the grant inventory to be conducted by the Finance Department annually.

f) Is responsible for paying all costs related to audits, even if the grant does not cover audit costs.

    (1) If the Department wants to pay for a grant-related item through a PCard, the Department must contact the Accounting Manager for approval and ensure there are no compliance issues with the transaction.

g) Is responsible for retaining all documentation related to the grant for a period of no shorter than 7 years after the close of the grant, including but not limited to:

    (1) Application and instructions

    (2) Compliance requirements

    (3) Resolution approving the grant application, agreement or award

    (4) Grant Evaluation Form

    (5) All reports and associated documentation submitted to the granting agency

    (6) All internal documentation, requests, and other items for the purposes of an audit trail

    (7) Other required attachments and documents

    (8) Tracking and reporting of the costs associated with reimbursements grants

    (9) Cash management, tracking and reporting of the costs associated with advancing funding grants

    (10) Tracking all capital assets purchased through their grant

2. Finance Department

a) Is responsible for inquiring about appropriate processes in place to track grant expenditures and reimbursements appropriately and in compliance with requirements.

b) Is responsible for the setting up of special fields in the County's SAP financial system and training on their usage.

c) Is responsible for maintaining a copy of the completed Grant Evaluation Form for future reference.

d) Is responsible for conducting an annual grant inventory.

e) Is responsible for allocation of any audit costs.

f) Is responsible for maintaining certain certifications on behalf of Arapahoe County Government, including but not limited to the DUNS number and registration within System for Award Management (SAM).

    (1) The Finance Department will monitor and maintain all necessary certifications within SAMS.gov.

V. Related Documents and Procedures:

A. Title 2 CFR Part 200

B. Basis of Accounting 5.1

C. Financial Reporting Policy 5.2

D. Grant Administration and Reporting Procedures 9.2.1

Page **4** of **5** | **Grant Administration and Reporting Policy**

This policy supersedes and replaces the Grant Application and Approval Policy 4.4 dated 02/14.

Page **5** of **5** | **Grant Administration and Reporting Policy**

	Arapahoe County Finance Department **Grants Sub-Recipient Monitoring Policy**	Policy No.: 9.3 Version: 1.0 Resolution No.: 200709 Effective Date: 10/13/2020 Owner: Finance Department Accounting Division

I. Authority:

The Board of County Commissioners has exclusive power to adopt the grant sub-recipient monitoring policy to help support the county government, including all offices, departments, boards, and commissions. This power includes the approval of the sub-recipient monitoring policy used by Arapahoe County. The Finance Department is responsible for carrying out the policy directives of the Board of County Commissioners and establishing the necessary procedures to do so.

II. Purpose and Scope:

Arapahoe County is responsible for annual monitoring of the programmatic and financial activities of its sub-recipients to ensure proper stewardship of sponsor funds. The following policy applies to all subawards issued under Arapahoe County, without regard to the primary source of funding. Additionally, this policy addresses institutional responsibilities and assists grant administrators to ensure that, in addition to achieving performance goals, sub-recipients comply with applicable federal laws and regulations and with the provisions of each subaward agreement.

A. The establishment of a Grant Sub-Recipient Monitoring Policy for the County:
1. Ensures proper oversight of all funds appropriated to the County.
2. Minimizes the County's risk of non-compliance with grant requirements.
3. Ensures proper administration and accounting of all grants.
4. Ensures proper reporting of all grants within the control of the County.
5. Compliance with these rules helps grant staff meet agency and organizational expectations, avoid sanctions, and facilitate stronger partnerships between the grantor, grantee and sub-recipients.

III. Definitions:
A. BoCC – Board of County Commissioners.
B. CAFR – Comprehensive Annual Financial Report.
C. CFDA # – The Catalogue of Federal Assistance number given to each federal grant for identification and classification purposes; must be included in the annual SEFA for single audit purposes.
D. SEFA – The Schedule of Expenditures of Federal Awards that is required to be included in the County's annual financial statements and filed with the federal government within a certain time period after year end.
E. Single Audit – Governments are required to complete a Single Audit in accordance with the Title 2 CFR Part 200, Subpart F, if expenditures of federal financial assistance are in excess of a certain dollar threshold during the fiscal year.

Page **1** of **2** | **Grants Sub-Recipient Monitoring Policy**

IV. **Policy:**

    A. General

        1. OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200) ("Uniform Guidance"), specifically §200.331, require pass-through entities to evaluate each sub-recipient's risk of noncompliance in order to determine the appropriate monitoring level, monitor the activities of sub-recipient organizations to ensure that the subaward is in compliance with applicable Federal statutes and regulations and terms of the subaward, and verify that sub-recipients are audited as required by Subpart F of the Uniform Guidance.

        2. All departments with active grants are responsible for monitoring all awards (if applicable) that have been given to sub-recipients by the County; see *Grant Sub-Recipient Monitoring Procedures 9.3.1.*

    B. Responsibilities of Parties

        1. Department/Office

            a) Has completed or received from the sub-recipient the following forms to annually perform a proper risk assessment of the sub-recipient:

                (1) Pre-Award Sub-Recipient Questionnaire

                (2) Conflict of Interest

                (3) Mandatory Disclosure

                (4) Risk Assessment Tool

            b) Provide all the necessary information, as prescribed by the Uniform Grant Guidance, and monitoring of sub-recipients that receive federal awards from the County:

                (1) Ensure that the sub-recipient has been given all the necessary information to properly track and report on federal funds spent back to the County.

                (2) Review all expenditures incurred by the sub-recipient to ensure they are in compliance with federal regulations.

            c) Provide supporting documentation showing that the department/office is monitoring the sub-recipient's activity and that they are in compliance with the Uniform Grant Guidance.

        2. Finance Department

            a) Responsible for reviewing the department's/office's supporting documentation to ensure all sub-recipients are being monitored in accordance with the Uniform Grant Guidance.

            b) Maintains a summary schedule for audit purposes as to the County's compliance with sub-recipient monitoring as a whole.

V. **Related Documents and Procedures:**

    A. Title 2 CFR Part 200

    B. Grant Sub-Recipient Monitoring Procedures 9.3.1

This policy supersedes and replaces the Grant Application and Approval Policy 4.4 dated 02/14.

Page **2** of **2** | **Grant Sub-Recipient Monitoring Policy**

Appendix D: Grant Opportunity Synopsis Example

Grant Opportunity: **DOL Building Pathways to Infrastructure Jobs Grant Program**

                                   FOA-ETA-23-31
                                   Application Opens: March 15, 2024   **Application Closes:** July 1, 2024

SUMMARY OF OPPORTUNITY

The DOL Building Pathways to Infrastructure Jobs Grant Program will **invest in public-private partnerships to develop, implement, and scale worker-centered sector strategy training programs in H-1B industries and occupations critical to meeting the goals of the Bipartisan Infrastructure Law (BIL),** formally known as the Infrastructure Investment and Jobs Act (IIJA).

Performance Period

- 60 months with an anticipated start date of 10/01/2024; includes all necessary implementation and start-up activities.
- Enrollment will begin within nine months of the award date.

Target Occupations

- Advanced manufacturing; information technology; and professional, scientific, and technical occupations supporting renewable energy, transportation, and broadband infrastructure sectors.
- Includes jobs in renewable energy and energy efficiency sectors; broadband expansion and smart city grids; and electrical, industrial, and civil engineers and technicians who facilitate the design, construction, modernization, and maintenance of the nation's infrastructure.
- Aims to develop and diversify the talent pipeline necessary to support the infrastructure sectors.

Target Population

Among the individuals eligible to receive training, those of particular interest include historically marginalized and underrepresented populations, including women (who are underrepresented in many key infrastructure occupations), people of color, justice-impacted individuals, individuals with disabilities, veterans, military spouses, transitioning service members, and other populations with employment barriers that hinder movement into career pathways that lead to middle- to high-skilled H-1B occupations.

Two Application and Funding tracks

Applicants must choose one of the following tracks for this grant program:
1. **Development:** goal is to establish local and regional partnerships that will develop and implement worker-centered sector strategy training programs in one or more infrastructure-related sectors
   - Expected to use evidence-based training strategies such as Registered Apprenticeship Programs, etc. May use innovative, otherwise unproven strategies and approaches.
   - Target pop: **smaller and/or rural communities**, and historically marginalized, underrepresented, and underserved
2. **Scaling**: to invest in established partnerships that have demonstrated evidence of effectiveness

- Should include supporting **data that shows employment outcomes, wage progression, and other evidence of sector training program achievement. Broaden the geographic scope of their existing** training program

Funding opportunity

- **Development**: $500K - $2M through 2027 (50% of funds expected for Development Track awards); **Highly encourages a match of at least 15%** of the total amount of requested funds
- **Scaling:** $2M - $5M through 2027 ; **Requires a match of at least 15%** of the total requested $$.
- Match includes staff time, training slots, training space, training materials, etc.

Worker-Centered Sector Strategies

Applicants must propose worker-centered training programs that are industry-driven and responsive to local and regional infrastructure sector demands in the proposed service area.

Requires worker-centered sector strategies driven by strong and diverse partnerships of public and private sector entities to promote systems change and empower workers based on equity, skills, and innovation

A sector strategy is a systems approach to workforce development that involves a public-private partnership of multiple employers within an industry sector, that brings together educational institutions; economic development agencies; workforce development systems; and labor, worker, and community organizations to identify and collaboratively meet the workforce needs of that industry sector within a given economic region(s).

Partnerships

Both tracks require public-private partnerships to develop worker-centered sector strategies

Project Design

- Applicants will design training programs in infrastructure-related industry sectors for good jobs in high-demand occupations that offer above-average pay and benefits for the applicable industry and service area, and opportunities to advance along a career pathway to middle- to high-skilled quality jobs.

- Middle-skilled occupations are generally those that require some significant education and training beyond high school (but less than a bachelor's degree) such as a recognized postsecondary credential or RAP. High-skilled occupations are generally those that require a bachelor's degree or higher.

- *Awarded grant projects will promote career pathways programs that offer a clear sequence, or pathway, of education coursework and/or training credentials recognized by employers*.

- The grant program requires a training model that includes work-based learning as a training option and allows for a variety of other training models including, but not limited to, classroom training, incumbent worker training, and RAPs.

- Applicants will assess and offer participants the appropriate training model to fit their needs.

- Applicants must develop a robust supportive services strategy to increase participation and retention of individuals in training programs. The supportive services offered should be informed by workers engaged in the project to ensure the training model is driven by the needs of workers.

Appendix E: Grant Evaluation Matrix Example

Grant Decision Matrix						
Project:				____ **Pursue**		
Lead Department/Office:				____ **Do Not Pursue**		
FACTORS	**EVALUATION**			**RATING**	**MULTIPLIER**	**SCORE**
	Weak (0 points)	**Neutral (1 point)**	**Strong (2 points)**			
Eligibility						
Applicant/ Partner Eligibility	Lead or partners do not meet all criteria of NOFO - **NO GO**	Applicant/partners meet criteria, but it will take some effort to provide justification	All applicants/partners clearly meet eligibility criteria & can provide justification			
Project Aligns with Funder's Objectives	No or vague alignment - **NO GO**	Some alignment; addresses broad strategies	Close alignment; addresses specific actions			
Documented Community & Internal Need	Anecdotal need, little evidence of need available	Some data from internal or external sources to document need	Multiple qualitative & quantitative data available to document need			
Project Experience	We have not delivered a comparable project	We have delivered a similar project	We have multiple years' experience with the same project type			
Staff Experience & Credentials	Not experienced in area, inadequate credentials	Some experience, related credentials	Extensive experience, exceptional credentials			
Internal Project Alignment						
Alignment with Existing Programs & Needs	Will require development of new program not currently planned	Will establish planned, but not currently operational program	Will fund an existing program/provide $$ to meet an immediate need			
Alignment with County Strategic Plan	No alignment: Low priority, limited impact	Moderate alignment: target priority with limited or moderate	High alignment: major priority & high potential impact			
Sustainability	Time limited funding with no future funding identified	Future funding sources identified to cover some costs	Diverse set of sources identified to cover all future costs			

FACTORS	EVALUATION			RATING	MULTIPLIER	SCORE
Required Resources						
Impact on Internal Resourcing	Project/grant have potential to impact significantly on internal workloads & resources	Project/grant will require some internal resourcing; levels of support are agreed with relevant stakeholders	Project/grant will have minimal impact on internal workloads & resources			
Matching $$	Requires significant cash match AND provides NO funding for admin costs	Requires match OR will not provide funding for admin costs	Requires minimal OR no match AND will fund admin costs			
Funding Disbursement	Funding provided in advance AND no mechanism in place to manage them	Funding provided in advance AND mechanism in place to manage them	Funding provided in reimbursements			
Staff Time Commitment to Project	No time to commit, additional FTE needed	Limited time available, but no additional FTE	Time commitment can be met by appropriate staff			
Staff Training & Development	Requires but does not provide funding for staff development	Minimal training required; some costs covered	Minimal training required; all associated costs covered			
Reporting Requirements	Extensive (e.g. monthly/quarterly, complex reports & data collation)	Moderate (e.g. biannual/annual, standard reports)	Minimal (e.g. periodic progress/closeout, simple reports)			
Feasibility of Applying						
Application Timing / Online Registration	Do not have time to respond competitively by deadline - **NO GO**	Responding requires reallocating staff time, but can be accomplished	Adequate staff time is available to develop a competitive proposal			
Competitive Assessment/ Funding Probability	No funder relationship AND very competitive opportunity	Funder familiarity or propensity to fund program	Existing positive grant relationship AND not competitive opportunity			
Partnerships	Partnerships required AND none identified or currently in place	Partnerships required/encouraged AND potential partners or collaborators identified	No partners necessary OR longstanding relationships exist			
Application Cycle Frequency	Funding available multiple times per year or on rolling basis	Funding offered on "annual" cycles	Funding opportunity released rarely or only by invitation			
TOTAL SCORE						