



CADDO PARISH  
GRANT MANAGEMENT  
POLICY & PROCEDURES

DRAFT

## **Introduction**

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

## **Policy Statement**

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

## **Grant Management Roles and Responsibilities**

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

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

### *Finance Department – Grant Coordinator*

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

## **Application Submission**

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

## **NGO Eligibility Requirements**

1. **Contractual age.** All applicants must be of legal contractual age as defined by the state of Louisiana (18 years).
2. **Conflicts of Interest.** Parish of Caddo employees are not eligible to receive grant funding.
3. **Good standing.** Applicants must be in good standing with the Louisiana Secretary of State.

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

#### **How to Apply**

1. Applications for funding in the upcoming budget year will only be accepted during the application period ending in July of the current year.
2. Review the application requirements in full on the Department of Finance NGO website.
3. Applications must be submitted electronically using our online DocuSign portal at [www.caddo.org](http://www.caddo.org).
4. Applications must be completed by 11:59 p.m. on the date of the deadline. Each application must include the following criteria to be considered complete:
  - a. Online application form
  - b. Budget
  - c. Contributors
  - d. In-kind contributions
  - e. Board of Directors list
  - f. Audited Financials
  - g. Proof of IRS Status
  - h. Proof of Good Standing with Louisiana Secretary of State
  - i. Staff List
5. Once the application has been completed and submitted, look for an automated email message confirming receipt of your application.
6. After the application period has ended, Parish staff will send all completed applications to the appropriate NGO committee for scoring and comments. The NGO committees consist

of Parish Commissioners.

7. If you are awarded a grant, staff from the Finance Department will contact you to complete any necessary paperwork.

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

1. **Application.** Submit your application online no later than 11:59 p.m. on the deadline date. Applications are made through the Department of Finance NGO website. **Late applications will not be considered.**
2. **Staff review.** Staff reviews all applications for completeness and compliance with grant requirements.
3. **Grant revisions.** Staff will contact applicants if any revisions are necessary.
4. **Questions or concerns about application.** Applicants with questions or concerns about the status of their application may contact staff.
5. **Funding decisions.** The Caddo Parish Commission makes final decisions on NGO grants at budget adoption which takes place in early December. **Awards are only made once a year.** No awards will be made outside of the annual grant cycle.

#### **Scoring Applications**

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

- A. Organization Capacity
- B. Program Design
- C. Outcomes
- D. Compliance

#### **Organization Capacity (50 points)**

- a. The NGO has a proven history of management and implementation capacity.
- b. The NGO has credibility for this kind of work (strength, name recognition, a history or track record of achievements, related mission and goals).
- c. The human (internal staff and or volunteers) and physical resources allocated to this project are appropriate.
- d. The project is sustainable.
- e. Alternative sources of funding will be pursued. The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended.
- f. In-kind contributions.

### **Program Design (50 points)**

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

### **Outcomes (50 points)**

- a. The project outputs, outcomes, and results are clear, tangible, and include measurable indicators.
- b. The outputs, outcomes, and results are direct products of the activities undertaken as part of the project. Ultimately, the activities undertaken should achieve the stated objectives of the project and demonstrate measurable and sustainable benefits for the target groups.
- c. The actions (and means) that have to be taken or provided to produce the desired results of the program are adequately summarized.

### **Influence and Impact (50 points)**

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

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

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

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

expenditures, and required reporting .

### Grant Awards

1. **Notifications and dispersal of funds.** The Parish notifies all applicants if their application has been successful and begins the process of securing supporting information and issuing payment for successful applicants. Grantees must submit a request for funds through the grant coordinator to arrange for payment. Checks are sent by mail or electronically to bank accounts designated by the applicant.
2. **Communications.** All official communications and notifications will be made to the named individual applicant or the individual designated as the organization's point of contact. It is this individual's responsibility to communicate the Parish of Caddo's requirements for the grant award to collaborators or other participants. This includes, but is not limited to, requirements for compliance with grant agreements, and reporting.
3. **Implementation.** Grantees shall implement programs and/or projects as outlined in the CEA. Any change to the project, venue, Grantee address, schedule, and/or changes to staff or team members must be reported to [grants@caddo.org](mailto:grants@caddo.org).
4. **Award amount.** The Parish of Caddo reserves the right to adjust the amount of a grant award offered to an Applicant. **The grant(s) awarded by the Parish of Caddo must not exceed 50% of the NGOs budget for more than three (3) years.**
5. **Vendor forms.** Grantees must submit a current IRS W-9 form in order to receive the grant award. The W-9 must be in the same name as the Grantee named on the grant application. Failure to supply a proper W-9 may invalidate the grant award.
6. **Agreement.** When a grant award is made by the Caddo Parish Commission, the successful Applicant will be contacted by staff to sign a Cooperative Endeavor Agreement (CEA). In that agreement, the Grantee will be informed of the scope of services covered by the grant. Grantees must carefully review the program/project scope on the CEA as it may be different from the proposed scope on the original application.
7. **Issuance of funding checks.** Once the agreement is signed, the agreement along with an invoice should be submitted to the Parish Finance Department. **Payment of grant will be paid in two payments.** The first payment of ½ the award will be disbursed within 30 days of invoice receipt. The second payment (the remaining balance) will be made at the end of the program after final report is received. Failure to submit a final grant report will result in ineligibility to apply for future grants.

### Reporting

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

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

### **Grant Reporting Procedure**

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

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

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

### **File Management Procedure**

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

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

unless otherwise directed by the Grantor:

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

**File Retention Procedure**

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

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**NON-GOVERNMENTAL ORGANIZATION**

**PROPOSAL RATING FORM**

Reviewer: \_\_\_\_\_

Amount Requested: \$ \_\_\_\_\_

Applicant Funded in Prior Year: Y / N Amount: \$ \_\_\_\_\_

Number of Years Receiving Parish Funding: \_\_\_\_\_

Agency/Organization: \_\_\_\_\_

Project: \_\_\_\_\_

Target Pop: \_\_\_\_\_

**Overall Recommendations**

A

B

C

Fund

Possible

Do Not Fund

CRITERIA	Possible Points	Rating	COMMENTS
<b>ORGANIZATION CAPACITY</b>			
Number of Staff and volunteers?			
Does the organization have ability to receive amount of request?			
Solely funded with Parish funds?			
Secured funding support from other organizations?			
Duplication of service within targeted area?			
Credibility within community?			
<b>PROGRAM DESIGN</b>			
Clear, specific robust set of goals and objectives?			
Timeline is clear and obtainable?			
Specific use of funds is clear?			
Budget is realistic and reasonable?			
Proposed cost is reasonable?			
Impact is measurable with obtainable data to support impact?			
Reporting results to the Commission and community articulated?			
<b>OUTCOMES</b>			
Identifies indicators for success? Measurable?			
Last years participation?			
Goals achieved?			
Within budget?			
<b>INFLUENCE AND IMPACT</b>			
Long-term impact on the community?			
Population clearly defined with numerics in place?			
Mission of NGO?			
<b>COMPLIANCE (if applicable)</b>			
Timely complied with prior year reporting requirements?			
<b>ECONOMIC DEVELOPMENT (if applicable)</b>			
Positive economic impact on the Parish?			
Ability to substantiate economic impact? Study available?			
<b>TOTAL</b>			

**PARISH OF CADDO, LOUISIANA**

**GUIDELINES FOR APPROPRIATION APPLICATIONS**

Name of Entity: \_\_\_\_\_

Please review the following guidelines for funding and initial indicating you have read and understand each item prior to applying:

- \_\_\_\_\_ 1. Appropriations are made on an annual basis; **receiving funding one year does not guarantee that the organization will receive funds in the same amount, or at all during the next year.**
- \_\_\_\_\_ 2. Funds are appropriated for specific programs that an organization sponsors and **cannot be used for the day-to-day operating expenses of the organization (i.e. salaries, office expenses, rent).**
- \_\_\_\_\_ 3. The program for which an appropriation is requested must provide services to unskilled poor, low-income persons, unemployed persons or students from those families; alternatively, the program must provide a measurable means of economic development for Caddo Parish.
- \_\_\_\_\_ 4. Funds cannot be used for the following:
  - a. Capital purchases/improvements such as building repairs/renovations, playground equipment (even if for the parish-funded program) of an organization;
  - b. Equipment used in any other program other than the one the Parish is funding;
  - c. To benefit non-Caddo citizens.
  - d. Payments to organizational board members and employees.
- \_\_\_\_\_ 5. Funds cannot be used directly or indirectly in any trade or business carried on by any person or entity other than Grantee.
- \_\_\_\_\_ 6. An organization receiving monies through the Caddo Parish Commission's appropriation process must give two reports detailing the use of those funds: a report detailing the use of the funds from January 1<sup>st</sup> - June 30<sup>th</sup> of the appropriation year (due July 31<sup>st</sup>), and a report detailing the use of the funds from July 1<sup>st</sup> - December 31<sup>st</sup> of the appropriation year (due January 31<sup>st</sup> of the year following the appropriation). A subsequent appropriation application will **not** be considered if the July 31<sup>st</sup> report has not been timely submitted; an approved appropriation will **not** be funded if the January 31<sup>st</sup> report has not been timely submitted. These reports must include a detailed expense ledger with invoices, receipts cancelled checks and any other documents related to the expenditure of Parish funds, and the Parish reserves the right to audit all organization records related to the appropriation at any time. The organization will also complete an Outcome Report for the program.
- \_\_\_\_\_ 7. No funds will be paid until all required reports have been received and approved by the Parish of Caddo.

- \_\_\_\_\_ 8. Funds must be spent in accordance with the provisions outlined in the Cooperative Endeavor Agreement (CEA). Listing items in the detailed budget does not make them eligible for reimbursement; the items must be covered in the CEA.

**SECTION I: INTRODUCTION AND FUNDING PURPOSE**

It is important that each section of this request be completed.

Select one:

RECURRING REQUEST

NON-RECURRING (ONE-TIME REQUEST)

1. Name of Entity: \_\_\_\_\_

Commission District: \_\_\_\_\_

Address: \_\_\_\_\_

Is this the address of the organization's headquarters?  Yes  No

*If not, please list headquarter address:* \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Does your organization provide services in more than one commission district?

Yes  No

*If yes please list other districts served and addresses (if available):*

District _____	District _____
Address _____	Address _____
_____	_____

Contact Person: Mr. / Mrs. / Ms. \_\_\_\_\_

Title: \_\_\_\_\_

Phone Number: (\_\_\_\_) \_\_\_\_\_ Fax: (\_\_\_\_) \_\_\_\_\_

Email: \_\_\_\_\_ Past Grant Recipient?  Yes  No

2. Purpose for which Parish funds would be used (Check one and give brief description):

\*Economic Development:  Education:  Social Welfare:

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\*Economic Impact Study required with application.

3. Amount of this funding request: \_\_\_\_\_

4. During what time period will the funds be used: \_\_\_\_\_ through \_\_\_\_\_

5. Are audited financial statements available?  Yes  No If no, who prepares the financial statements for your organization? \_\_\_\_\_

Please furnish most recent financial statement period covered:

\_\_\_\_\_ through \_\_\_\_\_

6. Are you exempt from Federal Income Tax?  Yes  No

Under IRS Code Section: \_\_\_\_\_

7. Have you filed form 990 (Return of Organization Exempt from Income Tax)?  Yes  No

Date of last time filed: \_\_\_\_\_

8. Semi-annual drawdowns are agreed to be acceptable:  Yes  No

9. Does the organization have any outstanding tax claims (City, Parish, State or Federal)?

Yes  No (If so, please explain claim)

10. Are you in good standing with the State of Louisiana?  Yes  No

Please provide a copy of your Certificate of Good Standing.

11. Please attach Outcomes of prior year programs. Outcome Report template is located at [www.caddo.org](http://www.caddo.org)

12. Please attach any other information that you wish to submit in support of your application.

## **SECTION II: PROPOSAL NARRATIVE**

The proposal narrative must be formatted as outlined below. Proposals that are not submitted in the following format will not be reviewed. This section shall not exceed three pages, double spaced in 12-font. The application outline must address all of the following items below:

### **Background and Capacity of Organization**

Briefly describe your organization. This description should include the length of existence, the number of officers, members, and mission. Explain the organization's capacity to successfully implement the proposed project in a timely manner.

### **Prior Experience of Organization**

Description of past completed projects involving community and Parish activities in the past three (3) years, including the type of project, project location, and how it benefited the Parish.

### **Extent of Neighborhood Involvement**

Describe the manner in which you will attract volunteers to your project. Describe how a significant number of people with diverse interests in the neighborhood will be involved in and benefit from this project.

### **Description of Project and Soundness of Project**

This summary should provide an overview of entire project(s), including project location and how this project will benefit the Parish. This project must be clearly understood, well planned, and ready to proceed.

### **Joint Group Application and Collaboration**

State whether your organization is submitting this application along with another Parish-based organization. Also, describe any partnerships that were formed or will be formed to plan and implement this project. Please include names of all partnerships, consultants and other organizations that Caddo Parish appropriations will fund with the amount of monies going to each.

### **Identify Needs and Gaps in Services in Neighborhood**

List the priority needs that the organization has identified in the neighborhood along with any gaps of services that have been noted.

**ATTACHMENT A: CONTACT INFORMATION**

**List the names, addresses, and Commission District (if applicable) of all board members.**

<b>Name</b>	<b>Address</b>	<b>Commission District</b>

## ATTACHMENT B: PROJECT TIMELINE

**This summary should provide a written timeline to show benchmarks for project implementation and completion. Describe any recent, relevant and successfully demonstrated experience in undertaking similar projects. Include the knowledge and experience of the proposed day-to-day project team leader.**



**ATTACHMENT C:  
Caddo Parish Appropriation BUDGET FORM**  
Please provide detailed explanation of each line item.

Organization Name \_\_\_\_\_

Budget Year \_\_\_\_\_

Line Item Object	Funding Amount			Total
	Parish Amount	Other Amounts*	In-Kind (Including Food Bank)	
<b>Total</b>				

\*Please provide a detailed listing of the funding source for other amounts.  
\*If funding tuition for low-income persons to attend your program, please provide a detailed listing of the items covered by the tuition.



## CHECKLIST OF REQUIRED DOCUMENTS

### Guidelines for Appropriation Applications

#### Application

Proposal Narrative (See application outline on page 3)

Attachment A

Attachment B

Attachment C

Copy of current IRS 501(c)(3) tax exempt statement indicating that you are not a private foundation and an explanation of any changes in your IRS status (if applicable)

Affidavit

Copy of Certificate of Good Standing with State of Louisiana

\*Economic Impact Study (required for all applications with Economic Development purpose)