

Department of Behavioral Health  
**TRANSMITTAL LETTER**

<b>SUBJECT</b> <b>DBH Grants Manual</b>		
<b>POLICY NUMBER</b> <b>1000.1B</b>	<b>DATE</b> <b>MAY 06 2022</b>	<b>TL#</b> <b>335</b>

**Purpose.** The purpose of this policy is to revise and update Policy 1000.1A DBH Grants Manual to comply with Mayor’s Order 2009-228 dated December 30, 2009, and the City-Wide Grants Manual and Sourcebook (“City-Wide Manual” or “Sourcebook”). The DBH Grants Manual supplements the City-Wide Grants Manual and describes the Department’s internal grant-making processes for making and monitoring grants using federal, District of Columbia (“District”), or private funds.

**Applicability.** This policy applies to DBH employees and DBH contract providers that participate in DBH grant-making activities.

**Authority.** The Department of Behavioral Health Establishment Amendment Act of 2013, D.C. Official Code §§ 7-1131 et seq.; D.C. Official Code §§ 1-328.11 et seq.; D.C. Official Code §§ 1-328.11; 1 District of Columbia Municipal Regulations (DCMR) Chap. 50 – Subgrants to Private and Public Agencies; and 22-A DCMR Chapter 44; District of Columbia Mayor’s Order 2009-228 (December 30, 2009); District of Columbia City-Wide Grants Manual and Sourcebook.

**Effective Date.** This policy is effective immediately.

**Superseded Policy.** This policy replaces Policy 1000.1A DBH Grants Manual, dated February 24, 2010.

**Distribution.** This policy will be posted on the DBH web site at [www.dbh.dc.gov](http://www.dbh.dc.gov) under Policies and Rules. Applicable entities are required to ensure that affected staff is familiar with the contents of this policy.



**Barbara J. Bazron, PhD**  
**Director, DBH**

MAY 06 2022



**Department of Behavioral Health**  
**Grants Manual**

**Reviewed, Approved by:**

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**Director, Department of Behavioral Health** 05/06/2022  
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**May 2022**

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## **I. OVERVIEW AND GENERAL POLICY**

### **A. Introduction**

The Department of Behavioral Health's ("DBH" or the "Department") Grants Policies and Procedures Manual ("Manual") is being updated to comply with Mayor's Order 2009-228 dated December 30, 2009,<sup>1</sup> and the City-Wide Grants Manual and Sourcebook ("City-Wide Manual" or "Sourcebook"). The DBH Grants Manual supplements the City-Wide Grants Manual and describes the Department's internal grant-making processes for making and monitoring grants using federal, District of Columbia ("District"), or private funds.

The DBH Grants Management Office ("GMO") in the Administrative Operations Administration ("AOA") is responsible for the implementation of this policy. All materials and resources related to the DBH grant process are available on GMO's SharePoint site. DBH staff may contact the GMO with any questions about this Policy.

### **B. Applicability**

DBH employees and DBH contract providers that participate in DBH grant-making activities.

### **C. Authority**

The Department of Behavioral Health Establishment Amendment Act of 2013, D.C. Official Code §§ 7-1131 *et seq.*; D.C. Official Code §§ 1-328.11 *et seq.*; D.C. Official Code §§ 1-328.11; 1 District of Columbia Municipal Regulations (DCMR) Chap. 50 – Subgrants to Private and Public Agencies; and 22-A DCMR Chapter 44; District of Columbia Mayor's Order 2009-228 (December 30, 2009); District of Columbia City-Wide Grants Manual and Sourcebook.

### **D. Background**

DBH is a District agency with grant-making authority (known as a "covered entity") whose mission is to develop, manage and oversee a public behavioral health system for adults, children and youth and their families that is consumer-driven, community-based, culturally competent, DBH supports prevention, resiliency, recovery, and the overall well-being of the residents of District of Columbia. DBH is authorized under its Establishment Act to apply for grants, and to make grants and subgrants to outside parties in furtherance of the Department's mission.

DBH staff, volunteers and grantees should refer to the District City-Wide Grant Manual as a reference. The Manual, which is published by the Office of the City Administrator: (1) establishes the "best practices" for covered entities to apply, accept, and disburse private, federal and local grant monies; (2) provides general city-wide guidance regarding grant administration and management; (3) provides an overview of the minimum programmatic and financial requirements for grants and sub-awards made by covered entities; and (4) provides an Appendix with governing statutes and regulations, and document templates.

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<sup>1</sup> [file:///C:/Users/nashk/Downloads/1329%20\(2\).pdf](file:///C:/Users/nashk/Downloads/1329%20(2).pdf)

This Manual is intended to supplement the Sourcebook with DBH-specific requirements, processes, timelines, and templates.

**E. General Policy**

DBH shall comply with the Sourcebook when performing grant-making activities, including applying for federally and/or privately funded grants and when issuing and managing grants and sub-grants. Although federal block grants and formula grants are not subject to the Sourcebook requirements, DBH will comply with federal subgrant rules contained in 45 CFR Part 75, as well as any governing federal and District regulations pertaining to subgrants when issuing subgrants using federal block or formula grant funding.

DBH staff shall follow the steps outlined in this Manual and the information provided by the GMO on its [SharePoint Resource page](#). The GMO's SharePoint Resources Announcement page will be the sole publication point for updates to this Manual. As such, all DBH staff involved in grant and sub-grant administration and management must ensure that they have ongoing access to the GMO's SharePoint Resource Page, and regularly monitor the page for updates. Further, all DBH staff involved in grant administration and management must participate in an annual refresher training provided by the GMO.

All DBH staff with grant administration or management responsibilities must read this Manual in its entirety, review the GMO SharePoint Resource page, and direct all related questions to the GMO. Within thirty (30) calendar days of publication of this Manual or within thirty (30) days of hire (as applicable), all DBH staff with grant administration or management responsibilities must execute the attached Acknowledgement Form and provide it to the GMO.

## II. GRANTS LIFECYCLE PROCESS FLOW

### A. INTRODUCTION

Department staff participate in grant and sub-grant administration and management. To clarify the grants process, the GMO created the step-by-step Grants Lifecycle Process Flow to guide grant administration and management through the Pre-Award, Post Award, Period of Performance, and Closeout phases.

### B. SUMMARY

Under the Chief Operating Officer, the GMO oversees DBH's grants management and administration, including developing and maintaining agency-wide grants policies and procedures, and providing employee training on grant-related issues, and managing and administering grants and sub-grants. GMO works in partnership with agency grant managers, programmatic and fiscal staff and the Office of the General Counsel on pre- and post-award administration.

The Grants Lifecycle Process Flow is intended to provide DBH staff direction throughout the grant lifecycle. DBH staff will find detailed information about each grant phase by accessing the phase-specific page on the GMO SharePoint website.

#### 1. PHASE I: PRE-AWARD

##### STEP: FUNDING OPPORTUNITY ANNOUNCEMENT ACTIONS:

- a. Agency Committee Review and Approval – Grants Management Office facilitates agency review and approval of funding opportunities.
- b. Proposal Development – Grants Management Office creates the timeline and Programs owns the proposal development process.
- c. Proposal Submission – Upon approval of DBH Leadership, Grants Management Office submits the proposal.

##### STEP: AWARD DECISION ACTIONS:

- a. Award Receipt – Grants Management Office and identified Project Director receives the Notice of Award.

Spending Plan – The Project Director works with Administrative Services Manager to draft a spending plan and submit it to the Office of the Chief Financial Officer to load the budget.

**ACCESSING TEMPLATES & GUIDANCE**

- a. Below is a chart that lists the templates and guidance required for applying for a grant, but it is not all-inclusive. Current documents are accessible by clicking the “TEMPLATES & GUIDANCE” in the chart below.

<b><u>TEMPLATES &amp; GUIDANCE</u><sup>2</sup></b>
Biographical Sketches Position Descriptions Template
Confidentiality and SAMHSA Participant Protection HSG Template
Consent Forms Template
Data Collection Instruments Interview Protocol Template
Funding Opportunity Information Form
Grant vs Contract Guidance
Narrative Template
Proposal Timeline and Components Template
SAHSA Grant Budget Template
Final Proposal Submission Example
HR Position Description – MSS and NS
MOA Template
MOU Template
Notice of Award Example

**2. PHASE II: POST AWARD****STEP: IMPLEMENTATION ACTIONS:**

- a. Project Start-Up – Project Director reviews and adapts (if necessary) implementation timeline based on the proposal submission and prepares for execution.
- b. Disseminating Funding – Project Director creates Notice of Funding Availability and Request for Application to distribute funding to achieve grant deliverables.

<sup>2</sup> If you have difficulty accessing the SharePoint page, contact the Grants Management Office at [DBH.Grants@dc.gov](mailto:DBH.Grants@dc.gov) or (202) 673-3536 to access the documents.

- c. Issuing Grant Award – Project Director creates Notice of Grant Award package for approved sub-grantee.

### ACCESSING TEMPLATES & GUIDANCE

- a. Below is a chart that lists the templates and guidance required for applying for a grant, but it is not all-inclusive. Current documents are available and are accessible by clicking the “TEMPLATES & GUIDANCE” in the chart below.

<u>TEMPLATES &amp; GUIDANCE</u> <sup>3</sup>
Award Letters
Advance Request Form
Advance Request Protocol
Application Log
Dispute Resolution Procedures
Fillable Certifications and Assurances Federal
Fillable Certifications and Assurances Local
Funding Recommendation
FY 22 DBH Terms and Conditions
Independent Reviewer Forms
Independent Reviewer Guidance
Internal Review Committee Meeting Minutes
Internal Review Committee Request for Docs Email
Local Funded RFA Merge Document for Database
NOFA Template
Pre App Conference Template
Pre-Decisional On-Site Visit Form
Reviewer Agenda and Timeline
RFA Competitive Database
RFA FAQ Template

<sup>3</sup> If you have difficulty accessing the SharePoint page, contact the Grants Management Office at [DBH.Grants@dc.gov](mailto:DBH.Grants@dc.gov) or (202) 673-3536 to facilitate gaining access to the documents.



RFA Merge Document for Database
RFA Non-Competitive Database
RFA Tasks and Timelines
Scoring Rubric
NOGA Templates
Categorical Budget with MTDC
Categorical Budget with MTDC Sample
Correspondence to Sub-Grantee Email Template
e-Invoicing Instructions
Invoice and Expenditure Report Template
New Awardee Fiscal Orientation Example
New Awardee Program Orientation Example
Process Fund Disbursement Schedule and Payment Terms
Purchase Order Example
Requisition Example
Scope of Work

### 3. PHASE III: PERIOD OF PERFORMANCE

#### STEP: SUB-GRANTEE PAYMENTS ACTIONS:

- a. Disbursement – Project Director and Fiscal Monitor review and approve/reject payments. Fiscal Monitor oversees the fiscal condition of the sub-grantee.
- b. Reconciliation of Advances – Project Director and Fiscal Monitor receives the advance invoice, expenditure report, and supporting documentation at the end of the advance period (thirty (30) days). Reconcile, and if funds remain, submit a budget modification.
- c. Reporting – Project Director and Fiscal Monitor receive reports from sub-grantees and reconcile programmatic and expenditure reports on a quarterly basis.
- d. Monitoring – Project Director and Fiscal Monitor schedule monitoring of sub-grantees to evaluate compliance and performance of the sub-grant award.

- e. Post Award Amendments – Project Director prepares deliverable(s) (carryover and continuation requests, change in scope, key staff change, budget modification, and no-cost extension) as needed in consultation with Fiscal Monitor.

**ACCESSING TEMPLATES & GUIDANCE**

- a. Below is a chart that lists the templates and guidance required for applying for a grant, but it is not all-inclusive. Current documents are accessible by clicking the “TEMPLATES & GUIDANCE” in the chart below.

<b><u>TEMPLATES &amp; GUIDANCE</u></b> <sup>4</sup>
e-Invoicing Instructions
Expenditure Report Template
Fiscal Risk Assessment Scoring Worksheet Example
Programmatic Report Template
2 <sup>nd</sup> and Further Responses to Corrective Action Email Template
Grant Restrictions Letter Template
Monitoring Tool, Report, and Corrective Action Plan Template
Notice of Site Visit Letter Template
Close Out Site Visit Letter Template
Findings and or Recommendations Letter Template
Categorical Budget Template
Spending Plan Reprogramming Template
Subgrantee Budget Modification Request Form Template

**4. PHASE IV: CLOSEOUT**

**STEP: FINAL REPORTING AND RECONCILIATION ACTIONS:**

Programmatic, Financial, and Equipment (if applicable) Reports (Sub-Grantee and Federal) – Project Director completes the programmatic final report, as well as any

<sup>4</sup> If you have difficulty accessing the SharePoint page, contact the Grants Management Office at [DBH.Grants@dc.gov](mailto:DBH.Grants@dc.gov) or (202) 673-3536 to facilitate gaining access to the documents.

specific requirements. Office of the Chief Financial Officer issues the final financial report.

**ACCESSING TEMPLATES & GUIDANCE**

- a. Below is a chart that lists the templates and guidance required for applying for a grant, but it is not all-inclusive. Current documents are accessible by clicking the “TEMPLATES & GUIDANCE” in the chart below.

<u>TEMPLATES &amp; GUIDANCE</u> <sup>5</sup>
DBH Final Invoice and Expenditure Report
DBH Final Progress Report Template
DBH Equipment Log

<sup>5</sup> If you have difficulty accessing the SharePoint page, contact the Grants Management Office at [DBH.Grants@dc.gov](mailto:DBH.Grants@dc.gov) or (202) 673-3536 to facilitate gaining access to the documents.

### III. Financial Management

#### A. Audits<sup>6</sup>

Entities, including DBH and its subgrantees that receive a federal grant or subgrant, may be audited by the federal awarding Agency or the Office of Inspector General. In anticipation of a possible audit, the awarding Agency's monitoring report, which contains its risk assessment of that entity, will determine what kind of financial statement will be required of that grantee or subgrantee.

If the awarding Agency assigns a "high-risk" designation to that entity, or the sub-recipient expends \$750,000 or more of grant funds during the grant year, an independent and in-depth financial statement and audit of the type required by Office of Management and Budget (OMB) Circular A133 § 200.501.

Grantees or subgrantees that are assigned a "medium-risk" assessment by their awarding Agency, or those that expend between \$499,999 and \$250,000, shall be required to prepare and file at closeout a less-extensive financial statement report prepared by an independent accountant containing: (1) an income statement, (2) a balance sheet, (3) a reconciliation of cash balances, (4) a reconciliation of stockholder equity (if the grantee is a for-profit entity), and (5) an independent review of management's internal controls.

Grantees or subgrantees receiving and expending between \$25,000 and \$249,999 during the grant year shall be required to file a financial statement that contains: (1) an income statement, (2) a balance sheet, (3) a reconciliation of cash balances, and (4) a review of management's internal controls.

Finally, grantees or subgrantees assigned a "low-risk" designation and any other grantee or subgrantee that receives and spends up to \$24,999 shall file a simple financial report containing: (1) an income statement and (2) a balance sheet.

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<sup>6</sup> See, Sourcebook

#### IV. APPENDIX AND REFERENCES

##### A. Key Roles and Functions

**Agency Director** – leads management and oversight of the public behavioral health system; directs the design, development, communication, and delivery of behavioral health services and supports; and identifies approaches to enhance access to services that support recovery and resilience.

**Fiscal Services Division** – coordinates with the Director, Senior Management and Office of the Chief Financial Officer in developing financial plans to fulfill ongoing program requirements, leads execution and administration of operational and capital budget preparation, coordinates budget establishment and budget monitoring activities, and provides guidance on strategic financial planning.

**Grants Management Office** – a DBH department that works in partnership with agency grant managers, programmatic and fiscal staff and the Office of the General Counsel on pre- and post-award grant administration.

**Office of the Chief Financial Officer** – provides oversight and direct supervision of the financial and budgetary functions of the agency. Operate, maintain, and coordinate a financial management system to budget, collect, control, and properly account for DBH's annual operating and capital funds. Prepare the agency's annual budget and monitor budget performance during the fiscal year.

**Office of the Chief Operating Officer** – provides the leadership, management, and vision necessary to ensure proper operational controls, administrative and reporting procedures, and people systems are in place to effectively manage the day-to-day operations and guarantee the financial strength and operating efficiency of DBH.

**Office of the General Counsel** – provides legal advice to the Director on all aspects of the DBH's operations and activities; drafts, researches, and reviews legislation, regulations, and policies affecting DBH's mission and programs; formulates strategic advice on DBH Program development and compliance and oversight activities.

**Project Director (PD)** – primary point-of-contact for the DBH grant award and subsequent grant project(s), responsible for planning and executing outcomes with pre-determined timelines, budgets, and quality standards. The PD ensures that the project is effectively resourced with qualified personnel and/or consultants and contractors coordinate project performance assessment and evaluation, and ensures quality control throughout the project lifecycle.

## **B. TYPES OF GRANT AWARDS TO DBH**

### **1. Federal Block Grant**

As a recipients of block grant funds, DBH must comply with all applicable federal laws and regulations as delineated in the block grant Notice of Grant Award (NOGA) and its terms and conditions. Each block grant carries unique requirements and exceptions, which are typically be included in the NOGA. Federal block grants or formula grants are not subject to the Sourcebook requirements; however, DBH shall comply with the District subgrant rules as codified in 22-A DCMR Chapter 50 and the Department's grantmaking regulations 22-A DCMR Chapter 44, when issuing any subgrants that are funded in whole or part by federal block or formula grants.

### **2. Competitive Grant**

A competitive grant is a funding opportunity requiring an eligible applicant to compete for available funds. The funding agency must review and rate all complete applications to determine which application(s) merits funding.

### **3. Formula Grant**

A formula grant is a federally-funded award in which the amount of funding is established by a formula written into the governing legislation or regulation. A federal agency may award a formula grant if the recipient meets the qualifying conditions as established under the governing legislation or regulation.

### **4. Cooperative Agreement**

An award in which the entity providing funding expects to be substantially involved with the recipient during the period of performance. The difference between grants and cooperative agreements is the degree of federal programmatic involvement rather than the administrative requirements imposed. Statutes, regulations, policies, and the information in this Manual that are applicable to grants also apply to cooperative agreements unless the award itself provides otherwise.

**ACKNOWLEDGMENT PAGE**

I acknowledge that I received a copy of the Department of Behavioral Health's Grant's Manual. I will follow the instructions in the Manual, the Grant Management Office's (GMO) SharePoint site, and those provided through GMO's trainings.

I acknowledge that the Grant's Manual is available on the Department of Behavioral Health's SharePoint site.

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date