

## Procedures for Submitting External Grants

The Judiciary supports the efforts of all courts, court-related agencies, and departments within the Maryland Judiciary, and organizations partnering with the Judiciary, to apply for external grants (including cooperative agreements/Cooperative Reimbursement Agreements) to support programs or events intended to enhance the basic operations of Maryland's court system, and to enhance and evaluate the services available to its constituents.

The specific responsibilities of the grant administering unit includes, but are not limited to:

- A. Notify the Department of Procurement, Contract & Grant Administration, via an e-mail to the Judiciary Grants Coordinator, of the intent to apply for funding;
- B. Establish a timeline to govern the development and submission of the grant application;
- C. Administer the grant according to the terms and conditions of the award; and,
- D. Perform grant close-out processes.

### **A. Notify the Department of Procurement, Contract & Grant Administration of the intent to apply for funding**

District Courts, Circuit Courts, departments within the Judiciary, court-related agencies and organizations partnering with the Judiciary, with the intent to apply for court-related projects/programs, or with the intent to use Judiciary resources, shall notify, via an e-mail to the Judiciary Grants Coordinator, of the intent to apply for external funding.

The e-mail shall contain the following:

*[Insert Applicant Name]* intends to apply (to use Judiciary resources) for the following external funding:

- Applicant name, {Application shall be prepared and made in the favor of the organization that meets the requirements of the funding agency, and not in the personal name of an office holder, or the name of a program. }:
- Program for which funding is sought:
- Project name:
- Contact person's name:
- Contact person's telephone number:
- Contact person's e-mail address:
- Title of the grant announcement:
- Grantor name:
- Number of the grant announcement:
- CFDA number:
- Submission deadline:
- Funding amount requested from grantor:

- Funding amount required from grantee (Match):
- Brief narrative summary of proposed project:
- Special requests of the Judiciary (e.g., technical assistance in developing the application, letters of support, use of Judiciary resources, etc.):

The e-mail to the Judiciary Grants Coordinator serves as the notification. The Project Director is responsible for following up on all Special Requests included in the notification. Non-Judiciary applicants (local governments, institutions of higher education, non-profits) shall indicate which Judiciary resources will be used in the application.

The email will be forwarded by the Judiciary Grants Coordinator to the State Court Administrator for review/approval.

Once approved, District Court(s), departments within the Judiciary, and court-related agencies will be advised to apply for funding with the assistance of the Judiciary Grants Coordinator. Circuit Courts applying for funding through their respective county, using the county's DUNS/CCR number, will be advised to apply through their county grant application process. Circuit Courts, applying as the sole or principal grantee, shall apply using the Maryland Judiciary's DUNS/CCR number with the assistance of the Judiciary Grants Coordinator. Organizations partnering with the Judiciary, with the intent to apply for court-related projects/programs, will be advised to apply through their respective organization's grant process.

**B. Establish a timeline to govern the development and submission of the grant application**

The Application Author is responsible for establishing timelines to govern the development of the grant application, to include:

1. The prior notification of the Director, via an e-mail to the Judiciary Grants Coordinator, of the intent to apply for funding;
2. Conduct needs assessment for the project;
3. Conduct an assessment of the Judiciary's capacity to administer a grant it may receive, in particular the availability of the staff and time commitments needed to fulfill the grant requirements;
4. Establishment of an application development schedule in coordination with the Judiciary Grant Coordinator that allocates adequate time for:
  - Review of the application and the proposed budget by the appropriate administrative official and finance department;
  - Provision of an electronic copy of the approved application and related documents to the Judiciary Grants Coordinator for review (at least five

business days prior to the submission deadline), to ensure it complies with the Judiciary's policies and the granting agency's solicitation guidelines, the resource guides, financial guides, and the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards.

5. Submission of the application to the Grantor, in collaboration with the Judiciary Grants Coordinator, based on submission requirements, such as Judiciary on-line grant management accounts, and/or submission of hard copy applications.
6. Provision of a copy of the final, approved, signed application to the Judiciary Grants Coordinator, and other departments within the Judiciary as deemed appropriate, such as: the Department of Budget & Finance, Department of Procurement, Contract & Grant Administration, and the Judiciary Travel Coordinator, in addition to the Maryland Intergovernmental Agency, which is the Maryland Department of Planning.

### **C. Administer grant according to the terms and conditions of the award**

#### **1. Administrative Requirements:**

- a. Accounting – The recipient and sub-recipient are required to expend and account for funds in accordance with the organizations' rules and procedures for expending and accounting for its own funds. The recipient's and sub-recipient's fiscal controls and accounting procedures must be sufficient to permit the preparation of reports required by the terms and conditions of the grant, and the grant program authorizing statutes; and for tracking funds to the level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes.
- b. Personnel and Payroll - Applicants shall follow the Judiciary's established personnel, payroll, and time and attendance policies for positions included in grant budgets. Grant-supported personnel shall be paid at a rate comparable to that of regular court staff members in comparable State-supported positions. Circuit Courts shall follow their respective county's written policies.
- c. Procurement – Applicants shall follow the Judiciary's procurement policies when acquiring equipment and services with grant funds. Circuit Courts shall follow their respective county's written procurement policies.
- d. Sub-Award – Applicants shall follow the current Judiciary Policy on Grants Administration when sub-awarding grant funds. Circuit Courts shall follow their respective county's written grant/sub-awarding policies.
- e. Matching Funds– Applicants shall ensure that all matching funds required in the grant budget are requested through their Judiciary/Court budget, or that current budget funds have been identified to meet this need. Match funds should be tracked and reported according to funding source requirements.

f. Travel and Reimbursement – Awardees and sub-awardees shall follow the State Joint Travel Regulations Judicial Branch Travel Policy when disbursing funds for travel, in compliance with the terms and conditions of the Notice of Grant Award.

## 2. Grant Notification Documents

The Project Director shall ensure that the Department of Budget and Finance receives copies of all executed Notice of Grant Awards (NGAs), terms and conditions, approved budget documents, and Notice of Grant Adjustments, upon receipt.

- a. The Department of Budget and Finance shall assign a Program Cost Account (PCA) code to identify and track the grant. The Project Director shall be notified of this code and use it to identify all corresponding expenditures and payments. A Project ID will be assigned in GEARS to track expenditures and matching funds in GEARS.
- b. As required for grant acceptance, the Department of Budget and Finance shall process budget amendments with the State to have funds included within the Judiciary budget.
- c. The Project Director shall ensure that the Judiciary Grants Coordinator receives copies of all grant documentation, including, but not limited to: Notice of Grant Awards, approved budget documents, quarterly progress and financial reports, and correspondence from the funding agency related to the award. This applies to all grants related to courts, court related agencies, departments, or court related projects and programs. Grant awarding units should include this language as part of their grant agreements.
- d. The Project Director shall ensure the Judiciary Travel Coordinator receives a copy of Notice of Grant Awards, terms and conditions, and grant applications, if the grant award, or sub-award, includes expenditures for travel.
- e. The Project Director shall ensure the Notice of Grant Award is distributed to other Judiciary offices, as deemed appropriate.

Circuit Courts shall submit their Notice of Grant Awards (NGAs) to their county for review and acceptance. Copies of the executed NGAs should be submitted to the Judiciary Grants Coordinator.

Organizations partnering with the Judiciary, or utilizing Judiciary resources, shall submit their Notice of Grant Awards (NGAs) to their organization for review and acceptance. Copies of the executed NGAs should be submitted to the Judiciary Grants Coordinator.

### 3. Grant File

The official grant file shall be maintained by the Project Director for a time period of not less than five years from the close of the grant, and in compliance with the terms and conditions of the grant award, and in compliance with the organization's record retention policy.

### 4. Grant Reports

**Program and Statistical Reports** – The Project Director shall be responsible for compiling reports required by the grantor. Based on the terms and conditions of the award, either the Project Director, or the Judiciary Grants Coordinator, shall submit the program and statistical reports to the grantor. The Project Director shall provide copies of all completed and signed reports to the Judiciary Grants Coordinator. The Project Director shall keep reports in the official grant file, in accordance with the organization's record retention policy.

**Financial Reports** – The Project Director shall be responsible for reconciling, and compiling financial reports required by the grantor. Based on the terms and conditions of the award, either the Project Director, or the financial point of contact, will submit the financial reports and the requests for reimbursement to the grantor. The Project Director shall provide a copy of all completed and signed financial reports, requests for reimbursements, requests for funds, etc., submitted to the grantor, along with supporting documentation, to the Department of Budget and Finance, and the Judiciary Grants Coordinator. Throughout the funding period and prior to submitting any financial reports and/or returning unspent grant funds, the Project Director shall reconcile its own internal financial grant records with the Department of Budget and Finance fiscal records, which capture grant expenditures and revenue. The Department of Budget and Finance records are the official records of the State and should always reconcile with program grant records. The Project Director shall keep reports in the official grant file in accordance with the organization's record retention policy.

**Audits** - The Project Director shall notify the Judiciary Grants Coordinator of any grant-related audit activity or meetings, and send a copy of all audit findings to the Judiciary Grants Coordinator when they are issued.

## **D. Perform grant close-out processes**

The close out process ensures that all invoices, reports, reimbursements, and deliverables have been submitted to the grantor prior to the grant being closed.

All grant administering unit expenditure and revenue records must be reconciled to the Fiscal Authority financial records at the time of close-out. Final progress, financial and statistical reports, must be submitted in accordance with the close-out timeline stated in the grant award agreement.

The official grant file shall be maintained by the grant administering unit for a period of not less than five years from the close of the grant, in compliance with the terms and special conditions of the grant award, and in compliance with an organization's records retention policy.

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