



Utah Developmental  
Disabilities Council™

Grant Funding and  
Requests for Grant Application and Proposals  
Policy and Procedures Manual

## Contents

- A. Scope
- B. Overview of Council Grants
- C. Application Requirements
- D. Selection Criteria
- E. Accounting and Grant Funding Information
- F. Termination or Suspension of Grants
- G. Appeals of Funding Decisions

## **A. Scope**

The Utah Developmental Disabilities Council (UDDC), as authorized by Executive Order, may contract or provide grants to public or private organizations to implement the Council's five-year State Plan for people in Utah with developmental disabilities, subject to funds availability.

The following sections govern the submission and review of project proposals and the award, amendment, and termination of grant and project contracts.

## **B. Overview of Council Grants**

The Council will identify priorities, based on the Council's five-year State Plan, for projects for people in Utah with developmental disabilities. Council committees are organized by the areas of emphasis identified in the five-year plan. Each committee will be responsible to review proposals as applicable to their committee's responsibility within the bounds of the Council bylaws.

### 1. Who May Apply

- a. The Council may solicit applications from state agencies, non-profit organizations, or private for-profit organizations that have organizational expertise related to the requirements of the proposal.
- b. Unsolicited applications may be submitted by organizations, but will only be considered if funds are available and proposed activities are in alignment with plan goals.

### 2. Process

- a. Requests for Proposals (RFPs) and Request for Grant Applications (RFGAs) will be published through Utah Public Procurement Portal and posted on the Council website. A notice will be provided to organizations on the Council's mailing list. Individuals and organizations wishing to be on this mailing list can make this request by emailing UDDC@utah.gov.
- b. All RFGA and RFP applications will be reviewed and organized by Council staff for alignment with Council priorities and provided to

appropriate committees or the full Council for review and voting for funding as outlined in Section D below.

- c. Staff will also take appropriate steps to identify and mitigate any conflicts of interests between applications and Council members. Reviewers may not evaluate proposals in where there is, or is an appearance of a conflict of interest.
  - d. Council members will select to fund grant applications based on a weighted score. This score is created using guidelines that reflect federal and state goals as defined by the five-year State Plan as outlined in Section D below.
3. Review of Proposals
- a. All proposals will be reviewed as outlined in Section D by Council staff to ensure compliance with the basic formatting guidelines in the RFGA/RFP. Proposals that meet the basic application guidelines will be evaluated and scored by the appropriate committee.
  - b. The committee or the Council, with support from Council staff, will act as reviewers to evaluate competitive applications submitted in response to RFGAs.
  - c. Oral presentations may be requested by a committee or Council, but are not required of the review process.
  - d. Council staff will record summary evaluation of the review for each proposal. All evaluations and reading materials will be retained at the Council office in accordance to record-keeping rules.
4. Funding Decision
- a. The committee will submit their recommendations for funding to the full Council at the next appropriate full Council meeting. The full Council will vote on the recommendations of the committee. A simple majority (one more than half of Council members, voting and present) is necessary for a proposal's acceptance, as long as the total number of Council members in attendance constitutes a quorum.
  - b. The Executive Director and Council staff will negotiate the final terms of the award with each organization accepting an award. Any changes to the proposal during this time will be documented

in writing. The Executive Director may negotiate and approve changes in the grant project proposal that address concerns and weaknesses noted from the review process, and/or which assure consistency with the intent of the RFGA. Any revisions to the grant project proposal will become part of the grant award and will be documented in writing.

- c. Funding decisions may also result in a partial allocation of the amount requested for Council funding. Applicants will adjust their application accordingly.
  - d. Recommendations to fund made by the reviewing committee will not be made public until the full Council or quorum has voted on the recommendations. Council staff will notify Applicants in writing.
5. Technical Support
- a. Council staff can provide technical assistance and support during the application process and after awards are distributed.
  - b. Council staff will provide written instructions and training to committee members prior to application reviews. Staff will also provide any other necessary technical support during committee meetings.
  - c. Council staff will provide information about allowable, non-federal sources of funds upon request.
6. Reporting and Monitoring
- a. All Grantees will participate in the grant monitoring and review process outlined in this document and/or in the RFGA.
  - b. Grant awards will contain appropriate provisions for program and fiscal monitoring and for the collection and submission of evaluation data and related reports.
  - c. Council staff, Council members, and committee members will monitor Grantee goals, accomplishments, and any requested adjustments through Grantee reports and other means.
  - d. Compliance monitoring will be conducted according to the policies of and with support from UDDC's Designated State Agency (DSA), which is the Utah State Department of Human Services. This agency's policies, through the Bureau of Contract

- Management, will be used to develop the base or minimum standards for quality assurance and oversight of Grantees.
- e. Any grant recipient can be visited and monitored at any time. The Council and staff have the right to conduct visits without any notification. Correspondence through email or telephone should be expected regularly and information requested should be provided in a timely manner. Formal findings or concerns will be provided to the principal Grantee representative for corrective action.
  - f. Council staff will monitor each grant project monthly through invoice reports and quarterly as needed. Staff will update committee members no less than each quarter and more frequently if necessary. Summary reports of all monitoring activities will be provided to the Executive Committee. The summary report of recently completed monitoring visits will be presented to the full Council at the next regularly scheduled Council meeting.

### **C. Application Requirements**

Though each RFGA will include a varying scope of work, certain requirements must be met by each application for each RFGA completed. These requirements are provided in this manual, and specific grant requirements will be documented in the posted RFGA. Outlined processes must be followed, including any required documentation and submission procedures noted here and in the RFGA.

#### 1. Proposal Details

- a. A Request for Proposals will include at a minimum:
  - i. goals describing the purpose for the grant project through a scope of work;
  - ii. eligibility requirements for grantees;
  - iii. priorities determined by the Council for this grant cycle;
  - iv. application forms and instructions, including deadlines for submission;
  - v. application requirements and restrictions, including match requirements and acceptable formats for applications;

- vi. selection criteria and the process to evaluate grant applications and select applications for awards; and,
- vii. requests for plans to measure performance throughout the grant period.

## 2. Policies, Restrictions, and Requirements

- a. No organization shall receive more than two grants from the Council at any time. This will be strictly enforced.
- b. To receive an award, the Applicant must agree to perform the activities as presented in the proposal, and accept any additional or special terms or conditions listed in the grant award and/or any changes in the grant application.
- c. Applicants must give assurances that the Grantee will abide by the terms of the grant award and contract. These will include Federal law; Federal Rules and Regulations; the Utah Procurement Code Title 63G Chapter 6a (Sections 63-56-1 to 63-56-73); the DSA's Monitoring Handbook for Performance Based Contracts, Bureau of Contract Management, Council Grantee Policies and Procedures, and other sources as applicable.
- d. Grants will be restricted to Council funds available and the time-frame required by the Applicant to fulfill their grant not to exceed the end of the goal and/or project period. Grant applications that are based on pilots that have long-term outcomes will be required to show the funding sustainability beyond the goal period.
- e. Any product, list, or service produced by the grant project will become property of the Council unless using preexisting materials or curricula. These will be used to develop training, networking, and partnership building throughout the State of Utah.
  - i. These items will include and are not limited to:
    - 1. Any type of training program along with any surveys created, data gathered, or research that it includes.
    - 2. Any lists of members or contacts involved with the grant project. These can be used to further build and

develop similar projects to meet their particular need.

3. Any type of research where findings are published.
4. Any type of partnership established that can be continued and nourished after the grant period has finished.

### 3. Documentation Requirements

a. All applications shall include the following documents in an appendix in the following order:

- i. Budget narrative and documentation, as outlined in Section E.
- ii. Match documentation, as outlined in Section E.
- iii. For-profit and non-governmental entities shall complete and submit the Conflict of Interest Disclosure Statement stating whether or not the Applicant would have a conflict of interest should an application be funded. A separate disclosure shall be completed for each party or employee who has a potential conflict. Applicants who are government entities shall complete and submit either Conflict of Interest Disclosure Statements or a Conflict of Interest Certification Form provided with the RFGA.
- iv. A copy of the Applicant's current business license issued by the locale where the Applicant is conducting business; or, a statement indicating that if the Applicant is awarded an agreement, it will provide the Council with a copy of its license prior to the time the agreement with the Applicant is initiated.
- v. A copy of the certificate of incorporation or registration issued by the Applicant by the Utah State Division of Commerce authorizing the Applicant to conduct business in the state of Utah as a corporation, partnership, LLC, DBA; or, a statement indicating that if the Applicant is awarded an agreement, the Applicant will provide the Council with a copy of its Certificate of Incorporation or registration prior to the time the agreement with the Applicant is initiated.



- vi. A W-9 form, "Request for Taxpayer Identification Number (TIN) and Certification," completed and signed by the Applicant.
- vii. If the project involves collaboration with entities and/or individuals outside the Applicant's organization, the Applicant shall submit a Letter of Support from each of those entities and/or individuals confirming that they
  - 1. are aware of the proposed project; and,
  - 2. have agreed to participate in the project as outlined in the application.
- viii. If the Applicant's project involves public schools in any way, the Applicant shall also submit, in the Appendix, evidence that the project has been approved by the local Board of Education or other appropriate governing body for each school district involved.
- ix. If the Applicant is a government entity or if a government entity is assisting with or participating in the project, the Applicant shall submit a statement certifying that none of the funding (including, but not limited to, cash, supplies and/or employee time) for the project comes from any federal source.
- x. Insurance may be required based on Risk Management Assessment.

#### **D. Selection Criteria**

Selection criteria is designed to select applications that provide the best overall value to the State of Utah, to people with developmental disabilities, and to the Council. Weighted scores will be assigned to each proposal by the council based on a criteria provided with each RFP or RFGA. Methods of rating and ranking Applicants will be outlined in the RFP/RFGA with a restriction that only those applications that have the highest and best possibility of achieving the goals and objectives outlined in the Council's five-year goals will be awarded.

1. Evaluation Criteria shall include but not be limited to:

- a. program quality as determined by the grant review process;
  - b. the cost of the proposed project;
  - c. Federal Rules and Regulations;
  - d. State Rules and Statutes;
  - e. the Council's five-year State Plan;
  - f. sustainability; and,
  - g. ability to exceed match requirements.
2. The Council may consider additional factors in determining best value, including:
- a. financial ability of the Applicant to perform services, including ability to match;
  - b. state and regional needs and priorities;
  - c. improved access for un-served and underserved areas and/or groups of individuals;
  - d. past performance and compliance by the Applicant;
  - e. reasonable plan for continued implementation after the end of Council funding; and
  - f. cultural and linguistic diversity and competency

### **E. Accounting and Grant Funding Information**

Applicants who are awarded funding (hereafter called the "Grantee," whether grant or procurement funded) are required to follow accounting requirements. The following federal accounting and audit requirements are applicable to Council funds. For reference on these policies, please see the following sections in the appropriate audit circular. (\*Note that the Single Audit Requirements are applicable where the total amount of federal grants is more than \$500,000 per year.)

<b>Area of Regulation</b>	<b>Grantee Type</b>	<b>OMB Circular</b>	<b>General CFR Reference</b>	<b>Federal Agency CFR Ref. Title/Part</b>
Cost Principles	Educational Institution	A-21	2CFR202	34CFR74
Cost Principles	State, Local, Tribal	A-87	2CFR225	48CFR31
Cost Principles	Non-Profit	A-122	2CFR230	45CFR92
Uniform Admin. Req.	Educational Institution	A-110	N/A	45CFR74
Uniform Admin. Req.	State, Local, Tribal, Non-profit	A-102	N/A	45CFR92
Single Audit*	All	A-133	N/A	N/A

- a. Grantees are responsible to provide funds for the additional costs of grant projects activities from non-federal sources.
- b. The Council will not pay indirect or overhead costs of grant projects. Such costs may be allowed as part of the required non-federal participant share.
- c. Donated time and services may be included as an in-kind match contribution unless otherwise restricted by a specific request for applications. This in-kind match will be in accordance to the Council's Grant Policies and Procedures.
- d. Unallowable costs
  - i. The Council will follow the State of Utah Rules and Regulations for grants. Information is available from Council staff concerning unallowable costs. Such costs will include but are not limited to the following:
    - 1. bad debts;
    - 2. entertainment (including flowers, gifts, etc.);

3. legislative expenses;
  4. expenses required to be reported as lobbying by federal regulations and/or state statute. These include and are not limited to supporting or opposing numbered legislation, swaying individual legislators on how to vote, etc.; and,
  5. merit salary increases that total more than 5% of an individual's salary during a 12-month period.
- e. Any revenues received from projects funded by the Council must be reported quarterly on forms provided by the Council. The Executive Director and Council staff must approve the use of such funds. Approved uses will be documented and related to the accomplishments of the approved grant.
2. Required Accounting Documentation
- a. Budget Narrative
    - i. A detailed budget and narrative of expected expenses will be outlined using the budget forms included with the RFP/RFGA. Please note that all in-state travel expenses shall be reimbursed in keeping with current State of Utah travel policies and procedures.
  - b. Match Requirement Documentation
    - i. Non-Federal Match
      1. This is required of all projects and means that 25% of the total project budget must come from non-federal funds. Each RFGA application must include a complete Required Federal Match table, provided in the RFGA documents. The match reflected must equal at least 25% of the total funds being requested by the Applicant in order for the application to be considered, unless the project will impact a rural or high-poverty area, for which match requirements are 10% of the total funds requested. A government agency must provide appropriate accounting information to verify funding source.

2. If part of the non-federal match includes any in-kind volunteer hours, they must meet the following criteria:
  - a. The rate charged must be consistent with the Utah Department of Workforce Services occupational wage data.
  - b. If an individual is being paid to participate in an activity, this cannot be counted as volunteer hours. This includes anyone who does work for and are funded by any federal or state agency, non-profit, or for-profit groups or organizations.

### 3. Reimbursements

- a. All grantees can request reimbursement for completed work. They may choose to submit on a month-by-month basis. All reimbursement requests need to be in the Council office according to the schedule determined in the formal agreement between the UDDC and the Grantee. Any reimbursement requests received after this time will have to wait until the following month for reimbursement.
- b. All requests for reimbursement must include the appropriate documentation. This includes: a narrative summary of work accomplished in billing period, time-match sheets, receipts for any incurred costs, sign-in sheets for meetings and trainings, etc. These may all be copies of the originals. Any incomplete request for reimbursement will not be paid until the full documentation has been delivered and verified.
- c. All reimbursement requests must include match documentation if applicable. Full totals can be submitted and payments will be sent according to match expectations.
- d. Reimbursements will be based on the grant project progress and outcomes. If these are not being met, then reimbursement could be withheld under approval of the Executive Director.

## **F. Termination or Suspension of Grants**

The Council may reject all applications and cancel a proposal at any point before a grant award is signed. If a Grantee fails to comply with the terms of the contract or proposal, the Executive Director may suspend grant funding pending the result of corrective actions. A grant, or portion thereof, may also be terminated at the Grantee's written request by approval of the Executive Director.

### 1. Process

- a. The Executive Committee will be notified of any suspensions. The Council will follow the Department of Human Services Bureau of Contract Management's (BCM) Corrective Action Process.
- b. Council staff will inform the Grantee by letter, as consistent with the BCM contract termination process, if Council recommends suspension or termination of the grant, and it is allowable within the terms of the grant agreement.
- c. If the Grantee warrants a suspension, Council staff will provide the Grantee a notice of suspension by certified mail that will set the effective date for suspension and identify any allowable costs that the Grantee may incur during the period of suspension. Any funding lost during the suspension is gone and will not be recuperated by the Grantee.
- d. Suspensions remain in effect until the Grantee has taken corrective action and given assurances that the situation and/or circumstances have been corrected.
- e. If the Grantee does not request reconsideration in writing within the specified time as defined in the corrective action plan, the Grantee will be deemed to have waived the review and the grant will be terminated.
- f. If circumstances warrant, a grant or project may be terminated for cause without notice of suspension. Terminations may be for cause, by mutual agreement, or by the Grantee when the Grantee's authorizing official gives written notification to the Executive Director. The Executive Director will notify the Executive Committee and BCM of these actions.

- g. Council staff will provide written notification of termination if for-cause or by joint agreement, or written acknowledgement of the termination notice if by the Grantee. Such notice or acknowledgement will include written instructions for termination or closeout of the grant.
- h. The Executive Director may approve the Council assuming the federal share of any obligations that cannot be cancelled due to the termination of the grant (as regulated by CFR 75.373- CFR 75.375.)
- i. Between the time of the proposed termination and the final decision of the Council, the Council may withhold further funding. In the event the Council's decision is favorable to the Grantee, the funds shall be promptly distributed to the Grantee.

### **Appeals of Funding Decisions**

Appeals of funding decisions will be received, processed and resolved with fairness and promptness. Appeals may be submitted from Grantees whose grants have not been awarded, from Grantees that only had a partial allocation, or from Grantees whose grants have been suspended. The organization appealing will be known as the "Appellant."

#### 1. Appeals Process

- a. The Appellant will file an appeal in writing addressed to the Executive Director. The written appeal must be postmarked within 10 calendar days of the date of the final funding decisions made by the Council.
- b. The Executive Director will acknowledge receipt of the letter by mail or email, and will send a copy of the appeal to the Council Chairperson. The Executive Director and Council staff will investigate, compile, and review all relevant information about the appeal. The Council may call a special meeting for this purpose.
- c. Within 30 days of the receipt of the Appellant's letter, Council staff will submit a written report to the Executive Committee. The report will contain recommended action and the evidence supporting the pending action.

- d. The Executive Committee will review the report of the Executive Director and provide input to the full Council for final determination of the appeal. The Executive Committee or Council may suggest modifications, request further investigation, or put forward other appropriate action. These actions will be voted on by a quorum of the Council prior to implementation.
- e. Council staff will notify the Appellant of the final determination of the appeal by writing immediately following the Council's decision.