Section 2.2.1: Grantor Roles and Responsibilities

The roles and responsibilities of the grantor are outlined below and cover the activities involved in managing a grant from inception to closeout. These roles and responsibilities are discussed in greater detail in subsequent chapters.

Announcement of funding opportunities

Only eCivis or an agency's legacy grants management solution may be utilized for soliciting grants applications or posting notices of funding availability (NOFA). Agencies are not allowed to use procurement systems such as the Arizona Procurement Portal (APP) for grants solicitations.

Throughout the year, various agencies and programmatic units publish program plans, Requests for Proposals/Solicitations (RFPs), and Calls for Concept Papers. Chapter 4 discusses announcement of funding opportunities in further detail. The following activities are key components of the announcement of funding opportunities:

- Program Guidelines and Application Kits – These documents outline the specifics of all grant funding programs, describe requirements for eligibility, and instruct an applicant on the necessary components of an application under that specific program. Availability of grants may be announced on agency websites and must be posted on eCivis.com (for competitive grants only). Program guidelines and application kits shall have a closing date after which proposals or applications will not be accepted.

- Requests for Proposals/Solicitations – Agencies may issue RFPs or solicitations for both state originated or federal passthrough grant programs. They outline the specifics of the funding program, describe requirements for eligibility, and instruct an applicant on the necessary components of an application under that specific program. RFPs and solicitations must be announced and posted on the agency website, and the eCivis.com website (to apply for competitive grants). RFPs and solicitations shall have a closing date after which proposals or applications will not be accepted.

Pre-applications

The pre-application stage consists of all contacts with a potential applicant prior to the submission of a formal application. A pre-application conference may be conducted before the due date for the submittal of applications to explain the grant application requirements. Arizona Revised Statute (A.R.S.) 41-2702 states, "if a pre-application conference is held, it shall be held at least 21 days before the due date." Such assistance must be available to all potential applicants; the intent is to ensure a level competitive field for all applicants. Chapter five of this manual provides detailed information regarding pre-applications.

Application receipt, review and award

This stage refers to all administrative procedures necessary for formal review and final disposition of grant applications. This step begins with receipt of a formal application and ends with the notification to the applicant of the decision made on the application. Chapter 6 of this manual provides detailed information about application receipt, review, and award.

Grants administration

After the award is accepted, a grant program manager becomes responsible for managing the grant in accordance with programmatic and administrative requirements as set forth, but not limited to, this manual. Additional requirements are determined by the State of Arizona Accounting Manual (SAAM), specific authorization or appropriation language and any flow-down requirements related to the distribution of federal dollars. Chapter 7 of this manual provides procedures for grants administration and adherence to financial standards.

Grant monitoring

Grant monitoring involves activities performed for the purpose of verifying progress of a project and its proper fiscal management. It includes, but is not limited to, activities such as telephone contacts, site visits and reports. After the award of a grant, a grant program manager is responsible for monitoring the award and for reporting on the results of his/her monitoring. Chapter 8 of this manual provides further information on grant monitoring.

Technical assistance and problem solving

Technical Assistance (TA) refers to the communication of knowledge, skills, and know-how by means of expert advisory personnel, the conduct of training activities and conferences, and the preparation and dissemination of technical publications. Grant program managers, utilizing practical or specialized knowledge, are required to provide technical assistance to recipients over the lifecycle of the grant. This includes, but is not limited to, answering questions regarding program effectiveness, assistance with the completion of financial or program reports or otherwise provide assistance where the grantee lacks the necessary expertise. Chapter 8 of this manual provides additional details about delivering technical assistance to grantees.

Grant closeout

The final stage of grant administration is the closeout. Closeout of a grant is a process by which an agency determines that the grantee and grant program manager have completed all applicable administrative actions and all required work on the project. Upon expiration of a grant, the grant program manager and applicable agency financial staff are responsible for timely and proper closing of the grant. Chapter 9 provides further information on grant closeouts.

High Risk Grantee Designation

GFR may designate a grantee as high risk. Any agency may refer a grantee for high-risk designation. Agency personnel may become aware of serious programmatic or financial noncompliance issues regarding grantees and applicants through a variety of sources. These sources include, but are not limited to, financial or programmatic monitoring; Office of the Auditor General (OAG) report; Single Audit resolution activity; waste, fraud, or abuse allegations and investigations; referrals from other federal, state or local grant-making entities; and the media.