

# So you're writing a grant...

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JEFF NATTER

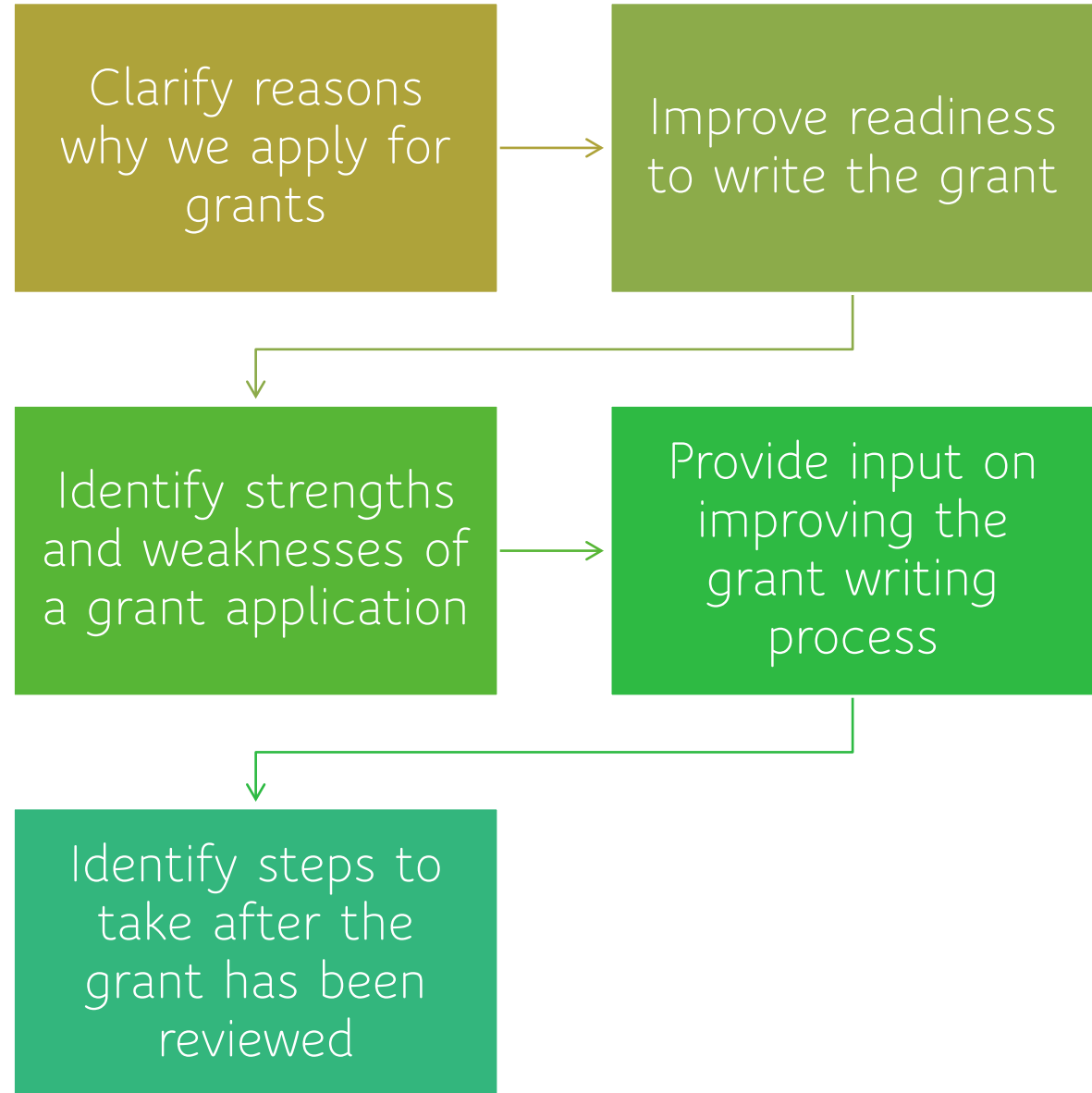
**March 20, 2023**

DOH150-207 March 2023 English



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# Purpose of the workshop



Why do we  
apply for  
grants?

To persuade funders that  
we are deserving of their  
money

Beginning your  
grant:

The Three Rs

**Reason:** what's the problem that your program seeks to address?

**Response:** what will your agency/program do to address the problem?

**Results:** what will be the outcomes of your program in relation to the problem you've identified?

## Exercise



In no more than two sentences for each R, create the Three Rs for a grant you've recently written

# Basics of persuasion

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## Positive effect:

Accurate

Candid

Consistent

Easy to read

Clear

Responsive



## Negative effect:

Inconsistent

Badly written

Confrontational

Difficult to follow

Overblown

Incomplete



# Getting ready to write your grant



## To consider:

Familiarity with grantor

Familiarity with funding process

Consistency of your objectives with funder's

## Actions to take:

Attend the Bidders Conference

Perform the Three Rs exercise

Identify your data sources/gather data

## General grant narrative: topics



General agency history

Prior experience with this funding source

Who will deliver the services

How the services will be delivered

How you will reach your target population(s)

Diversity and inclusion

Client and community feedback

Evaluation



## Writing the narrative



Provide answers where requested

Include the question in the narrative

Response and results are logical and proximate (A>B or A>D?)

Accuracy of information

Unity of voice

Avoid and/or explain jargon

Service units: defensible, reasonable, tied to outcomes

# Using data in your grant application

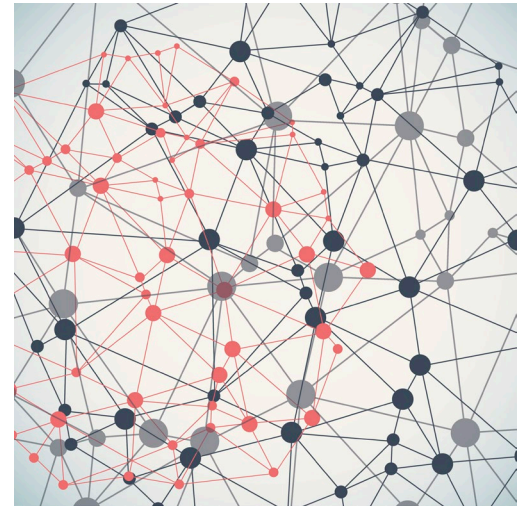
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Local rather than national, when possible

Reference your data sources

Avoid percentages without numerical indicators

Effective use of anecdotal data (if at all)



# Budget and budget narrative



Complete

Mathematically accurate

Justifiable and reasonable

Cost per client

Change from year to year

Costs specifically related to proposed project

Narrative details about how you arrived at your budget (including calculations)

## Exercise

Review and critique a portion of a fictional grant narrative



## **WALDO'S HEALTH AGENCY FOR TEENS (WHAT)**

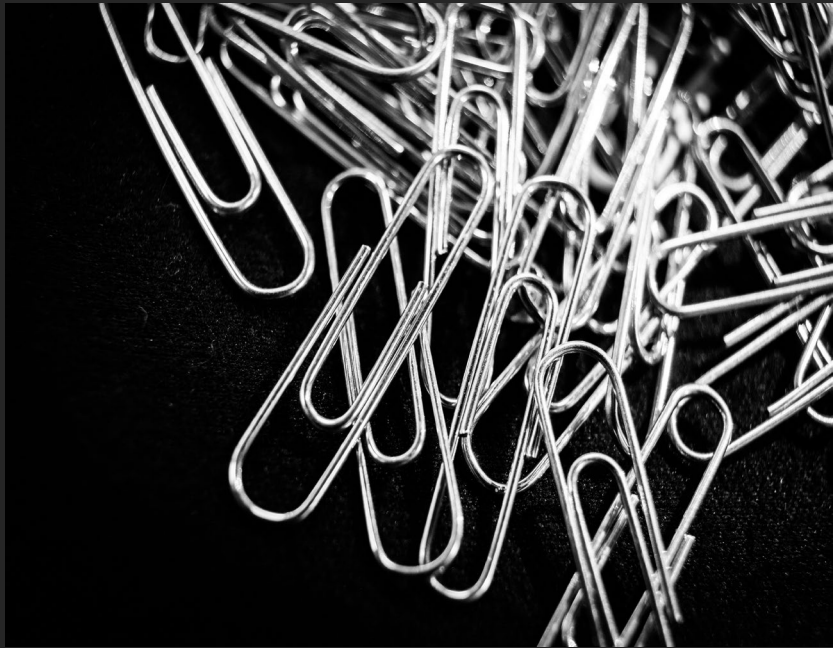
**Agency history:** Waldo's Health Agency for Teens (WHAT) has been providing mental health services for youth and young adults in Seahawk County since opening in 2012. As the only agency providing these services in Washington, we have served over 4,000 people with both in- and out-patient services. Our staff of eleven is incredibly diverse, including two people of color, one woman, and people who speak a total of four different languages. We are situated near several bus routes.

**Previous history with PHSKC funds:** WHAT has received Washington State DOH funds since 2009. We have met or exceeded performance goals in every year during this time. Last year, we were contract to serve 400 clients and provide ten mental health services per client. We far exceeded this goal by seeing 423 clients and providing a total of 2,580 counseling sessions. All but two of our quarterly reports were submitted on time and without errors. We actively collaborate with a lot of agencies, such as BHTRC, the Swinomish Tribe, and many other agencies.

Our agency offers state-of-the-art CBT as well as EST to clients in greatest need. We estimate that our success rate in working with clients is over 60%, well over established practice standards for our field. As an example, one client we worked with last year who presented with symptoms of psychosis is now working full time as

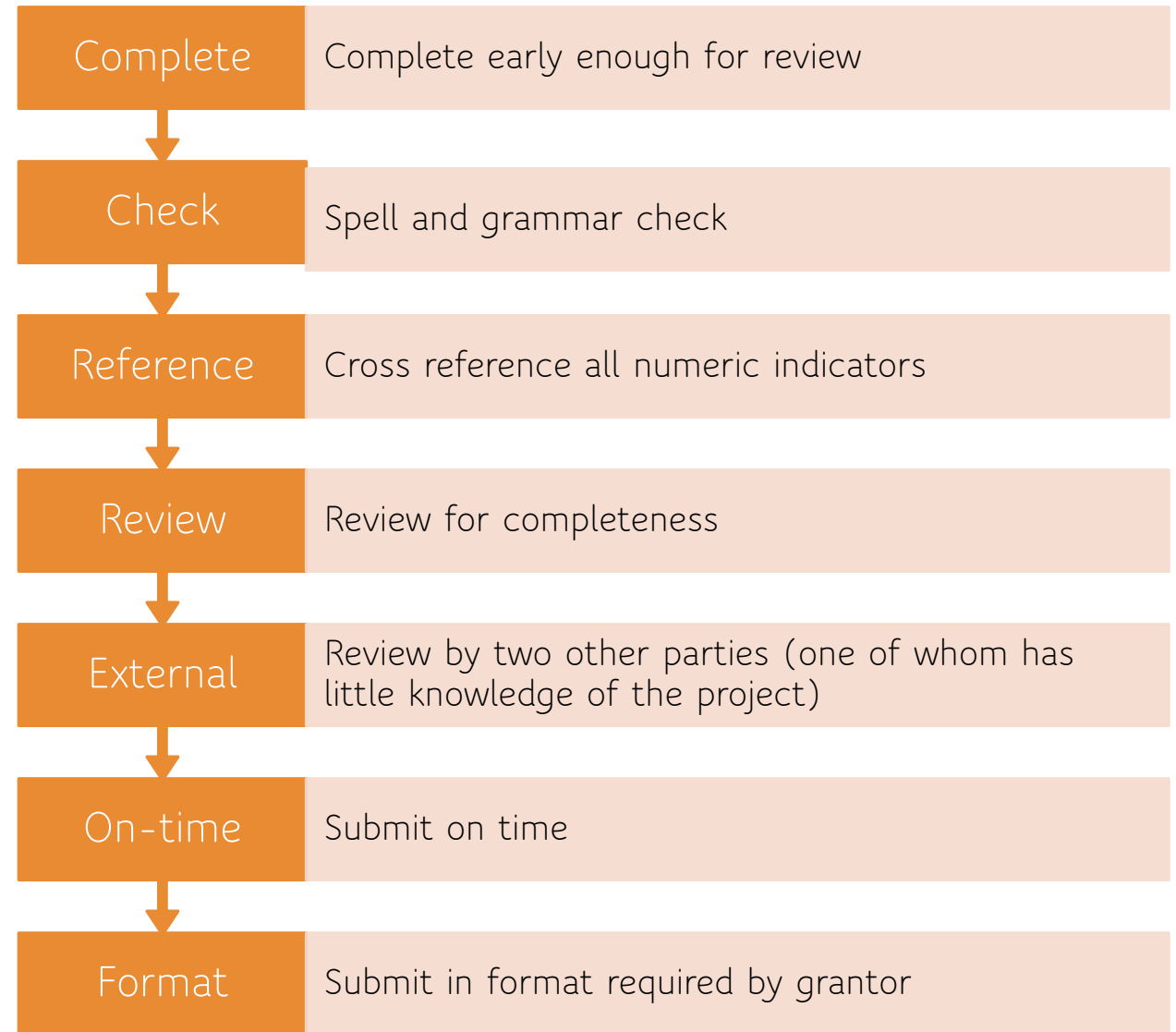
**Budget narrative:** We are asking for a 10% increase over the current year's funding of \$100,000. This additional \$15,000 will be used to increase our counseling FTE, purchase electronic equipment, and buy vouchers for our clients.

## Attachments



Most recent financial statements  
Include all required documentation  
Do not submit unrequested  
materials

After your first draft...



After you receive  
award notice...



Thank the grantor

Maintain collegial approach

Follow up for feedback

Continue to create/sustain  
relationship



## Exercise



Return to and rewrite your original Three Rs



Good resource:

Unfunded List  
([unfundedlist.com](http://unfundedlist.com))

The background is a vibrant teal color, densely populated with numerous speech bubbles of various colors including yellow, pink, orange, and white. Each speech bubble contains a dark teal question mark. The bubbles are scattered across the entire frame, creating a pattern that suggests a continuous stream of questions or feedback.

Questions/feedback



# COMPETITION PRE-RELEASE WEBINAR

Office of Infectious Disease

# Your Presenters Today

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**Office of Infectious Disease RFA Website**

**<https://doh.wa.gov/about-us/programs-and-services/executive-office-health-and-science/disease-control-and-health-statistics/funding-opportunities>**

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Budgeting

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Contracting With Department of Health

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Invoicing with Department of Health

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Fiscal monitoring

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Acronyms & Definitions

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Timelines and budget periods

MI codes

Types of funding O/D receives



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### What is a State Fiscal Year (SFY)?

In Washington State, we use a **12-month fiscal period** for budget and accounting purposes. The state fiscal year is July 1 through June 30 of the following year, and is named for the calendar year in which it ends (e.g., July 1, 2023 through June 30, 2024 is state Fiscal Year 2024).

### What is a Biennium?

In Washington State, this is a **24-month fiscal period** used for budget and accounting purposes, extending from July 1 of odd numbers year to June 30 of the next odd numbered year (e.g., July 1, 2023 through June 30, 2025 is Biennium 23-25).

\*Federal Grant years can run on a variety of timelines (e.g. Ryan White, Integrated HIV Prevention) and they are not always 12 month time periods.

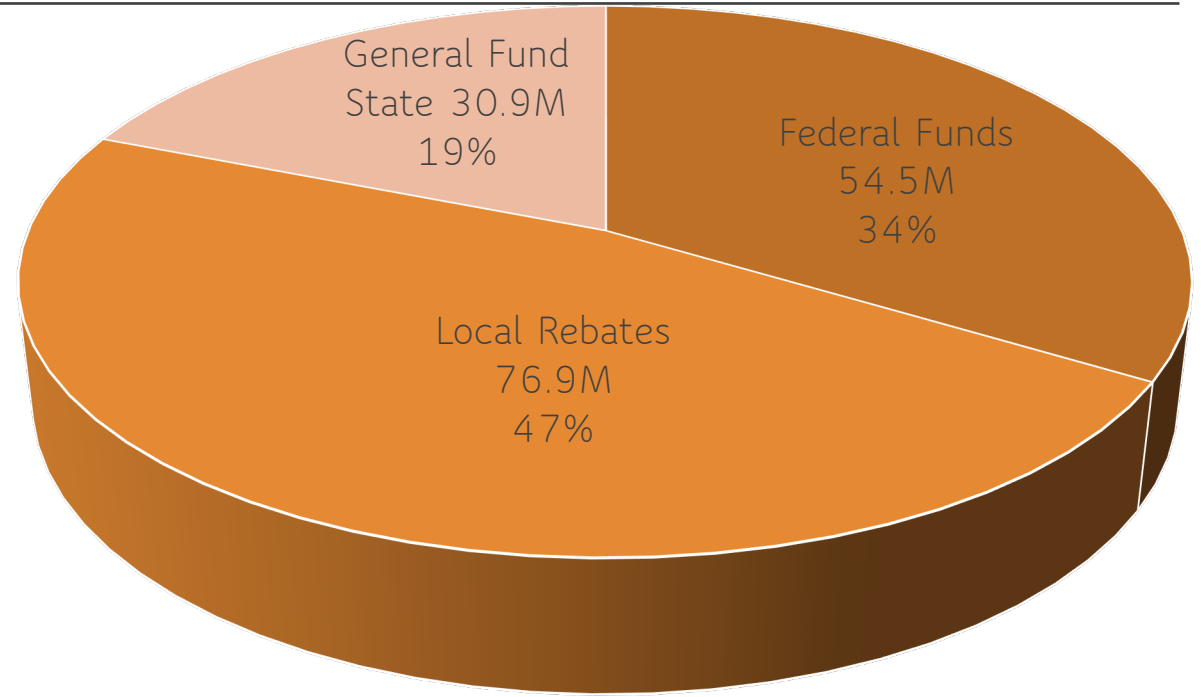


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# What are Master Index Codes and why do they Change?

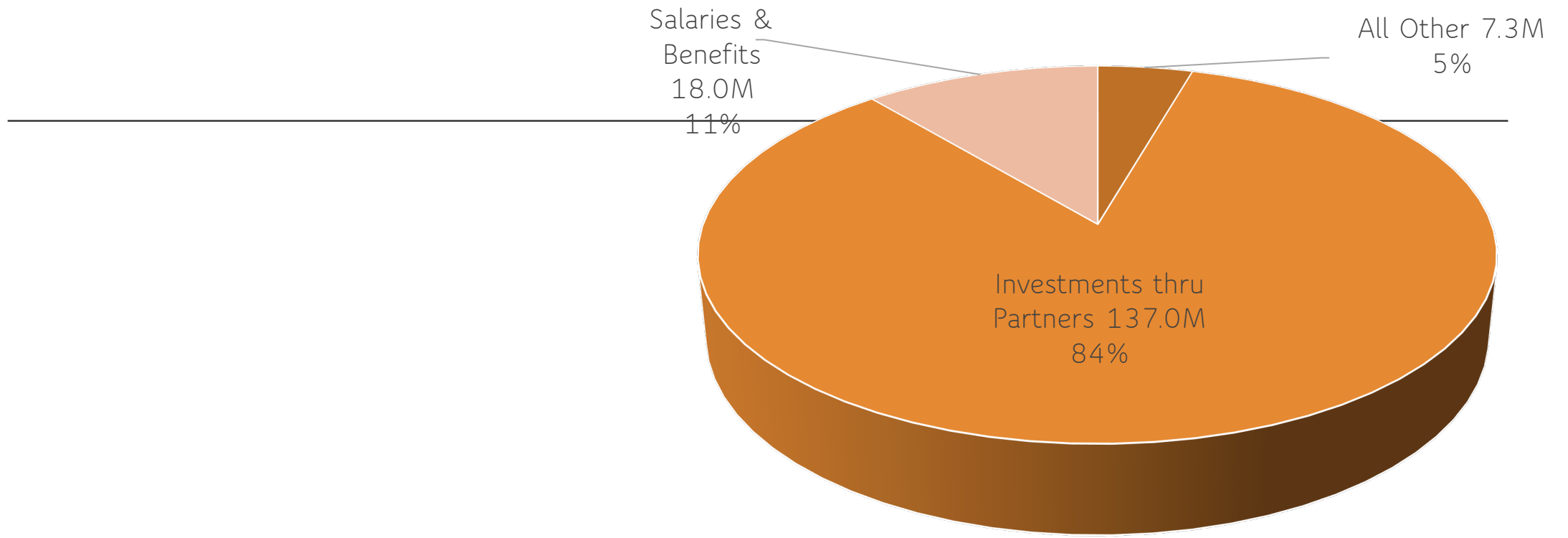
- We use Master index (MI) codes to tell our finance team which funds to use to cover expenses. MI Codes are eight character alphanumeric or numeric codes. They are often seen in Statements of Work and on Invoice Vouchers.

# \$162.M 21-23 Biennial Budget



■ Federal Funds 54.5M ■ Local Rebates 76.9M ■ General Fund State 30.9M

# Bien 21-23 Funding Split by Expenditure Category



- All Other 7.3M
- Investments thru Partners 137.0M
- Salaries & Benefits 18.0M

Types of Office of Infectious Disease contracts

Why does OI use a competitive process?

Who is involved in contract development & monitoring?

Statewide Vendor Number: Why is it important, and how do you get one?

Statement of Work: What is it, and how do you write one?

Allowability of costs

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**Cost Reimbursement** – All of the contracts DOH awards are cost reimbursement contracts (sometimes called expense reimbursement contracts). This is a type of legal agreement between two parties. Cost-reimbursement types of contracts provide for payment of allowable incurred costs, to the extent prescribed in the contract.

**ConCon or NonCon** – All contracts awarded from OID are ConCon or NonCon

- ***Consolidated Contracts (ConCon)*** – We use this for contracting with Local Health Jurisdictions.
- ***Non-Consolidated Contracts (NonCon)*** – We use this for all non-local health jurisdictions.

**Client Service Contract** – All contracts OID awards are Client Service Contracts. Client Service Contracts are an agreement with a firm or individual to provide direct services to clients of the state agency.

**Sub-Recipient Contracts** – Some contracts are sub-recipient contracts if they include federal funding sources (for example, when OID gets money from the federal government and then passes it along to contractors here in the state).

A competitive process allows us to engage the communities concerned and show how their input is used in the funding requests



The process allows for a renewed competition and opens up the possibility for new partners



The process allows us to change program expectations, goals and deliverables



The Process is more transparent regarding both process and funding

# Who is involved in contract development and monitoring?

## OID Managers & Program:

### Pre-bid:

- Give guidance and direction for program goals

### Contract negotiation:

- Develop Statements of Work
- Determine funding amounts allocated to contractors
- Determines processes for contract deliverable/ monitoring

### Contract execution:

- Manage grant funds and act as Principal Investigators
- Conduct Site Visits

## OID Program Contract Managers:

### Contract negotiation:

- Develop Statement of Work and budget development

### Contract execution:

- Develop necessary documents and ensure processes are followed
- Ensure costs on invoices and alignment with approved budgets area allowable
- Provide technical assistance to contractors
- Manage communication from program to contractors
- Monitor program deliverables & due dates

## OID Fiscal:

### Contract execution:

- Review invoices and backup documentation (e.g., Match A19 invoices and Expense Summary Forms)
- Ensure invoice does not result in overspending of allocated funding
- Monitor invoice payments for accuracy

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- Statewide vendor (SWV) numbers are identification numbers that contractors use to contract with all state agencies.
  - If contract is award, you will need to have a SWV number established.
  - You can register for a SWV number through the Office of Financial Management: [Vendor Payee Registration | Office of Financial Management \(wa.gov\)](#)
  - It usually takes about 30 days from when you apply.
  - This is important, as a SWV number is needed for DOH to reimburse partners for contractual costs.



### A Statement of Work WILL:

- Define goals and objectives
- Describe what needs to be done to meet goals and objectives
- Produce measurable deliverables
- Specify project timelines and due dates
- Identify maximum amount to be paid to contractor

### A Statement of Work MIGHT:

- Specify the place work is to be done
- Prioritize certain demographics
- Describe disallowed activities
- Break work or budgets into phases or categories

### A Statement of Work WILL NOT:

- Ask for anything illegal or unethical
- Treat contractor as if they are employee of DOH
- Ask for anything to be done outside the overall period of performance
- Require contractor to contract with a specific entity (subcontract)
- Allow contractor to be paid prior to performance of services
- Legally obligate any 3<sup>rd</sup> party to the contract terms

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# Components of a Statement of Work

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- **Purpose/Objective:** What the Statement of Work is for
- **Task/Activities:** What the contractor will do
- **Deliverables/Outcomes:** What results the contractor hopes for
- **Due Date/Timeframe:** When the activities will take place
- **Payment Information:** How the contractor will be reimbursed for costs
- **Special Requirements:** Any other requirements decided upon by OIG and the contractor

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Example of a  
Statement of Work

# Allowable and unallowable costs

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- In any contract, there are certain things that funds **can** be spent on (allowable costs), and other things that funds **cannot** be spent on (unallowable costs).
- These will be explained in the grant or funding documents, and developed during contract negotiation.
- This is important, because if a contractor spends money on something that is unallowable according to the contract, we cannot reimburse them for that cost.

# How allowable and unallowable costs are decided

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- After contractors have been selected, but before the contracted activities start, contract managers in our office work with contractors to build an approved budget. During this time, contract managers will approve costs for allowability.
- Depending on where the grant money comes from, we follow grant guidelines and cost allowability rules from our federal funders, state requirements, and our own program requirements. (*For federal funds, OIG consults [2 CFR 200](#) when reviewing and approving costs for allowability*).
- If you are unsure of allowability – Just Ask! Any contract manager can help with cost allowability in relation to contract awards.

A-19 invoice vouchers and expense summary forms

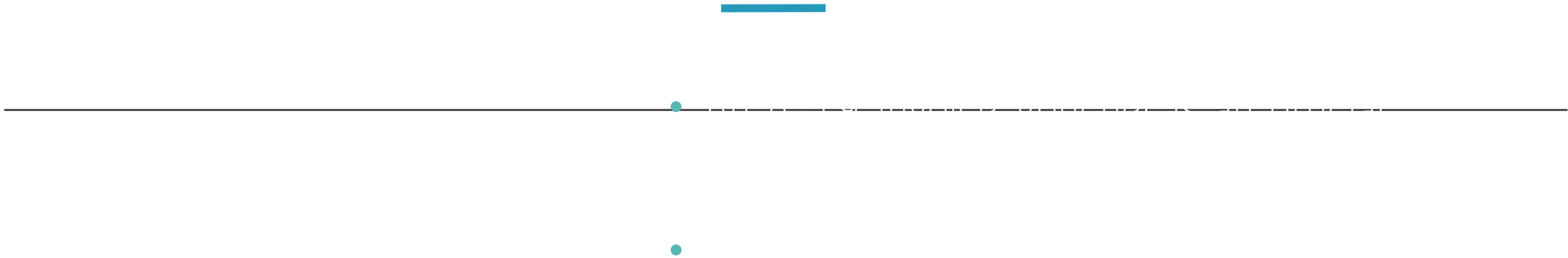
How should contractors submit documentation for reimbursement?

When should invoices be submitted?

What happens if an invoice is incorrect or incomplete?

How long does it take to be paid once an invoice is submitted?

How are contract invoice payments received?



# How should contractors submit documentation for reimbursement?

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- We use a tool called the [A-19 Documentation Matrix](#) to standardize which documents to require for invoicing.
- We require contractors to submit a few different forms to us for reimbursement based on the A-19 Documentation Matrix. Contractors use the matrix as a tool to ensure proper backup is submitted with their invoices.
- This matrix shows the minimum amount of documentation needed. Programs can also require other documents from contractors. Any other requirements will be developed during contract negotiation and listed in the Statement of Work.





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graph TD; A[Fiscal may reach out to resolve mathematical issues] --> B[Fiscal and/or contract managers will reach out for missing information]; B --> C[Contract managers may reach out to request additional backup beyond the minimum backup documents in order to ensure costs are allowable];
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Fiscal may reach out to resolve mathematical issues

Fiscal and/or contract managers will reach out for missing information

Contract managers may reach out to request additional backup beyond the minimum backup documents in order to ensure costs are allowable

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How long does  
it take to be  
paid once an  
invoice is  
submitted?

DOH will issue payment within 30  
days of receiving a correct and  
complete invoice and approving the  
deliverable(s).

Late invoices will be paid at the  
discretion of DOH and are contingent  
upon the availability of funds.

# How are contract invoice payments received?

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- There are two ways to get paid by the state: via check or Electronic Funds Transfer (EFT). OFM manages [information for vendors](#) about the payment process and how to get help.
- OFM Payment Options: [Vendor/Payee Direct Deposit | Office of Financial Management \(wa.gov\)](#)

## Fiscal Monitoring Team Introduction

What is fiscal monitoring and who does it apply to?

What is a DOH federal risk assessment?

Following 2 CFR Part 200 for Federal contracts

# Fiscal Monitoring Team introduction

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## Why Fiscal Monitoring Matters

We are responsible for making sure that state and federal funds are spent wisely. This is even more critical in times of financial distress, when funding diminishes and needs increase. One major aspect of this is how our partners and pass-through entities spend the funds we give them to provide critical services to Washington residents.

# What is DOH Fiscal Monitorin g & Who Does it Apply to?

DOH fiscal monitoring applies to all **subrecipients**.

A **subrecipient** is a contractor who receives federal funds through a middle, or pass-through, agency.

For example, when DOH uses federal funds to contract with local partners, those partners are **subrecipients**.

Fiscal monitoring refers to the review of subrecipient funds to make sure they are being used in compliance with the federal rules, regulations and guidelines that apply, and in accordance with the contract budget, objectives, and performance targets.



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This is a document used by DOH to assess the overall risk of an entity (organization or contractor) based on several elements, such as financial stability, internal controls, past performance, and more. This helps DOH programs to assess how well an entity is currently doing, and where the entity might need some assistance to improve their processes and successfully manage Federal subawards.

The Tool determines the level of backup documentation that the contractor will be required to submit with invoices for reimbursement.

*\*\*This applies to contracts using Federal funds. For non-Federal contracts, DOH applies a low risk level to contractors for the purpose of invoice backup documentation to ensure consistency.*



# 2 CFR 200 & Important Components

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2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards [Uniform Guidance - 2 CFR 200](#)

- **Direct Cost** - can be identified specifically with a particular final cost objective. §200.413
- **Indirect Cost** - incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. §200.56
- **2 CFR Part 200.414 De Minimis Indirect Cost Rate Certification** - Per 2 CFR Part 200.414(f) any non-Federal entity, except for those non-Federal entities described in Appendix VII(D.1.b.) to Part 200, may elect to charge a De Minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. To use this rate on Department of Health sub-awards the award recipient must submit this certification to [subrecipientindirect@doh.wa.gov](mailto:subrecipientindirect@doh.wa.gov).

# Acronyms & Definitions

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Acronyms

Glossary  
of Terms



Washington State Department of  
**HEALTH**



## Questions?

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