



GEORGIA DEPARTMENT OF
COMMUNITY HEALTH

GRANT ADMINISTRATION POLICIES AND PROCEDURES MANUAL

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Questions or comments concerning this GAPP may be addressed to the DCH Grant Manager using the contact information below:

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ABOUT THIS MANUAL

This SFY2012 edition of the Department of Community Health (DCH) Grant Administration Policy and Procedures (GAPP) Manual establishes standards for the managing of program objectives and funding for recipients of DCH Grants. This manual provides guidance through the entire grant life cycle—from contemplating an application, evaluating and selection of qualified applicants, awarding grants, managing performance and closing out of the grant. The manual also provides guidance and standards for the designation of legislative awards provided through the states budget process. Except where otherwise provided by law, these policies and procedures are applicable to all areas of DCH, and apply to respective staff, that has grant administration responsibilities. Entities awarded DCH grants are expected to adhere to these policies and procedures unless otherwise indicated in the Notice of Award (NOA). Grants administered by the Department may be subject to other restrictions, limitations or conditions enacted by the State of Georgia or required by the funding entity, which may affect the provisions, terms or funding of a grant at any time. In addition to providing a tool for grantees and staff, other objectives for issuing this manual are:

1. To ensure consistent and uniform processes for administering DCH grants being administered at the state and community level;
2. To support the Department's ability to accomplish its mission and that services are provided through funds available through DCH;
3. To ensure that procedures applied are consistent with those required by federal, state and agency rules and regulations;
4. To ensure fair and equitable treatment and full competition for those interested in doing business with the Department of Community Health; and
5. To provide safeguards to ensure the integrity of the grant procurement processes.

The GAPP is the official source for all administrative rules issued by the Georgia DCH through its Office of Procurement Services and governs grants issued by the Department. Additionally, it is intended to serve as a resource for interested grantees and procurement officials in the performance of their duties. In addition to identifying rules, the GAPP serves as a roadmap of the competitive solicitation process and the required activities that support the process.

This scope of this policy applies to all DCH grant-making programs, divisions, boards, committees, task force, councils, attached agencies seeking DCH as the official grantor and qualifies for the use of state, federal and other funds. This scope also applies to competitive, direct, sole/single source grant review processes. Legislatively-named awards are exempted from the general requirements outlined in this policy; however, are subject to the development of specific terms and conditions in alignment with the intent and purpose of the appropriations bill to which it applies and/or supplemental language developed during the legislative process.

This policy is intended to establish the framework to ensure that all aspects of grant administration including the solicitation, administration, risk assessment, data collection, reporting, documentation, and monitoring are administered ethically and in accordance with best practice and state and/or federal guidelines. This policy will be reviewed annually to ensure that consistent application and formal execution of the guidelines established herein.

References

This policy supersedes other DCH policies that concern grant awards and prevails except when existing applicable state policy is stricter. As a rule, DCH follows the states guidelines which are developed by the State Office of Administrative Services based upon competitive bids and awarded to the lowest responsible bidder. See (See O.C.G.A. § 50-5-67 (b). This manual uses the rules and regulations listed below as a foundation in guiding DCH staff and grantees on topics relating to the terms and conditions of contract awards, fiscal accountability, and prevention of fraud and abuse.

- O.C.G.A §14-3-305. Nonprofit defined; rights; director’s role; reporting
- O.C.G.A. §28-5-125. Audit of recipients of grants
- O.C.G.A. §45-10-1 et seq Code of Ethics and Conflict of Interest
- O.C.G.A. §49-4-152. Special projects
- O.C.G.A. §50-20-1 through §50-20-3. State Government, relations with Nonprofit Contractors;
- O.C.G.A. §50-20-1 through §50-20-3. State Government, relations with Nonprofit Contractors;
- O.C.G.A. § 50-5-67 (b). One partial exception to competitive pricing is found in the State Use Law, and one of its key aspects is dual administration. The Commissioner has certain specific roles under the State Use Law. *See, e.g.*, O.C.G.A. §§ 50-5-136 (b) (2), -138. The State Use Council (hereinafter the “Council”) also has certain “powers and authority” regarding the state use program. O.C.G.A. § 50-5-136.[11]
- 45CFR Subtitle A (10-1-03 Edition) O.C.G.A. §50-.50 et. Seq. State Purchasing Act
- The Office of Management and Budget (OMB) Circular A110 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations
- Office of Management and Budget (OMB) Circular 133 Audits of Institutions of Higher Education and other Non Profit Organizations
- DCH Statement of Ethics (Rev. 3-25-08)
- DCH Ethics in Procurement Policy
- DCH Comprehensive Vendor Management Policies
- Georgia Procurement Manual (Revised02/2011)
- Governor’s Executive Order Establishing a Code of Ethics for Executive Branch Officers and Employees, January 10, 2011

Grant opportunities are available to interested parties and published on the DCH website at the following address: <http://dch.georgia.gov>. Also, interested parties can pre-register to be alerted to receive grant announcements as they are posted.

BACKGROUND

The Georgia Department of Community Health (DCH) was originally created in 1999 to serve as the lead agency for health care planning and purchasing issues in Georgia. The General Assembly created DCH by consolidating four agencies involved in purchasing, planning and regulating health care. The department is designated as the single state agency for Medicaid. In 2009, Healthcare Facility Regulation was created at DCH from sections transferred from the former Department of Human Resources Office of Regulatory Services. The Department’s mission is “to provide access to affordable, quality health care through effective planning, purchasing and oversight.”

In March 2006, Grants Administration was created within the Division of Operations to support Department initiatives that receive grant funds from state, federal, and/or other funding streams. Grants Administration is charged with the following responsibilities:

- To oversee activities for the proper dispensing of grant funds and ensure fairness in all aspects of the grant process including grant development, application, evaluation and award.
- To oversee compliance with mandated and procedural requirements by grantees and all DCH staff involved in the grant process.

These responsibilities are executed successfully by Grant Administration through the application of consistent, well-defined standards that are implemented through sound grant award practices. The determination of grant awards will be competitive in nature or otherwise allowable under statute, rule, legislative mandate, appropriations or as a result of a sole source condition, which allows grants to be awarded directly, without competition, which is outlined in the Georgia Procurement Manual.

GLOSSARY

Administrative Costs	The grantee costs that do not directly contribute to program objectives or direct services. Administrative cost may include, but are not limited to, costs associated with the provision of clerical assistance and accounting services
Allowable Costs	The expenditures that are acceptable by DCH, based on sound management principles, consistent with program objectives, and state or federal terms and conditions. Allowable costs may be fees for service or cost reimbursement.
Available Funds	The sum of the grant funds received during a reporting period and the unobligated balance from the previous period.
Budget Categories	Major groupings of line item expenditures that comprise a grantee's budget for a program. The four major budget categories are: Personnel, Other Direct Costs, Equipment, and Contracts.
Budget Period	The interval of time, usually 12 months in which the Program period is divided for budgetary and funding purposes
Budget Revision	A change to the previous DCH total approved budget.
Closeout	The process by which ODH determines that all applicable administrative actions and all required work related to the grant have been completed by the grantee.
Code of Federal Regulations (CFR)	The codification of the general and permanent rules published in the Federal Register by the Executive departments and agencies of the Federal Government.
Commissioner	The Department Head appointed by the Governor for the Department of Community Health
Conflict of Interest	Situations defined in DCH Ethics Policy in which financial or other personal considerations may compromise, or have the appearance of compromising, an employee's professional judgment in administration, management, instruction, research and other professional activities. This includes situations in which an employee might derive personal gain due to her/his association with the Department.
Cooperative Agreement	A financial assistance mechanism to be used in lieu of a grant when substantial federal programmatic involvement with the recipient during performance is anticipated by the funder.
Debarment	The action excludes an entity from receiving federal financial and nonfinancial assistance and benefits and has a government wide effect. Debarment can occur for the following reasons: conviction for fraud or other criminal offense, misrepresentation, false certification, the illegal payment of gratuities, or deliberate or repeated failure to perform contractual obligations. (See also Suspension).
Direct Costs	Costs that can be specifically identified with a particular cost objective or program; charged directly as a part of the cost of the program.
Disallowable Costs	The charges to a program that are determined unallowable by ODH in accordance with the applicable federal and/or state regulations, GAPP or other terms and conditions contained in the Request for Grant Award (RFGA).
Equipment	Any item of tangible property having a useful life of one year or more, costing \$300 or more and which is purchased in whole or in part with program funds. Real property, such as land, buildings, or improvements other than buildings, is not classified as equipment.

Extension	Grantor/DCH approval of additional time (generally not to exceed 12 months) to any budget period, including the final budget period, of a previously approved project period. The extension is generally made without additional funds. Approval of extension must be formalized in writing by DCH.
Grant	A financial assistance mechanism whereby money and/or direct assistance are provided to carry out approved activities.
Grant Agreement	A binding agreement between two or more entities that is enforceable by law.
Grant Payments	All payments of grant funds by ODH to the grantee in accordance with the conditions of the grant award.
Grant Approval Process (GAP)	A SharePoint site designed as a communication tool for the agency use of sharing data, brainstorming and discussing ideas about the grant projects with add-in capability of tracking, creating and assigning project management related activities.
Grant-Approved Project/Activities	Those activities specified or described in a grant application, plan or other document that is approved by the Department for funding or changes.
Grantee	The organizational entity or individual to which a grant is awarded and which is responsible and accountable both for the use of the funds provided and for the performance of the grant-supported project or activities. The grantee is the entire legal entity even if only a particular component is designated in the award document.
Indirect Costs	Costs that are incurred by a grantee organization for common or joint objectives and which therefore cannot be identified specifically with a particular project or program.
In-kind Contributions	The value of non-cash contributions provided by the grantee or third parties for program purposes. In-kind contributions may consist of charges for real property and non-expendable personal property, and the value of goods and services directly benefiting and specifically identifiable to the program activity.
Matching or Cost Sharing	The value of applicant or third-party in-kind or cash contributions and the portion of the costs of a project or program not borne by the Sponsor. Where matching is not required by law or regulation, matching may be administratively required by the Sponsor. Costs used to satisfy matching requirements are subject to the same policies governing allow ability as other costs under the approved budget, including audit.
Monitoring	A process whereby the programmatic and business management performance aspects of a grant are reviewed by assessing information gathered from various reports, audits, site visits, and other sources.
No Fly List	An administrative action that makes an agency ineligible to be awarded, or to participate as a sub-contractor in a grant administered by DCH. This DCH specific designation may be the result of misconduct, failure to perform on previous grants, and or financial conditions determined unacceptable by DCH's Office of Inspector General.
Notice of Award (NOA)	A document signed by an authorized party at the DCH which serves as the official notification to the grantee of the grant award. It constitutes a formal agreement between the DCH and the grantee.

Probation	A temporary administrative status during which the grantee may continue to operate and obligate funds; but during which DCH may impose additional requirements including more extensive monitoring. A grantee will remain on probation status until compliance standards are met or until a specified time period has elapsed.
Program Budget	The financial plan for reaching the objectives of the program. The initial program budget is included in the program application and consists of proposed program expenditures and sources of program funding for the grant period.
Program/Project Officer	DCH's awarding office official who is responsible for the technical or programmatic aspects of a grant. Such individuals deal with grantee organization staff to assure programmatic progress, review and approve deliverables and provide administrative oversight of the grant.
Project Period	The total time for which support of a funded project has been programmatically approved. A project period may consist of one or more budget period.
Sliding Fee Scale	A reasonable, graduated fee scale schedule based on family income and family size for the cost of program services or goods provided.
Suspension	A temporary withdrawal of the grantee's authority to obligate grant funds pending corrective action by the grantee or by DCH to terminate the grant.
Terms and Conditions	All legal requirements imposed on a grantee by DCH, whether by statute, regulation, or terms in the grant or contract document.
Travel Expense	Expenditures incurred by approved program personnel for program related activities.

ACRONYMS

APO	Agency Procurement Officer		
CMS	Centers for Medicare and Medicaid Services	OIG	DCH Office of Inspector General
FDA	Food and Drug Administration	OCGA	Official Code of Georgia Annotated (State Statute)
DOAS	Department of Administrative Services	OMB	U.S. Office of Management and Budget
DCH	State of Georgia Department of Community Health	PSA	Public Service Announcement
GAAP	Generally Accepted Accounting Principles	RFCG	Request for Competitive Grant
GAP	Grant Approval Process	RFGA	Request for Grant Application
GAPP	Grant Administration Policy and Procedure	RTFG	Request to Fund Grantee
HHS	Health and Human Services	SFY	State Fiscal Year
VGM	Vendor and Grantee Management	SAO	State Accounting Office
GPD	Grant Planning Document	SPD	State Purchasing Division
LOI	Letter of Intent	TA	Technical Assistance
NOA	Notice of Award	USDA	United States Department of Agriculture
NPO	Non-Profit Organization		

SECTION 100 – ROLES AND RESPONSIBILITIES

1.1 Grantor Role and Responsibilities

As a grantor, DCH is responsible for the following activities:

- A. Ensure that all procurement professionals uphold the principles identified in the following subsections to promote efficient and ethical procurement practices.
- B. Identify and provide funding opportunities which are consistent with the Department's overall mission of improving access to affordable healthcare, responsible health planning and healthy behaviors and improved health outcomes for its targeted populations.
- C. Make grant opportunities available as funding is secured for the purpose of delivering services or goods in accordance with the grantor's requirements and DCH's mission.
- D. Release properly encumbered funds to selected grantees ensuring that the grant award process conforms to the requirements of the Department as well as any other applicable requirements.
- E. Serve as a resource and provide appropriate technical assistance and guidance to grantee staff as deemed appropriate by DCH or the granting agreement.
- F. Prepare annual reports aggregating data from grant-funded projects for distribution to all interested parties.
- G. Consult with grantees and program staff to provide technical assistance, as needed on grant-related issues.
- H. Monitor grantees utilization/expenditure of grant funds, including financial and/or programmatic reviews of invoices, and independent audit reports for entities that receive DCH funding and ensures final program reports are received from grantees in coordination with grant close out.
- I. Maintain records sufficient to detail the significant history of procurement through project initiation, solicitation, closeout, audit and final storage.

1.2 Designated Agency Procurement Officer (APO)

The DCH and DOAS Commissioners recommend and approve the designated Agency Procurement Officer (APO) respectively as permitted by the State Purchasing Act. Each state entity is required to identify a qualified individual to serve as its official procurement officer.

The APO is responsible has various responsibilities and duties as outlined in the Georgia Procurement Manual (GPM). General responsibilities include but are not limited to the following:

- A. Being familiar with the Georgia procurement law (O.C.G.A.) Section 50-5-50 et. Seq;
- B. Monitoring and providing oversight over DCH's compliance with these administrative rules and when areas of non-compliance are found, determine the appropriate course of action needed to correct the non-compliance, document the action plan, and detail the corrective actions taken;
- C. Provide a mechanism to ensure that all purchasing laws governing grant rules, regulations and procedures are observed by the Department.

- D. Ensure that grants are awarded to grantees that are financially sound as determined by available resources at DCH's discretion. Even during challenging economic times, DCH strives to increase the efficiency and effectiveness of its health care programs. Organizations that delivery services through operating agreements must be financially sound and strong enough to carry out the terms and conditions of the project while meeting the needs of its members.
- E. Provide guidance to Grant Manager and staff assigned to the grant administration function.

1.3 Role and Responsibilities of Grant Manager

Acting as a resource to internal staff responsible for managing grant funded projects and to external customers, the Grant Manager is assigned the following responsibilities:

- A. Facilitates the understanding and satisfaction of the administrative grant requirements set forth in this policies and procedures manual.
- B. Assists Program Managers/Business Owners with understanding how deliverables and provisions translate into goals and objectives set forth within the grant application.
- C. Releases, accepts, and processes requests for grant application; examines grant offers to ensure competitiveness. Ensures that scope of work includes performance based deliverables, ensures approved budget line items and scope of work are appropriate for funding purposes.
- D. Releases Letters of Intent (LOI) and NOAs; reviews budget and scope changes; processes extensions; and participates in the final closeout of grants in cooperation with Grantee Management and Program Management.
- E. Coordinates with Grantee Management staff as they fulfill their responsibilities in monitoring grantee performance.
- F. Ensure that procedures that prohibit competitive solicitation are not practiced by DCH administrative and programmatic staff and its grantees. Procedures considered too restrictive as outlined in §92.36 include but are not limited to the following:
 - Requiring unnecessary experience and excessive bonding,
 - Non-competitive pricing practices
 - Noncompetitive awards to consultants that are on retainer contracts
 - Organizational conflicts of interests
 - Specifying a "brand name" product instead of allowing "an equal" product to be offered and describing that the performance of other relevant requirements of the procurement process and
 - ANY arbitrary action in the procurement process.
 - Administer legislatively designated awards according to designated Appropriations Bill and requirements that are performance based and representative of deliverables that present the best value for Georgia stakeholders.
- G. Ensure that the following processes are evident in the procurement process:
 - Material is available to all interested parties at the same time.
 - Resources necessary to respond to prospective projects should be available to all interested parties with no bias displayed to the incumbent or certain offerors.
 - Additional clarifications arising from individual offerors will be provided to all potential offerors so they have the benefit of the same information.
 - Announcements will be displayed publically.

- Extension notices to an offer closing date should be provided in enough time to reach them before the originally published closing date.
- Evaluation materials must be completed during the planning and grant preparation stage prior to the Request for Competitive Grant is posted.
- Selection criteria shall not change unless all offerors are given the equal opportunity to revise their responses. Approval of any selection criteria must be obtained from the Chief Operating Officer.

1.4 Role and Responsibilities of the Grant Specialist

- A.** Administers and/or awards grant solicitations (i.e. direct and competitive awards) on behalf of the Department or other grantors.
- B.** Develop grant application calendar for all grant requests by internal customers within DCH.
- C.** Communicates relevant grant information with Grant Manager and all appropriate internal users reporting the progress of grants.
- D.** Assist in the development of the evaluation criteria for competitive grant applications
- E.** Review and facilitate the evaluation process of competitive grant applications or proposals
- F.** Communicates with customers (external/internal) to gather data for reports and ensure proper records are maintained.
- G.** Provide weekly, monthly or quarterly reports for grant status.

1.5 Role and Responsibilities of the Program Manager/Business Owner

The Program Manager/Business Owner is a key member of the DCH grant administration team. This staff person is responsible for direct oversight of grantee(s) performance and satisfaction of grant obligations as specified by the funding source. Among the tasks and responsibilities assigned to the Program Manager are the following:

- A.** Defines the Scope of Services and when practical, ensures grant deliverables are performance based and aligned with DCH goals and priorities;
- B.** Serves on the evaluation committee and/or acts as the evaluation committee chair when service proposals are evaluated;
- C.** Acts as the primary point of contact for the grant and grantee(s) through the life of the project;
- D.** Develops the grant evaluation tool with assistance from the Grant Manager or Grant Administration team and members of the program management team. The Program Manager will examine the program design and will judge it against the goals of the grant; will review and evaluate the applications for award sending the results to the Grant Manager for further examination and approval.
- E.** Acquires a thorough understanding of the grant requirements specified by the funding source in order to satisfy every aspect of the granting entities' mandates.
- F.** Establishes a close, collaborative relationship with the grantee(s) in order to facilitate monitoring of financial and programmatic performance and ensures that high quality services are delivered in accordance with established performance outcomes.

- G. Manage the day-to-day operations of the grant and sub grant supported activities to assure compliance with applicable state and/or federal requirements and to assure that performance goals are being achieved.
- H. Works with grantee(s) as the management and attainment of objectives for the awarded funds is assessed during the grantee's performance evaluation.
- I. Provides technical assistance, but is not allowed to assume any role or responsibility assigned to the grantee.
- J. Reviews and submits recommendations for changes to the budget, scope of services or deliverables for final approval by the Grant Manager and Director of Procurement.
- K. Reviews the grantee's work plan and current performance, and reports the results to the Grant Manager and Grantee Management Services or its designee as required by policy. Grantee performance reports will be formal and at a minimum will include the scoring of the performance level of the grantee.

1.6 Role and Responsibilities of the Grantee

As a recipient of grant funds, the grantee is responsible for ensuring that high quality services are delivered to achieve established performance outcomes as identified in the Letter of Intent to Award, the Notice of Award, the grantee's funding application, approved scope of services, work plan and deliverables. Additionally, potential suppliers are required to divulge any potential, actual or perceived conflicts of interests. Failure to provide adequate disclosure at any time may be grounds for terminating grant.

Other grantee responsibilities include:

- A. Timely submission of status reports, reimbursement request and documentation submitted in response to project activities in accordance with the work plan approved by DCH. Items not approved by the in the project agreement supporting budget are not eligible for reimbursement.
- B. Compliance with all grant requirements and agreement obligations including any applicable federal guidelines as stated in project conditions, which may accompany the Grant Agreement.
- C. Maintenance of a high level of fiscal and programmatic responsibility demonstrated by efficiency and effective delivery of services as prescribed in the application, and all subsequent documents associated with the grant.
- D. Make available for DCH upon request documents pre/post award.
- E. Retention of all required records for three years after final payments are issued and all other pending matters are closed.
- F. Cooperate fully with the Department and/or request for review, programmatic and/or financial audits.
- G. Attend and fully support request for periodic review meetings, as needed, throughout the life of the project.

SECTION 200 – BEFORE ACCEPTING A JOB WITH THE DEPARTMENT OF COMMUNITY HEALTH

2.1 State’s Code of Ethics Policy

DCH subscribes to the State’s Code of Ethics for Governmental Service. Among the provisions relevant to the relationship between state staff and suppliers are the following:

All persons in government should:

- Uphold the Constitution, laws and regulations of the United States and the state of Georgia and of all governments therein and should never be a party to their evasion;
- Never discriminate unfairly by dispensing special favors or privileges to anyone, whether for remuneration or not; and never accept for themselves or their families favors or benefits under circumstances which might be construed by responsible persons as influencing the performance of their governmental duties;
- Make no private promises of any kind binding upon the duties of office, since a government employee has no private work which can be binding on public duty;
- Engage in no business with the government either directly or indirectly which is inconsistent with the conscientious performance of their governmental duties;
- Never use any information divulged to them confidentially in the performance of governmental duties as a means for making private profit; and
- Expose corruption whenever discovered.

2.2 Ethics in Procurement Practices

This manual provides best practice guidance to assist interested offerors, current grantees and DCH staff in conducting and administering grants using the highest level of ethical behavior in all areas of the grants life cycle. This is extremely important because public funds are involved and the public trust. Transparency and accountability helps to ensure impartiality and gives suppliers confidence to participate in the marketplace. It is everyone’s duty to adopt the processes, practices and behavior that will enhance and promote public sector values and interests.

All procurement professionals play an important role in ensuring needed goods and services are procured in an efficient and economical manner. The procurement professional is responsible for developing grants at competitive prices to avoid waste and deliver the best value to the funding authorities, the Department and Georgia citizens and need of health care services.

2.3 Acceptance of Gifts/Financial Interests (O.C.G.A 50-5-78)

The codes that specifies the rules for contracts is adopted for grants in that employees can not bear a financial interest or stand to gain benefits from grantees. Those that do are subject to an adverse action as outlined by the State Personnel Administration, including fines and imprisonment.

As stated under the official state statute named in this section, it shall be unlawful for any employee of the department to accept or receive, directly or indirectly, from any person, firm, or corporation to whom any contract may be awarded any money or anything of more than nominal value or any promise, obligation, or contract for future reward or compensation.

While nothing in this Code section shall preclude the Commissioner or any of his assistants or any employee of the department from attending seminars, courses, lectures, briefings, or similar functions at any manufacturer's or

vendor's facility or at any other place if any such seminar, course, lecture, briefing, or similar function is for the purpose of furnishing the Commissioner, assistant, or employee with knowledge and information relative to the manufacturer's or vendor's products or services and is one which the Commissioner determines would be of benefit to the department and to the state. In connection with any such seminar, course, lecture, briefing, or similar function, nothing in this Code section shall preclude the Commissioner, assistant, or employee from receiving meals from a manufacturer or vendor. Nothing in this Code section shall preclude the Commissioner, assistant, or employee from receiving educational materials and business related items of not more than nominal value from a manufacturer or vendor.

Nothing contained in this Code section shall permit the Commissioner, assistant, or employee to accept free travel from the manufacturer or vendor outside the State of Georgia or free lodging in or out of the State of Georgia.

2.4 Probity in Procurement

Probity in procurement practices means integrity, uprightness and honesty. It is more than avoid corruption or dishonest conduct. It demands ethical behavior at all times in the administration of duties and responsibilities that align with managing public procurements.

2.5 Conflicts of Interests

Conflicts of interests are defined in DCH's Ethics Policy in which financial or other personal considerations may compromise, or have the appearance of compromising, an employee's professional judgment in administration, management, instruction, research and other professional activities. This includes situations in which an employee might derive personal gain due to her/his association with the Department

2.6 Standards of Conduct

Standards of Conduct are outline in DCH Policy 410 and are framed from principles referenced in O.C.G.A. 45-2-1 et. Seq.; 45-10-1; 45-10-20 et seq.; and 45-10-40 and Rules of the State Personnel Board. The policy applies to all employees of the DCH and attached agencies and is expected to be adhered to at all times. It is further supported by the Code of Ethics for Government Service and collectively considered a condition of employment. Ethical behavior supports openness and accountability in government and is fundamentally consistent with the obligations of public service.

2.7 Separation of Functions and Responsibilities

The application, administration, and monitoring of grants require a team effort among the DCH enterprise. Currently the work is performed by the following functional units.

- Office of Procurement Services and Grants Administration
- Contracts Administration
- Grants Payable
- Purchasing
- Programs & Divisions within DCH
- Vendor and Grant Management
- Office of Inspector General

SECTION 300 – Planning and Applying for Grants (DCH Programs)

3.1 Planning

A team member from Procurement and Grants Administration should be assigned to the programs applying for and seeking funding to pursue community projects. Briefing sessions will be held no less than quarterly to discuss potential projects, pending proposals and upcoming solicitations. Minimally, the purpose of the planning session is to compile the following:

Grants Applied for that may require third party support, equipment purchased through the Program, Additional State Staff, etc. should be documented on the grant planning document located in Appendix D. Initial budgets should be outlined; prospective support required implementing award and timelines projected.

Grant must be in line with the mission of the Department. Grant funded projects are audited annually by outside, independent auditors as part of the regular financial audit. Projects are also subject to additional state and/or federal audits. A Grant Concept Proposal form is completed prior to the initiation of any grant. The process is designed to assist the initiator of the grant proposal and to provide Department leadership with the information to ensure that the proposal is within the DCH mission and goals outlined in its strategic plan before proceeding to far in the preparation of the application.

The protocols are clear regarding the consistent open practice of posting grant opportunities. DCH will maintain an ongoing electronic database of potential offerors in addition to posting projects on its external website. DCH may partake in additional methods to prequalify offerors in anticipation for upcoming projects.

3.2 Program's Responsibility

The Program Director to which a grant is aligned is responsible for working with Grants Administration to complete the Grant Concept Proposal. After the award and the NOA have been received by the agency, the program director is responsible to ensure that:

- The project is conducted as described in the application;
- All required reports are submitted on time;
- Expenditures are limited to the total dollar amount awarded;
- The project is conducted according to established DCH polices and applicable state and/or federal requirements.

When grants are required to support a specific set of objectives, the Office of Procurement Services and Grants Administration is engaged to coordinate the solicitation plan.

Request for personnel associated with grants are governed by the State Personnel Administration rules and regulations. Positions classification and salary levels should be determined in a manner consistent with those policies and included in the grant application. The Office of Human Resources can assist in this determination and provide technical assistance and ensure consistent practices.

Independent Consultants/Contractors may be secured through a state wide contract or agency contract. Specific exemptions exist through the State's procurement rules that allow disciplines that perform specialized functions to be exempt from competitive solicitation. When resources are provided using federal funds, special assessment will have to be made of the federal rules and the permissibility of following the states guidelines.

SECTION 400 – GRANT APPLICATION REQUIREMENTS

4.1 General Policy

It is the policy of the State of Georgia to grant monies to organizations that are financially stable and have the capacity to manage the grant funds as well as accomplish the goals and objectives of their work plan. Before awarding a grant of over \$25,000 to nongovernmental organization, DCH will require applicants to submit recent financial statements. Items of significant concern must be discussed with the grant applicant and resolved to the satisfaction of DCH before a grant is awarded. However, if the organization is in its infancy and does not have audited financial statements and independent review will be completed of the organization's current finances, organizational leadership, active partnerships and any other requested information. If the DCH determines that a reasonable capacity exists to meet the grant objectives and adequate safeguards to ensure good financial stewardship an exception may be granted. However, this should be a rare instance. There is no appeal process for an adverse decision.

As defined later, state agency staff must review a Dun & Bradstreet and at least one of the following documents before awarding a grant: an internal financial statement, an IRS Form 990, or a certified financial audit. Agency staff shall note which document was reviewed for each grant applicant, whether there were significant operating or unrestricted net asset deficits, how the grant applicant addressed the concern, and what the final granting decision was. These notes are to be kept in the grant file.

To ensure DCH issues grants only to those entities in “Good Standing” with the Department, as well as with state and federal entities, the following language should be added to (1) the Grant Administration policy, (2) the Evaluation Criteria for all competitive grants, as well as (3) each grant agreement effective July 1, 2011:

The Department of Community Health’s Vendor Exclusion list

The DCH shall conduct business only with responsible participants. Participants will be excluded from participation in DCH programs not as a penalty but rather to protect public funds and to ensure the integrity of publicly funded programs and public confidence in its programs. The DCH Vendor Exclusion list will be developed and maintained by the Division of Operations- Grant Administration office. List will include vendors who have been sanctioned for unethical behavior in their dealings with the Department to include behavior such as:

- Being convicted of a felony within the last 7 years;
- Misdemeanor conviction relating to health care fraud within the last 3 years;
- Conviction relating to obstruction of an investigation within the last 3 years;
- Exclusion or suspension under federal or state health care programs;
- Repeated instances of non-performance under previous grant agreements. Non-Performance is defined as failing to successfully complete deliverables resulting in the grant’s termination or non-payment of invoices;
- Fraudulently receiving funds from DCH to include falsifying invoices in order to receive payment for work not completed;
- Violating any state or Department policy with which the grantee is required to comply;
- Collusion or collaboration with any bidder, proposer or applicant in the submission of any grant application for the purpose of lessening or reducing competition;
- Conviction on three (3) or more occasions of exclusion offenses. Permanent exclusion.
- Any other behavior the Department deems unethical.

The APO must approve the addition of grantees to DCH’s Vendor Exclusion list. This list must be made available on DCH’s website for access by the public. Exclusion shall be concurrent with the period of debarment, suspension, or exclusion imposed by the federal or state government; however, DCH reserves the right to modify this term based on the nature and the seriousness of the wrongful act or omission warranting exclusion, the length of time since any wrongful act or omission warranting exclusion and the goals and purposes underlying the rule. In any case,

exclusions shall not be less than for one year and at least until all appropriated funds, costs, and penalties owed to DCH by the participant are paid full, the participant provides support that he is financial viable and the participant meets all applicable requirements in federal rules and laws.

Persons or Entities Excluded: In addition to the excluded participants, exclusion applies to:

- All participants related parties, and the heirs and assigns of the participants and related parties.
- The participant's immediate family members will generally be excluded from participation in any entity to which the excluded participant was a related party, any successor entity or start up entity in the same or similar program.

Current grantees

If the Department finds that a current grantee may have engaged in unethical behavior it will immediately notify the grantee in writing of the perceived infraction and allow the grantee ten days to refute these findings.

The APO will review the grantee's response, in conjunction with any internal stakeholders deemed necessary, to determine if a violation occurred and whether it constitutes placing the grantee on the DCH Vendor Exclusion list.

The grantee has the right to appeal this decision under section 8.2 of this policy.

Grantees in Poor Standing

In the event the legislature appropriates funding to a grantee on DCH's Vendor Exclusion list, DCH will implement an intense level of monitoring to ensure previous infractions do not reoccur. This monitor may include but is not limited to:

- Monthly site visits by Grantee Management;
- Increased level of documentation to support the payment of invoices;
- Periodic meetings with Grantee Management and Business Owner to review performance and status of Grantee activity;
- Increased level of programmatic and/or financial audits;

Any finding that renders an applicant non-acceptable will be shared with DCH Contracts Administration which may render applicant unable to respond to other projects until applicant can demonstrate that matters have all been resolved.

4.2 Competitive Application Process

A competitive application process (formal solicitation) is conducted to procure grant funded services. This process includes an evaluation of grant applications to determine how funds should be awarded to achieve a specific purpose with an anticipated set of outcomes.

DCH uses an open process to solicit grant applications for available grant funds from entities such as community and faith-based organizations, hospitals, and health care or ancillary service providers. Great care is taken in defining the parameters for competition in order to attain the desired results and infuse service dollars into Georgia's communities where it would be most beneficial. Applicants are encouraged to pursue needed funds with the objective of improving health outcomes throughout the state. DCH and grantees are responsible for ensuring that dollars are appropriately spent and accounted for throughout the life of funded project(s).

4.3 Requests for Competitive Grant

The DCH Program Manager will submit a request for grants using the Request for Grant Application (RFGA) form. The DCH Grant Manager will require detail of the eligibility and scope of work to develop the grant application. The RFGA is the template used by the Department to conduct the solicitation of services. It includes the technical parameters for evaluation.

Upon completion, the solicitation document (RFGA) is finalized and posted on the DCH website. Processing may be delayed by pending project approval or incomplete documentation.

4.4 Direct Awards

The Department will generally award grants through a competitive process except when special circumstances defined below require a different approach. In these instances, DCH's Grant Administration will conduct the grant award process using a direct award approach as outlined by federal or state legislature, or any other regulatory entity. The conditions for exceptions to the competitive application/award process are as follows:

- ◆ A State agency or non-profit organization has been legislatively mandated to receive funding for a specific program or initiative.
- ◆ The Department has received funding from an outside entity (e.g., the federal government, foundation or a philanthropic organization, etc.) to make a direct award to an entity prescribed by the funding source.
- ◆ DCH has applied for a grant and partnered with an entity in pursuit of such grant and the award is made to DCH and the pre-identified partner (in such instances DCH will attempt to make the selection of that partner fair and competitive).
- ◆ The funding source has stipulated that the grant funds are to be used (in part or in whole) for a specific purpose and only one entity has been identified that can reasonably provide that service. This type of award is a Sole Source. In cases such as these, DCH will post the funding availability on the Web for five (5) calendar days to allow any other entity the opportunity to declare itself a provider of the same service thereby voiding the sole source designation. In such cases, a competitive effort will replace the sole source declaration.
- ◆ An emergency exists where there is no time for a competitive process such as when a grant has been awarded to serve a critical purpose and the original grantee's award must be withdrawn. DCH will declare an emergency and execute the award for a period of no more than 12 months to allow a competitive opportunity to replace the originally awarded grantee.
- ◆ Multiple-Year Awards: This occurs when a grantee is awarded through a competitive process for a grant that requires multiple years to complete. The grantee will be direct-awarded in subsequent years until the grant is completed.

Documentation is required to demonstrate why a competitive process was not conducted. All sole source engagements will require pre-approval from the APO and through the applicable federal agency (when required).

4.5 Federal Grants

When the Department receives an award of financial assistance from a Federal agency to carry out a public purpose of support or project authorized by a law of the United States, special treatment is required. Project grants are awarded competitively. Project grants are the most common form of grant and a large number are found in technology development, social services, the arts and health care.

- ◆ Formula Grants provide funds as dictated by a law.
- ◆ Categorical Grants may be spent only for narrowly defined purposes and recipients often must match a portion of the federal funds. 33% of categorical grants are considered to be formula grants.
- ◆ Block Grants combine categorical grants into a single program. Recipients of block grants have more leeway in using funds than recipients of individual categorical grants. All block grants are considered to be formula grants.

Federal Grants received by the Department are governed by the Federal Acquisition Regulations. These regulations are implemented and supplemented as necessary by the Department of Health and Human Services Acquisition Regulation (HHSAR) <http://www.hhs.gov/oamp/policies>. The Department requires that all purchases and contracts shall be made on a competitive basis to the maximum extent possible.

4.6 Other Grants

Grants may also be issued by private non-profit organizations such as foundations, not-for-profit corporations or charitable trusts which are all collectively referred to as charities. Outside the United States grants, subventions or subsidies are used to in similar fashion by government or private charities to subsidize programs and projects that fit within the funding criteria of the grant-giving entity or donor. Grants can be unrestricted; to be used by the recipient in any fashion within the perimeter of the recipient organization's activities or they may be restricted to a specific purpose by the benefactor.

4.7 Concept Paper

When dollars have been designated by the state and directed to support a specific program, the Program Manager will complete and submit to the Grant Manager a RFGA with a draft of the grant application and a Concept Paper, Appendix E. The information provided on the Concept Paper assists the Grant Manager in the development of instructions for applicants inclusive of grant funding restrictions or requirements, statutory authority, scope and purpose, and terms and conditions of the grant. The Grant Manager will review the draft grant application and Concept Paper to understand the intent of the grant and to consent to the process for award selection, when applicable. In the Concept Paper, the Program Manager outlines, at a minimum, the following:

- ◆ Requirements related to the scope of services
- ◆ Grant specifications
- ◆ Anticipated outcomes and program objectives
- ◆ Need and Impact
- ◆ List of required deliverables
- ◆ List of DCH responsibilities
- ◆ List of grantee responsibilities
- ◆ Funding
- ◆ Factors that will be considered during evaluation
- ◆ Factors that will be considered during performance assessment throughout the life of the grant.
- ◆ Completion of the Performance Based Checklist that demonstrates deliverables are performance based wherever practical.
- ◆ A concept paper is not required for continuation grants such as migrant.

The information provided in the grant application facilitates the development of requirements for the NOA.

4.8 Preparation and Review of RFGA Documents

The DCH Grant Manager will assist the DCH Program Manager and/or other key staff in the development and review of the RFGA and will provide constructive feedback in preparation for release. The Grant Manager will format documents ensuring proper numbering, order and attachments. All RFGAs posted to the DCH web site will be in the prescribed format unless modified by the Office of Procurement and Grants. Appendix B of this manual provides a sample format and content for the RFGA.

As grant funds are secured, DCH makes them available to local units of government and other eligible organizations that help carry out the mission of the Department in communities throughout the State of Georgia. Unless otherwise indicated by the funding entity, grant dollars will be administered through a competitive grant award process which is outlined and described in this section and throughout this manual.

After the Program Manager or other pertinent DCH staff has been notified of the receipt of additional funds, the Department’s budget is amended with the new grant dollars. The budget amendment process must occur prior to grant funds being committed through the grant award process.

4.9 Advertisement of Grant Opportunities

DCH makes every effort to disseminate information on grant opportunities as these become available for release by Financial Management. The Grant Manager or Grant Specialist of the Grant Administration team will forward the approved RFGA to the DCH webmaster for posting to the DCH web site upon final review and approval for release. The posting and closing dates of a competitive solicitation are used to determine the total public posting period. Posting will remain in effect for the period indicated in the posting guidelines below of no less than five (5) calendar days and for as long as 30 calendar days or more depending upon the complexity and amount of the grant award.

Competitive Grant Posting Guidelines	
If the Estimated Grant Value is...	Then, the Posting Period is...
Up to \$25,000 (all Direct Awards)	Minimum of Five (5) Calendar Days
\$25,001 - \$100,000	Minimum of Ten (10) Calendar Days
\$100,001 or more	Minimum of Fifteen (15) Calendar Days

In addition to web posting, DCH maintains a mailing list of interested parties which includes prior awardees; entities who have contacted DCH asking to be placed on the mailing list; societies, associations, advocacy groups, and other similarly structured organizations or individuals who have expressed interest in receiving grant funds. DCH may decide to share posted grant opportunities with these interested parties. Grantees may review the Grant Solicitation Quick Reference Guide to provide further guidance to interested parties in responding to open solicitations as presented in Appendix S.

When determined to be advantageous, the Grant Manager and Communications will identify appropriate communication channels to advertise the grant opportunity. The advertisements may take the form of Public Service Announcements (PSA’s) or print ads, if available and determined to be appropriate by Communications and the Program Manager.

4.10 Communication with Applicants

Applicants must refrain from communicating with DCH staff to seek assistance when responding to the grant application except if contact occurs with the Grant Manager or an authorized designee. Technical assistance can be provided in accordance with Section 6.14. Applicants may formally pose questions for clarification purposes only, during the Question and Answer process (see Section 2.8) and DCH will formulate a response which will be shared with all applicants through the DCH web site. There can neither be unfair assistance nor the appearance of unfair assistance from DCH staff to one or more applicants. Once a RFGA is released, communication is prohibited unless it adheres to the limitations specified in this manual. Failure to comply with the communication restrictions may be grounds for disqualification from the grant review process. DCH staff is required to report any communication with an applicant that may be considered a disqualifying event(s).

4.10 Questions and Answers

Applicants will be allowed to submit written questions to the Grant Manager or Issuing Officer regarding the RFGA within specified timeframes. Those timeframes will coincide with the amount of time that the RFGA is posted. The

Grant Manager or Issuing Officer will organize the questions in a table format and submit to the DCH Program Manager for response. Once responses have been formulated, the Grant Manager or Issuing Officer will submit the question(s) and corresponding response(s) to the DCH webmaster for posting to the DCH website.

4.11 Open Records Requirements

DCH abides by the states Open Record Act as outlined in O.C.G.A. § 50-18-70 et seq., or other applicable laws. Applicants should be aware that information submitted by DCH in response to grant opportunities may be subject to examination and inspection by other parties.

The statute supports the State's Purchasing Act requires bids and proposals to be available to public inspection, upon request, within one business day of the state entity's posting of the Notice of Intent to Award (or the Notice of Award in the event the Department does not issue the Notice of Intent to Award). Audited financial statements not otherwise publicly available but required to be submitted in the proposal, offer, or bid must not be subject to public disclosure.

The state entity is allowed to assess a reasonable charge to defray the cost of reproducing documents. A state employee should be present during the time of on-site inspection of documents. For all solicitations conducted by records request may be directed to the following designee at DCH:

Cynthia Fey
Legal Assistant
General Counsel Division
Georgia Department of Community Health
2 Peachtree Street, 40th Floor
Atlanta, GA 30303
Email: cfey@dch.ga.gov
Office: 404-657-7495
Fax: 404-657-7200

SECTION 500 – GRANT SUBMISSION REQUIREMENTS

5.1 Scope of Services

The scope of services (**Appendix I**) describes the purpose of the grant, what is to be accomplished, specific approaches, and expected results. It is the scope of services and deliverables that conveys and clearly defines DCH's required specifications and expected outcomes of the grantee's program and/or service(s). The development of a successful scope of services should result in the clear identification of the following components:

- ◆ Statements which explain the overall objective(s) of the project
- ◆ Summarized statements of how the objective(s) will be achieved or what tasks will be performed
- ◆ Defined, measurable outcomes or results from the effort
- ◆ Defined set of deliverables.

Developing a sound scope of services and deliverables is critical in ensuring the future success of a grant and in helping applicants understand what is required, how and if they can fulfill it. It is the scope of services and deliverables that conveys and clearly defines DCH's required specifications and expected outcomes of the grantee's program and/or service(s). The Grant Manager will assist in ensuring that the scope of services and deliverables is sufficient for the purposes stated in the RFGA.

There are rare instances when DCH will allow modifications to the scope of services and deliverables after the RFGA has been posted and/or after award. These situations are assessed individually by the Director of Procurement. If the need arises to modify the scope of services and deliverables after posting has occurred and the modification is such that it might impede applicants being successful either in their application or in their ability to carry out the grant requirements, the grant offer may be withdrawn or the modification may be rejected. If the modification does not negatively affect the competitive process, it will be allowed. If a grantee wishes to alter the scope of services and it is a valid request, the scope of services and deliverables may be modified after the evaluation team that assessed the application approves the request. However, a grantee interested in requesting such change must submit the request within 45 days of grant award.

5.2 Work plan

Every grant applicant must submit a proposed work plan outlining how it will accomplish the objectives stated in the grant application package. This work plan will define the individual tasks and milestones necessary for the success of the project and will include the timeline or schedule for implementation and operations. A copy of the proposed work plan will be attached to the NOA issued by DCH. Request for changes to the work plan must be made in writing after the Program Manager and the successful grantee reach agreement on the modifications.

Using the approved format, the Program Manager will provide technical assistance to the grantee with developing the work plan ensuring that it clearly defines the goals, objectives and measurable outcomes of the grant without being too narrow in definition.

5.3 Insurance

Grantees may be required to maintain specific kinds of insurance coverage for proper execution of the grant as defined in the NOA. In special cases, DCH may require additional coverage depending upon the nature of the grant and the service(s) that will be provided. Any insurance required must be obtained by the grantee at their expense. The grantee will be required to submit proof of insurance coverage in the form of a signed insurance certificate. The signed insurance certificate must be received in the Office of Procurement Services prior to the execution of the grant.

5.4 Confirmation of Registration with Secretary of State

Prior to finalizing an award, the grantee must be active and current with the licensing requirements of the Secretary of State. No formal award offer will be made by DCH until the grantee's license registration(s) and/or non profit validation is verified because Hospital Authorities do not register with the Secretary of State. Hospital Authorities may provide a copy of their hospital license for operation.

5.5 Award Requirements

The Grant Manager shall support the Program Manager by conducting retrospective reviews of performance and financial reporting for each grant. Actual performance data will be compared to the approved Scope of Services and intended deliverables of the grant. Low performance results and/or non-compliance with the approved budget (i.e., low rate of expenditures, inappropriate use of grant funds, etc.) will prompt the Grant Manager to seek intervention through Vendor and Grantee Compliance Services. Vendor and Grantee Compliance Services will determine next steps.

All grantees must be in good standing with the Department of Community Health, the state of Georgia as well as the Federal Government in order to receive grant funds from the Department. During the evaluation process the Grant Manager shall review the various lists to make certain that the grantee is in good standing. Good standing means the entity is not listed on the following exclusion lists:

- Georgia Secretary of State's Debarment and Suspension list
- Federal Government's Office of Inspector General's Exclusion list
- Department of Audits and Accounts (DOAA) Noncompliant Nonprofit Organization List
- The Department of Community Health's Vendor Exclusion list
- The Department of Community Health's Office of Inspector General *No Fly* list

5.6 Fiscal Budget Report

Grantees are responsible for preparing a Fiscal Budget Report for the grant (**Appendix O**). This report shall include a detail of budget expenses, prior cumulative grant expenditures, current invoicing period and the balance for each line item.

5.7 Programmatic Reports

Grantees are responsible for preparing a monthly or quarterly program performance report for the grant as specified in the NOI. This report shall include an analysis to identify weaknesses that may result in non-performance, delays in completing required deliverables, challenges with meeting programmatic goals and/ or budgeted expenditures. Based on the grantee's non-performance, the Program Manager and/or Grant Manager will provide recommendations to resolve identified challenges.

5.8 Dun & Bradstreet (D&B) Reports

Grantees are responsible for providing an annual D&B report for the grant which must be submitted to DCH no later than 30 days after receipt of Letter of Intent to Award and before the issuance of the Notice of Award. The D&B report must include the supplier report that references the commercial credit score and the financial stress score.,

5.9 Final Report

Grantees are responsible for preparing a final budget report for the grant which must be submitted to DCH no later than 60 days after the end of the funding period. The final report must include a detail of the annual budget costs

including a narrative on all deliverables and objectives. The final invoice will not be approved until a review of final outcomes has been completed and is approved by Grantee Management.

SORH Consideration: No later than 60 days after the end of the funding period or as specified in the grant agreement.

SECTION 600 – SELECTION AND AWARD PROCESS

6.1 Conflict of Interest

Each member of the evaluation committee will sign a confidentiality statement and conflict of interest form. Prior to the meeting of the evaluation committee, all members are required to disclose in writing any relationship with an applicant which would reasonably be expected to exert or could be perceived as exerting an influence on the individual's judgment if the individual was called upon to make a decision regarding the disposition or disbursement of grant funds. For these purposes, DCH policies regarding conflicts of interests will apply (see **Appendix T**). These policies are included in the award packages provided to all grantees.

6.2 Ethics in Grant Making

All participants internal and external to DCH must ensure that fair and open competition exists in all grant making activities and grantee relationships in order to avoid the appearance of and prevent the opportunity for favoritism. It is critical that all divisions ensure that grantees who receive funds through DCH are fully informed of the Department's policies and procedures concerning relationships with DCH staff and that such policies and procedures be uniformly applied to all grantees. For this purpose the DCH Ethics Policy (see **Appendix J and Appendix K**) is included in award packages provided to all grantees.

The broad objectives of ethics in procurement and specifically grant making are as follows:

- Provide accountability
- Maintain public sector integrity
- Ensure compliance with processes
- Ensure that all responses are evaluated against the same criteria
- Preserve public and supplier confidence in the processes
- Eliminate conflicts of interests
- Avoid the potential of misconduct, fraud and corruption

6.3 Submission of Applications

Grant applications received by DCH will be stamped with the date and time of receipt and will be logged in by the Grant Manager or supporting staff member. All applications must be date and time stamped by the RFGA deadline. Proposals that are not received by the specified deadline will not qualify for the evaluation process. The Grant Manager or supporting staff member will conduct the administrative review of applications to ensure compliance with the deadline and mandatory requirements as set forth in the RFGA. A postmark appearing on an application package indicating a date on or prior to the deadline will not satisfy the timeliness requirement if the application was not physically received by DCH by the required date and time. If it can be verified and documented that the application package was received by the DCH mail room by the prescribed time and date, then the applicant would have met the deadline requirement. The LOI will be signed by the Director of Procurement. The LOI will be disseminated within 2 working days of completion of the recommendation to fund grantee by the evaluation team.

SORH Consideration: Consider accepting a post mark date. FedEx and UPS do run late on occasion.

6.4 Administrative Review

After having approved the evaluation tool for the grant, the DCH Grant Manager or Grant Specialist will conduct an administrative review of all applications received. The review will encompass the following:

- A. Recording the receipt of application packages in a log in order by date indicating the name of each respondent and, upon completion of the administrative review, documenting the status of the application (passed or failed). This “log” will be retained with the documentation of the competitive process.
- B. Examining application packages to ensure that they are complete; properly formatted; timely submitted and that they meet any other requirements specified in the RFGA.
- C. Submitting the applications that failed the administrative review to the Director of Procurement who will reexamine them prior to arriving at a final determination. Grant applications that are deemed to be non-responsive or incomplete will be disqualified from the competitive process.
- D. Submitting the applications that met all administrative requirements to the evaluation team and retaining those that did not. The names of **all** applicants are then provided to the Program Manager regardless of their status (“passed” or “failed”) as determined during the administrative review.
- E. Serving as an advisor to the Program Manager and evaluation team, the Grant Manager will assist in the identification of conflicts of interest among team members to ensure that they are able to provide a fair review of the applications.

6.5 Mandatory/Required Deliverables

Grant applications must be prepared and submitted following the information provided in the RFGA and GPD which include clear and measurable deliverables. There will be a method outlined in the RFGA to assess service delivery and to measure accomplishments. Applicants will be informed in the RFGA that failure to identify deliverables may terminate their chances to compete in the grant process or decrease their opportunity to receive an award. The Grant Manager will review all applications prior to releasing them to the evaluation team to ensure deliverables are included and clearly identified in each package and to ensure the applicants are in “Good Standing” with the Department.

6.6 Evaluation Process

The overall purpose of the evaluation process is to analyze the program and budgetary approach proposed by the applicant relative to the requirements in the RFGA and to assign the appropriate score or value to each evaluation criterion. Applications are pre-screened on a pass/fail basis during the administrative review which includes determination of compliance with format requirements outlined in the RFGA. Grant applications are evaluated for the quality of their response to the information requested in the RFGA, and based on the reasonableness and appropriateness of accompanying budgets / costs to provide the proposed service(s) and impact to targeted population(s).

Each grant application is evaluated against the criteria or eligibility requirements identified in the RFGA prior to its release to the Program Manager or other division staff.

6.7 Evaluation Tool

The Program Manager will develop an evaluation tool for each grant. The evaluation tool must be approved by the Grant Manager prior to posting the RFGA. The Grant Manager must receive a completed evaluation tool from the Program Manager prior to the intended closing date for the RFGA. The Grant Manager will approve the evaluation tool or, if necessary, provide technical assistance to the Program Manager in modifying the tool in order to obtain approval. The Program Manager will provide each member of the evaluation committee with a copy of the evaluation tool, including instructions for its use, a copy of the application and a deadline for submitting evaluations.

The evaluation of grantee proposals will involve the point scoring of each proposal in categories according to pre-established criteria. The proposal will be evaluated on a point system for each proposal. The categories for evaluation include the following:

- (a) Project Abstract
- (b) Project Narrative
- (c) Funding Preference
- (d) Project Objectives – (SMART Objectives)
- (e) Project Work Plan
- (f) Project Timeline
- (g) Sustainability Plan
- (h) Evaluation Plan
- (i) Budget Plan
- (j) Budget Justification

The scoring of proposal will involve assigning points to each of the criteria or questions included on the Evaluation Sheet. Grantees receiving less than 70% of the total points for all areas will not be considered for further evaluation.

6.8 Evaluation Committee

Evaluation of grant applications will be conducted by an evaluation committee. Each evaluation committee is comprised of no less than a total of three members, to be inclusive of DCH staff; with a preference that no more than 50% of the reviewers are staff from the program/division initiating the RFGA. Reviewers should reflect a broad array of subject matter expertise and experience which may include state and non-state employees at the discretion of DCH. Generally, only state employees will be utilized as evaluators although on a case-by-case basis, outside evaluators may be used for evaluation of a grant application. The justification to support the need for use of non-state employees as subject matter experts or evaluators will be documented in the summary of the evaluation methodology.

Throughout the evaluation process, the evaluator agrees to maintain the confidentiality of the evaluation process. No member shall transmit, communicate, or otherwise convey preliminary conclusions or results concerning the grantee responses or the likely outcome of the evaluation process. The member agrees that ALL internal workings of the evaluation committee will be kept confidential until the selected grantee has been officially announced by the State. Each member of the evaluation team will sign a Confidentiality and Conflict of Interest statement attesting to their understanding of and compliance with these agency policies prior to engaging in the evaluation process.

Interested parties invest considerable time, effort and resources in preparing and responding to projects. In return, DCH commits to a process that is fair and impartiality during the evaluation process.

6.9 Review of Proposed Budget

Grantees will be required to submit their proposed budget with their application using the budget format presented in **Appendix F**. Either the Grant Manager, Program Manager and /or the evaluation committee will examine each budget on a case by case basis using the scope of services and/or other criteria outlined in the RFGA as the basis for approval or rejection of the proposed budget.

In reviewing the budget, consideration must be given to determine if the proposed costs are necessary, reasonable and allowable for the proper and efficient implementation and administration of the program. In some cases, budget totals or individual line items may not be approved and may need to be negotiated with the grantee. This will only be a consideration when the applicant's program or project proposal and approach satisfy all other minimum criteria for award.

6.10 Site Visits /Oral Presentations

As part of the evaluation process, Program Manager may request the opportunity to conduct site visits or have potential grantees give oral presentations to discuss the proposed work plan, deliverables and/or budget. Determination of the need for oral presentations will be made on a case-by-case basis and should not be interpreted as an indication or confirmation of funding by DCH to a grantee.

The Grant Manager and/or Program Manager will jointly conduct site visits when identified as a requirement within the RFGA. The Grant Manager and/or Program Manager will propose a list of items for examination at the time of the site visit. This list will be approved by the Grant Manager, if appropriate and the Director of Procurement prior to the site visit. The ability of the applicant to achieve the proposed deliverables or provide the services as proposed will be reviewed during the site visit. The Program Manager is responsible for preparing a site visit assessment report as required. Upon conclusion of the site visit, the applicant will receive a score of “passed” or “failed” based on the observations made and information gathered by the Grant Manager and/or Program Manager during the review.

6.11 Recommendations for Award

After each evaluator reviews the grant application and makes their recommendations, a decision is reached about the application. The scores from each application are tallied and final evaluation scores and funding recommendations are presented by the Program Manager to the Grant Manager. Remarks made by the evaluators are reviewed and confirmed to be appropriate, reflecting relevant strengths and weaknesses of the proposal. A recommendation for award is made using the process of consensus.

6.12 Notice of Intent to Award

The Grant Manager will create or assist in the creation or processing of all documents for award approval and directly, or through support staff, will create a Letter of Intent to Award (**Appendix G**) and Notice of Award Letter and Agreement (**Appendix H**) packages for proper approval and release by DCH leadership. The Director of Procurement will approve all communications related to LOI/NOA packages and negotiations as applicable.

The Department shall send all awarded recipients an official Notice of Award to award funding for the services outlined in the RFGA via express mail or electronic communication. This document indicates that the applicant will be awarded funds, if accepted by the Grantee. The Notice of Award will outline the specific scope of services to be performed, and requests a written and signed notification of intent to accept the award which must be submitted to DCH within 10 business days of receipt of the letters. When applicable and reasonable, the grantee may be required to submit additional documentation such as a final and approved scope of services as a condition of the Notice of Award.

6.13 Denial of Award

Applicants, who do not meet the minimum requirements, are non-responsive and/or non-responsible in providing adequate responses, may be denied for funding consideration. All applicants that are unsuccessful in receiving an award, will receive written correspondence and where applicable, strengths and weaknesses of the application. The Director of Procurement will approve the release of any communication related to denial of funding.

6.14 Technical Assistance

The Grant Manager is available to provide technical assistance to any grant applicant or grantee, except must limit assistance to administrative requirements, when related to the competitive application process. During the technical assistance session for denial of awards, a review of the compilation of comments from the evaluation committee is conducted. In addition, the Grant Manager may offer to provide the applicant recommendations on how to enhance future responses to RFGAs released by the Department.

Upon the apparent successful grantee's submission of all supplementary documents and successful conclusion of negotiations, the Notice of Award Signature Page (NOA) is issued and the grant is executed by the Commissioner of DCH remaining as the last signatory in the execution process.

6.15 Preparation of Award Package

The Grant Manager prepares and sends each grantee, via express mail, a Notice of Award package which contains the following documents (as applicable):

- Notice of Award
- Project Budget - Legislative Mandated
- Scope of Services and Deliverables
- DCH Statement of Ethics
- DCH Ethics in Procurement Policy
- Business Associate Agreement
- Office of Inspector General (OIG) Right to Inspect Grant Directives – ARRA
- Vendor Lobbyist Disclosure and Registration Certification

The preparation of the NOA package should be completed within 3 working days of completion of the recommendation to fund grantee by the evaluation team. After preparation of the award package, the Grant Manager will attach the following documents (as applicable) to the award package to initiate the signatory process:

- Grant Review Checklist
- Blue Routing Sheet
- Synopsis information (summary of the RFGA and the apparent successful grantee).
- Evaluation Summary
- Purchase order

6.16 DCH Internal Approval Requirement (All Grants)

Routing is done via SharePoint and/or Blue Sheet, the award package is circulated to the following key staff as part of the signatory process:

- ◆ Grant Manager
- ◆ Director of Procurement
- ◆ Program Manager
- ◆ General Counsel
- ◆ Chief Financial Officer
- ◆ Chief Operating Officer
- ◆ Commissioner (see exception noted)

Exception Noted: Awards below \$100,000 may be signed by the Chief Operating Officer and Chief Financial Officer for execution. The Commissioner signature is not required.

The grantee is required to date, sign using authorized signatures only, and return the award package to the Grants Office within ten (10) days. The following documents must be returned:

- ◆ Signature of acceptance to Notice of Award;
- ◆ Signature of acceptance to DCH Statement of Ethics;
- ◆ Signature of acceptance to DCH Ethics in Procurement Policy;
- ◆ Signature of acceptance to Business Associate Agreement;

- ◆ Signature of acceptance to Office of Inspector General (OIG) Right to Inspect Grant Directives - ARRA
- ◆ Signature of acceptance to Vendor Lobbyist Disclosure and Registration Certification
- ◆ Insurance verification, as applicable.

SECTION 700 – FINANCIAL MANAGEMENT REQUIREMENTS

7.1 Financial Management System

Each grantee must establish a sound financial management system to comply with applicable financial, accounting and reporting requirements. At a minimum, the grantee's financial management system must be sufficient to:

- Permit preparation of reports required by the statutes authorizing the grant.
- Permit tracing of funds to the level of expenditures in a manner that adequately establishes that such funds have not been used in violation of the restriction and prohibition of applicable statutes.
- Ensure that claims for reimbursement of program salary costs are supported by hours recorded on time sheets. Such hours must be actual time worked by funded staff and not budgeted (estimated) staff time.

In addition, the grantee's financial management system must adhere to the following standards:

- Accurate, current and complete disclosure of the financial results of contracted activities must be made in accordance with the reporting requirements of the grant or sub-grant and reflect expenditures in accordance with the required cost classification categories and budgets.
- Adequate accounting records must be maintained that provide information specific to the receipt and use of DCH grant funds. Such records must contain information pertaining to the grant, sub-grant, and or grant awards obligations, unobligated balances, assets, liabilities, outlays or expenditures, revenue, and program income.
- Effective administrative and internal controls must be maintained for all grant and or grant cash, real and personal property and other grant assets. Grantees and sub-grantees must safeguard all such property and must ensure that assets are used only for authorized purposes.
- Actual expenditures or outlays must be compared with budgeted amounts for each grant. Financial information must be related to performance or productivity data, including the development of unit cost information when appropriate and practical. If unit cost data is specifically required by the grant or NOA, estimates based on available documentation will be acceptable.
- Written procedures for determining the reasonableness, and allowability of cost in accordance with the specifications of the terms of the grant, cost principles, and program regulations.
- Accounting records must be supported by source documentation such as cancelled checks, paid invoices, payroll records, time and attendance records, grant award documents, etc. Proper procedures and methods to meet audit standards including storage and retention of source documentation to support accounting records are required.
- Written cash management procedures for minimizing the time elapsing between receipt and disbursement of funds must be adapted and followed. Procedures should be consistent with the requirements of applicable DCH, federal and/or grant provisions.

Each grantee is also responsible for informing their subcontractors of all applicable policies and regulations, and of monitoring the performance of those subcontractors as it relates to the expenditure of funds provided by DCH.

7.2 Cost Allocation

Federal law and regulations provide guidance on the subject of costs and cost allocation. OMB Circulars A-110 and A-122 address the types of costs that are allowable for non-profit organizations, institutions of higher education and hospitals. All grantees should be familiar with the OMB rules that govern which costs may be charged to a grant. While the aforementioned circulars do not address every possible cost or situation involving costs, grantees are required to rely on the OMB guidance as follows:

- A. Costs incurred must be authorized or not prohibited under federal, state, or local laws or regulations. For example, entertainment and alcoholic beverages are prohibited from being charged to any federal or state grant program.
- B. Unless specifically authorized, an invoice shall be inclusive of only those expenses within the reporting period. Late expenditures shall be considered for approval only if random and not the routine.
- C. Expenses must be reasonable and justifiable as per the planned and implemented programmatic goals and outcomes as noted within the Scope of Services and Deliverables and the grantee's work plan.
- D. A grantee must adequately document all costs in a manner consistent with GAAP. Examples include: retaining evidence of attempt to conduct competitive bidding for services or supplies, and maintaining adequate time records for those employees who charge time against a federal grant. It is extremely important to document the rationale for incurring costs that are not immediately and easily determined to be necessary and reasonable for the program at the time the expenditure is made.
- E. Invoices must include the status of expenditures for all approved budget line items. The status should reflect the following:
 - ◆ Amount approved within the grant period
 - ◆ Expenditures to date
 - ◆ Balance remaining after the reporting period.

Cost allocation should be treated on a case-by-case basis and any questions about cost charges should be directed to the Grant Manager. Excessive cost allocations will be reviewed by the Director of Procurement Services and will be granted approval upon the Department's discretion. Any excessive change may not be deemed as responsible and may result in denial.

Please note when no expenses have been accrued within the reporting period, the line item should be denoted as \$0.

7.3 Administrative Costs

Administrative expenses are indirect costs incurred for a common or joint purpose of the organization, benefiting more than one objective. Projects that require extensive reporting and evaluation may require a higher allowance for administrative costs as justified by charges for other than customary grant requirements. DCH will allow up to **9.27%** of the total grant award to be allocated as administrative expenditures, unless otherwise approved or allowable by grant funding source, and documented within the NOI.

Administrative costs may originate in the grant recipient's own organization or in other departments that supply goods, services and facilities to the program. Most often, indirect costs are administrative costs that are incurred to support the overall operation of the organization. Typical examples may include the cost of operating and maintaining facilities, and general administration.

Grantees must maintain and present upon request, records of a cost allocation plan inclusive of other funding sources that support the infrastructure of the organization. The State may require the grantee to demonstrate through an appropriate system of cost allocation, the overhead expenses charged to the State as funded through this grant.

SORH Consideration: Further examples of indirect costs vs. direct costs are needed. This is still confusing to many grantees.

7.4 Program Costs

Program costs include all necessary and reasonable allowable costs that are not specifically defined as administration. Per OMB guidelines, program costs (direct costs) are typically “those costs that can be specifically linked to a particular final cost objective relatively easily and with a high degree of accuracy (i.e., a particular grant award, project, service, or other direct activity of an organization)”. However, a cost may not be assigned to a grant award as a direct cost if any other cost incurred for the same purpose, in a similar circumstance, has been allocated to a grant award as an indirect cost. In order for a cost to be considered direct, it must be: allowable, reasonable, allocable, and consistently treated as a direct charge.

7.5 Prior Approval Requirements for Purchases

Prior approval by DCH and/or the funding entity may be required for specific purchases greater than \$25,000, such as large equipment, automobiles, etc. In cases where prior approval is required, it is necessary that the grantee provide documentation demonstrating that the proposed cost for the item is the best price the grantee was able to obtain. Three price quotes must be submitted along with the invoice seeking reimbursement for the purchase unless the items were obtained through a state contract.

7.6 Request for Budget Modifications (less than/equal 10%)

Grantees may identify the need for a minor reallocation of funds across approved cost categories. A transfer of less than 10% of the total line item amount, per fiscal year, may be adjusted without prior written approval from DCH. Grantees should make reference to the need to make adjustments as documentation with their fiscal report. SORH Consideration: A transfer of less than 10% in state funded projects or 25% in federal funded projects of a line item amount, etc. (need to include that this is based upon the original budget).

These budget adjustments cannot result in a change to the total grant amount and cannot include additional line items that were not previously approved by DCH.

Grantees shall inform their DCH Program Manager of budget adjustments in writing with the submission of their Fiscal Budget Report. The Program Manager or designee will allow proposed budget adjustments from grantees only if they occur within the current fiscal year.

7.7 Request for Budget Modifications (greater 10%)

All requests for budget and programmatic modifications must be reasonable and in the best interest of the program/project. Requests for approval of modifications to grants must be submitted in writing to the Grant Manager and may not be retroactive. Request for an exception regarding retroactive payments are to be submitted with justification to the Grant Manager for review and approval. When considering modifications in a grantee’s budget or deliverables, DCH will confirm that the proposed alterations do not compromise the original intent and/or purpose of the grant. DCH will notify the grantee in writing if the proposed modifications are approved. Modifications should not occur until approved from DCH and is received in writing by the grantee.

Budget modification/revision requests must support the grantee’s expressed need to achieve grant deliverables as outlined within the NOA and the Scope of Work. DCH requires a request for budget modification if the grantee needs

to transfer more than 10% of a line item across cost categories or for the addition and deletion to the budget of line items that have not been previously approved. SORH Consideration: Needs to transfer more than 10% (state funded projects) or 25% (federal funded projects) of a line item across cost categories, etc.

Requests for budget modifications shall be submitted to the Program Manager with copy to the Grant Manager in writing. Each request will be reviewed and a determination will be made on a case-by-case basis.

Budget modifications cannot adversely affect the intended outcome of the grant. In addition, if all grant requirements have been satisfied and grant dollars have not been fully expended, the remaining balance must be returned to DCH unless prior approval for a continuation, extension or for other use of unspent funds has been obtained from the Department (see Section 3.18, Carryover Funds). The Grant Manager and Program Manager will determine the suitability of approval for any and all modifications.

If the request for budget modification(s) is approved, the Program Manager will release a modified grant award notice to the grantee requiring a signature verifying and accepting the revisions to the budget and any corresponding changes to the Scope of Services before the modification becomes effective. DCH approval must be obtained in advance and in writing prior to invoice submissions. The Program Manager or designee will respond to the grantee with the approval or denial of the request for budget modification within thirty (30) calendar days.

7.8 Modification of Deliverables

Requests for modifications to deliverables, including adjustments to approved timelines and work plans, must be made in writing. The Grant Manager and Program Manager will review and make a determination on whether or not the proposed modification is in the best interest of the program/project and to allow the grantee approval. A grantee will not be allowed to modify any of its deliverable(s), administrative responsibilities or other term prior to receiving DCH approval in writing. A grantee's failure to comply with this requirement may terminate any remaining portions of the grant.

7.9 Terms of Payment

The terms of payment provide the financial reporting guidelines for organizations receiving grant funds from DCH and prescribe the uniform accounting procedures for approving and reimbursing expenses.

The frequency of payment and amount will be pre-determined in the NOA which reflect the terms dictated in the application to support the functions and intent of the grant. If during the course of the grant, the grantee determines that the frequency and amount of payment are not sufficient to successfully support the functions and intent of the grant, the grantee may request in writing to the Grant Manager a review of payment terms. This request will be examined by the Grant Manager and Program Manager who will prepare a written recommendation to accept or reject the change in terms. The final decision will be provided to the grantee via written notification.

7.10 Grant Advances

Grant advances may be approved when the grantee clearly demonstrates a financial need for the advancement of funds in order to sufficiently operate the intended program. Advances are allowed based on source of funding. Grantees that do not have sufficient funds from other sources may be considered eligible for grant advances. However, Health Resources and Services Administration (HRSA) funds are not available as an option to subsidize cash flow. HRSA only allows advances in rare extreme hardship. This applies to DCH as the recipient of HRSA funds and sub-recipients.

Grantees that feel that they meet the financial needs requirement must submit a written request for a grant advance to their DCH Program Manager. The request must clearly state the need and the financial status of the requesting

organization. Additional documentation, such as verification of the financial need, may be required with the written request. The final approval of the request is at the discretion of the Director of Procurement.

Upon approval of the request, the amount advanced will cover the estimated needs of the grantee for the period of one (1) quarter, not to exceed 25% of the total grant amount, without considerations for extraordinary circumstances such as disasters and legislative intent.

7.11 Invoicing

Grantees must submit an invoice for each grant received from DCH and for each funding source within the grant, if the grant is composed of multiple funding streams. Grantees must report all expenses and subcontractors expenses on an accrual basis each month/quarter or as determined within the NOA. The invoice is a summary of the actual and accrued expenditures by grant activities for the reported month and contract year-to-date. The report compares budgeted expenditures to actual on a year-to-year basis. An invoice shall also be submitted when requesting advances of grant funds (Please see Section 3.11 for information on grant advances).

In addition to the invoice, grantees must submit a summary of their expenditures for the month and year-to-date in the form of a revenue and expense report. This summary should preferably be generated using the grantee's electronic accounting system which must meet the criteria outlined in Section 3.1 to adequately produce reports as required by DCH.

The expected invoice cycle reiterates the expectations presented in the Grantee's Notice of Award detailing the expected period of invoice submissions. Grantees will be expected to submit invoices either monthly or quarterly depending on the requirements of their grant agreement.

All invoices must be submitted to the following address:

Department of Community Health Grants

**Department of Community Health
Contracts/Grants Payable
PO Box 1966
Atlanta, Georgia 30301-1966.**

State Office of Rural Health (SORH) Grantees

State Office of Rural Health
502 South 7th Street
Cordele, Georgia 31015

All invoice submission packages should consist of the following:

- Cover Letter (may serve as invoice if all information is contained)
- Current Grantee Invoice Balance Sheet
- Copies of receipts, invoices and other supporting documentation required to substantiate expenses
- Narrative reports (if applicable)

- A Brief Status Update
- Masked Encounter Data Reports (as applicable)
- An Invoice Submission Checklist

Additionally Grantees will complete and submit, as part of their invoice package, the following: (a) Grantee Invoice Balance Sheet (Appendix P), and Grantee Invoice Checklist (Appendix Q).

7.12 Standards for Supporting Documentation

Invoices submitted to DCH must be accompanied by adequate supporting documentation which demonstrate legal obligations such as staff time already invested in the project/program and attendance records or logs of activity (i.e. trip reports), delivery receipts or invoices and approvals of salary increases, other processing and payment documentation including vouchers and cancelled checks. Invoices submitted without all required detail and reports will be returned to the grantee and will not be processed until DCH receives correct and complete documentation.

All documentation/records must be properly maintained and should contain original signatures of authorized grantee staff.

Erroneous invoices received before the due date, will be returned to the grantee for proper assembly.

7.13 Frequency and Deadline for Invoicing

Grantees may submit only one invoice per reporting period (monthly/quarterly or as specified in the NOA) and per grant award. Grantees should report all expenses, including subcontractor's expenses, by the last day of the month following the end of the reporting period.

7.14 Processing of Invoices

To ensure expeditious processing of the monthly and annual budget invoices, the following procedures will be employed by DCH once an invoice is received:

- A. Financial Management will create a Routing for Payment Form after receipt of the invoice. The report and form are then immediately sent to the appropriate Program Manager.
- B. The Program Manager will review the invoice to ensure that deliverables are met and that the required documentation is attached. The Program Manager will use the Program Manager Invoice Checklist (Appendix R) as part of this process. In the event that there is missing documentation, the Program Manager contacts the grantee to request a copy of any and all supporting documentation that was omitted from the original submission. Once the required documentation is received, the complete invoice and Routing Form is signed by the Program Manager and forwarded to the Grant Manager for review and approval.
- C. The Grant Manager confirms that the grant is active and eligible for payment as evidenced by an executed award or extension.
- D. Payment will be made when Grant Administration releases the invoice to Accounting for payment.

7.15 Payment of Invoices

Upon receipt and approval of deliverables associated with the grant, and after submission of a correct invoice for services performed by the grantee, DCH will issue payment. To support the Department's intent to assist grantees' in their effort to improve health outcomes in Georgia, it is the posture of the Procurement and Grants Office to allow payment of an invoice within 30 days even if the internal review of the grantee's deliverables/work products has not been completed. In such cases, however, the Program Manager, at a minimum, must verify sufficient receipt of services and deliverables in writing in order for DCH to authorize payment.

7.16 Withholding Payment

If the grantee fails to comply with any of the reporting requirements, DCH may temporarily withhold payment until the grantee achieves compliance. The Department may opt to deny payment for all or part of the reported cost(s) if the grantee remains out of compliance.

7.17 Carryover Funds

Carrying over funds is permissible by the Department under specified conditions and/or as designated by the funding entity. In cases where carrying over funds has been approved, it is necessary that the Program Manager and the Grant Manager provide documentation of the circumstances that prevented expenditure of funds and/or achievement of deliverables/goals within the specified time period as identified in the original grant application package. Such documentation will be verified through the examination of monthly reports and review of budget information. In addition, written communication to the grantee will be provided specifying the terms of the carryover, including the time period for expenditure, amount of carryover and the revised deliverables. Carryover funds will be approved by Grant Manager as a grant extension and will require justification of the need from the Program Manager.

7.18 In-Kind/Match Funds Report

Some grantees may be required to provide matching funds or services as part of their grant agreement at a minimum of five (5%) of the total grant award.. As such, they may be required to submit separate reports to document In-Kind/Match Funds on a monthly basis or as stipulated in the NOA. This report must be submitted with the grantee's invoice identifying program expenditures that are not paid with DCH grant funds but that are part of the grant obligation.

7.19 Program Income Report

A Program Income Report identifies income earned as a result of program activity, how and when the program income is expended, and how the contracted organization plans to utilize any unspent program income. A program income report may be required for monthly submission or as required by the NOA.

7.20 End of Funding Period

The end of the funding period is specified in the Notice of Award package.

7.21 Request to Renew Grant

The Program Manager will initiate the request to renew the grant upon circumstances that require a renewal. As a part of the renewal process, the Program Manager must complete a Request to Extend/Terminate/Renew form and forward to the Office of Procurement Services. Before exercising a renewal option, the Program Manager must evaluate whether it is in the best interest of the State to renew the current agreement. Upon availability of funds, the Department may renew the grant agreement after the initial term.

7.22 Request to Extend Grant

In certain circumstances, the Department may approve extensions of grants. Requests for extensions are reviewed and approval is determined on a case-by-case basis. The Program Manager and Grant Manager will provide documentation of the mitigating circumstances that require an extension. Such documentation will be substantiated by the monthly program and invoices. The Director of Procurement will make the final decision regarding the suitability of any request for extension. Once the decision is made, the grantee will be notified and the conditions for the extension, the time period of the extension and, if applicable, budgeted amount and any revisions to deliverables will be specified in the notice. No extension will be allowed without the expressed permission and approval of the

funding entity if other than DCH. The extension will be documented through the use of the Request to Extend/Terminate/Renew Grant form.

Extensions may not include additional funding without the written approval of the Commissioner.

7.23 Request to Terminate Grant

The Department reserves the right to terminate a grant for any of the following reasons:

- ◆ Grantee's failure to perform as prescribed in the grant award;
- ◆ Continuation of the funded program would be detrimental to the State and or the funding entity;
- ◆ Convenience of DCH, upon thirty (30) calendar days' notice;
- ◆ Grantee's failure to provide information sufficient for continued release of funds;
- ◆ Grantee's failure to account properly for funds already disbursed;
- ◆ Unlawful act that prohibits DCH from continuing its relationship with the grantee; or
- ◆ Any other act DCH or the funding entity deems to be sufficient grounds for termination.
- ◆ Grantees may express the right to terminate with 60 days advance notice in a written letter to the Program Manager.

7.24 Authorization Letters

To ensure adequate authorization of executed new grants, renewals, amendments, extensions or terminations is communicated to the grantee, the following procedures will be employed by DCH once a request action has been approved:

- ◆ Upon approval of the request, the Grant Manager or Grant Specialist will issue an authorization letter within two (2) business days to the grantee stating the Department's desire to execute agreements for grant awards, renewals, amendments, extensions or terminations.
- ◆ All renewals will be renewed at the same price, terms and conditions as the original agreement. The letter should be issued to the grantee within forty-five (45) days prior to the expiration date of the agreement.

SECTION 800 – PROTEST AND APPEAL PROCEDURES

8.1 Request for Reviews

Grantees and applicants will have the opportunity to request a re-examination of a denied application solely for the purposes of identifying weaknesses in the application. Denied applications will not be reconsidered for award once the process has been completed and NOAs have been issued. The review in this case will only be considered a part of DCH's technical assistance efforts.

8.2 Appeals, Complaints and Protests

Appeals must be submitted in writing, signed by an authorized grantee official. An appeal has been "filed" when it has been received by the Agency Procurement Officer. The grantee will have 10 calendar days after notice of award to issue an appeal, complaint or protests. Failure to file within the timeframe established above will not be considered.

Applicants who believe their applications for funding were rejected for any of the following three reasons may appeal to the Commissioner for reconsideration:

- ◆ the application was declined on the basis of review criteria other than those appearing in the guidelines;
- ◆ the application was declined due to influence of selection committee who may have willfully failed to disclose conflicts of interest; or
- ◆ the application was declined because erroneous information was provided by the DCH staff during question and answer period
- ◆ incomplete applications are specifically denied any appeals process. Dissatisfaction with the denial of an award or the amount of a grant award is not grounds for appeal.

If the Commissioner changes a funding decision as a result of an appeal, the timing of the payment of the grant will be coordinated by the agency's Agency Procurement Officer.

Submitting an Appeal/Complaint/Protest:

The appeal must at a minimum:

- Identify the name and address of the petitioner;
- Identify the disputed Notice of Intent to Award/Notice of Award;
- Provide a clear statement of reasons for the appeal;
- Indicate whether an appeal has been filed with any other government agency, and if so, which agency; and
- Provide any supporting documentation to substantiate any claim.

Within five (5) business days of receipt of the appeal, the Agency Procurement Officer or designee will issue a Letter of Acknowledgement of Appeal (Appendix U) to the Grantee or Applicant that contains the following information:

- The date the Department received the appeal;
- Request for additional information necessary to review the appeal;
- A Statement indicating and the Department's process for addressing the appeal;
- Any other pertinent information.

Upon receipt of the appeal, the Agency Procurement Officer will review and recommend a cause of action. The Program Manager will forward their recommendation to the head of the division where the grant resides that will be responsible for the review of the appeal. The decision of the head of the division will be forwarded to the DCH Commissioner. The Commissioner (or his designee) will review the appeal and the recommendation from the head of the division and render the final decision. At the discretion of the Commissioner the grantee may be allowed to appear in person. However, the written appeal will be considered and reviewed within ten (10) business days of receipt and a decision will be rendered at the Commissioner level. That decision will be final.

SECTION 900 - ADDITIONAL GRANT ADMINISTRATION ACTIVITIES

9.1 Federal, State and other Guidelines

All grantees are required to operate in compliance with the rules and regulations set forth in the Notice of Award including, but not limited to, privacy and confidentiality regulations; organizational and employment practices; financial, accounting and reporting requirements; and, State and Federal law. In addition, grantees are responsible for adhering to any and all other regulations or stipulations set forth by the grant, the Department, and other governing entity including the Office of Management and Budget through Circulars A-110 and A-122, and to all applicable State codes. Furthermore, grant recipients must follow Generally Accepted Accounting Principles (GAAP) during their daily administration of grant funds.

9.2 Report to the Secretary of State (SOS)

The DCH Grant Manager will prepare and submit to the Secretary of State the annual Fair and Open Grant Disbursement Report outlining DCH grant activities. This report will be submitted no later than December 31st of each calendar year and will include the name of each grantee, amount awarded, purpose and name of each grant issued during the prior fiscal year. The Director of Procurement will review and approve the report prior to its release.

9.3 Annual Independent Audit

In accordance with OMB Circulars A-110 and A-122, grantees with an annual operating budget of over \$100,000 are required to have an annual financial audit covering the grant year. The audit should reflect the total activity of the grant and must be in compliance with GAPP. A copy of the audit must be submitted to DCH upon request.

All Grantees are required to be in compliance with the financial report submission requirements specified in the Official Code of Georgia Annotated. Grantees in receipt of contracts/grants of state funds exceeding \$25,000 or federal funds above OMB Circular A-133 reporting threshold are required to submit unaudited financial statements or an audit report to the Georgia Department of Audits and Accounts (DOAA).

9.4 Record Retention Requirements & Schedule

Per the regulations established by the Secretary of State and in accordance with the Uniform Requirements for Grants and Cooperative Agreements Between State and Local Governments (Common Rule), grantees are required to retain documentation related to the grant on file in the event an audit is conducted and/or the need to retrieve grant records arises. Such requirements regarding retention of records shall be included in the Notice of Award package. Please see Section 4.4.1 for a detail schedule of record retention as defined by the Secretary of State.

Record Title	Description	Retention	Legal Citation	Retention Classification	Archival Instructions	Number
Federal and State Grant Project Files, Non-Education Agencies	Records documenting federal and state-funded grant projects	3 years after submission of final financial report	Uniform Requirements for Grants and Cooperative Agreements between State and Local Governments (Common Rule)	Temporary - Short Term		01-012
Federal and State Grant Project Files, Education Agencies	Records documenting grants to school systems and education agencies from federal and state agencies	5 years after submission of final report or denial of application	US DOE guidelines	Temporary - Short Term		01-013
Federal and State Grant Reports	Final narrative summary submitted according to grant requirements of the funding agency	Permanent	Uniform Requirements for Grants and Cooperative Agreements between State and Local Governments (Common Rule)	Permanent	Transfer to Archives every 1-4 years	02-010

Record Title	Description	Retention	Legal Citation	Retention Classification	Archival Instructions	Number
Cooperative Federal Programs Budget Preparation, Project, and Allocation Records	Records used to develop, estimate, propose, and plan the preliminary budget requests for cooperative state/federal programs and reflects the process by which annual budget allotments are distributed	5 years after the end of the fiscal year	O.C.G.A. 9-3-25; OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments	Temporary - Short Term		05-004
Membership Registrations	Records used to grant borrower or viewing privileges to patrons	2 years after expiration of membership		Temporary - Short Term		11-003

9.5 Grant File Maintenance

This section provides detail procedures on the basic file content and responsibilities for maintaining files from the entire grant life cycle. Sound fiscal and program requirements will withstand audit scrutiny and ensure that grants are administered ethically and according the federal and state rules and procedures.

The Department is responsible for developing and maintaining complete, accurate and accessible project files for every grant. The content of the file may vary, depending on the type of agreement. The file of record will include any or all of the following:

- Signed Grant Request
- Technical/Cost Analysis
- Pre Award Cost Evaluation
- Signed Agreement and any Amendments
- Legislative Designations including Appropriation Documentation (if applicable)
- Correspondence/Communication from Grantee
- Work Plan
- Progress Reports (records may be maintained with Business Owner and Programmatic Office)
- Monitoring Reports (records maintained with Grant Management)
- Data Collection, Training Conducted
- Other Supporting Documentation

Additionally, each project file will contain the documentation that verifies those legal and administrative actions necessary for the award, implementation, monitoring and evaluation of each project.

Documentation contained in the project file is a matter of public record. However, proper file management precludes the issuance of those documents considered proprietary and thereby restricted. The Office of General Counsel advises the Department and administers request for open records.

The unit is responsible for maintenance of the record in compliance with this policy. Files should be reconciled annually after the fiscal year close to assure that all required documents are in place.

SECTION 1000 – Grant Management

10.1 Purpose

Monitoring is an on-going process throughout the entire grant life cycle to ensure compliance with applicable state and/or federal compliance and those performance goals are met. It serves as a monitoring tool for project assessment and control.

Monitoring ultimately helps to detect/identify problems, avoid, and prevent future occurrence. Additionally, it is intended to achieve the following:

- To help to identify needed changes;
- To identify training and needed technical assistance;
- To provide data necessary for daily operations, program planning and devaluation;
- To adequately respond to federal and/or state participants;
- To provide necessary data for program planning and evaluation; and
- To ensure grantees are in compliance with grant agreements

10.2 Roles and Responsibilities- at the Department of Community Health, monitoring is administered as outlined below:

- A. Business Owner-ongoing contact with grantee through phone calls, meetings, email and correspondence. Additionally, the business owner is responsible for the review and approval of status reports, invoices and claims for reimbursement, equipment list and supporting documentation.
- B. Vendor/Grant Management-provide oversight over the day-to-day administration of grant through the issuance of report cards, site visits, desk audits, programmatic and/or financial audits and deemed appropriate.
- C. Grant Administration-provide periodic review and approval of claims for payment. Additionally, the unit reviews request for advances, spend down reports, work plans as deemed appropriate.

10.2 The following are consideration when determine the frequency of monitoring activities:

- Frequency of prior monitoring and disposition of findings (if any)
- Dollar Value of project
- Previous monitoring reports from past projects
- Notification/alerts of potential problems
- Complexity of project
- Positions funded (full/part time)
- In follow-up to training and/or technical assistance provided

10.3 Informal Monitoring includes regular management, programmatic and supervisory activities taken by the Department to ensure compliance with terms and conditions of the grant. Any communication between DCH staff and grantee about project activities, funding, reporting, and performance that look at compliance to grants terms and conditions, quality of performance, and or internal controls constitute informal monitoring.

10.4 Formal Monitoring will begin during FY2011 as initiated by the Office of Vendor and Grant Management. Formal meeting may be required when calls, letters, and periodic sessions are not sufficient to adequately monitor a project. Complex projects or those with large dollar amounts obligated may require formal monitoring more frequently. Generally, formal site visits are completed prior to the end of the project year.

Project showing evidence of problems or inappropriate use of funds may need to be visited more than once during the fiscal year. The following protocols will be adhered to when initiating a formal site visit:

Program and grantee will be notified of plan site visit.

Grant agreement will be reviewed by Compliance Monitor to become familiar with the planned activities, objectives, and get a sense of where the project should be in terms of implementation.

Budget, reimbursement request, request for budget revisions, and request for advances will be reviewed prior to visit by Compliance Monitor.

Appointment will be coordinated directly with Grantee. Request for additional documentation may be requested in this communication, including documentation to provide

Examples of source documents that may be requested in advance of visit include but are not limited to the following:

- Receipts for expenses itemized on invoices
- Time Sheets/Activity Logs for funded positions (if applicable)
- Fringe Benefits (if reimbursable) must correspond to the amount or percent in the executed project budget
- Travel Costs (must be preapproved)
- Invoices and Payments (approved in budget)

Note that any payments must be directly attributable to the project costs. Invoices will be reviewed to ensure that no non-reimbursable items have been included for reimbursement.

SECTION 1100: APPENDICES

Request for Competitive Grant (RFCG)	A
Request for Grant Application (RFGA)	B
Request to Fund Grantee (RTFG)	C
Grant Planning Document.....	D
Concept Paper.....	E
Budget Format and Budget Narrative	F
Letter of Intent (LOI)	G
Notice of Award (NOA)	H
Scope of Services and Deliverables	I
DCH Statement of Ethics	J
DCH Ethics in Procurement Policy	K
Business Associate Agreement	L
Office of Inspector General (OIG) Right to Inspect Grant Directives – ARRA	M
Vendor Lobbyist Disclosure and Registration Certification	N
Fiscal Budget Report	O
Grantee Invoice Balance Sheet	P
Grantee Invoice Checklist	Q
Program Manager Invoice Checklist	R
Grant Solicitation Quick Reference Guide.....	S
Conflict of Interest and Confidentiality Form.....	T
Letter of Acknowledgement of Appeal.....	U

REQUEST FOR COMPETITIVE GRANT

Please submit the original completed form to: Grants Administration 35th Floor, Fax (404) 657 - 0223

Please be advised of the following:

1. The Request for Competitive Grant must be submitted prior to the posting of the RFGA.
2. The Request for Competitive Grant must be submitted with an approved concept paper.
3. The Request for Competitive Grant must be submitted with a draft of the scopes of services and deliverables.

GRANT INFORMATION

Date Requested:	Grant Title:
Division:	Program:
Project Manager:	Grant Start Date:
	Grant End Date:

AWARD INFORMATION

Total Award Amount:	Funding Source(s) and percentage: Indigent Care Trust Fund (ICTF) require one other matching source <input type="checkbox"/> Federal _____% <input type="checkbox"/> State _____% <input type="checkbox"/> Title XIX _____% <input type="checkbox"/> ICTF _____% <input type="checkbox"/> Other (Please define) <input type="checkbox"/> ARRA
Anticipated Number of Awards:	
Award Ceiling:	

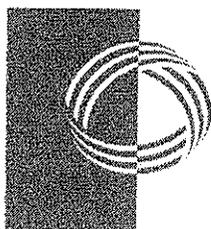
Intervals for Grant Dollar Release: Monthly Quarterly Bi - Annual Annual

Division Director, Office Head or Executive Director: _____
Approval Signature Date

My signature certifies that the approval of this grant furthers the mission of DCH and that the funds are available as specified by the legislative or grant award or any other State Budget Tracking documents.

BUDGET USE ONLY

Date Received: ____ / ____ / ____	Org. code: _____	Budget Year: _____
Budgeted for Fiscal year: _____	Amount: _____	Funding Percentage: _____
Program Area: _____	State: _____	Federal: _____
Account: _____	ICTF: _____	ICTF Match: _____
Sub Class: _____	ARRA: _____	Other: _____
<input type="checkbox"/> Encumbrance	Amount Encumbered: _____	Date of Encumbrance: ____ / ____ / ____
<input type="checkbox"/> Disencumbrance	Amount Disencumbered: _____	Date of Disencumbrance: ____ / ____ / ____
APPROVAL: _____		Date: ____ / ____ / ____



GEORGIA DEPARTMENT OF
COMMUNITY HEALTH

GRANT TITLE

DEPARTMENT OF COMMUNITY HEALTH GRANT FUNDING IS SUBJECT TO AVAILABILITY
AND IS AWARDED AT THE DISCRETION OF THE DEPARTMENT COMMISSIONER

RELEASE DATE: DAY OF THE WEEK, MM-DD-YYYY
CLOSING DATE: DAY OF THE WEEK, MM-DD-YYYY, TIME

POINT OF CONTACT: ARNITA WATSON, GRANTS MANAGER
GEORGIA DEPARTMENT OF COMMUNITY HEALTH
OFFICE OF PROCUREMENT AND GRANTS ADMINISTRATION
2 PEACHTREE STREET, NW, 35TH FLOOR
ATLANTA, GEORGIA 30303-3159
awatson@dch.ga.gov

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, STATE OFFICE OF RURAL HEALTH
MEDICARE RURAL HOSPITAL FLEX EMS NETWORK GRANT PROGRAM

TABLE OF CONTENTS

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APPENDIX A.	GRANT APPLICATION FORM	
APPENDIX B.	GOVERNING BOARD RESOLUTION	
APPENDIX C.	GOVERNING BOARD COMPOSITION	
APPENDIX D.	ETHICS STATEMENT: Includes Signature Page Carefully read, sign, and adhere to Appendix D, the DCH Ethics Statements prior to responding to any Department of Community Health Request for Grant Applications (RFGA). Failure to do so could result in the disqualification of your application at any time during the application process.	
APPENDIX E.	ETHICS IN PROCUREMENT POLICY: Includes (2) Signature Pages Carefully read, sign, and adhere to Appendix E, the DCH Ethics in Procurement Policy prior to responding to any Department of Community Health Request for Grant Applications (RFGA). Failure to do so could result in the disqualification of your application at any time during the application process.	
APPENDIX F.	BUSINESS ASSOCIATE AGREEMENT: Includes Signature Page	
APPENDIX G.	BUDGET PLAN	
APPENDIX H.	BIOGRAPHICAL SKETCH	
APPENDIX I.	ORGANIZATIONAL CHART TEMPLATE	
APPENDIX J.	WORK PLAN TEMPLATE	
APPENDIX K.	TIMELINE TEMPLATE	

**GEORGIA DEPARTMENT OF COMMUNITY HEALTH, STATE OFFICE OF RURAL HEALTH
 MEDICARE RURAL HOSPITAL FLEX EMS NETWORK GRANT PROGRAM**

Background	The Georgia Department of Community Health (DCH) was created in 1999 by Senate Bill 241 and has the responsibility for insuring over two million people in the State of Georgia, maximizing the State's health care purchasing power, coordinating health planning for State agencies and proposing cost-effective solutions for reducing the number of uninsured. Within DCH, the State Office of Rural Health (SORH) serves Georgians by improving access to health care in rural and underserved areas to improve health status and reduce health disparities.
Purpose	The purpose for the Georgia...
Program Overview	
Eligibility and Funding Preference	The applicant must be... Funding Preference will be given to proposals which ...
Match and Cost Sharing	<p>"Matching funds" of at least five percent are required for this program. The match must be from non-DCH grant sources and can be all in-kind or cash or a combination thereof. The match must be for the total dollar amount requested and cannot be "counted" more than once. The amount and source of the match is required in the budget narrative and justification.</p> <p>"Cost sharing" is encouraged if it helps to leverage resources, is responsive to the RFGA activities, is advantageous to the programs, and does not compromise the integrity or the ability of the programs to accomplish proposed goal.</p>
Anticipated Award Amount	
Funding Cycle	
Special Requirements	

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, STATE OFFICE OF RURAL HEALTH
MEDICARE RURAL HOSPITAL FLEX EMS NETWORK GRANT PROGRAM

Deliverables	•
Deadline for Submission of Questions	Questions must be submitted in writing to Arnita Watson, awatson@dch.ga.gov by Time, Day of the Week, MM-DD-YYYY Response to questions will be posted within five business days from closing date.
Deadline for Submission	APPLICATIONS MUST BE RECEIVED TIME, DAY OF THE WEEK, MM-DD-YYYY

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, STATE OFFICE OF RURAL HEALTH
MEDICARE RURAL HOSPITAL FLEX EMS NETWORK GRANT PROGRAM

SUBMISSION GUIDELINES

APPLICATION SUBMISSION

Submission requires remittance of one (1) original, one (1) copy and five (5) CDs of the Grant Application. Applications may be delivered via USPS, Fed Ex, DHL, UPS etc., hand delivered or couriered. **COMPLETED APPLICATIONS MUST BE RECEIVED BY TIME, DAY OF THE WEEK, MM-DD-YYYY.** If the application is incomplete or non-responsive to submission requirements, it will not be entered into the review process. The applicant will be notified the application did not meet submission requirements.

Timely and complete submissions are the responsibility of the applicant(s). The Department of Community Health welcomes completed submissions prior to the Day of the Week, MM-DD-YYYY closing date however all submissions are final. **ALL LATE APPLICATIONS WILL BE CONSIDERED NON-RESPONSIVE TO SUBMISSION REQUIREMENTS.**

Mailing Address for Application Delivery

Arnita Watson, Grants Manager
Georgia Department of Community Health
Vendor and Grants Management
2 Peachtree Street, NW, 35th Floor
Atlanta, Georgia 30303-3159
E-mail: awatson@dch.ga.gov

SUBMISSION FORMAT

The Grant Proposal and Project Abstract **MUST** be submitted in the following format or the application will be considered non-responsive and will not be entered into the review process:

1. **Word** or **PDF** file format
2. **Font Size:** 12 point unreduced (Arial or Times New Roman)
3. **Page Size:** 8.5 by 11 inches
4. **Page Margin Size:** One inch
5. **Project Abstract** should be single spaced and shall not exceed a maximum of 2-3 paragraphs
6. **Project Narrative:**
 - a. The Project Narrative should be double spaced.
 - b. The Project Narrative shall not exceed a maximum of 6 pages (if the narrative exceeds the page limit, only the first pages which are within the page limit will be reviewed).
7. **Budget:**
 - a. The Budget must be completed on Appendix G.
 - b. The budget justification is limited to a maximum of 3 pages (if the budget narrative exceeds the page limit, only the first pages which are within the page limit will be reviewed).
8. **Number** and **Label** all pages; not to exceed the maximum number of pages where applicable.
9. **Headers** should identify each section and **Footers** should include: the name of the organization.
10. **All** required forms and content **MUST** be on the CD in the order and format set forth in this solicitation.

REQUIRED CONTENT

1. **Project Abstract:** A Project Abstract is required for all application forms. The Project Abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed. It should be informative to other persons working in the same or related fields and insofar as possible understandable to a technically literate lay reader. This abstract must not include any proprietary/confidential information. (The Project Abstract will not be counted toward the narrative page limit.).
2. **Project Narrative:** The Project Narrative should not exceed 6 pages and should address activities to be conducted over the funding period and include: a Problem/Need Statement. This statement should describe any problems or mutual barriers in the provision of pre-hospital health care the EMS network will address or seek to solve. It should specify a target audience as well as illustrate desired outcomes and the need for providing Georgia's Critical Access Hospitals with an objective, measurable performance improvement and patient safety program.
3. **Project Objectives:** *SMART* (Specific, Measurable, Achievable, Realistic and Timely) objectives are required for this RFGA (refer to pages 3 - 4 Supplemental Information for suggested guidelines for drafting SMART objectives). The objectives should describe in detail: the short term, intermediate and long term outcomes related to the project.
4. **Project Work Plan and Timeline:** A work plan to include a step-by-step timeline and detailed operation plan of all major activities necessary to attain specified objectives. (See Appendices J and K)
5. **Evaluation Plan:** A clear description of the evaluation plan and how it will assess: a) the described outcomes in measurable terms using benchmarking data, b) the objectives and, c) the related performance measurement and the benefits of the initiative. The Georgia Medicare Rural Hospital Flexibility (Flex) Grant requires demonstration of how Performance Improvement/Quality Improvement, Evaluation of the State FLEX programs and EMS were met.
6. **Sustainability Plan:** A sustainability plan which show clear evidence of the ability to continue efforts following the end of the grant funding period.
7. **Budget Plan:** All anticipated expenses and funding sources directly related to this project, including in-kind contributions, should be calculated and completed on the included Budget Form (Appendix G).
8. **Budget Justification:** A concise narrative labeled **Budget Justification** should follow the Budget Form (Appendix G). The budget plan and budget forms will not be counted toward the narrative page limit. Note, however, that both documents should be placed immediately after the Project Narrative in your proposal submission and should not exceed four (4) pages. Do not sequentially number this section.). Provide a detailed and clearly justified budget narrative that is consistent with the purpose and objectives. Describe the financial resources needed over the duration of the project period and include the share requested from this grant as well as funds from other sources, including organizations, institutions. Describe any in-kind sources of support.

9. **APPENDICES:** All appendices are required. Some appendices include a Signature Page(s) carefully read, sign, and adhere to these forms prior to responding to any Department of Community Health Request for Grant Applications (RFGA). Failure to do so could result in the disqualification of your application at any time during the application process. Included Appendices are as follows:

- A. Grant Application Form
- B. Governing Board Resolution (*Indicate not applicable on form if it does not apply*)
- C. Governing Board Composition (*Indicate not applicable on form if it does not apply*)
- D. Ethics Statement (*Signature Page must be submitted*)
- E. Ethics in Procurement Policy (*Signature Pages must be submitted*)
- F. Business Associate Agreement (*Signature Page must be submitted*)
- G. Budget Plan (*Budget Justification **MUST** accompany this appendix*)
- H. Biographical Sketch (*For key personnel only*)
- I. Organizational Chart (*For lead applicant only*)
- J. Work Plan Template
- K. Timeline Template

II. OTHER CONTENT

Although not required an applicant may wish to submit the following:

- A brief background of the applicant organization – include the organizational history, purpose, and previous experience.
- Letters of support or endorsement for the applicant.

III. SUPPLEMENTAL INFORMATION

Point of Contact: Arnita Watson, Grants Manager
Georgia Department of Community Health
Office of Procurement and Grants Administration
2 Peachtree Street, NW 35th Floor
Atlanta, Georgia 30303 – 3159
E-mail: awatson@dch.ga.gov Phone: (404) 651-6184

Grant funding: DCH grant funding is subject to availability. All awards are subject to the discretion of the Commissioner.

Indirect cost: Indirect costs represent the expenses of doing business that are not readily identified within the budget submission (Appendix G.) but are necessary for the general operation of the organization and the facilitation of the activities required by the grant. In theory, costs like heat, light, accounting and personnel might be charged directly if little meters could record minutes in a cross-cutting manner. Practical difficulties preclude such an approach. Therefore, cost allocation plans or indirect cost rates are used to distribute those costs to benefiting revenue sources. For the purpose of providing the most efficient and effective use of grant dollars DCH limits the application of indirect costs to ten (10) percent.

SUGGESTED GUIDELINES FOR DRAFTING "SMART" OBJECTIVES

"SMART" Objectives: To further enhance performance measurement the Department of Community Health is requiring that objectives be "SMART" (Specific, Measurable, Achievable, Realistic and Timely). This will assist the department in evaluating whether the objectives that are being set are effective and appropriate for the project.

Be aware of the differences between *goals* and *objectives*. Goals relate to aspirations, purpose and vision. The objective is a plan to achieve the goal therefore a goal may have many objectives.

1. **"SMART"** refers to the acronym that describes the key characteristics of meaningful objectives, which are **Specific** (concrete, detailed, well defined), **Measurable** (evaluable in terms of outcomes, data, numbers, quantity, comparison), **Achievable** (feasible, actionable), **Realistic** (considering resources) and **Timely** (a defined time line). However this order may not always be the best way to write your objectives. Often M-A/R-S-T is the preferred method.
2. **MEASURABLE** is the most important consideration when developing *SMART* objectives. Measurability is the evidence of objective achievement. This is your outcomes or other measurable data.
3. **ACHIEVABLE** is correlates to Measurable. Objectives, unlike your aspirations and visions, need to be achievable, there is no point in starting a project which is improbable or impossible to complete or one in which you can't tell when you are finished. An objective is only achievable when it is also measurable and limitations have been assessed. Although an objective may be measurable you must also consider if you have the necessary resources or at least a realistic chance of acquiring the resources.
4. **REALISTIC** is correlates to Achievable. If it is achievable it may not be realistic and conversely if it is not realistic, it is not achievable. Realistic is about who, what, when, where and how. This is where human capital, resources, time, money and opportunity intersect.
5. **SPECIFIC** correlates to measurability, achievability and the realistic nature of the objective. A specific objective is concrete, detailed, focused and well defined. The results of specific objectives are action-orientated and straightforward. The objective should communicate what you would like to see happen and emphasize action and outcome. Specific seek to answer
 - a. What do we seek to achieve? (Conduct, develop, plan, initiate etc.)
 - b. Why are we doing this?
 - c. Who will be involved? Who will be responsible? Do I need partners?
 - d. When will this be completed?
 - e. How will we achieve this?
6. **TIMELY** correlates to measurable, achievable, realistic and specific. Timely is the deadline set for achievement of an objective. Deadlines **MUST** be achievable and realistic to merit the undertaking. A timely objective is a measurable objective. A timely objective is a specific objective as it answers when achievement will be met.

APPLICATION REVIEW AND EVALUATION CRITERIA

APPLICATION REVIEW

Programs must be specific to the Georgia Medicare Rural Hospital Flexibility (Flex) EMS Network Grant Program and outcomes must be measurable in alignment with the relevant goals, objectives or performance measures listed in the Georgia Medicare Rural Hospital Flexibility (Flex) Grant Program Announcement.

Applications will be reviewed for thoroughness as well as their adherence to the prescribed submission format. The following components are required for Application Review

- Project Narrative
- "SMART" Objectives
- Work Plan/Timeline
- Evaluation Plan
- Sustainability Plan
- All required Appendices and the Budget Justification

EVALUATION CRITERIA

Upon successful completion of Application Review an evaluation committee will convene to evaluate the merits of each proposal. The proposal will be evaluated based upon the following proposal elements:

Project Narrative: The applicant's description of the program in terms of: objectives, implementation, specificity, and the feasibility. The applicant's capability includes the adequacy of the applicant's resources (additional sources of funding, organization's strengths, staff time, etc.) available for conducting activities.

"SMART" Objectives: The objectives must be developed in a manner which is appropriate for the grant project and designed around five leading measures which are referred to as *SMART* (specific, measurable, achievable, realistic and timely) objectives. The objectives should describe in detail: the short term, intermediate and long term outcomes related to the project.

Evaluation Plan: The Evaluation Plan should be designed to measure the extent to which the applicant met the goals and objectives.

Sustainability Plan: The Sustainability Plan must show evidence that the applicant is able to maintain the program structure after DCH funding has been exhausted. This must be achieved in a manner that is replicable, appropriate, and realistic. Programs should develop a plan with partners for ensuring regional program sustainability and for acquiring funding from non-federal sources.

Budget Plan and Justification: The proposed budget will be evaluated on the basis of its reasonableness, concise and clear justification, and consistency with the intended use of grant funds.

Evidence of Return on Investment:

In addition, the following factors may affect the funding decision:

- Availability of funds
- Relevance to program priorities

REQUEST TO FUND GRANTEE

Please submit the original completed form to: Grants Administration, 35th Floor, Fax (770) 344-5736

GRANT INFORMATION

Date Requested:	Grant Title:
Division:	Program:
Project Manager:	Grant Start Date:
	Grant End Date:
	Method of Solicitation: <input type="checkbox"/> Competitive <input type="checkbox"/> Direct Award <input type="checkbox"/> Sole Source <input type="checkbox"/> Legislative Mandate

GRANTEE INFORMATION

Grantee:	FE/SSN:
Grantee Point of Contact: (Name, Address, Phone Number, Email Address)	Type of Organization: <input type="checkbox"/> Nonprofit <input type="checkbox"/> Incorporated <input type="checkbox"/> Faith Based <input type="checkbox"/> Governmental <input type="checkbox"/> Other (Please explain)

AWARD INFORMATION

Award Amount:	Funding Source(s) and percentage: Indigent Care Trust Fund (ICTF) require one other matching source
Award Term: <input type="checkbox"/> 6 months <input type="checkbox"/> 1yr <input type="checkbox"/> 2 yrs <input type="checkbox"/> 3 yrs	<input type="checkbox"/> Federal _____ % <input type="checkbox"/> State _____ %
Additional year(s) and cost:	<input type="checkbox"/> ICTF _____ % <input type="checkbox"/> Title XIX _____ %
<input type="checkbox"/> 2010 \$ _____ <input type="checkbox"/> 2011 \$ _____	<input type="checkbox"/> Other (Please define) <input type="checkbox"/> ARRA
<input type="checkbox"/> 2012 \$ _____ <input type="checkbox"/> 2013 \$ _____	

Intervals for Grant Dollar Release: Monthly Quarterly Bi - Annual Annual

Division Director, Office Head or Executive Director: _____
Approval Signature Date

My signature certifies that the approval of this grant furthers the mission of DCH and that the funds are available as specified by the legislative or grant award or any other State Budget Tracking documents.

GRANTS ADMINISTRATION USE ONLY

<input type="checkbox"/> Request for Competitive Grant (if applicable)	<input type="checkbox"/> Concept Paper	<input type="checkbox"/> Evaluation Summary	<input type="checkbox"/> Funding Recommendations
Grant Number: _____			

BUDGET USE ONLY

Date Received: ____/____/____	Org. code: _____	Budget Year: _____
Budgeted for Fiscal year: _____	Amount: _____	Funding Percentage: _____
Fund: _____	Program Area: _____	State: _____
Project: _____	Account: _____	ICTF: _____
Sub Class: _____	ARRA: _____	Other: _____
<input type="checkbox"/> Encumbrance	Amount Encumbered: _____	Date of Encumbrance: ____/____/____
<input type="checkbox"/> Disencumbrance	Amount Disencumbered: _____	Date of Disencumbrance: ____/____/____

APPROVAL: _____ Date: ____/____/____

Purchase Order Number: _____ **Purchasing Officer Signature:** _____

GEORGIA DEPARTMENT OF COMMUNITY HEALTH

GRANT PLANNING DOCUMENT

The Official Code of Georgia Annotated (O.C.G.A.) 28-5-122 Fair and Open Grants Act requires that all Requests for Grant Applications include at minimum the following information.

Issuing Division:	
Estimated Number of Funding Opportunity in this Fiscal Year:	
PROJECT INFORMATION	
Name of Program:	Program Manager:
New Funding Opportunity:	Statutory Basis: Cite the basis for the grant program in the Official Code of Georgia Annotated or other general law of the state of Georgia:
<input type="checkbox"/> Yes	Senate Bill#: House Bill#:
<input type="checkbox"/> No	Other Documentation of Funding Approval:
Project Description:	
Anticipated Funding Source:	
<input type="checkbox"/> State	<input type="checkbox"/> ICTF
<input type="checkbox"/> Federal (If Federal name the funding agency i.e. CDC, HRSA, etc.)	<input type="checkbox"/> Other (Name the funding agency i.e. RWJF, GHF etc.)
Estimated Funding	Expected Number of Awards:
Eligibility:	
Estimated Release Date:	Estimated Due Date:
PROJECT INFORMATION	
Name of Program:	Program Manager:
New Funding Opportunity:	Statutory Basis: Cite the basis for the grant program in the Official Code of Georgia Annotated or other general law of the state of Georgia:
<input type="checkbox"/> Yes	Senate Bill#: House Bill#:
<input type="checkbox"/> No	Other Documentation of Funding Approval:
Project Description:	
Anticipated Funding Source:	
<input type="checkbox"/> State	<input type="checkbox"/> ICTF
<input type="checkbox"/> Federal (If Federal name the funding agency i.e. CDC, HRSA, etc.)	<input type="checkbox"/> Other (Name the funding agency i.e. RWJF, GHF etc.)
Estimated Funding:	Expected Number of Awards:
Eligibility:	
Estimated Release Date:	Estimated Due Date:



In addition to the minimum requirements outlined in the O.C.G.A. 28-5-122 Fair and Open Grants Act, and the submission of a GPD, DCH also requires the completion and submission of the documents listed below. Please view and download the following documents from the Procurement Forms File on the DCH shared "O" drive:

- 1) Request for Competitive Grant
- 2) Request to Fund Grantee
- 3) Grant Application Template
- 4) Sample Time Line
- 5) Required Attachments/Appendices

Please do not hesitate to contact Arnita Watson, Grants Manager at awatson@dch.ga.gov or (404) 651-6184, if you have questions regarding the RFGA process.



APPENDIX E

CONCEPT PAPER

<Vendor Name>

<Granting Entity>

FUNDING: <Funding Amount>

GRANT #: (If Applicable)

PURPOSE:

PROGRAM:

NEED AND IMPACT:

BUDGET FORMAT AND BUDGET NARRATIVE

PROJECT BUDGET BY FUNDING SOURCE

Categories	Grant Funds Requested	Non-Grant Funds Contributed	Total
*Personnel: (Salary and Fringe)			
1.			
2.			
3.			
4.			
5.			
6.			
7.			
Personnel Total	\$0.00	\$0.00	\$0.00
Office Operations:			
Facility Rental/Mortgage			
Telephone			
Internet			
Utilities:			
Gas			
Electric			
Water & Sewer			
Total Office Operations:	\$0.00	\$0.00	\$0.00
Equipment:			
Computer			
Printer			
Medical (Itemize)			
Other (Itemize)			
Total Equipment:	\$0.00	\$0.00	\$0.00

Categories	Grant Funds Requested	Non-Grant Funds Contributed	Total
Consultants/ Subcontractors			
Total Consultants/Subcontractors	\$0.00	\$0.00	\$0.00
Other (Itemize):			
Total Other:	\$0.00	\$0.00	\$0.00
Matching Contribution:			
Cash			
In-Kind			
Total Matching Contribution	\$0.00	\$0.00	\$0.00
TOTAL BUDGET	\$0.00	\$0.00	\$0.00

Note:

A budget narrative that explains each line item must accompany the budget. Sub-contractors must be identified. If contractors have not yet been identified explain the selection process. Please identify all sources of funding (cash or in-kind) in addition to state funding requested under this grant and include a description in the budget narrative.

No portion of any state grant funds may be used for any expenditure made prior to the date a grant agreement is completed.

<DATE>

<GRANTEE Contact Name>
<GRANTEE Company Name>
<GRANTEE Address>

RE: Letter of Intent to Award
<Grant Title> Grant – <Grant Number>

Dear <GRANTEE Contact Name>:

The Department of Community Health (DCH), <Granting Entity> has reviewed all submitted proposals for the <Grant Title> and is pleased to inform you that you have been selected to provide services under the <Grant Title> agreement. This Letter of Intent to Award (LOIA) is not the official agreement and work should not commence until the Notice of Award (NOA) is signed by both parties. It is the intent of DCH to enter into a formal grant agreement with <GRANTEE Company Name> (hereinafter referred to as "GRANTEE") with funding to be released within four (4) to six (6) weeks.

Be advised that the Scope of Services are pending and subject to change based upon programmatic need and/or at the discretion of DCH. The terms and conditions of the DCH Grant Agreement in the NOA will take precedence over this LOIA.

The total of all payments made to <GRANTEE Company Name> under the grant agreement shall not exceed the amount of <Funding Amount>. The grant funding period begins following the return of the signed grant agreement with final signature and approval by DCH, and terminates on or before <Grant End Date>.

DCH and <Granting Entity Acronym> take great pride in providing grant funding to entities such as yours to ensure that Georgians have access to appropriate quality health care. There is much work to be done and through our collective efforts, we can make considerable strides in achieving our goals.

If you have any questions about the award or the grant agreement, please contact Arnita Watson, Grants Manager at (404) 651-6184 or via e-mail at awatson@dch.ga.gov.

DCH looks forward to working with <GRANTEE Company Name> regarding this extremely worthwhile project.

Sincerely,

Debbie Hall, MSHCA
Chief Operating Officer

Enclosure

cc: Paul Iaderosa, Director of Strategic Sourcing
Arnita Watson, Grant Manager
Program Manager

<DATE>

<GRANTEE Contact Name>
 <GRANTEE Company Name>
 <GRANTEE Address>

RE: Notice of Award
 <Grant Title> Grant - <Grant Number>

Dear <GRANTEE Contact Name>:

Enclosed please find the Notice of Award (NOA) between the Department of Community Health's (DCH), <Granting Entity> and <GRANTEE Company Name> (hereinafter referred to as "GRANTEE"). The total of all payments made by DCH to the Grantee under this Agreement shall not exceed the amount of <Funding Amount> for the duration of the grant term. The grant term begins upon execution by DCH and terminates on or before <Grant End Date>.

The Agreement provides additional information regarding what will be required of you to fulfill your obligations as a GRANTEE. Please read the terms and conditions outlined in this NOA, sign the signature page and Appendices A - D and then return the entire packet via overnight delivery to Arnita Watson, Grants Manager at the address listed below. Please retain a copy of the packet for your files. By signing this agreement and its contents listed below, GRANTEE acknowledges reading, comprehending, and compliance with all rules and regulations contained within this NOA.

- | | | |
|----|---|------------|
| 1) | DCH Statement of Ethics | Appendix A |
| 2) | DCH Ethics in Procurement Policy | Appendix B |
| 3) | DCH Business Associate Agreement | Appendix C |
| 4) | Vendor Lobbyist Disclosure and Registration Certification | Appendix D |

<Business Owner> will assist you in understanding the conditions of your award and in monitoring your successes going forward. Contact information for Mr. /Ms. <Business Owner's Last Name> is included in the enclosed NOA. **Prior to approval of any invoice payments and the disbursement of any grant funds, <Granting Entity> staff will coordinate with you to finalize the work plan and budget details.**

If you have any questions about the award or the grant agreement, please contact Arnita Watson, Grants Manager at (404) 651-6184 or via e-mail at awatson@dch.ga.gov.

DCH looks forward to working with <GRANTEE Company Name> regarding this extremely worthwhile project.

Sincerely,

David A. Cook

Enclosures

GRANTEE acknowledges that all responsible parties thoroughly reviewed, analyzed and understood the content of the grant application prior to submitting to DCH.

GRANTEE attests that it possesses the skills, qualifications, expertise, financial resources and experience necessary to perform the services outlined in this Agreement in an efficient and cost-effective manner, with a high degree of quality and responsiveness. GRANTEE hereby releases and agrees to indemnify and hold harmless DCH, the State of Georgia and its departments, agencies and instrumentalities including, but not limited to, the State Tort Claims Trust Fund, the State Authority Liability Trust Fund, and the State Employee Broad Form Liability Funds, the State Insurance and Hazard Reserve Fund, and other self-insured funds, all such funds hereinafter collectively referred to as the ("Funds") from and against any and all claims, demands, liabilities, losses, costs or expenses, and attorneys' fees, caused by, growing out of, or arising from this Agreement, due to any act or omission on the part of GRANTEE, its agents, employees, customers, invitees, licensees or others working at the direction of GRANTEE or on its behalf, or due to any breach of this Agreement by GRANTEE, or due to the application or violation of any pertinent federal, state or local law, rule or regulation. This indemnification survives the termination of the Agreement and the dissolution or, to the extent allowed by the law, the bankruptcy of GRANTEE.

The Department has the right to request additional information from GRANTEE to ensure that the funds are being utilized in the manner stipulated in the grant and, where applicable, the GRANTEE's response to the Request for Grant Application.

In addition to the requirements stipulated in this Notice of Award, GRANTEES will be expected to comply with additional provisions regarding insurance, proof of ownership, legal custodianship, and financial reporting requirements as noted.

Failure by the GRANTEE to adhere to the terms and conditions stated in this Agreement may result in the delay of payment of the funds until such time that GRANTEE is in compliance with the terms and conditions of the grant or in termination of the grant to include an end to funding. The Department may also elect to terminate any further relationship with GRANTEE if the non-compliance is of a nature that would cause harm to the members or the Department. In this event, any future payments to GRANTEE will be discontinued.

The Department has the right to monitor, inspect, and audit all activities and records associated with this grant funding from the Department.

CONDITIONS OF PAYMENT

The total payments rendered under this grant agreement will not exceed *<Funding Amount>* for the duration of the grant term ending *<Grant End Date>*. Consideration for all services performed by GRANTEE pursuant to this grant agreement shall be paid by the Department as follows:

Invoices are to be submitted quarterly (no later than 30 calendar days following the end of the quarter). Invoices will not be accepted if the GRANTEE has not completed the required deliverables or complied with programmatic reporting requirements as stated within this Agreement.

Each invoice for payment must reference this Agreement Number, GRANTEE's tax identification number and itemize the approved grant line items associated with the deliverables.

GRANTEE will receive Invoice Instructions upon receipt of an outline of the grant implementation plan. No invoices will be accepted for payment until the outline of the grant implementation with cost figure estimation is delivered to, and approved by, your assigned Program Manager. The grant implementation plan should detail specifics to include proposed usage of the funds with cost.

No invoice will be paid without adequate supporting documentation of the expense. DCH will pay the invoice or notify GRANTEE of disapproval within thirty (30) calendar days of receipt.

No invoice will be accepted for expenses incurred or services rendered prior to grant execution or after the grant terminates. Final invoices or invoices that intend to deplete grant funds will not be paid until a satisfactory accounting of grant deliverables have been confirmed by the Program Manager.

Failure to submit invoices in the manner outlined will result in a denial of approval for invoice payment.

EACH INVOICE SHOULD BE MAILED TO THE FOLLOWING ADDRESS:

<u>Non-Public Health Grants</u>		<u>Public Health Grants</u>		<u>State Office of Rural Health (SORH) Grantees</u>
Department of Community Health Contracts/Grants Payable PO Box 1966 Atlanta, Georgia 30301-1966	OR	Department of Community Health Division of Public Health P.O. Box 1956 Atlanta, Georgia 30301	OR	State Office of Rural Health 502 South 7 th Street Cordele, Georgia 31015

CONTACT INFORMATION FOR QUESTIONS REGARDING THIS AWARD:

Grants Administration:

Arnita Watson, Grants Manager
 Georgia Department of Community Health
 Office of Procurement and Grants Management
 2 Peachtree Street, 35th Floor
 Atlanta, GA 30303-3159
 E-mail: awatson@dch.ga.gov

Program Manager:

<Program Manager Name>
 <Company/Program Name>
 <Address>
 <Direct Phone>
 <FAX>
 <E-mail address>

GRANTEE SCOPE OF SERVICE, RESPONSIBILITIES AND DELIVERABLES

<Grant Title>

Upon Execution from DCH through *<Grant End Date>*

Funding Level: *<Funding Amount>*

STATEMENT OF GRANT PURPOSE:

<Purpose Information>

GEORGIA DEPARTMENT OF COMMUNITY HEALTH SHALL:

- Provide general project guidance and serve as a resource to provide information, consultation and technical assistance as needed on grant related issues.
- Prepare and disseminate reports as needed.
- Conduct financial or programmatic audits or both as required.
- Identify and link grantee with any departmental or other technical resources that may assist in fulfilling the grant objectives.

SCOPE OF SERVICES:

In consideration of funding in the amount of *<Funding Amount>*, *<GRANTEE Company Name>* will perform the scope of services and adhere to the specific responsibilities, timelines and deliverables as detailed below. The GRANTEE agrees to:

<Scope Information>

DELIVERABLES:

<Deliverable Information>

SIGNATURE PAGE

FACSIMILE SIGNATURE

Any signature below that is transmitted by facsimile shall be binding and effective as the original.

Request for Grant Application Title: <Grant Title>	P.O. Number :	Grant Number:
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This Agreement is entered into between Agency and GRANTEE listed below:

Granting Entity:
Department of Community Health/ <Granting Entity> (hereafter called Agency)
2 Peachtree Street, 35th Floor
Atlanta, GA 30303-3159

GRANTEE's Name:
<GRANTEE Company Name>
<GRANTEE Address>

Grant to Begin: Execution date by DCH	Date of Completion: <Grant End Date>	Renewals: To be determined
Maximum Award Amount : <Funding Amount>	Matching Funds: N/A	In Kind : N/A

IN ACCEPTANCE OF THIS AWARD:

The GRANTEE agrees to perform all required scopes of services, comply with all grant responsibilities and conditions, adhere to all timelines and meet all deliverables set forth by the Agency as described within this amended agreement.

The GRANTEE acknowledges that the total payments under this agreement will not exceed <Funding Amount> for the duration of the term ending <Grant End Date>.

The GRANTEE reaffirms that it will comply with all previous agreements regarding the Agency's Statement of Ethics, Ethics in Procurement Policy, Business Associate Agreement and Lobbying Policy.

IN WITNESS WHEREOF, the GRANTEE states and affirms that they are duly authorized to bind the entity designated below as of the day and year indicated.

GRANTEE

BY:

Signature _____ Date _____

Print/Type Name _____

*TITLE AFFIX CORPORATE SEAL HERE

(Corporations without a seal should attach a copy of the Certificate of Corporate Resolution)

ATTEST: _____ Date _____
**SIGNATURE

- * Must be President, Vice President, CEO or Other Authorized Officer
- ** Notary or Witness

GEORGIA DEPARTMENT OF COMMUNITY HEALTH – SIGNATORY APPROVAL

Signature _____ Signature _____

Date _____ Date _____

WITHIN 10 CALENDAR DAYS OF DATE ON AWARD- RETURN DOCUMENT TO THE FOLLOWING ADDRESS:

Attn: Grants Manager, Amita Watson
2 Peachtree Street, NW
35th Floor
Atlanta, Georgia 30303

GRANTEE SCOPE OF SERVICES, RESPONSIBILITIES AND DELIVERABLES

<Grant Title>

Date of execution by DCH through *<Grant End Date>*

STATEMENT OF GRANT PURPOSE

<Purpose Information>

GEORGIA DEPARTMENT OF COMMUNITY HEALTH SHALL:

- Provide ongoing guidance, consultation and technical assistance, as related to the grantee training opportunities and grant activities or as needed on grant related issues.
- Prepare and disseminate annual reports that contain aggregate data from all migrant projects for all interested persons or parties.
- Conduct financial or programmatic audits as required.
- Identify and link grantee with any departmental or other technical resources that may assist in fulfilling the grant objectives.

SCOPE OF SERVICES

In consideration of the *<Fiscal Year>* funding of *<Funding Amount>*, *<GRANTEE Company Name>* will perform the scopes of services and adhere to the specific responsibilities, timelines and deliverables as detailed below. The grantee shall:

- *<Scope Information>*

DELIVERABLES

- *<Deliverable Information>*

STATEMENT OF ETHICS

Preamble

The Department of Community Health has embraced a mission to improve the health of all Georgians through health benefits, systems development, and education. In accomplishing this mission, DCH employees must work diligently and conscientiously to support the goals of improving health care delivery and health outcomes of the people we serve, empowering health care consumers to make the best decisions about their health and health care coverage, and ensuring the stability and continued availability of health care programs for the future. Ultimately, the mission and goals of the organization hinge on each employee's commitment to strong business and personal ethics. This Statement of Ethics requires that each employee:

- Promote fairness, equality, and impartiality in providing services to clients
- Safeguard and protect the privacy and confidentiality of clients' health information, in keeping with the public trust and mandates of law
- Treat clients and co-workers with respect, compassion, and dignity
- Demonstrate diligence, competence, and integrity in the performance of assigned duties
- Commit to the fulfillment of the organizational mission, goals, and objectives
- Be responsible for employee conduct and report ethics violations to the Ethics Officer
- Engage in carrying out DCH's mission in a professional manner
- Foster an environment that motivates DCH employees and vendors to comply with the Statement of Ethics
- Comply with the Code of Ethics set forth in O.C.G.A. Section 45-10-1 et seq.

Not only should DCH employees comply with this Statement of Ethics, but DCH expects that each vendor, contractor, and subcontractor will abide by the same requirements and guidelines delineated. Moreover, it is important that employees and members of any advisory committee or commission of DCH acknowledge the Statement of Ethics.

Ethical Guidelines

1. Code of Conduct

All employees of DCH are expected to maintain and exercise at all times the highest moral and ethical standards in carrying out their responsibilities and functions. Employees must conduct themselves in a manner that prevents all forms of impropriety, including placement of self-interest above public interest, partiality, prejudice, threats, favoritism and undue influence. There will be no reprisal or retaliation against any employee for questioning or reporting possible ethical issues.

2. Equal Employment

The Department is committed to maintaining a diverse workforce and embraces a personnel management program which affords equal opportunities for employment and advancement based on objective criteria. DCH will provide recruitment, hiring, training, promotion, and other conditions of employment without regard to race, color, age, sex, religion, disability, nationality, origin, pregnancy, or other protected bases. The Department expects employees to support its commitment to equal employment. The failure of any employee to comply with the equal employment requirements provided in DCH Policy #21 may result in disciplinary action, up to and including termination.

3. Harassment

DCH will foster a work environment free of harassment and will not tolerate harassment based on sex (with or without sexual conduct), race, color, religion, national origin, age, disability, protected activity (i.e., opposition to prohibited discrimination or participation in a complaint process) or other protected bases from anyone in the workplace: supervisors, co-workers, or vendors. The Department strongly urges employees to report to the Human Resources Section any incident in which he or she is subject to harassment. Additionally, any employee who witnesses another employee being subjected to harassment should report the incident to the Human Resources Section. If DCH determines that an employee has engaged in harassment, the employee shall be subject to disciplinary action, up to and including termination, depending on the severity of the offense.

4. Appropriate Use of DCH Property

Employees should only use DCH property and facilities for DCH business and not for any type of personal gain. The use of DCH property and facilities, other than that prescribed by departmental policy, is not allowed. Furthermore, the use of DCH property and facilities for any purpose which is unlawful under the laws of the United States, or any state thereof, is strictly prohibited. Employees who divert state property or resources for personal gain will be required to reimburse the Department and will be subject to the appropriate disciplinary action, up to and including, termination.

5. Secure Workplace

DCH is committed to maintaining a safe, healthy work environment for its employees. Accordingly, it is DCH's expectation that employees refrain from being under the influence of alcohol or drugs in the workplace because such conduct poses a threat to the employee, as well as others present in the workplace. Additionally, DCH has a zero tolerance policy regarding violence in the workplace. Specifically, DCH will not condone the threat of, or actual assault or attack upon, a client, vendor, or other employee. If an employee engages in violent behavior which results in an assault of another person, he or she will be immediately terminated.

6. Political Activities

Although the DCH recognizes that employees may have an interest in participating in political activities and desires to preserve employees' rights in participating in the political process, employees must be aware of certain allowances and prohibitions associated with particular political activities. DCH encourages employees to familiarize

themselves with DCH Policy #416 to gain understanding about those instances when a political activity is disallowed and/or approval of such activity is warranted.

7. Confidentiality

DCH has a dual mandate in terms of confidentiality and privacy. Foremost, as a state agency, DCH must comply with the Georgia Open Records Act and Open Meetings Act. The general rule that is captured by those laws is that all business of the agency is open to the public view upon request. The exceptions to the general rule are found in various federal and state laws. In order to protect the individuals' health information that is vital to the delivery of and payment for health care services, DCH sets high standards of staff conduct related to confidentiality and privacy. Those standards are reinforced through continuous workforce training, vendor contract provisions, policies and procedures, and web-based resources.

8. Conflicts of Interest

Employees should always strive to avoid situations which constitute a conflict of interest or lend to the perception that a conflict of interest exists. Specifically, employees must avoid engaging in any business with the DCH which results in personal financial gain. Similarly, employees must encourage family members to avoid similar transactions since they are subject to the same restrictions as employees. DCH encourages its employees to seek guidance from the Office of General Counsel regarding questions on conflicts of interest.

9. Gifts

Employees are strictly prohibited from individually accepting gifts from any person with whom the employee interacts on official state business. Gifts include, but are not limited to, money, services, loans, travel, meals, charitable donations, refreshments, hospitality, promises, discounts or forbearance that are not generally available to members of the public. Any such item received must be returned to the sender with an explanation of DCH's Ethics Policy.

10. Relationships with Vendors and Lobbyists

DCH values vendors who possess high business ethics and a strong commitment to quality and value. Business success can only be achieved when those involved behave honestly and responsibly. Therefore, it is critical that employees ensure that vendors contracting with DCH are fully informed of DCH policies concerning their relationships with DCH employees and that these policies be uniformly applied to all vendors. Among other requirements, DCH expects that each vendor will honor the terms and conditions of its contracts and agreements. If DCH determines that a vendor has violated the terms and conditions of a contract or agreement, the vendor shall be held responsible for its actions. Employees must ensure that fair and open competition exists in all procurement activities and contracting relationships in order to avoid the appearance of and prevent the opportunity for favoritism. DCH strives to inspire public confidence that contracts are awarded equitably and economically. DCH will apply the state procurement rules, guidelines, and policies. Open and competitive bidding and contracting will be the rule.

DCH recognizes that lobbyists, both regulatory and legislative, may from time to time seek to meet with DCH employees to advance a particular interest. DCH recognizes that employees may have personal opinions, even those that may be contrary to a position that DCH has adopted. DCH employees, however, must recognize that the public, including legislators and lobbyists, may have difficulty differentiating between the official DCH position and a personal opinion. Accordingly, employees should always work directly with the Director of Legislative Affairs in preparing any responses to requests or questions from elected officials and their staff or lobbyists.

ACKNOWLEDGEMENT OF STATEMENT OF ETHICS

I, the undersigned, hereby acknowledge that:

- A. I have received, read, and understand the Georgia Department of Community Health's *Statement of Ethics*;
- B. I agree to comply with each provision of the Georgia Department of Community Health's *Statement of Ethics*;
- C. I am a (please check which applies):
 - GRANTEE
 - Subcontractor
 - Vendor

COMPANY NAME

Authorized Signature

Date

Print Name

AFFIX CORPORATE SEAL HERE
(Corporations without a seal, attach a
Certificate of Corporate Resolution)

ATTEST: _____

SIGNATURE

Date

TITLE

* Must be President, Vice President, CEO or Other Authorized Officer

**Must be Corporate Secretary

GEORGIA DEPARTMENT OF COMMUNITY HEALTH

DCH Ethics In Procurement Policy	Policy No. 402
Effective Date: April 10 , 2006 Release Date: April 5, 2006	Page 1 of 8

I. THE COMMITMENT

The Department is committed to a procurement process that fosters fair and open competition, is conducted under the highest ethical standards, is fully compliant with all instruments of governance and has the complete confidence and trust of the public it serves. To achieve these important public purposes, it is critical that potential and current vendors, as well as employees, have a clear understanding of, and an appreciation for, the DCH Ethics in Procurement Policy (the "Policy").

II. SCOPE

This Policy is applicable to all Vendors and Employees, as those terms are defined below.

III. CONSIDERATIONS

Procurement ethics must include, but is not limited to, the following considerations:

A. Legitimate Business Needs

The procurement of goods and services will be limited to those necessary to accomplish the mission, goals, and objectives of the Department.

B. Conflicts of Interest

A "conflict of interest" exists when personal interest interferes in any way with the interests of the Department. A conflict situation can arise when an individual takes actions or has interests that may make it difficult to perform his or her work objectively and effectively. Conflicts of interest also arise when an individual, or a member of his or her Immediate Family, receives improper personal benefits as a result of his or her action, decision, or disclosure of Confidential Information in a Procurement.

C. Appearance of Impropriety

Employees must take care to avoid any appearance of impropriety and must disclose to their supervisors any material transaction or relationship that reasonably could be expected to give rise to a conflict of interest. Similarly, anyone engaged in a business relationship with the Department should avoid any appearances of impropriety.

D. Influence

An impartial, arms' length relationship will be maintained with anyone seeking to influence the outcome of a Procurement.

E. Gifts

DCH Employees are prohibited from soliciting, demanding, accepting, or agreeing to accept Gifts from a Vendor.

F. Misrepresentations

Employees and Vendors may not knowingly falsify, conceal or misrepresent material facts concerning a Procurement.

G. Insufficient Authorization

Employees may not obligate the Department without having received prior authorization from an approved official. Engaging in such activity is a misrepresentation of authority.

An Employee's failure to adhere to these considerations, as well as the guidelines set forth herein shall be grounds for disciplinary action, up to and including, termination. Similarly, a Vendor's failure to comply with this Policy will result in appropriate action as determined by governing state and/or federal law, rules and regulations, and other applicable Department policies and procedures.

IV. DEFINITIONS

For purposes of this policy:

"Affiliate Vendor Team" shall mean employees, directors, officers, contractors, and consultants of a Vendor that directly or indirectly assist the Vendor in the preparation of response to a Procurement.

"Confidential Information" shall mean all information not subject to disclosure pursuant to the Open Records Act, O.C.G.A. §50-18-70 *et seq.* that a current Vendor or potential Vendor might utilize for the purpose of responding to Procurement or that which is deemed disadvantageous or harmful to the Department and to the citizens of the State of Georgia in that such disclosure might lead to an unfair advantage of one Vendor over another in a Procurement.

"Contracting Officer" shall mean the Department Employee maintaining oversight of the Procurement process who may also be designated as the Point of Contact as described below.

"Department" shall mean the Georgia Department of Community Health.

"Employee" shall mean any person who is employed by the Department.

"Evaluation Team" shall mean a designated group of Department Employees who review, assess, and score documents submitted to the Department in response to a Procurement solicitation.

"Gifts" shall mean, for purposes of this Policy, money, advances, personal services, gratuities, loans, extensions of credit, forgiveness of debts, memberships, subscriptions, travel, meals, charitable donations, refreshments, hospitality, promises, discounts or forbearance that are not generally available to members of the public. A Gift need not be intended to influence or reward an Employee.

"Financial Interest" shall mean, for purposes of this Policy, an ownership interest in assets or stocks equaling or exceeding 0%.

"Immediate Family" shall mean a spouse, dependent children, parents, in-laws, or any person living in the household of the Employee.

"Kickback" shall mean compensation of any kind directly or indirectly accepted by an Employee from a Vendor competing for or doing business with the Department, for the purpose of influencing the award of a contract or the manner in which the Department conducts its business. Kickbacks include, but are not limited to, money, fees, commissions or credits.

"Procurement" shall mean buying, purchasing, renting, leasing, or otherwise acquiring any supplies, services, or construction. The term also includes all activities that pertain to obtaining any supply, service, or construction, including description of requirements, selection and solicitation of sources, preparation and award of contract, as well as the disposition of any Protest.

"Protest" shall mean a written objection by an interested party to an RFQ or RFP solicitation, or to a proposed award or award of a contract, with the intention of receiving a remedial result.

"Protestor" shall mean an actual bidder/offeror who is aggrieved in connection with a contract award and who files a Protest.

"Point of Contact" shall mean the individual designated to be a Vendor's only contact with the DCH following the public advertisement of a solicitation or the issuance of a request for a bid, proposal, or quote, until the award of a resulting contract and resolution of a Protest, if applicable.

"Prohibited Contact" shall mean contact with any officer, member of the Board or other Employee of the DCH, other than the Point of Contact, whereby it could be reasonably inferred that such contact was intended to influence, or could reasonably be expected to influence, the outcome of a Procurement. This prohibition includes, without limitation, personal meetings, meals, entertainment functions, telephonic communications, letters, faxes and e-mails, as well as any other activity that exposes the Employee to direct contact with a Vendor. This prohibition does not include contacts with Employees solely for the purpose of discussing existing on-going Department work which is unrelated to the subject of the Procurement. Inquiries regarding the status of a Procurement should also be directed to the Point of Contact.

“Vendor” shall mean any individual or entity seeking to or doing business with the Department within the scope of this Policy, including, without limitation, contractors, consultants, suppliers, manufacturers seeking to act as the primary contracting party, officers and Employees of the foregoing, any subcontractors, sub consultants and sub suppliers at all lower tiers, as well as any person or entity engaged by the Department to provide a good or service.

“DOAS Vendor Manual” shall mean the Georgia of Department of Administrative Services’ vendor manual.

V. EMPLOYEE RESPONSIBILITIES

A. Evaluation Team Members

1. The Contracting Officer must ensure that employees participating in any Procurement activities have sufficient understanding of the Procurement and evaluation process and the applicable DCH and DOAS rules and regulations and policies associated with the processes.
2. Evaluation team members are tasked with conducting objective, impartial evaluations, and therefore, must place aside any personal and/or professional biases or prejudices that may exist. Additionally, Employees serving on an Evaluation Team must not allow personal relationships (i.e. friendships, dating) with Employees, principals, directors, officers, etc. of a Vendor or individuals on the Affiliate Vendor Team to interfere with the ability to render objective and fair determinations. Such interference may constitute the appearance of, and/or an actual conflict of interest and should be immediately disclosed to the Contracting Officer prior to the Employee’s participation on the evaluation team. The Contracting Officer shall consult with the Ethics Officer to make a determination as to whether the Employee should participate on the evaluation team.
3. In the event that the Department determines that a conflict of interest does exist and the Employee failed to make the appropriate disclosure, the Department will disqualify the Employee from further participation on the evaluation team. Furthermore, in the event that the Department determines that the conflict of interest did impact the outcome of a Procurement, such Employee may be subject to disciplinary action, up to and including termination.
4. In the event that the Department identifies that the employee maintains a relationship of any sort that lends to an appearance of a conflict of interest with respect to a Procurement, the Department may, in its discretion, take appropriate action to eliminate such an appearance, up to and including the disallowance of the Employee’s participation in any Procurement activities. In such instances, the employee most likely will not be subject to disciplinary action.

5. Prior to participating on an evaluation team, each DCH Employee must execute a statement attesting and acknowledging that:
- a. The Employee shall not participate in a decision or investigation, or render an approval, disapproval, or recommendation with respect to any aspect of a Procurement, knowing that the Employee, or member of their immediate family has an actual or potential Financial Interest in the Procurement, including prospective employment;
 - b. The Employee shall not solicit or accept Gifts, regardless of whether the intent is to influence purchasing decisions;
 - c. The Employee shall not be employed by, or agree to work for, a Vendor or potential Vendor or Affiliate Vendor Team during any phase of a Procurement;
 - d. The Employee shall not knowingly disclose Confidential Information;
 - e. The Employee is precluded from engaging in Prohibited Contact upon the release of a Procurement solicitation, during the Evaluation Process, and throughout a Protest period, period of stay or court injunction related to procurement with which Employee was associated or at any time prior to the final adjudication of the Protest;
 - f. The Employee is responsible for reporting any violations of this Policy in accordance with this Policy;
 - g. The Employee will be responsible for complying with all DOAS rules and regulations, as well as Georgia law pertaining to procurements and conflicts of interest; and
 - h. The Employee shall not assist a potential Vendor in the Procurement process in evaluating the solicitation, preparing a bid in response to the evaluation, or negotiating a contract with the Department. This prohibition shall not prohibit the Contracting Officer from carrying out his or her prescribed duties as allowed by DCH policy and procedures or the DOAS Vendor Manual.

B. Responsibilities of Non-Evaluation Team Members

All Employees should be mindful of the importance of confidentiality during any Procurement. Even if an Employee is not serving in the capacity of a member on the Evaluation Team, the Employee must refrain from engaging in conduct with a Vendor that could result in a conflict of interest or be considered a Prohibited Contact.

VI. VENDOR RESPONSIBILITIES

A. Gifts and Kick-Backs

Vendors may neither offer nor give any Gift or Kick-backs, directly or indirectly, to an Employee. Similarly, no Vendor may offer or give any Gift or Kick-backs, directly or indirectly, to any member of an Employee's Immediate Family. Such prohibited activity may result in the termination of the contract, in those cases where the Vendor has executed a contract with the Department. In the event that a potential Vendor who has submitted a response to a Procurement solicitation engages in such activity, the Department shall act in accordance with DOAS protocol.

B. Family Relationships with Department Employees

If a Vendor has a family or personal relationship with the Employee, a Gift that is unconnected with the Employee's duties at the DCH is not necessarily prohibited. In determining whether the giving of an item was motivated by personal rather than business concerns, the history of the relationship between the Vendor and Employee shall be considered. However, regardless of the family or personal relationship between a Vendor and an Employee, a Gift is strictly forbidden where it is being given under circumstances where it can reasonably be inferred that it was intended to influence the Employee in the performance of his or her official duties.

C. Vendor Submittals

The Department expects all potential Vendors and current Vendors to be forthcoming, always submitting true and accurate information in response to a Procurement or with regard to an existing business relationship. If the Department determines that the Vendor has intentionally omitted or failed to provide pertinent information and/or falsified or misrepresented material information submitted to the Department, the Department shall act in accordance with applicable state law and DOAS procurement policies and procedures.

Vendors must calculate the price(s) contained in any bid in accordance with Section 5.11 of the DOAS Vendor Manual.

D. Business Relations

A Vendor may not be allowed to conduct business with the Department for the following reasons:

1. Falsifying or misrepresenting any material information to the Department as set forth hereinabove;
2. Conferring or offering to confer upon an Employee participating in a Procurement (which the entity has bid or intends to submit a bid) any Gift, gratuity, favor, or advantage, present or future; and
3. Any other reasons not explicitly set forth herein that are contained in the DOAS Vendor Manual.

VII. USE OF CONFIDENTIAL INFORMATION

Employees will not use Confidential Information for their own advantage or profit, nor will they disclose Confidential Information during a Procurement to any potential Vendor or to any other unauthorized recipient outside DCH.

VIII. ADDRESSING VIOLATIONS

A. The Process

Adherence to this policy makes all DCH staff responsible for bringing violations to the attention of the Contracting Officer under Procurement protocols or to a supervisor/manager if the affected Employee is not a part of the Procurement. If for any reason it is not appropriate to report a violation to the Contracting Officer or the Employee's immediate supervisor, Employees will report such violations or concerns to the Ethics Officer. The Contracting Officer and managers are required to report suspected ethics violations to the Ethics Officer who has specific responsibility to investigate all reported violations.

Reporting suspected policy violations by others shall not jeopardize an Employee's tenure with the Department. Confirmed violations will result in appropriate disciplinary action, up to and including termination from employment. In some circumstances, criminal and civil penalties may be applicable.

The Ethics Officer will notify the employee making the report of the suspected violation of receipt of such report within five (5) business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

B. Good Faith Filings

Anyone filing a complaint concerning a violation of this policy must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

C. Confidentiality

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation. Additionally, all Employees are expected to cooperate in the investigation of such violations. Failure to cooperate in an investigation may result in disciplinary action, up to and including termination from employment.

ACKNOWLEDGEMENT OF ETHICS IN PROCUREMENT POLICY

I, the undersigned, hereby acknowledge that:

- A. I have received, read, and understand the Georgia Department of Community Health's Ethics In Procurement Policy;
- B. I agree to comply with each provision of the Georgia Department of Community Health's *Ethics In Procurement Policy*;
- C. I am a (please check which applies):
 - GRANTEE
 - Subcontractor
 - Vendor

GRANTEE

Authorized Signature*

Date

Print Name

AFFIX CORPORATE SEAL HERE
(Corporations without a seal, attach a
Certificate of Corporate Resolution)

ATTEST:

SIGNATURE**

Date

TITLE

* Must be President, Vice President, CEO or Other Authorized Officer

**Must be Corporate Secretary

BUSINESS ASSOCIATE AGREEMENT

This Business Associate Agreement (hereinafter referred to as "Agreement"), effective this _____ day of _____, _____ is made and entered into by and between the Georgia Department of Community Health (hereinafter referred to as "DCH") and _____ (hereinafter referred to as "GRANTEE") as Attachment _____ to Grant No. _____ between DCH and GRANTEE dated _____ ("Grant").

WHEREAS, DCH is required by the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 ("HIPAA"), to enter into a Business Associate Agreement with certain entities that provide functions, activities or services on behalf of DCH involving the use of Protected Health Information ("PHI");

WHEREAS, GRANTEE, under Grant No. _____ (hereinafter referred to as "Grant"), may provide functions, activities, or services involving the use of PHI;

NOW, THEREFORE, for and in consideration of the mutual promises, covenants and agreements contained herein, and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, DCH and GRANTEE (each individually a "Party" and collectively the "Parties") hereby agree as follows:

1. Terms used but not otherwise defined in this Agreement shall have the same meaning as those terms in the Privacy Rule and the Security Rule, published as the Standards for Privacy and Security of Individually Identifiable Health Information in 45 C.F.R. Parts 160 and 164 ("Privacy Rule" and "Security Rule").
2. Except as limited in this Agreement, GRANTEE may use or disclose PHI only to extent necessary to meet its responsibilities as set forth in the Grant provided that such use or disclosure would not violate the Privacy Rule or the Security Rule, if done by DCH.
3. **Unless otherwise Provided by Law, GRANTEE agrees that it will:**
 - A. Not request, create, receive, use or disclose PHI other than as permitted or required by this Agreement, the Grant, or as required by law.
 - B. Establish, maintain and use appropriate safeguards to prevent use or disclosure of the PHI other than as provided for by this Agreement or the Grant.
 - C. Implement and use administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity and availability of the electronic protected health information that it creates, receives, maintains, or transmits on behalf of DCH.
 - D. Mitigate, to the extent practicable, any harmful effect that may be known to GRANTEE from a use or disclosure of PHI by GRANTEE in violation of the requirements of this Agreement, the Grant or applicable regulations.

- E.** Ensure that its agents or subcontractors are subject to at least the same obligations that apply to GRANTEE under this Agreement and ensure that its agents or subcontractors comply with the conditions, restrictions, prohibitions and other limitations regarding the request for, creation, receipt, use or disclosure of PHI, that are applicable to GRANTEE under this Agreement and the Grant.
- F.** Ensure that its agents and subcontractors, to whom it provides protected health information, agree to implement reasonable and appropriate safeguards to protect the information.
- G.** Report to DCH any use or disclosure of PHI that is not provided for by this Agreement or the Grant and to report to DCH any security incident of which it becomes aware. GRANTEE agrees to make such report to DCH in writing in such form as DCH may require within three (3) business days after GRANTEE becomes aware of the unauthorized use or disclosure or of the security incident.
- H.** Make any amendment(s) to PHI in a Designated Record Set that DCH directs or agrees to pursuant to 45 C.F.R. §164.526 at the request of DCH or an Individual, within five (5) business days after request of DCH or of the Individual. GRANTEE also agrees to provide DCH with written confirmation of the amendment in such format and within such time as DCH may require.
- I.** Provide access to PHI in a Designated Record Set, to DCH upon request, within five (5) business days after such request, or, as directed by DCH, to an Individual. GRANTEE also agrees to provide DCH with written confirmation that access has been granted in such format and within such time as DCH may require.
- J.** Give the Secretary of the U.S. Department of Health and Human Services (the "Secretary") or the Secretary's designees access to GRANTEE's books and records and policies, practices or procedures relating to the use and disclosure of PHI for or on behalf of DCH within five (5) business days after the Secretary or the Secretary's designees request such access or otherwise as the Secretary or the Secretary's designees may require. GRANTEE also agrees to make such information available for review, inspection and copying by the Secretary or the Secretary's designees during normal business hours at the location or locations where such information is maintained or to otherwise provide such information to the Secretary or the Secretary's designees in such form, format or manner as the Secretary or the Secretary's designees may require.
- K.** Document all disclosures of PHI and information related to such disclosures as would be required for DCH to respond to a request by an Individual or by the Secretary for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528.
- L.** Provide to DCH or to an Individual, information collected in accordance with Section 3. K. of this Agreement, above, to permit DCH to respond to a request by an Individual for an accounting of disclosures of PHI as provided in the Privacy Rule.

4. Unless otherwise Provided by Law, DCH agrees that it will:

Notify GRANTEE of any new limitation in DCH's Notice of Privacy Practices in accordance with the provisions of the Privacy Rule if, and to the extent that, DCH determines in the exercise of its sole discretion that such limitation will affect GRANTEE'S use or disclosure of PHI.

Notify GRANTEE of any change in, or revocation of, permission by an Individual for DCH to use or disclose PHI to the extent that DCH determines in the exercise of its sole discretion that such change or revocation will affect GRANTEE'S use or disclosure of PHI.

Notify GRANTEE of any restriction regarding its use or disclosure of PHI that DCH has agreed to in accordance with the Privacy Rule if, and to the extent that, DCH determines in the exercise of its sole discretion that such restriction will affect GRANTEE'S use or disclosure of PHI.

Prior to agreeing to any changes in or revocation of permission by an Individual, or any restriction, to use or disclose PHI as referenced in subsections b. and c. above, DCH agrees to contact GRANTEE to determine feasibility of compliance. DCH agrees to assume all costs incurred by GRANTEE in compliance with such special requests.

5. The Term of this Agreement shall be effective as of _____, and shall terminate when all of the PHI provided by DCH to GRANTEE, or created or received by GRANTEE on behalf of DCH, is destroyed or returned to DCH, or, if it is infeasible to return or destroy PHI, protections are extended to such information, in accordance with the termination provisions in this Section.

A. Termination for Cause. Upon DCH's knowledge of a material breach by GRANTEE, DCH shall either:

- (1) Provide an opportunity for GRANTEE to cure the breach within a reasonable period of time, which shall be within 30 days after receiving written notification of the breach by DCH;
- (2) If GRANTEE fails to cure the breach, terminate the Grant upon 30 days notice; or
- (3) If neither termination nor cure is feasible, DCH shall report the violation to the Secretary of the Department of Health and Human Services.

B. Effect of Termination.

(1) Upon termination of this Agreement, for any reason, DCH and GRANTEE shall determine whether return of PHI is feasible. If return of the PHI is not feasible, GRANTEE agrees to continue to extend the protections of Sections 3 (A) through (L) of this Agreement and applicable law to such PHI and limit further use of such PHI, except as otherwise permitted or required by this Agreement, for as long as GRANTEE maintains such PHI. If GRANTEE elects to destroy the PHI, GRANTEE shall notify DCH in writing that such PHI has been destroyed and provide proof, if any exists, of said destruction. This provision shall apply also to PHI that is in the possession of subcontractors or agents of GRANTEE. Neither GRANTEE nor its agents nor subcontractors shall retain copies of the PHI.

(2) GRANTEE agrees that it will limit its further use or disclosure of PHI only to those purposes DCH may, in the exercise of its sole discretion, deem to be in the public interest or necessary for the protection of such PHI, and will take such additional actions as DCH may require for the protection of patient privacy and the safeguarding, security and protection of such PHI.

(3) If neither termination nor cure is feasible, DCH shall report the violation to the Secretary. Particularly in the event of a pattern of activity or practice of GRANTEE that constitutes a material breach of GRANTEE'S obligations under the Grant and this agreement, DCH shall invoke termination procedures or report to the Secretary.

(4) Section 5. B. of this Agreement, regarding the effect of termination or expiration, shall survive the termination of this Agreement.

6. **Interpretation.** Any ambiguity in this Agreement shall be resolved to permit DCH to comply with applicable laws, rules and regulations, the HIPAA Privacy Rule, the HIPAA Security Rule and any rules, regulations, requirements, rulings, interpretations, procedures or other actions related thereto that are promulgated, issued or taken by or on behalf of the Secretary; provided that applicable laws, rules and regulations and the laws of the State of Georgia shall supersede the Privacy Rule if, and to the extent that, they impose additional requirements, have requirements that are more stringent than or have been interpreted to provide greater protection of patient privacy or the security or safeguarding of PHI than those of the HIPAA Privacy Rule.
7. All other terms and conditions contained in the Grant and any amendment thereto, not amended by this Agreement, shall remain in full force and effect.

IN WITNESS WHEREOF, GRANTEE, through its authorized officer and agent, has caused this **Business Associate Agreement** to be executed on its behalf as of the date indicated.

GRANTEE

Authorized Signature*

Date

Print Name

AFFIX CORPORATE SEAL HERE
(Corporations without a seal, attach a
Certificate of Corporate Resolution)

ATTEST: _____

SIGNATURE**

Date

TITLE

* Must be President, Vice President, CEO or Other Authorized Officer

**Must be Corporate Secretary

**Office of the State Inspector General (OIG)
Right to Inspect Grant Directives
Regarding Stimulus Funds**

RIGHT TO INSPECT

It is hereby agreed that the Office of Inspector General shall have access to all records, information, data, reports, plans, projections, matters, agreements, memoranda, correspondence, and any other materials of Georgia Department of Community Health and shall be deemed to be an authorized representative and agent of Georgia Department of Community Health for the purposes of examining and investigating the records of all grantees, subcontractors or consultants whose records relate to agreements and/or subcontracts with Georgia Department of Community Health for the purposes of determining whether fraud, waste corruption and abuse has occurred. Grantee agrees to the following:

- a) Grantee agrees to make available, at all reasonable times, during the term of this agreement plus an additional three (3) years thereafter, any and all records, information, data, reports, plans, projections, matters, agreements, memoranda, correspondence, and other materials relating to this agreement, for inspection by the Office of the State Inspector General.
- b) Grantee agrees to include the substance of this clause in all subcontracts related to this agreement.

Authorized Signature

Print Name

Date

CERTIFICATIONS REGARDING LOBBYING

Current or prospective vendors/grantees should refer to Ga. Comp. R. & Regs. r. 111-1-2-.01 *et seq.* to determine whether it is required to execute this certification. Current or prospective vendors/grantees should also review the instructions for certification included in these regulations before completing this form. Execution of this form provides for compliance with the Department of Community Health's certification requirements as found in Ga. Comp. R. & Regs. r. 111-1-2-.01 *et seq.*

The certification shall be treated as a material representation of fact upon which reliance will be placed when the Department of Community Health determines to award a covered transaction, grant, or cooperative agreement.

LOBBYING

As required and implemented, for persons entering into a covered transaction, grant, or cooperative agreement, the current or prospective vendor/grantee certifies the following:

(a) No appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any lobbyist for influencing or attempting to influence an officer or employee of any agency, a member, officer, or employee of the Georgia General Assembly, or a member, officer, or employee of the Georgia delegation to the United States Congress in connection with the making of any grant, the entering into of any cooperative agreement, or other covered transaction, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement.

Current or prospective grantees understand that use of appropriated funds for this purpose shall be grounds for termination of the award and/or agreement and may cause recoupment or refund actions against current or prospective grantees.;

(b) If any funds, other than appropriated funds, have been paid or will be paid to any lobbyist for influencing or attempting to influence an officer or employee of any agency, a member, officer, or employee of the Georgia General Assembly, or a member, officer, or employee of the Georgia delegation to the United States Congress in connection with this grant or cooperative agreement, the undersigned shall complete and submit the "Lobbying Disclosure and Registration Form" to report lobbying, in accordance with its instructions.

The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly. As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE / DATE

**CURRENT OR PROSPECTIVE VENDOR/GRANTEE LOBBYIST DISCLOSURE AND
REGISTRATION CERTIFICATION FORM**

Pursuant to Executive Order Number 10.01.03.01 (the "Order"), signed by Governor Sonny Perdue on October 1, 2003, current or prospective vendors/grantees with the State are required to certify that any lobbyist whom the current or prospective vendor/grantee employs or retains has registered with the State Ethics Commission and complies with Executive Order Number 10.01.03.01, O.C.G.A. §21-5-70 *et seq.*, and Ga. Comp. R. & Regs. r. 111-1-2-.01 *et seq.* The Order requires "Lobbyists", defined as those who lobby state officials on behalf of businesses that seek a contract to sell goods or services to the state or those who oppose such a contract, to register with the State Ethics Commission and file the disclosures required by Article 4 of Chapter 5 of Title 21 of the Official Code of Georgia. Consequently, every current or prospective vendor/grantee desiring to enter into an agreement with the state must complete this certification form. False, incomplete, or untimely registration, disclosure, or certification shall be grounds for termination of the award and agreement and may cause recoupment or refund actions against Grantee.

In order to be in compliance with Executive Order Number 10.01.03.01, please complete this Certification Form by designating only one of the following:

- Current or prospective vendor/grantee does not have any lobbyist(s) affiliated, employed, or retained seeking or opposing contracts for it or its clients. Consequently, current or prospective vendor/grantee has not registered anyone with the State Ethics Commission as required by Executive Order Number 10.01.03.01 and any of its related rules, regulations, policies, or laws.
- Current or prospective vendor/grantee does have lobbyist(s) affiliated, employed, or retained seeking or opposing contracts for it or its clients. The lobbyist(s) is/are:

Grantee states, represents, warrants, and certifies that it has registered the above named lobbyists with the State Ethics Commission as required by Executive Order Number 10.01.03.01 and any of its related rules, regulations, policies, or laws.

Grantee

Date

SIGNATURE

DATE

Invoice Check List

Grant Number:	Grant Amount:	Funding Period: ___/___/___ to ___/___/___
Organization:	Grant Program:	Grant Execution Date: ___/___/___
Address:		
City:	State:	Zip:
Email:		

Please be certain to include the following items with your invoice. Disregard items that may have already been submitted for this invoice period. Be aware that omitting one or more of the required items below may delay remittance of grant funds.

	Checklist	Checkbox
1	Cover Letter.	<input type="checkbox"/>
2	Invoice Expense Statement.	<input type="checkbox"/>
3	Invoice Expenditure Narrative.	<input type="checkbox"/>
4	Receipts and/or Invoices to Support Invoice Line Items.	<input type="checkbox"/>
5	Current Status Report/Accounting of Deliverables.	<input type="checkbox"/>
6	Encounter Data Report (if applicable).	<input type="checkbox"/>
7	Event registration or sign-in lists in support of public events, including but not limited to, fairs, seminars, and workshops (if applicable).	<input type="checkbox"/>
8	Invoice Check List.	<input type="checkbox"/>

Comments

Please reference all Checklist Comments in the space below.

I hereby attest that the above named grantee documentation is thorough and complete for the purpose of this invoice and that the grantee has successfully met the requirements identified within their work plan for this period.

Program Manager's Signature

Date Signed

*Please note that all expenses should comply with the approved budget. Grantees should not submit expenses related to requested budget modifications that have not been approved by DCH.

Program Manager Invoice Checklist

Grant Number:	Grant Amount:	Funding Period: ___/___/___ to ___/___/___
Organization:	Grant Program:	Grant Execution Date: ___/___/___
Address:	City:	State: Zip: Email:
Program Manager:		

Please be certain that the Grantee has included the following items with their Invoice. Disregard items that may have already been submitted for this invoice period. Be aware that omitting one or more of the required items below may delay remittance of grant funds.

Complete Items 11 and 12 only if they reflect Deliverables listed in the Grantee's Work Plan.				Yes	No	N/A	Comment
1	Is this an Active Grant?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	The Signed NOA and Final Work Plan have been Received and Approved by DCH.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3	Has a Final Budget been submitted and approved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4	Is a cover letter attached?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
5	Is the Invoice Expense Statement attached?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6	Did the Grantee submit a Status Report or an Accounting of Deliverables?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7	Is the Grantee Invoice Checklist included and complete?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8	Receipts and/or Invoices to Support Expenditures/Services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
9	Did the Grantee include a Budget Justification or Narrative to describe expenditures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
10	Do all Invoice and budget items clearly correlate to activities outlined in the workplan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
11	If required, has the Grantee included materials (flyers, event registration or sign-in lists) in support of public events, including but not limited to, fairs, seminars, and workshops?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
12	If required, has the Grantee included copies or reports of any quantitative or qualitative data collected from event participants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Comments
Please reference all Invoice Comments in the space below. Please include any and all notes, challenges, or concerns regarding this invoice.

DO NOT WRITE OR TYPE BELOW THIS LINE. OFFICE USE ONLY.

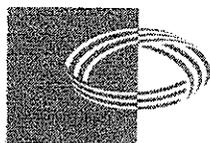
I hereby attest that the above named grantee documentation is thorough and complete for the purpose of this invoice and that the grantee has successfully met the requirements identified within their work plan for this period.

Program Manager's Signature: _____ Date Signed: _____

Program Manager (Print Name): _____

*Please note that all expenses should comply with the approved budget. Grantees should not submit expenses related to requested budget modifications that have not been approved by DCH.

Grant Solicitation Quick Reference Guide



GEORGIA DEPARTMENT OF
COMMUNITY HEALTH

Grant Solicitations: Use this guide as a vehicle to receive grant announcements and to view open and closed grant opportunities. This guide will display any modifications to open grants and modified timeframes to respond to the solicitation.

Section 1. Grant Opportunities (Email Registration)

Step #	Do This:
1	Click on link: http://dch.georgia.gov .
2	Locate "Related Links" in right column
3	"Click" on DCH Grant Opportunities
4	Locate current Grant Announcements and "click here" for email registration to receive grant notifications
5	Register name and organizational contact information in provided fields

Section 2. Current Grant Announcements

Step #	Do This:
1	Click on link: http://dch.georgia.gov .
2	Locate "Related Links" in right column
3	"Click" on DCH Grant Opportunities
4	Locate Current Grant Announcements and "click" the grant title to be reviewed

Section 3. ARRA Grant Announcements

Step #	Do This:
1	Click on link: http://dch.georgia.gov .
2	Locate "Related Links" in right column
3	"Click" on DCH Grant Opportunities
4	Locate ARRA Grant Opportunities and "click here" to receive ARRA grant opportunities

Section 4. Archived Grants

Step #	Do This:
1	Click on link: http://dch.georgia.gov .
2	Locate "Related Links" in right column
3	"Click" on DCH Grant Opportunities
4	Locate Grant Announcements, Archived Grants and "click here" to view Archived grants

Conflict of Interest Certification

This is to attest that, I, _____, a member of the Evaluation Committee of the <*Grant Title*> grant applications, for the Department of Community Health and <*Granting Entity*>, have no personal interest in any application presented for consideration before the Committee for evaluation, and I furthermore understand and can perform within the evaluation rules set forth.

Name _____

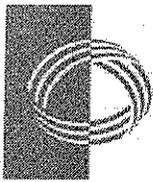
Date _____

**CONFIDENTIALITY OF REQUEST FOR GRANT APPLICATION
INFORMATION**

Evidenced by my signature below, I warrant, swear, and acknowledge that I will not disclose or discuss with anyone any information, of any sort, contained in the *<Grant Title>* grant applications submitted to the Department of Community Health and *<Granting Entity>*. The only person(s) with whom I may discuss any issue with regard to any information contained in the bids are my fellow team members on the evaluation committee, the technical scoring committee, or anyone the chair(s) deem appropriate. All discussions relating to the evaluation of these applications shall take place only during the designated times of the evaluation/committee team meeting. I acknowledge that failure to adhere to these provisions of confidentiality may result in my being subject to disciplinary action, up to and including dismissal from my employment with the State of Georgia.

Signature

Date



Appendix U

Date

Name
Name of Organization
Address
City, State Zip

**RE: ACKNOWLEDGEMENT LETTER OF APPEAL
Grant Title - Grant number**

Dear Grantee/Applicant:

We have received your letter of appeal [dated] describing your concerns about the grant review of your Agreement, referenced above. The Georgia Department of Community Health (DCH), Office of Procurement and Grant Administration consider your request to be a formal appeal regarding the review and appeal of grant procedure.

DCH will consider your appeal and render a decision within ten (10) business days of receipt. The Program Manager will forward their recommendation to the head of the division where the grant resides that will be responsible for the review of the appeal. The decision of the head of the division will be forwarded to the DCH Commissioner. The Commissioner or his designee will review the appeal and the recommendation from the head of the division and render a final decision.

The Commissioner's decision will be final and there are no further options for recourse. We hope that this experience will be mutually beneficial and we look forward to continued partnerships in improving upon health outcomes in the state of Georgia.

Sincerely,

Paul M. Iaderos, MPA
Director of Strategic Sourcing
Georgia Department of Community Health
Office of Procurement and Grants Administration
2 Peachtree Street, NW, 35th Floor
Atlanta, Georgia 30303-3159

cc: Debbie Hall, COO
Program Manager
Arnita Watson