



# COUNTY OF SANTA CRUZ

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**SUSAN A. MAURIELLO, J.D., COUNTY ADMINISTRATIVE OFFICER**

701 OCEAN STREET, SUITE 520  
SANTA CRUZ, CA 95060  
(408) 454-2 100 FAX: (408) 454-3420  
TDD: (408) 454-2123

November 24, 1998

AGENDA: December 8, 1998

Board of Supervisors  
County of Santa Cruz  
701 Ocean Street  
Santa Cruz, California 95060

## Update of Procedures Manual

Dear Members of the Board:

Twice each year your Board receives additions and modifications to the County Procedures Manual which is maintained and updated by the Clerk of the Board. Attached for your Board's consideration are proposed modifications to the Procedures Manual. Deletions are in strike-out form, and added language is underlined or redlined/highlighted. The recommended modifications are as follows:

- ▶ Title 1: Finances and Accounting; Section 900: Grant Accounting; Section A: Grants and Revenue Agreements: (Exhibit A)

Modification of this section is recommended by the Auditor-Controller to clarify requirements regarding documentation of indirect cost reimbursement in discretionary or revenue grant applications.

- ▶ Title 1, Finances and Accounting; Section 100 - Travel Rules and Regulations (Exhibit B)

It is recommended that this new language and associated form be added to the Procedures Manual pursuant to your Board's request on May 19, 1998, that a standard training and conference request and report form be included in the next update of the Procedures Manual. A sample form, which can be adopted for use by County departments, is included in Exhibit B.

IT IS THEREFORE RECOMMENDED THAT YOUR BOARD approve the material submitted for inclusion in the Santa Cruz County Procedures Manual and direct the Clerk of the Board to update the County Procedures Manual accordingly.

Very truly yours,

Susan A. Mauriello  
County Administrative Officer

cc: Auditor-Controller  
Clerk of the Board  
Each Department Head

## EXISTING PROCEDURES

### 900 - GRANT ACCOUNTING

#### A. GRANTS AND REVENUE AGREEMENTS

1. Any department or agency applying for a discretionary or revenue grant shall request approval by the Board of Supervisors prior to submission of the grant request. When grant deadlines preclude prior approval by the Board, the agency applying for the grant may do so without such prior approval, but shall request subsequent approval at the earliest possible time thereafter.
2. Any department or agency applying for a discretionary grant shall inform the Board of Supervisors of County expenditures attributable to the grant, including direct expenditures, in-kind expenditures, and indirect expenditures.
3. **Any** department or agency applying for a discretionary grant request from the grantor an amount to reimburse the County for indirect costs. The Board of Supervisors may waive this requirement upon a showing of good cause.
4. Any request made to the Board of Supervisors to approve an application for a discretionary grant or to approve a grant shall be accompanied by a Grant Fact Sheet signed by the Auditor-Controller or his designee.
5. A Grant Fact Sheet shall be designed and distributed to all departments by the Auditor-Controller.
6. The Grant Fact Sheet shall disclose, among other matters, whether indirect costs were applied for and whether or not the County will be reimbursed from the indirect costs.
7. For the purposes of this policy, “discretionary grant” means contract in which the County is the grantee of funds and some other entity (the State, the Federal Government, a regional agency, or a private foundation) is the grantor. The contract lasts a specified time and requires the County to perform a service to purchase equipment, or to develop property.

“Discretionary grant” does not mean “block grants” or “allocations.” “Block grants” and “allocations” mean money to which the County is entitled if it meets legal and procedural requirements; for example, Revenue Sharing funds, a block grant for manpower programs, or a block grant for housing and community development. Nothing in this policy shall be construed to limit the obligation of departments and agencies to seek reimbursement for indirect costs in connection block grants or allocations.

## RECOMMENDED MODIFIED PROCEDURES

## 900 - GRANT ACCOUNTING

## A. GRANTS AND REVENUE AGREEMENTS

1. For the purposes of this policy, “discretionary grant” means a contract in which the County is the grantee of funds and some other entity (the State, the Federal Government, a regional agency, or a private foundation) is the grantor.

“Discretionary grant” does not mean “block grants” or “allocations.” “Block grants” and “allocations” mean money to which the County is entitled if it meets legal and procedural requirements; for example, a block grant for manpower programs, or a block grant for housing and community development. Nothing in this policy shall be construed to limit the obligation of departments and agencies to seek reimbursement for indirect costs in connection block grants or allocations.

2. Any department or agency applying for a discretionary or revenue grant shall request approval by the Board of Supervisors prior to submission of the grant request. When grant deadlines preclude prior approval by the Board, the agency applying for the grant may do so without such prior approval, but shall request subsequent approval at the earliest possible time thereafter.
3. Any department or agency applying for a discretionary grant shall inform the Board of Supervisors of County expenditures attributable to the grant, including direct expenditures, in-kind expenditures, and indirect expenditures.
4. Any department or agency applying for a discretionary grant shall request from the grantor an amount which will reimburse the County for indirect costs. The Board of Supervisors may waive this requirement upon a showing of good cause.
5. Any request made to the Board of Supervisors to approve an application for a discretionary grant or to approve a grant shall be accompanied by an ADM-29 and a Grant Control Form (from the State Controller’s Manual, available from the County Auditor-Controller) or a comparable document provided in the grant application. The Grant Control Form, or comparable document, shall disclose whether indirect costs were applied for and whether or not the County will be reimbursed for the indirect costs.

COMPARISON OF EXISTING AND RECOMMENDED PROCEDURES

900 - GRANT ACCOUNTING

A. GRANTS AND REVENUE AGREEMENTS

- ~~1. 7.~~ For the purposes of this policy, “discretionary grant” means a contract in which the County is the grantee of funds and some other entity (the State, the Federal Government, a regional agency, or a private foundation) is the grantor. ~~The contract lasts a specified time and requires the County to perform a service to purchase equipment, or to develop property.~~

“Discretionary grant” does not mean “block grants” or “allocations.” “Block grants” and “allocations” mean money to which the County is entitled if it meets legal and procedural requirements; for example, ~~Revenue Sharing funds~~, a block grant for manpower programs, or a block grant for housing and community development. Nothing in this policy shall be construed to limit the obligation of departments and agencies to seek reimbursement for indirect costs in connection block grants or allocations.

- ~~2. 1.~~ Any department or agency applying for a discretionary or revenue grant shall request approval by the Board of Supervisors prior to submission of the grant request. When grant deadlines preclude prior approval by the Board, the agency applying for the grant may do so without such prior approval, but shall request subsequent approval at the earliest possible time thereafter.
- ~~3. 2.~~ Any department or agency applying for a discretionary grant shall inform the Board of Supervisors of County expenditures attributable to the grant, including direct expenditures, in- kind expenditures, and indirect expenditures.
- 4.3: Any department or agency applying for a discretionary grant shall request from the grantor an amount which will reimburse the County for indirect costs. The Board of Supervisors may waive this requirement upon a showing of good cause.
- ~~5. 4.~~ Any request made to the Board of Supervisors to approve an application for a discretionary grant or to approve a grant shall be accompanied by an ADM-29 and a Grant Fact Sheet signed by the Auditor-Controller or his designee. Control Form /from the State Controller’s Manual. available from the County Auditor-Controller) or a comparable document provided in the grant application. The Grant Control Form, or comparable document, shall disclose whether indirect costs were applied for and whether or not the County will be reimbursed for the indirect costs.
- ~~5.~~ A Grant Fact Sheet shall be designed and distributed to all departments by the

~~Auditor-Controller.~~

- ~~4. The Grant Fact Sheet shall disclose, among other matters, whether indirect costs were applied for and whether or not the County will be reimbursed from the indirect costs.~~

## 100 - TRAVEL RULES AND REGULATIONS AND CLAIMING PROCEDURES

## A. TRAVEL RULES AND REGULATIONS

Travel rules and regulations apply to County officials and employees, when traveling on County business. All travel by Commission Members, volunteers, and other non-employees requires advance written approval by the County Administrative Officer. A standard training and conference form for both in-state and out-of-state travel associated with conferences and training is available on line (AUD26-C). Departments may elect to use this form or may adopt a similar format to meet their individual needs.

Conference/Training Request and Report Form

Section I - Request

Department Name: \_\_\_\_\_ Index No: \_\_\_\_\_

Employee Name and Title \_\_\_\_\_

Conference/Training Title \_\_\_\_\_

Host Organization\* \_\_\_\_\_

Conference/Training Location \_\_\_\_\_

Conference/Training Dates \_\_\_\_\_

Your Date of Departure \_\_\_\_\_ Your Date of Return \_\_\_\_\_

Estimated Costs

4170	Registration Fee		\$	_____
4166	Mileage		\$	_____
4150	Airfare		\$	_____
4162	Lodging	Cost per night _____ x _____ nights	\$	_____
4164	Meals	Per Diem Rate _____ x _____ full days	\$	_____
		Partial Day Per Diem	\$	_____
4168	Other (Describe)	_____	\$	_____
4168	Other (Describe)	_____	\$	_____
	Total Estimated Costs		\$	_____

Purpose

Please describe the County purpose served by this conference/training. What are the anticipated benefits? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Requester's Signature \_\_\_\_\_ Date \_\_\_\_\_

Approved By \_\_\_\_\_ Date \_\_\_\_\_

Approved By \_\_\_\_\_ Date \_\_\_\_\_

\*Attach Complete Agenda, Training Curriculum, Registration Form

Routing for all out-of-state travel expenditures related to conferences/training: Dept to CAO, attach a copy to AUD-26  
Routing for all in-state travel expenditures related to conferences/training: Dept internal, attach a copy to AUD-26

AUD-26C

