Seattle
Human Services

Funding Process Manual:

A Guide to the Human Services Department's Funding Policies and Procedures

Revised 2022

Replaces Version 3.2

Healthy Communities, Healthy Families

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Introduction

The mission of the Seattle Human Services Department is to connect people with resources and solutions during times of need so we can all live, learn, work and take part in strong, healthy communities.

Human Service Department Background

The vision of the Seattle Human Services Department is that all basic needs in our communities are met through innovative and collaborative approaches. *Greater Seattle is a place where the richness of our diversity is valued, all of our communities thrive, and people grow up and grow old with opportunity and dignity.*

The Department maintains close partnerships with community partners, the public, and non-profit service providers to understand and address current and emerging human service needs, and to invest in the creation of a comprehensive and integrated regional human service system.

HSD is responsible for investing $105 million in contracts to more than 170 community-based human service providers that support the city's most vulnerable each year. Through the lens of equity, HSD supports programs, initiatives, and policies that address six key impact areas:

Preparing Youth for Success
Supporting Affordability and Livability
Addressing Homelessness
Promoting Public Health
Supporting Safe Communities, Safe Lives
Promoting Healthy Aging

Funding Process and Funding Manual Purpose

The purpose of an HSD funding process is to:

- Respond to changing community demographics and needs, best and promising practices, and new evaluation research;
- Implement culturally responsive services;
- Clearly define investment results;
- Ensure that HSD resources deliver value to the community; and/or
- Ensure access to funding to all interested agencies, including small and emerging organizations, and identify providers most likely to succeed in achieving results.

The purpose of the Funding Process Manual is to:

- Document the Department's policy;
- Outline specific guidelines and procedures related to planning, developing, and implementing funding processes for HSD's programmatic investments; and
- Provide an overall structure for HSD funding processes, including: steps required for planning and implementation of a funding process; due diligence guidelines and; links to key documents or websites.

The manual is intended to be comprehensive, but during most funding processes questions may arise that are not already answered here. This Manual and the HSD InWeb section related to funding processes will be updated as needed to capture new policies and updated templates. An overview of revisions to the manual can be found in Appendix C and will be updated as revisions occur.

Each funding process is generated and led by staff in one of HSD's four divisions:

- Youth and Family Empowerment (YFE),
- Safe and Thriving Communities (STC),
- Aging and Disability Services (ADS), or
- Leadership and Administration Division (LAD)

Staff in LAD are the Department's funding process experts, and help set and implement overall Department policy related to funding processes and contracting, and interpret City-wide policy as needed.

For additional information about HSD funding processes, please contact staff in the Leadership and Administration Division (LAD):

- HSD Funding Process Advisor, or
- HSD Deputy Director of Services and Strategy

Understanding the Basics

Frequency of HSD Funding Processes

HSD publishes an annual Notice of Funding Availability (NOFA) to identify planned funding processes (e.g., Request for Proposal (RFP) or Request for Qualification (RFQ)). Open and competitive funding processes are expected to occur at least once every four (4) years for each Strategic Investment Plan (SIP) program area. Additional funding processes may occur at any time at the discretion of the Department Director. The Department Director may elect to waive a competitive funding process when it is impractical, when there is an emergency, when a

funding source requires a different process or timing schedule, or when City Council expresses a specific intent for the funds.

Types of HSD Funding Processes

This manual provides details on the two funding processes that HSD conducts for programmatic investments: Request for Proposal (RFP), and Request for Qualification (RFQ). This manual is not intended to provide the process for consultant contracting or the purchase of goods, equipment, materials, routine services, or public works.

An overview of HSD's funding processes for programmatic investments is provided below. For guidance regarding the type of funding process to conduct, please contact the HSD Funding Process Advisor.

Funding Process Components	Funding Process Type	
	Request for Proposal (RFP)	Request for Qualification (RFQ)
HSD specifies total funding amount available	X	X
HSD specifies population(s) to be served	X	X
HSD specifies desired result(s) for the population(s)	X	X
HSD specifies broad strategies to achieve the result	X	X
HSD specifies performance measures for contracting	X	X
Respondents address how they meet qualifications & requirements	X	X
Respondents propose specific activities to meet the needs of the community(ies) they serve. Activities must complement the specified strategies.	X	
HSD specifies activities to meet the needs of the community (usually due to funding source requirements).		X
Minimal flexibility in program implementation		X
May be required by an external fund source		X
Preferred process for expedited funding processes		X

May be used to seek qualified providers to implement a specific program*		**X**

*An RFQ may also be used as a pre-determination tool for a future funding process (RFP), allowing only those who responded to the RFQ, and were pre-qualified through that process, to apply to the RFP. This approach may be appropriate when it is desirable to determine a "short list" of pre-selected respondents. However, this should be done thoughtfully to ensure that an RFQ issued as a predetermination tool truly addresses the qualifications that are project or program specific to prequalify the respondent for the RFP and does not unnecessarily limit the field of applicants. Any resulting RFP should be developed as a request to build on, and provide additional detail to, the information provided in the initial RFQ without duplication.

Letter of Interest (LOI)

A Letter of Interest (LOI) is not a legal funding process and may not be used in lieu of conducting an RFP or RFQ. An LOI is a tool for HSD to seek innovative ideas from the community, which HSD may not have previously identified, to enhance service delivery or program performance. An LOI does not commit HSD to funding the proposals submitted but allows the Department to identify service needs in the community, innovative ideas, and areas for future enhancement. An LOI would only be used in exceptional circumstances.

Expedited Funding Processes

An Expedited Funding Process is a Request for Qualification approved by the HSD Director or Deputy Directors to be conducted on an accelerated timeline. See pages 37-38 for guidelines on conducting an expedited funding process.

Identifying Core Funding Process Participants, Roles, and Responsibilities

The HSD funding process will involve multiple staff throughout the Department. The Funding Process Coordinator, Funding Process Workgroup, and the Funding Process Advisor hold the primary responsibilities for coordination and execution of the funding process. A Funding Process Participants Staff Key has been included on the HSD InWeb, and will be revised as needed, to assist in identifying key contacts for HSD's funding processes. In addition, the Funding Process Timeline outlines responsible staff in each step of the process.

See Appendix A for specific roles and responsibilities of all staff involved in the funding process.

Getting Started

Planning and Development

The planning and development of a competitive HSD funding process should address current community needs, service gaps, and overarching racial disparities. In addition, the process should reflect HSD's goals outlined in the Results Based Accountability (RBA) 3.0 External Plan and Strategic Investment Plan or its successor document(s) and the City's Race & Social Justice Initiative (RSJI) values.

*The **City of Seattle's Race and Social Justice Initiative** (RSJI) is a citywide effort to end institutionalized racism and race-based disparities in City government. RSJI builds on the work of the civil rights movement and the ongoing efforts of individuals and groups in Seattle to confront racism. The Initiative's long-term goal is to change the underlying system that creates race-based disparities in our community and to achieve racial equity.*

HSD has a vision that Seattle is a place where the richness of our diversity is valued, all of our communities thrive, and people grow up and grow old with opportunity and dignity. To ensure that basic needs in our communities are met through innovative and collaborative approaches, our Department has developed several strategies and activities to incorporate RSJI best practices into Department funding processes, including:

- Completing the City's Racial Equity Toolkit to analyze the race and social justice impact of policies, programs, and practices of the investment area.
- Engaging with communities to assess the effectiveness of existing strategies and to identify emerging needs, racial disparities, and desired results.
- Funding programs to decrease racial and gender disparities.
- Engaging in culturally relevant community outreach that recognizes cultural needs including but not limited to respecting community: leadership, religious holidays or other meaningful events and observances, language and communication needs, culturally appropriate refreshments, parking and transit access issues, and child care needs.
- Establishing minimum requirements and guiding principles in funding guidelines that expand access and include cultural relevance, community leadership, and anti-racism strategies.

HSD's *Results-Based Accountability Framework*

A Strategy for Results Based Accountability and Addressing Disparities

The Human Services Department (HSD) developed a results-driven investment strategy modeled after Results Based Accountability (RBA)[1]. RBA helps HSD move from ideas to action and ensure that the department's work is making a real difference in the lives of vulnerable people. This framework also helps ensure that HSD is a highly functional, accountable organization that is leading the way toward addressing community disparities.

The RBA Framework helps HSD to:

1. **DEFINE** results for the department's investments
2. **ALIGN** the department's financial resources to the results
3. **EVALUATE** result progress to ensure return on investment

The department has developed a theory of change for funding processes, which shows the logical link between the desired results, indicators of success, racial equity goals based on disparity data, strategies for achieving the desired results, and performance measures to ensure that resources are appropriately aligned to address the most critical human service needs and disparities, based on the analysis of entire population level data.

In 2018, HSD, as directed by Ordinance 125474, will begin identifying gender disparity data and including gender equity goals in future funding processes. See Appendix B for the Theory of Change grid to be completed in a funding process.

For example, did you know that[2]?

- Black and Latino youth in Seattle are significantly less likely to graduate high school on time than are White youth.
- Poverty for Seattle children of color is increasing faster than for White Non-Hispanic children.
- Blacks and Latinos in Seattle and King County are most likely to experience food scarcity.
- Blacks and Latinos are more likely to be in unaffordable housing in Seattle and King County than are Whites.
- American Indian, Alaskan Native, and Hispanic/Latino elders are twice as likely as Asian or White elders to be in fair or poor health

[1] Friedman, M. (2005) Trying Hard Is Not Good Enough: How to Produce Measurable Improvements for Customers and Communities: FPSI Publishing

[2] Data Sources Include: Seattle Public Schools 2012 Profile, 2008-2010 and 2009-2011 American Community Survey, and 2010 Behavioral Risk Factor Surveillance Survey

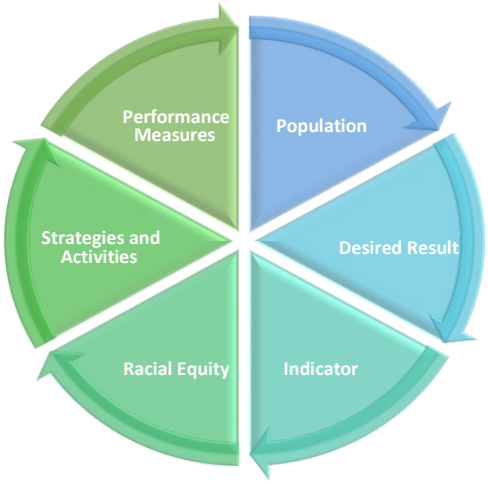
HSD Theory of Change

Uses RBA and leads with race

Performance Measures: How will we know if our strategies and activities are working?

- Quantity – how much was done?
- Quality – how well was it done?
- Impact – is anyone better off?

Population: Who do we want to affect?
(i.e. all children in Seattle)



Desired Result: What is the result we want for our population?
(i.e., all children graduate from high school on time)

Strategies and Activities: What will we do to achieve the result. Strategies are broad; activities are specific.
(these are what we purchase in a contract)

Racial Equity: Who are the communities of color with the highest disparities reflected in the data? How do we work to create equity.
(i.e. % of youth of color graduating from high school on-time)

Indicator: Why is this result needed? Also population level baseline data.
(i.e. % of youth graduating from high school on-time)

Updated 9/2017

HSD's Commitment to Funding Culturally Responsive Services

In conjunction with the Seattle Race and Social Justice Initiative (RSJI), which is a citywide effort to end institutionalized racism and race-based inequities in Seattle, HSD has developed investment principles that reflect our commitment to funding culturally responsive services to create positive outcomes for service recipients. Agencies applying for investment will demonstrate the capacity to institute these principles through routine delivery of participant centered and strength-based services that are culturally:

COMPETENT, as demonstrated by "the ability to honor, understand, and respect beliefs, lifestyles, attitudes, and behaviors demonstrated by diverse groups of people, and to diligently act on that understanding".[3] It is "the ability to function effectively in the midst of cultural differences. It includes knowledge of cultural differences, awareness of one's own cultural values, and ability to consistently function with members of other cultural groups".[4]

[3] Coyne, C. (2001) "Cultural Competency: Reaching Out to All Populations". PT Magazine, pgs. 44-50.
[4] York, S. (2003) Roots and Wings: Affirming Culture in Early Childhood Programs. St. Paul, MN: Redleaf Press, pg. 161.

RESPONSIVE to the cultural and linguistic needs of diverse populations. Agencies have the capacity to effectively serve and engage persons of diverse backgrounds. Agencies commit to practicing cultural responsiveness throughout all levels of the program, including policy, governance, staffing, and service model and delivery. Agencies make every effort to recruit and retain a work force (paid and voluntary), and policy-setting and decision-making bodies, that are reflective of the focus populations identified in the theory of change.

RELEVANT in addressing the cultural needs of diverse populations whose models of engagement or cultural standards differ from mainstream practices. Agencies are staffed with people who have the cultural competency to create authentic and effective relationships and provide culturally responsive services for members of specific cultural groups and/or communities of color. Commitment and experience of the agency reflects effective, mutually beneficial relationships with other organizations (such as grassroots or community-based organizations, churches, community networks, etc.) that are reflective of the populations being served.

ACCESSIBLE through language, location, and delivery style. Agencies have the capacity to overcome mainstream barriers and/or provide effective alternative strategies that enable residents to easily access mainstream and nontraditional programs and services.

Strategic Planning and Community Engagement

The following framework provides a strategic, systemic process that will help HSD invest in programs to address the most critical and pertinent needs of the community. Strategic planning and community engagement exists at **two distinct levels**, as outlined below.

Level One: Department-Wide Planning

The first level of strategic planning is Department-wide and is a continuous evolving process of gathering and synthesizing community demographic data, disparity data, and data from existing HSD contracts. Such data can be used to inform the Department on the effectiveness of the current investment areas in addressing the needs of the community.

By conducting year-round, Department-wide community engagement efforts with program participants, service providers, community members, and other key stakeholders, HSD can gain understanding of the needs and strengths of the community, as well as identify emerging service trends and assess existing funding strategies. By using information gathered from community engagement processes, in conjunction with program area data and research, the gaps in services and underserved communities can be identified.

Level Two: Program Specific Planning

The second level of strategic planning and community engagement is more specific to a program area and occurs at the program planning stage of the funding process. This part of

the process can overlap with, and complement, the ongoing Department-wide community engagement efforts. The planning timeline should include three to six months to research best and promising practices, conduct an inclusive community engagement process, complete the Racial Equity Toolkit, and allow stakeholder groups to comment on drafts of program plans or other core documents.

Key Development Processes

Some key processes in the development of an HSD funding opportunity include (in no particular order):

A. *Orienting the Funding Process Workgroup to RBA through the Theory of Change, RSJI, and HSD's Strategic Investment Plan*
B. *Developing the Funding Process Timeline*
C. *Using Data to Prioritize Needs*
D. *Community Engagement*
E. *Strategic Program Development (when applicable)*

A. Orienting the Funding Process Workgroup to RBA through the Theory of Change, RSJI, and HSD's Strategic Investment Plan

Early in the funding process the Workgroup must be oriented to these three components. The Division Director and/or Planning Supervisor provides an overview to the Workgroup of the overarching purpose of the process and how it aligns with the RBA Framework. The Racial Equity Toolkit is to be completed at the earliest possible stage of developing the funding process. The Racial Equity Toolkit lays out a process and a set of questions to guide the development, implementation, and evaluation of policies, initiatives, programs, and budget issues to address the impacts on racial equity.

B. Developing the Funding Process Timeline

The Funding Process Timeline must be used to plan each step of the funding process and keep all relevant staff and stakeholders informed of their participation in the process. The timeline also helps ensure that all pertinent steps of the funding process are completed on schedule.

The Funding Process Coordinator should consult with the HSD Funding Process Advisor for guidance on the overall timeline (from planning to contract execution) and key process elements. The Coordinator may also find it useful to review previous funding process documents and timelines for guidance on the time span necessary to complete a typical competitive HSD funding process. Actual timelines may vary depending on the complexity

of the investment area and funding process, the number of applications received, and the required program or contract start date.

When developing the Funding Process Timeline, start with the desired contract start date and backtrack. If the program investment area is currently contracted, the planned award notification date should be at least two months in advance of the current contract end date. This helps to ensure that currently funded providers have time to respond to funding decisions. No awards are to be announced between September 15 and November 30.

The timeline must also include notifying current contractors about specific program areas or contracts that will be included in the funding opportunity at least six months prior to the end of their existing contracts, along with the tentative release date of the funding opportunity. This notification letter is completed by the Coordinator and Program Specialist(s), signed by the Division Director, and sent to current contractors by their Program Specialist(s).

Whenever possible, the application deadline should be at least six weeks after the release date of the funding opportunity.

The HSD Funding Process Advisor must review and approve the funding process timeline to ensure that the information sessions and deadlines do not occur on the same day as other HSD funding processes, that adequate time is given for each task, and that required approvals are included.

Once developed and approved, the Funding Process Coordinator is expected to share the timeline with all staff involved in the funding process, including the Funding Process Workgroup, Planning Supervisor, Division Director, Funding Process Advisor, Fiscal Auditor, and Public Relations Specialist (see Appendix A for a list of key staff).

C. Using Data to Prioritize Needs

When data is used to drive the planning and development process, it provides more objective and need-driven reasoning on how HSD should prioritize investments. Not only will data guide HSD to address the most critical needs and underserved communities, it also reduces the potential for status quo program investment decisions, models, and practices.

Data is used to:

- Understand current community demographics, needs, and strengths.

- Determine HSD's current investments and where other funders' investments are made.
- Identify service and/or program gaps and needs.
- Identify the focus population(s) within the priority populations (Disparity data and equity goals).
- Identify performance measures pertinent to the focus population(s) and priority populations within the selected program area (Research data).

Once the HSD Data, Performance and Evaluation Team and Funding Process Workgroup have analyzed and synthesized the data, they will assist the Workgroup to develop the Theory of Change and approve the final version.

D. Community Engagement

Once the investment area, focus population, and priority populations have been identified, the Funding Process Workgroup must conduct one or more community meetings specifically with the focus population and priority populations to further refine the programming, performance measures, and service delivery framework. The community is an integral partner that helps ensure that the service to be provided is relevant and responsive to the community's specific needs and priorities.

Potential service providers (e.g. agencies who may respond to the funding opportunity) could also be invited to these meetings. These meetings should be structured in a manner where all participants have time to express their thoughts and concerns in an inclusive, meaningful, productive, and respectful setting.

The Workgroup should use the HSD Community Engagement Manual as a guide for this step of the process.

Through community engagement, HSD collaborates with community members and potential service providers to:

Identify and address:

- Community needs in the selected investment area.
- Barriers in reaching the investment area results.
- Community-specific capacity building needs.
- Accountability to the community.

Provide input on:

- Program implementation (e.g. culturally relevant practices, family-oriented services, and cross-generational activities).
- A common service delivery framework.
- Identifying measures that are most pertinent and achievable in the community.

E. Strategic Program Development

The Funding Process Workgroup will consolidate information from the Racial Equity Toolkit, the internal HSD data and gaps analysis, the community engagement process, and pertinent best and promising practices research data to develop results that clearly address disparities and have a strong research basis.

The program design should reflect the needs of the community and the capability and capacity of potential agency service providers. To develop the most appropriate and relevant program for the intended population(s), HSD must be strategic in the program design and be open to various ways of achieving the intended outcomes.

This means the Workgroup must be:

- Open to, and mindful of, potentially recommending funds to be set aside for capacity building, in addition to direct service.
- Strategic in determining whether service provision can effectively and efficiently be broken down into segments (e.g. outreach/recruitment component, intake and assessment component, case management, fiscal and reporting, etc.).
- Open to examining whether it is possible for a lead agency to effectively subcontract selected portions to other agencies.
- Aware of and seeking opportunities for cross-department or cross-funder collaboration and pooling of funds to provide a broader regional continuum of services.
- Able to document their decision-making process and provide recommendations for future funding/capacity needs.

Development of Funding Process Documents and Approval Process

The following outlines the templates and materials available to the Funding Process Coordinator and Workgroup throughout the funding process. Templates are posted on the HSD InWeb. The templates provided are an integral part of HSD's funding process and must be used by the Coordinator to ensure standardization across the department. The Funding Process Coordinator may contact the HSD Funding Process Advisor with any questions regarding the templates provided.

Guidelines & Application

- Guidelines and Application
- Cover Letter
- Budget Worksheets
  - Proposed Program Budget
  - Proposed Personnel Detail

Information Sessions, Help Session, & Questions

- Information Session PowerPoint
- Information Session Sign-In Sheet
- Questions and Answers
- Help Sessions

Due Diligence & Application Review

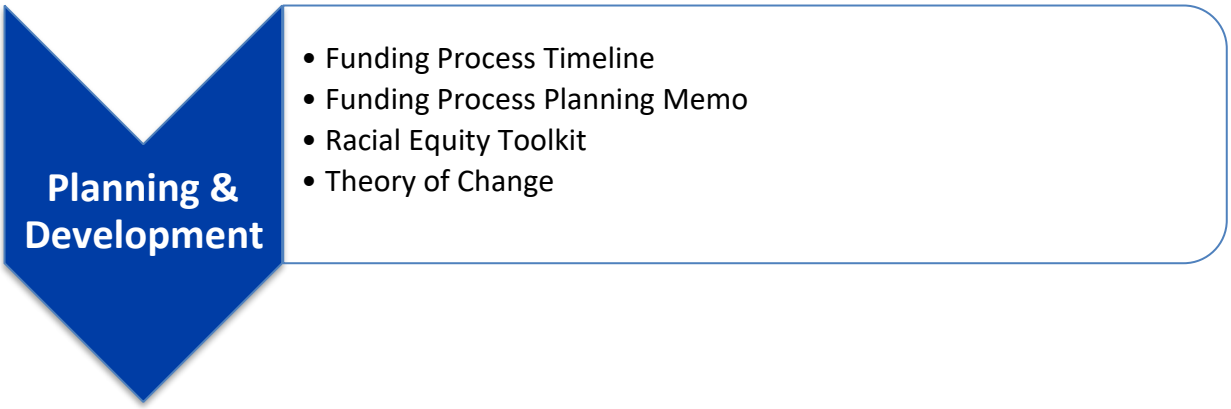
- Late Application Notice to Agency
- Minimum Eligibility Screen Notice to Agency
- Financial Document Request Letter
- Application Rating Guide Sample
- Confidentiality and Conflict of Interest Statement
- Rating Committee Inclusion Card
- Due Diligence Summary Chart

Award Decision & Announcement

- Funding Recommendation Memo
- Award Letter
- Denial Letter

The following pages provide details regarding the templates available and the document review and approval process.

Planning and Development



The Planning & Development overview of the funding process is outlined in the "Getting Started" section of this manual see pages 7-14. In this section you will find details on the templates available for use during this step of the process.

The Planning & Development process will result in the approval of the Funding Process Timeline and completion of the Racial Equity Toolkit and Theory of Change grid as outlined below.

A. Funding Process Timeline

The Funding Process Timeline is required and will help the Coordinator, Workgroup, HSD Funding Process Advisor, Fiscal Analyst, and Public Relations Specialist plan for key elements of the funding process. For more information about developing the funding process timeline, please see pages 11-12 of the "Getting Started, Key Development Processes" section.

When determining the application deadline, every attempt should be made to allow at least six weeks from the release date to the deadline. This allows an appropriate amount of time for potential respondents to review the opportunity, attend an information session, submit questions, and review posted responses.

B. Funding Process Planning Memo

The Funding Process Planning Memo is a required tool to assist the Coordinator and Workgroup in documenting the full process of RFP/RFQ development and implementation. It is meant to be updated throughout the process and used to identify lessons learned, as well as provide an accounting of the entire process in the event of an audit. This document is

reviewed by the Coordinator, Workgroup, and Planning Supervisor to ensure all steps have been documented and is to be filed and retained with the funding opportunity documents at the close of a funding process.

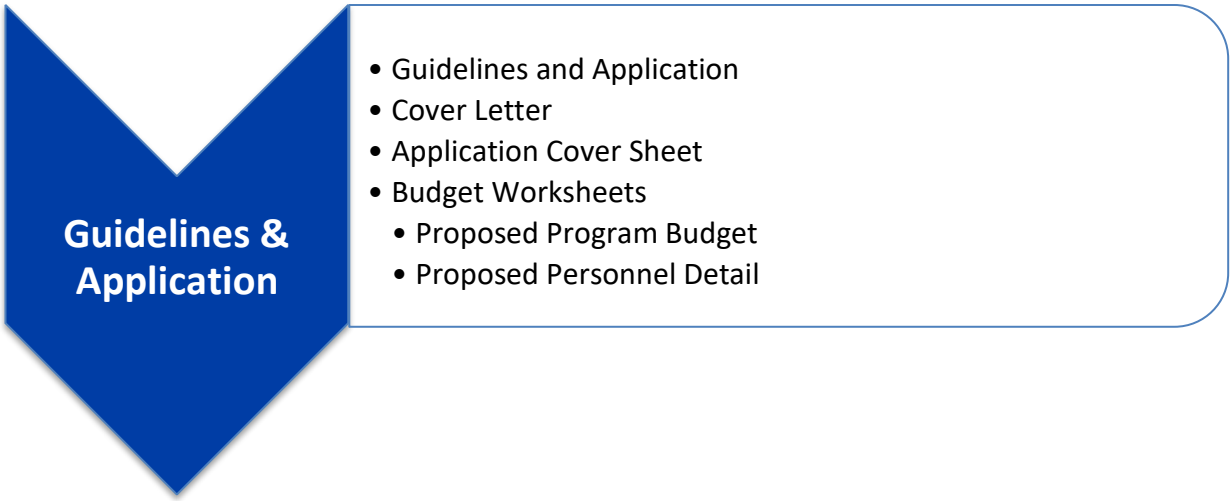
C. Racial Equity Toolkit

The City of Seattle's Racial Equity Toolkit is a key community engagement requirement of the HSD planning and development process, used to guide the development, implementation, and evaluation of policies, initiatives, programs, and budget issues to address the impacts on racial equity. The Toolkit will inform the Theory of Change and development of the Guidelines and Application.

D. Theory of Change

The Theory of Change is a required component of the Guidelines and Application and is developed early to help the Coordinator and Workgroup examine and develop the desired result, indicator, equity goal based on racial disparity data, strategy, and performance measures based on the RBA Framework.

Guidelines and Application



In this section you will find details on the required templates, and other resources available, for use in developing the funding opportunity. These documents go through multiple reviews and approvals before being released publicly. It is important for the Coordinator to keep track of the timeline and dedicate time between reviews for editing.

The documents to be posted online for each funding process are outlined below. Please contact the Funding Process Advisor with any questions.

A. Guidelines and Application

The Guidelines and Application is required, and the Coordinator must use the template available on the HSD InWeb. The Guidelines and Application document should clearly outline the investment opportunity and provide clear expectations for successful applicants. The Guidelines must explicitly state the application evaluation process, rating criteria, expected threshold for qualifications, experience, and competitive rankings. Any priority ranking based on experience, partnerships, or otherwise must be clearly outlined.

Tips to keep in mind for the Guidelines and Application document include:

- The Department standard submission deadline is 12:00 p.m.
- The Guidelines and Application document template includes details regarding an agency's eligibility to contract with HSD. These requirements must be included in all funding processes. Please contact the Funding Process Advisor prior to eliminating or changing any of the eligibility requirements outlined in the template.

B. Cover Letter

The HSD Director is the City of Seattle's contracting authority for the Human Services Department. All solicitations for applications must happen under the auspices of the HSD Director. The cover letter summarizes the overall funding opportunity and includes all elements outlined in the Cover Letter template.

The cover letter may also emphasize specific points per the investment area. For example: alignment with one of the Mayor's initiatives, availability of new funding, or emphasis on a particular neighborhood or community.

C. Application Cover Sheet

An attachment in the Guidelines and Application document, the Application Cover Sheet must be completed and signed by all applicant agencies.

New in 2018, any partner agency named in a proposal that has a significant role in providing services as described in the proposal must sign the application cover sheet as a partner agency. "Significant role" means without the partner agency, the applicant agency will not be able to deliver the results and/or performance commitments as proposed. Examples include:

- Providing staff or volunteers to deliver the service
- Providing space/facility to deliver the service
- Fiscal sponsors

D. Budget Worksheets

The Guidelines and Application document includes a template for the proposed line item program budget and personnel detail budget. If the funding process has specific line item budget requirements (or conversely, unallowable costs), this must be discussed with the Division Senior Finance Analyst in the planning stages to ensure that the budget templates align with the expectations and requirements of the funding process.

The budget worksheets must be made available to potential respondents in Excel for ease of calculation, however it is not required that respondents submit their budget in Excel so long as their submitted budget includes all line items and requests for itemization in the budget worksheets. At a minimum, the budget templates in the Guidelines and Application document should include:

a. **Proposed Program Budget:** Details on the budget for the proposed program or project for which funding is requested (i.e. *not* the agency's full budget).

b. **Proposed Personnel Detail:** Details on the proposed staffing/personnel costs for the program or project for which funding is requested.

Steps for Document Routing and Approval (*Allow 20 Business Days for Routing*)

The routing and approval process will result in formal approval for release of the funding opportunity. It is important to note the following:

- Allow at least 20 business days for routing and approval of the funding process documents, specifically the Guidelines and Application document and Cover Letter.

- The standard font and size for all funding process documents, specifically the Guidelines and Application document is Calibri, size 11.

The Coordinator will route the Guidelines and Application to each person noted below for review, provide clear due dates for reviewers, and make edits as needed following each review.

- ☑ Planning Supervisor or Manager and Division Director
- ☑ HSD Funding Process Advisor and Data, Performance and Evaluation Team
- ☑ Deputy Director of Services and Strategy with the HSD Funding Process Advisor cc'd. Also route the final Cover Letter for signature (Deputy Director of Services and Strategy signs cover letter and returns to Coordinator).
- ☑ Funding Process Advisor receives signed cover letter and final version of the Guidelines and Application **at least five business days** prior to the desired release date.

The Funding Process Advisor will provide the final documents to the Public Relations Specialist (PR Spec). The PR Spec is responsible for drafting all language for online posting and external advertisement of the funding opportunity.

E. Web Announcement (no template)
The web announcement is the language that will appear on HSD's Funding Opportunities web page to announce the release of the funding process and will include links to download the Guidelines and Application and other pertinent documents. The web announcement is developed by the Public Relations Specialist and includes details such as: funding process information session(s); contact person; application deadline and; required attachments.

F. Daily Journal of Commerce Advertisement (no template)
City policy requires that all competitive funding processes be advertised in the Seattle Daily Journal of Commerce (DJC) for a minimum of two days, and within 5 business days of the application due date. The DJC ad will be developed by the Public Relations Specialist. The cost for DJC ads will be borne by the division releasing the funding opportunity.

Release of the Funding Opportunity

Five business days before the Funding Opportunity release date, the Coordinator will send the Funding Process Advisor the following: Guidelines and Application (Word); Budget Worksheets (Excel); Signed Cover Letter (PDF); and any additional documents for posting.

Upon receipt of the final and approved funding process documents from the Coordinator, the Funding Process Advisor will:

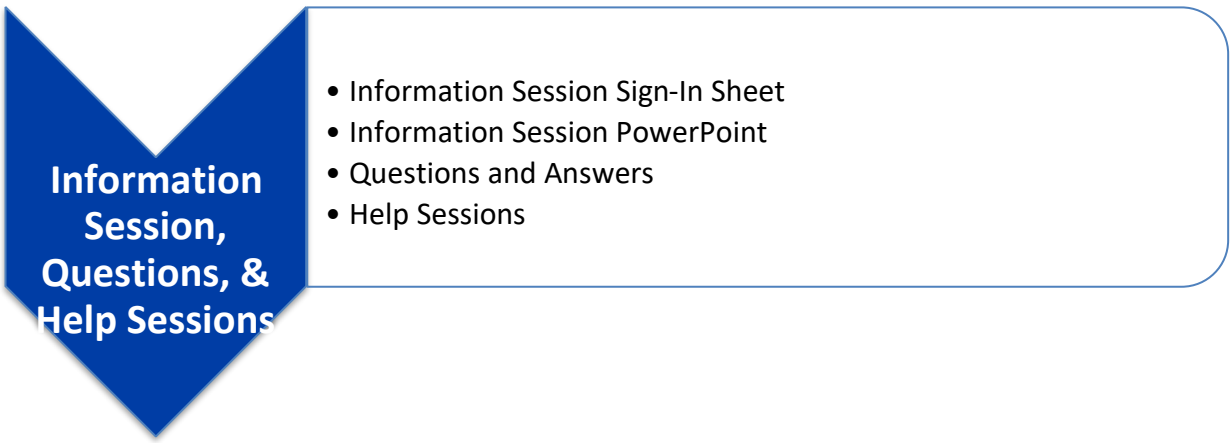
- Conduct a final review of all documents and work with the Coordinator for clarification or to make appropriate edits.
- Set up the funding opportunity in the online submission system and activate it for release at the appropriate time.
- Extract the Application from the Guidelines and Application document to post in Word format for use by respondents.
- Convert the Guidelines and Application document to PDF format for online posting.
- Review the budget templates included in the Guidelines and Application document and ensure that the Excel version of the templates (to be posted online) align with the Guidelines and Applications document.
- Coordinate with the Public Relations Specialist to post the following documents on the HSD's Funding Opportunities web page, along with the web announcement:
    - Cover letter signed by the Deputy Director of Services and Strategy (PDF)
    - Guidelines and Application document (PDF)

  - Application form (Word)
  - Budget Summary and Personnel Detail Form (Excel)

- Confirm the DJC advertisement will be posted at least 5 calendar days prior to application due date, and will post for two days.
- Send an announcement of the funding opportunity release to: HSDEveryone@seattle.gov

Post Release Activities and Application Review Process

The following information outlines the process after the funding opportunity has been released. Funding opportunities must be made known, available, and accessible to all stakeholders. The Funding Process Coordinator will be responsible for coordinating distribution beyond the posting to HSD's Funding Opportunities web page and the DJC. The opportunity should be distributed widely to reach as many people as possible. Distribution may consist of email, fax, letter, web postings, or advertised announcements of the availability of funding, including in cultural/ethnic based websites and publications. Information sessions can be posted to the Event Calendar on the City's public website. To do so the Coordinator must email a request to the HSD Public Relations Specialist.



Information Sessions

Information sessions are required for most funding processes (exceptions may include expedited processes or RFQs that have no funding attached) and provide potential respondents with a detailed overview of the funding process. This is a good opportunity for potential respondents to ask questions or request clarification about the funding process or content. Information sessions also provide potential respondents with an opportunity to receive technical assistance from HSD staff. Such technical assistance can only be provided at the information session and/or help session, if applicable.

The Funding Process Coordinator will:

- Schedule information sessions one to two weeks after the release date to allow interested respondents time to receive and read the documents.
- Hold information sessions virtually or in an accessible community location, preferably a site with plenty of parking and access to transit. Try to schedule the information session(s) at various times to capture the most attendees.
- Ensure language and physical access needs are met for interested respondents who have identified such needs. Contact the HSD ADA coordinator for assistance.
- Use the Information Session PowerPoint template to prioritize key elements and emphasize the submission deadline.
- Provide a sign-in sheet to record the name, agency, telephone number, and email address of attendees.
- Lead the information sessions and organize Workgroup members to assist.
- Plan for information sessions to be recorded (audibly or visually) and have at least one assigned HSD staff member take minutes. Consider creating a video that can be accessed online for those unable to attend.
- Inform participants that any responses to questions are not final until they are provided in writing and posted in the HSD Information for Grantees webpage.

Information from the information session(s), including the PowerPoint presentation and/or any handouts, as well as any communication pertaining to the funding process or the specific funding opportunity must be made available to all potential respondents.

This requirement is fulfilled by posting such information to HSD's Funding Opportunities web page. The Coordinator leads the funding process and serves as the official contact person. Therefore, in addition to addressing and posting questions and answers from the information session(s), the Coordinator is responsible for accepting questions that are submitted outside of the information session(s) via email.

Questions and Answers

Questions submitted outside of the information session(s) must be submitted in writing (via email) to the Funding Process Coordinator. If the Funding Process Coordinator requires clarification regarding the question posed by the potential applicant, the Coordinator may call the applicant to clarify their question. However, the Coordinator must take detailed notes of the conversation and post the clarified question and response in writing for all potential applicants to access. The Coordinator must also remind the potential applicant that they may not rely on oral communications regarding the funding process and must review all written materials posted on HSD's Funding Opportunities web page.

The Coordinator may not provide feedback or guidance on any agency's application, outside of allowable activities at help sessions, or offer examples of possible responses to the application. The Coordinator is not responsible for providing copies of any agency's past applications.

The Coordinator must complete the Questions and Answers template with the appropriate content and email the completed version to their Supervisor and/or Division Director for review and approval. Upon approval, the Coordinator must email the Questions and Answers document, the PowerPoint presentation from the information session(s), and any related handouts to the Funding Process Advisor for final review and to coordinate web posting.

During the Question and Answer period, the Coordinator may respond to questions to help clarify the purpose and intent of the Guidelines and Application, or to provide technical information related to formatting, methods to submit the application, etc. While the Coordinator may accept and post questions and answers prior to the information session, they should refrain from answering or posting any questions that will be covered by attending the information session. Once the information session has concluded, any questions received may be documented and posted. The Coordinator is not able to discuss the merits of any programmatic content an applicant may be proposing but may schedule appointments to meet one-on-one during publicly announced help sessions. See Help Sessions section below.

The Coordinator may submit updated Questions and Answers as many times as necessary to address the number of information sessions and/or volume of email inquiries. The Coordinator is responsible for making sure information is available to the public within five (5) business days, with a goal of three (3) business days. This will allow potential respondents sufficient time to review the information. All updated documents must be reviewed and approved by the Coordinator's Supervisor and/or Division Director, with a final review by the Funding Process Advisor.

The Coordinator, in consultation with the Funding Process Advisor, must establish a final deadline for respondents to submit questions related to the funding opportunity. This deadline must be indicated in the Guidelines and Application and Questions and Answers documents, as well as at the information session(s). A deadline to submit questions is a best practice to ensure that all potential respondents have enough time to review any additional information provided before finalizing applications.

Whenever possible, the Questions and Answers document must be provided to the Funding Process Advisor at least one business day prior to the desired posting date to ensure time to review.

Communication Post Information Session(s)

After the information session(s), HSD staff involved in the planning and development of the funding process should avoid having meetings or conversations with potential respondents that pertain to the RFP/RFQ. Information provided during individual meetings or conversations, however well intentioned, may be used by an unsuccessful applicant to support a funding decision appeal. Individual meetings may also give an appearance of unfairness. Technical assistance or individual feedback outside of help sessions may only be provided after the appeals process has closed.

Help Sessions

Help sessions are an opportunity to provide one-on-one assistance to agencies applying for funding. Consider having help sessions if one or more of the following apply:

- New program, service area, or change in service model
- Program or service area has not been procured or was procured five+ years ago
- HSD wants to expand pool of applicants including grassroots organizations
- Application materials include complex forms or requirements

Help sessions are not meant to assist an agency in writing their application/proposal. The following are considered "allowable assistance":

- Review complex forms or budget spreadsheets
- Clarify required documents to be submitted with application
- Review online application system
- Clarify allowable or unallowable expenses or activities

Examples of unallowable assistance:

- Grant writing assistance
- Clarify whether a proposal idea would be a good fit

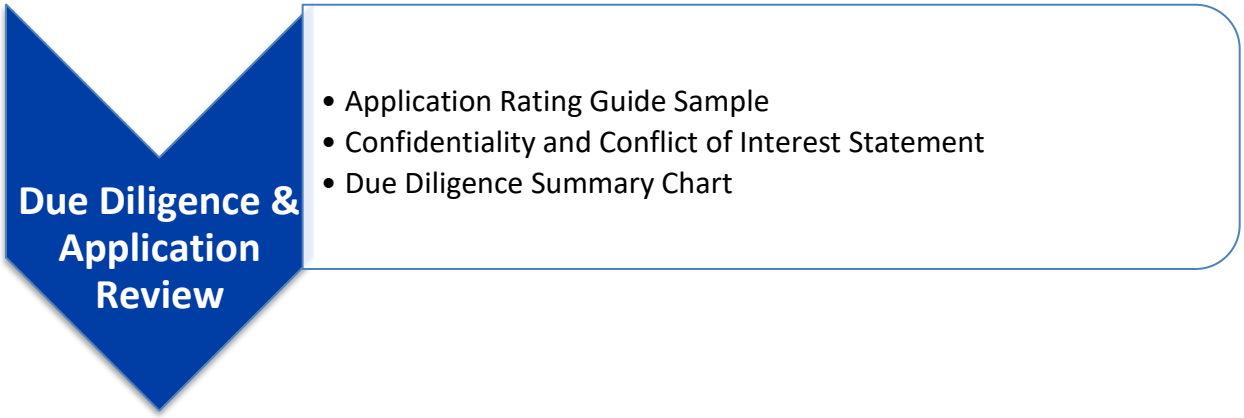
The Funding Process Coordinator will:

- Coordinate and train staff that will assist with help sessions.
- Provide information about help sessions during the information session. Clarify type of assistance that will and will not be provided.
- Schedule help sessions after the information sessions and no later than 3-5 business days before the last day to submit questions. This will allow agencies time to work on the application and come prepared with questions.
- Offer scheduled appointment times. Walk-ins can be taken on a first-come, first-served basis.
- Provide a sign-in sheet with name, organization, telephone number, and email.
- Document assistance given to agencies.

Although help sessions are designed to assist an individual agency, a question and answer given may pertain to applicants in general. If so, include this information in the online question and answer document. No other information given during help sessions is required to be posted.

Consider contracting with another organization to provide technical assistance. Provide clear guidance and expectations of allowable and non-allowable assistance. Require a list of agencies and individuals that participate in technical assistance sessions, dates attended, and a brief description of assistance provided.

Due Diligence and Application Review



Application Submission and Receipt (no template)

The Funding Process Coordinator is responsible for:

- Encouraging potential respondents to submit applications on time and via HSD's online submittal system.
- Ensuring that all applications received by the deadline are logged.

After the funding opportunity deadline, the Funding Process Advisor is responsible for:

- Providing electronic versions of all applications submitted via HSD's online submittal system to the Coordinator.
- Deactivating the specific funding opportunity from HSD's online submittal system.
- Requesting the removal of the specific funding opportunity from the HSD's Funding Opportunities web page.

The Coordinator and the Funding Process Advisor receive email notifications of submittals to the online submittal system. No action is required.

Late Submission Policy: Applications are expected to be received by the published deadline; however, under extenuating circumstances HSD may allow a 30-minute, unpublished "grace period" for application submittal. The Coordinator must provide clear and compelling justification for accepting late applications.

Any applications received after the deadline, or 30-minute grace period if allowed, are NOT eligible for consideration and will not proceed in the funding process. Respondents submitting applications online will receive a notification that their application was rejected. The Coordinator must contact these applicants and let them know if their application will be reviewed or rejected, make a copy of late-notification emails and electronically save such emails or hardcopies in the file folder for the specific funding opportunity. The Coordinator should notify their Supervisor and/or Division Director about any late applications (both electronic and hard copy submissions) and send a final notice to the agency stating that the proposal was received late and will not be rated.

The Funding Process Coordinator should encourage applicants to submit applications early when possible. For example, agencies using the online submission system should be encouraged to upload their documents several hours prior to the deadline in case there is an issue with the agency's internet connection which impacts the ability to upload documents. If the agency runs into internet connectivity issues, attempting to submit early will allow time for the agency to submit a hard copy by the deadline instead.

Due Diligence Process

The HSD Due Diligence Process is the recommended procedure for assessing applications submitted in response to a funding opportunity. Its purpose is to identify those programs or projects with the highest probability of achieving the desired investment outcomes. As a best practice, this process should be used as a guide and can be adapted to address specific fund source requirements, staffing considerations, workload issues, and/or time constraints. In all cases, the rating criteria, process, and timeline must be clearly described in the guidelines document.

Application Review, Rating, and Selection Process (Allow 30 Business Days)

The selection process is guided by HSD's Due Diligence requirements and is critical to expanding access to funding and identifying the project(s) most likely to deliver the specified results.

Key elements of the due diligence process are: 1) to clarify and address any questions or concerns regarding the submitted applications; and 2) to ensure that the applications are fairly and accurately reviewed and rated.

The Funding Process Coordinator manages the following elements of the due diligence process:

- Rater recruitment and training.
- Initial review to determine if application meets requirements for minimum eligibility and completeness and to identify clarifying questions.
- Providing overall agency financial documents to the HSD Fiscal Auditor for review (see pages 30-32).
- Gathering clarifying information and application rating.

- Identification of applicant finalists.
- Interviews with applicant finalists and site visits, if elected.
- Notification to all applicants when there is a significant delay in the selection process and provision of an updated timeline for funding decisions.

Steps in the due diligence process (e.g. interviews, site visits, etc.) may be waived by the Deputy Director of Services and Strategy for specific funding processes, only if the fund source or program requirements make these steps impractical (e.g. if there are only one or two respondents).

Steps to Complete the Due Diligence Process

1. Selection of Rating and/or Interview Committee(s)

Rating committees should be comprised of five to ten individuals. Divisions may decide to select a greater number of raters, which may lengthen the evaluation/rating process. An odd number is recommended, but not required.

Prior to implementing the funding process, the Coordinator, their Supervisor, the Workgroup, and the Division Director as appropriate, will determine a preferred number of rating committee members and its proposed composition (depending upon the needs and complexities of the specific funding process) while keeping the number to a manageable level.

In the event of a large funding process where a considerable number of applications are expected to be rated, the Coordinator may want to develop and document rationale for dividing the total applications among smaller sub-committees of raters (e.g. distribute by program/service area, combination of large and small agencies, alphabetically, etc.). The distribution ratio of applications to raters must be equitable to ensure no undue hardship on the raters, and to ensure a minimum number of times each application is reviewed and rated.

In addition, the Coordinator must determine if the entire rating committee will come together to make funding recommendations, if each rating sub-committee will make funding recommendations for their applications, or if funding decisions will be made by another body who will consider all rater recommendations.

The goal is a diverse rating committee that collectively represents a mix of individuals to provide thorough, thoughtful, objective, and balanced assessments of the applications. The rating committee will provide diverse perspectives, have knowledge of the service/program area(s) and the focus population(s), and have the technical skills to accomplish the work of rating applicant proposals. At least one rating committee member will have an understanding of racial equity issues through training, education, and experience and will be able to rate

applications through a racial equity lens. It is advisable to have alternate raters available if raters drop out of the process.

Rating committee members may include:

- HSD staff from across divisions
- Staff from other City departments
- Community representatives, including agency staff, community leaders, and volunteers who are knowledgeable about the service area(s) and/or focus population(s). Rater stipends are available for up to $1,200 for a larger number of written apps and interviews (roughly $500 per rater).
- Service recipient(s), former program participants (may include youth when applicable)
- Workgroup members involved in the development of the funding opportunity
- Other funders
- Other stakeholders, as appropriate

Rating Committee members may NOT include:

- Anyone participating in the review of the funding process documents prior to release
- Other conflicts as outlined in the Confidentiality and Conflict of Interest Statement

The Coordinator and Workgroup are required to submit a written rationale for why the members of the rating committee were selected and how they bring diverse perspectives to the committee. The Division Director must approve the selection after reviewing committee members background and affiliations, as well as the rationale for inclusion of the raters and how they represent diversity. Upon approval, the Division Director will share this rationale with the Deputy Director of Services and Strategy.

Before providing applications to raters the Funding Process Coordinator must conduct an orientation and training for raters, to include at minimum: an overview of the funding process; goals and priorities; tips and considerations for scoring; a review of the conflict of interest and confidentiality requirements; deadline and method for submission of scores; anti-bias best practices, and other topics as needed. In addition, the Coordinator must inform the rating committee that their written materials including rating sheets, notes, etc., will be collected at the end of the process. Raters must submit a signed Confidentiality and Conflict of Interest Statement, as outlined below, prior to receiving any proposals for review.

Confidentiality and Conflict of Interest

All raters must sign a Confidentiality and Conflict of Interest Statement agreeing not to disclose ratings, interviews, site visits, or funding recommendations, and verifying that there is no conflict of interest in being involved in the process. If there is a conflict, they must notify the Funding Process Coordinator, who must then inform their Manager and Division Director. The identities of those involved in the rating process are generally confidential and protected

from public disclosure through the completion of the due diligence process. However, after funding recommendations are final and award and denial letters have been mailed, names of individuals involved in the rating/interview process, their scores, and written comments and questions, become part of the public record and must be released to individuals who make a formal request.

Rating Committee Inclusion Card

To ensure equitable and inclusive funding decisions, HSD is requesting that rating committee members complete an anonymous Rating Committee Inclusion Card. By collecting and analyzing this information, HSD can identify gaps and trends in who we are recruiting to participate in making funding decisions for HSD's programs and services. The inclusion cards will be collected and analyzed by the Funding Process Advisor.

2. Review of Financial Documents (Allow 15 Business Days)

The Guidelines and Application template includes details regarding the type of agency financial oversight documents that must be submitted by a successful applicant, in addition to the proposed program and personnel budgets. These documents provide information on the overall fiscal health of the agency. HSD's Fiscal Auditor and their supervisor will review these documents and provide feedback to the Funding Process Coordinator and Workgroup prior to the final funding recommendations being submitted to the HSD Director.

1. Coordinator - Upon receipt of applications, and determination of eligibility to rate, the Coordinator must provide HSD's Fiscal Auditor a list of agencies whose applications are moving forward for rating. (Note: application rating should commence while in process of gathering and reviewing financial documents). The Coordinator should keep in mind that the Fiscal Auditor is often out of the office conducting audits, and that the financial review takes time; therefore, notifying the Fiscal Auditor of the timeline for completing the review of financial documents is imperative.
2. Fiscal Auditor - Upon receipt of agency list from Coordinator, the Fiscal Auditor will have 3 business days to review financial documents already in their possession and respond to the Coordinator by completing the blue highlighted sections of the Financial Document Request Letter (one for each agency needing updated or additional financial documents for review).
3. Coordinator - Upon receipt of letters from the Fiscal Auditor, the Coordinator will complete the yellow highlighted sections of the letters and submit to agencies, allowing 4 business days for agencies to respond. Once received, the Coordinator will submit all financial documents to the Fiscal Auditor for review.
4. Fiscal Auditor - Review financial documents and provide feedback to the Coordinator within a maximum of 15 business days, specifically noting any areas of concern regarding an agency's fiscal health. If the Fiscal Auditor notes a concern related to the financial

document review, HSD may consider awarding the agency a conditional contract based upon complying with specific requirements determined by the Department.

Documents to be requested at the time of application and must be received by the application due date/time include but are not limited to: (optional)

- The agency's current verification of nonprofit status or evidence of incorporation or status as a legal entity.
- If the agency has an approved indirect rate, a copy of proof that the rate is approved by an appropriate federal agency or another entity.

Documents that may be requested after submission must be received within 4 business days of request may include any or all of the following:

- A copy of the agency's current fiscal year's financial statements reports, consisting of the Balance Sheet, Income Statement Report and Statement of Cash Flow, certified and signed by the agency's CFO, Finance Officer, or Board Treasurer.
- A copy of the agency's most recent audit report.
- A copy of the agency's most recent fiscal year-ending Form 990 report.

Documents that may be requested during contract development may include the following if not already on file:

- A current certificate of commercial liability insurance. Note: if selected to receive funding, the agency's insurance must conform to the General Terms and Conditions Agreement (GTC) requirements at the start of the contract.

5. Rating of Applications by Rating Committee

Applications that meet minimum eligibility requirements and qualifications are forwarded to the rating committee. The Guidelines and Application document template on the HSD InWeb provides sample narrative questions, as well as sample rating criteria to determine a strong application.

Sample Application Rating Guide can be found on the HSD InWeb. Application rating must be designed in a manner that meets the purpose of the funding opportunity and align with the narrative questions, funding requirements, and scoring detailed in the application.

Training for raters must address the review of the budget and personnel detail and allow raters to identify any budget concerns.

A. Independent Review and Application Rating

Raters individually read, review, and rate the eligible applications according to the rating guidelines; identify sections in the application that need clarification; and give each

application an initial numeric assessment. Raters must independently, thoroughly, and fairly evaluate all applications based on the criteria detailed in the rating guide. It is important that raters clearly understand their role, responsibilities, and the time commitment necessary to complete the due diligence process. It is also important to provide the raters a detailed overview of the rating criteria and the expectations for each type or level of score. To ensure each application is fairly rated, input from raters who do not evaluate all applications assigned to them or do not attend meetings to review evaluations and formulate recommendations will not be considered.

B. Rating Committee Group Decision

Once all applications are read and rated, raters meet to consolidate individual ratings per each application into one group score. Raters discuss any issues and/or questions that need further clarification before the individual ratings are consolidated.

C. Clarifying Questions (Optional)

This step provides applicants with an opportunity to respond to questions identified by the rating committee. The goal is to clearly communicate to applicants a set of clarifying questions critical to fully understanding their application and to receive responses in a timely manner. Questions cannot give one applicant an unfair advantage over another. If the nature of the clarifying questions is unclear, the Funding Process Coordinator should consult with the Division Director and Funding Process Advisor before contacting the applicant(s).

Acceptable communication methods and process for clarifying questions:

- Send an email to the individual identified as the Agency Primary Contact in the Proposal Cover Sheet.
- In the email, include the purpose of the clarification process, clarifying questions, response format and method, and the deadline date and time.
- The written response can be submitted via email or regular mail. It must be received by the Funding Process Coordinator no later than the deadline defined in the email; typically, three (3) business days from when the clarifying questions were given to the agency. The written response becomes an official document noting the responses to the clarification question(s) and is attached to the application.
- After the email is sent, the Coordinator should call the Agency Primary Contact to inform them of the time sensitive email.

Funding Process Coordinator moves forward with recommendations generated by rating committee. Clarifying questions support the rater recommendations. Late written

responses will not be reviewed or considered and must be kept for HSD records. Refer to page 42, Records Retention.

A final assessment score is generated by averaging the individual raters' final points for each application reviewed. To facilitate this process, raters may update the Excel spreadsheet used to generate the initial group assessment score (see the "Due Diligence Summary Chart" template on the HSD InWeb). Applications are then rank ordered from highest to lowest and those recommended for funding are forwarded to the next step.

D. Interviews (Highly Recommended)

It is highly recommended that a subset of the application rating committee participates in applicant interviews. The Coordinator and Workgroup should ensure that the purpose, expectations, and any points allocated to the interviews are clearly outlined in the Guidelines and Application document. If interviews are included, individuals assigned to conduct interviews should complete all the interviews to ensure the process and assessment is consistent and fair. Interviews may be completed in person, over the phone, via Internet (Skype), etc., and should be scheduled based on the most convenient time and method for both the interview panel and the applicant(s).

E. Site Visits (Optional)

The Funding Process Coordinator and/or designated individuals (HSD staff or individuals on the rating committee) may visit the sites of the recommended applicants, specifically the site of the program/project where service delivery will take place. The Guidelines and Application document should state if and when site visits are planned. The purpose of the site visit is to ensure it is safe for service recipients and has the capacity to provide the services indicated in the application; therefore, a site visit is highly recommended when direct client service delivery will occur on-site, and can be incorporated into the interview if appropriate.

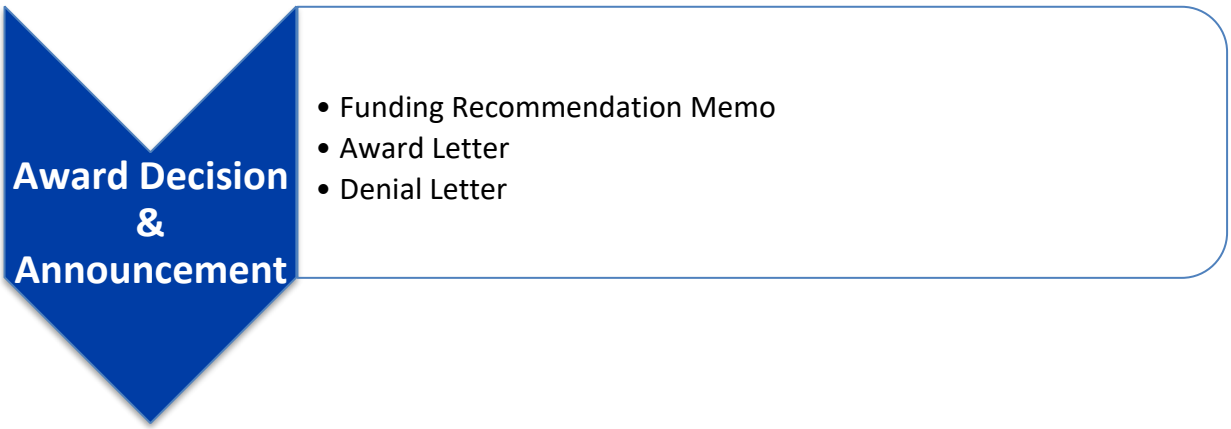
The site visit may serve as a control to confirm the location, safety and capacity of the program site and should not be part of the rating criteria unless mandated by the funding source(s) or an integral part of programming. Documentation that demonstrates completion of site visit(s) must be attached to the applicant's application and kept on file for HSD records. If direct client service delivery will occur on-site and a site visit will not be conducted as part of the funding process, the reason for not conducting a site visit must be clearly documented and approved by the Division Director.

F. Determination of Final Recommendations and Funding Amounts

The rating committee will rank order the applications from highest to lowest and make the initial funding recommendations. The highest ranked application may not correspond to the highest funding allocation. Allocation decisions may be based on other criteria including, but not limited to, service to focus population(s) and priority populations,

geographic considerations, and the array of services to be provided. The rating committee may adjust the recommended award amounts higher or lower than what was proposed. Caution must be exercised to ensure that the agency's ability to deliver on the proposed outcomes is not adversely impacted by any adjustments to the requested amount. The Funding Process Coordinator will forward the Funding Recommendation Memo to the Division Director who will review and email the memo to the HSD Director and Cc: Deputy Directors, Division Director, Director of External Affairs, Finance Manager, Planning Supervisor, and Funding Process Advisor.

Award Decision and Announcement



Award Process (Allow 15 – 30 Business Days)

Up to 30 business days should be allowed if the HSD Director elects to review the award decision with the Mayor's Office or City Council.

HSD Director Approval:

Once the raters have made initial recommendations, the Funding Process Coordinator will forward the Funding Recommendation Memo to the Division Director who will review and email the memo to the HSD Director and Cc: Deputy Directors, Director of External Affairs, Finance Manager, Planning Supervisor, and Funding Process Advisor.

The Funding Recommendation Memo should include:

- A short summary about the selection process including raters' names and affiliations.
- A brief description of the successful applications with requested amounts and funding recommendations, including agency's current allocations (if any).
- A short summary on the strengths and weaknesses of each successful application.
- A list of applications not funded, requested amount, and allocations if currently funded.
- A short summary on the strengths and weaknesses of each unsuccessful application.

- Any issues that may arise as a result of the overall funding decisions.
- Target date for funding notification and contract/program start date(s).

For processes that involve a large number of proposals, it may be helpful to attach a Due Diligence Summary Chart.

The HSD Director may elect to review funding recommendations with the Mayor's Office and/or City Council prior to final approval, which may delay agency notification.

Agency Notification:
No awards are to be announced between September 15 and November 30.

Following approval by the HSD Director, all applicants are notified at the same time about the status of their application in a letter signed by the HSD Deputy Director. Notifications must be emailed, in the morning, followed by mailed letters. The HSD Director and Division Director may also choose to conduct telephone notifications followed by the award and denial letters.

The award letter(s) should follow the standard award letter format noting that the funding award is conditional upon the satisfactory negotiation of a contract for services/outcomes and that contracts will not be executed until any timely appeals are resolved. Denial letters should follow the standard denial letter format, informing the agency that they were not selected for funding. While both letters should include detail as to the applicant's proposal and resulting decision to fully fund, partially fund, or not fund, the Funding Process Coordinator and others must be aware that information they provide to applicants not selected for funding could be used to support an appeal. Appeals are managed through the HSD Appeals Process. Division Directors will have discretion on the level of detail offered in the denial letter.

Public Announcement of Awards – preferred practice:
Public announcement, to include a list of awarded agencies and amounts and contingent upon any appeals, will be announced the afternoon of the same day award/denial letters are e-mailed.

After the appeals process has closed and all appeals resolved, the Funding Process Coordinator must notify the HSD Funding Process Advisor of any changes from the original Funding Memo and send an amendment using the same routing process as the original. HSD's Communications Manager will update any award information in the Mayor's Weekly Report, HSD's blog and e-newsletter.

Post Evaluation and Other Information

Welcome Package & Contract Development:
Upon agency award notification, staff should provide a welcome packet and may begin developing contracts including contacting successful applicants for needed information. Agencies

must be informed that all contract negotiations at this stage are conditional and contingent upon conclusion of the appeals process. As stated in the award letter, contracts will not be executed until any appeals are resolved.

Individual Feedback Sessions and Technical Assistance:
The Coordinator should plan and schedule for responses to applicant requests for feedback, technical assistance, and materials review to assist applicants in improving subsequent applications. The Funding Process Coordinator, with their Manager or Division Director as appropriate, may meet with applicants requesting feedback only AFTER the appeals process has closed.

Post-Funding Process Survey:
The Coordinator must send all applicants an anonymous post-funding process survey, encouraging responses that will help inform HSD future funding processes. The Coordinator will modify the introduction in the sample survey to reflect the specific funding opportunity and coordinate with the Funding Process Advisor to receive completed surveys. The department will use the information gathered from these surveys to improve the overall process as appropriate.

Record Retention:
Document retention related to funding processes is guided by the City of Seattle's Record Management Program. For awarded contracts or agreements, records and documents must be retained for six years after the termination dates. For unsuccessful applications, records and documents must be retained for three years after contracts are awarded. Records include the funding process documents, submitted applications, presentation materials, emails, individual rater scoring sheets, meeting minutes, etc. Anything that pertains to the process must be kept. If in doubt, contact the City's Record Retention Office.

Public Records:
Submitted applications and all related documents regarding the full process are part of the public record and become subject to public disclosure laws at the conclusion of the post-award notification appeals process; however, applications and related records generally must be released to an applicant who submits a public disclosure request, whether part of any post award-notification appeal process or otherwise. The Funding Process Coordinator must immediately direct all requests for information about the process and/or funding recommendations to the HSD Communications Manager via email.

Applicant Appeals Process

An applicant is any legal entity that has responded to a formal funding or qualifications process conducted by the City of Seattle Human Services Department in soliciting applications for the provision of defined services.

Upon written notification from HSD of an ineligible, incomplete, or unfunded proposal, applicants have the right to protest or appeal the decision **within four (4) business days** of the written notification.

Grounds for Appeals:
Only an appeal alleging an issue concerning the following will be considered:

- Violation of policies outlined in the Funding Process Manual.
- Failure to adhere to guidelines or published criteria and/or procedures established in a funding opportunity.

Appeal Format and Content:
The applicant must file an appeal within the required deadline and follow the proper format. All appeals shall be in writing and include: 1) Agency name, mailing address, phone number and name of individual responsible for submission of the appeal; 2) The specific funding opportunity title; 3) The specific action or decision being appealed; 4) The grounds for the appeal including specific facts; 5) Requested relief or corrective action; 6) Statement of efforts made within the funding process schedule to resolve the issue, including asking questions, attending information sessions, seeking clarification, and otherwise alerting HSD to any perceived problems; and 7) Signature of the Agency's Executive Director or similar level agency management staff.

Appeals must be e-mailed to: Tanya Kim, Acting Director, Seattle Human Services Department Tanya.Kim@seattle.gov. HSD is not responsible for ensuring that an appeal is received within the 4-day deadline.

Response to Appellant Organizations:

The HSD Director will review the written appeal and may request additional oral or written information from the appellant organization. A written decision by the HSD Director will be made within four (4) business days of the receipt of the appeal. This decision shall be delivered in writing by email or mailed letter to the individual making the appeal and the Agency's Executive Director or similar level agency management staff who signed the appeal. The HSD Director's decision is final.

Expedited Funding Processes

In extraordinary cases HSD may need to conduct an expedited funding process to meet critical needs in the community as soon as possible. This means that certain aspects of the funding

process may need to be condensed or eliminated. In most cases, HSD will release an RFQ when an expedited process is required.

- **Funding processes may be expedited only with approval from the HSD Director, or a Deputy Director.**

- An expedited Funding Process Timeline must be developed with the assistance of the Funding Process Advisor, with the final timeline reviewed and approved by the Division Director, Deputy Director of Services and Strategy, and Funding Process Advisor.

- If any elements of the funding process will be eliminated, the Deputy Director of Services and Strategy must be notified of the steps that will be eliminated, the rationale for eliminating these steps, and any anticipated impact elimination of these steps may have on the funding process.

Expedited Funding Process Timeline

An expedited funding process typically allows for:

- less time for internal review of the funding process documents prior to release;
- less time for applicants to respond to the funding opportunity;
- less time for the review and rating of the applications received; and
- less time for review of the funding recommendations, including little to no time for funding decisions to be reviewed with elected officials.

- **Expedited Submission Deadline:** Although HSD would typically make every attempt to allow at least six weeks from the release date of a funding opportunity to the submission deadline, expedited funding processes may require a shorter time period (minimum 3 weeks) to accept submissions.

- **Expedited Information Sessions:** Typically, information sessions would be scheduled one to two weeks after the release date of the funding opportunity, however this may not be possible in an expedited funding process. Information sessions should be offered whenever reasonably possible. If the Funding Process Coordinator proposes to eliminate the information session(s) for any reason, this must be approved by the Division Director and Deputy Director of Services and Strategy and noted in the expedited Funding Process Timeline.

- **Expedited Questions and Answers:** In a typical HSD funding process, the Coordinator would be expected to make responses to any questions received available to the public within five (5) business days. Funding Process Coordinators are encouraged to respond to questions as quickly as possible in the case of an expedited funding process (for example,

within 3 business days), keeping in mind that all responses must be reviewed by the Funding Process Advisor prior to posting online.

- **Expedited Interviews:** Conducting interviews with recommended applicants is highly encouraged, and may be combined with a site visit especially when direct client services will be provided on-site. However, the expedited funding process may not allow time to conduct these visits prior to the award decision. If the Funding Process Coordinator proposes to eliminate the interview/site visit component for an expedited funding process, this must be approved by the Division Director and Deputy Director of Services and Strategy and noted in the expedited Funding Process Timeline. HSD may consider awarding a conditional contract(s), based upon the opportunity to conduct a site visit after the award process and prior to contract execution.

It is important to recognize that an expedited funding process requires significant coordination and communication between the Funding Process Coordinator and all staff involved.

Appendix A: Funding Process Participants, Roles, and Responsibilities

Participants:	Roles and Responsibilities in the Funding Process:
Funding Process Coordinator	Usually a Planner, and designated by the Division Director or Planning Supervisor to coordinate the funding process and serve as the official contact person: selects the Funding Process Workgroup and rating committee; consults on the appropriate funding process type; collaborates with the Division's Sr. Finance Analyst to confirm available funding and review allowable/unallowable costs; conducts research; writes literature review; collaborates with the Funding Process Advisor to complete all funding opportunity documents; works with relevant staff to notify current contractors about competitive funding process and on funding opportunity release; schedules and leads information sessions; responds to applicant questions and prepares answers for web posting; trains and leads meetings for the Funding Process Workgroup and rating committee; coordinates Due Diligence process; coordinates funding recommendations and awards; provides HSD Director information needed for appeals; compiles final documents for filing and retention; ensures Planning Memo is completed; conducts post-process surveys and leads feedback and technical assistance sessions post-appeal.
Funding Process Workgroup	Usually Planners and Grants and Contract Specialists identified by the Funding Process Coordinator, and/or external funders or parties who support the Funding Process Coordinator throughout planning and implementation of the funding process; assists in identifying investment area, focus population and priority population; reviews funding process policies and assists in the development and review of funding opportunity documents; assists in community engagement and data collection; identifies community members to be on the rating, interview, and site visit committees; identifies any issues or gaps with funding process and current contractors.
Rating Committee, Interviewers, and Site Visit Committee	Should include HSD or other City staff members, other funders, and community members: supports the Funding Process Coordinator by rating eligible applications to determine alignment with proposed investments, focus population and priority population, services, and outcomes; participates in the development of funding recommendations to be presented to the Department Director; may also participate in interviews or site visits of potential applicant agencies.

HSD Director	City of Seattle's contracting authority for HSD: HSD's designated authority to initiate, waive, or delay a funding process; ensures alignment with HSD's Results-Based Accountability Framework; reviews and approves final funding recommendations; reviews appeals and draft responses, issues a final decision, and responds to appellant.
Deputy Director	Approves funding opportunity documents and vets with HSD Director; provides final approval of funding opportunity documents and signs the cover letter prior to release; signs award and denial letters; provides approval to conduct an expedited funding process and may approve to waive some steps in the due diligence process (e.g. interviews, site visits).
Division Director(s)	Coordinates division-level designation of responsibilities to the Funding Process Coordinator and Funding Process Workgroup; ensures alignment with HSD's Results-Based Accountability Framework and RSJI; makes division-level decisions regarding the funding process including review and approval of: notification to current contractors that funding will be released competitively, funding process timeline, all funding opportunity documents and funding recommendations; submits Funding Recommendation Memo to HSD Director (cc's Div. Directors, Planning Sup., Finance Director, FP Advisor, and PR Spec); and reviews and responds to any appeals.
Division Manager(s)/ Planning Supervisor(s)	Provides direction and support to the Funding Process Coordinator, in coordination with the Division Director; supports the Division Director in review and approval of funding opportunity documents and processes specific to the funding opportunity; works with relevant staff to notify current contractors about competitive funding; approves responses to applicant questions; approves proposed rating and interview committees; ensures that the timeline of all activities associated with the funding process is adhered.

HSD Funding Process Advisor	HSD advisor for all funding opportunities within HSD; provides guidance on HSD and City-wide funding policies and practices; revises and implements overall HSD policies related to funding processes; revises all funding process document templates; reviews all proposed investment areas to ensure alignment with HSD's Results-Based Accountability Framework; assists Funding Process Coordinator in determining the appropriate funding process type and timeline; approves funding process timeline and all funding opportunity documents prior to release and posting; provides standardized templates for funding process documents; activates and deactivates the funding process in HSD's online submission system; provides technical assistance; manages online submissions in a central location; notifies HSD of release of, and awards from, the process; collects and analyzes Rating Committee Inclusion data.
HSD Data, Performance and Evaluation Team	Gathers and synthesizes community demographic and disparity data; assists Coordinator in development of the Theory of Change and approves final SIP outcome and project codes; ensures adherence to the Results Based Accountability Framework, including performance measures.
Senior Finance Analyst(s)	Confirms the amount of available funding and updates budget projects if necessary; may assist in verifying allowable or unallowable program costs.
Public Relations Specialist	Posts guidelines and application document and related materials, questions and answers, FAQs, etc., and maintains an updated schedule of funding opportunities for public posting on HSD's Funding Opportunities web page; develops language for public announcement including internal and external communications; coordinates the advertisement in the Daily Journal of Commerce (DJC) for two days; collects award notification details for public announcement;
Executive Assistant	Coordinates response to public records requests; may send appeals responses or other correspondence on behalf of the HSD Director, may provide electronic signatures on behalf of HSD Director.
Fiscal Auditor	Reviews HSD's records of applicant agency's financial oversight documents and identifies additional documents needed from applicants; submits list of missing financial documents to Coordinator; receives submitted financials and provides feedback to the Funding Process Coordinator on the overall financial health of applicant agencies.
RSJI Change Team (through Change Team Co-chairs)	Supports the Funding Process Coordinator and Workgroup in ensuring that the funding process and related activities and materials align with the Race and Social Justice Initiative (RSJI).

Division-Specific Grants and Contracts (Program Specialist)	Works with Funding Process Coordinator to notify current contractors about competitive funding process and on funding opportunity release; negotiates on outcomes and number of clients served resulting from funding process awards; develops and monitors the contracts; provides technical assistance and oversight.

Appendix B: Overview of Funding Process Manual Revisions

The HSD Funding Process Manual (v2.1) was revised in March 2016. The chart below provides an overview of the major changes to version (v3.0) of the manual by section, and subsequent minimal updates to this version (3.1). The Funding Process Manual is a working document and will be revised as needed, with revisions noted in this section.

V3.1 Updates

Overall Manual	
Structure	Updated headings to Seattle Text.
Content	Now Updated Outcomes Framework and Strategic Plan by removing Results Based Accountability Framework and Theory of Change. Updated roles to reflect organizational changes. Updated Appeals policy. Created Appendices and moved content from manual to appendices. Removed HSD Goals and Priorities section as it is covered in other areas specific to RBA. Strengthened language where appropriate – should to must, may to will, etc. Changed “priority community(ies)” to “priority population(s)” to match new Theory of Change language.
Title Page	
Logo	Updated to current HSD logo
Subtitle	Revised subtitle to Healthy Communities, Healthy Families
Color scheme	Updated color scheme to Seattle blue
Introduction	

Background *See pages 3-4*	Updated Background section to mirror HSD's public website. Revised "Responding to Gender-Based Violence" to "Supporting Safe Communities, Safe Lives". Changed Communities Supporting Safe and Stable Housing Division to Homeless Strategy and Investment Division.
Funding Process and Manual Purpose *See pages 3-4*	Created header and moved content into these two components: Funding Process and Funding Manual. Removed graphic "What are we purchasing? Why are we buying it? What are we counting?"

Understanding the Basics

Types of Funding Process *See page 5*	Updated language to reflect Results-Based Accountability language and the Theory of Change.

Identifying Core Funding Process Participants, Roles and Responsibilities

Getting Started

Roles and Responsibilities *See page 6*	Updated and moved to Appendix A.
Outcomes Framework *See page 8*	Updated title and language from Outcomes Framework to reflect Results-Based Accountability. Included footnote for Trying Hard is Not Good Enough. Added language regarding Ordinance 125474 and gender disparity data.
Theory of Change *See page 9*	Updated to reflect new Theory of Change. Included pie chart graphic. Moved Theory of Change grid/table to Appendix B.
Developing the Funding Process Timeline *See page 12*	Added language regarding award announcement moratorium between September 15 – November 30
Using Data to Prioritize Needs	Removed duplicative language from RBA and Theory of Change section

Development of Funding Process Documents and Approval Process

Overall Structure	Updated bullet points and lists to reflect the chronological order of completion.

Racial Equity Tool~~kit~~ *See page 17*	Clarified the tool~~kit~~ as a required community engagement component that informs the Theory of Change and Guidelines and Application.
Guidelines and Application *See pages 17- 18*	Added language "priority ranking based on experience, partnerships…must be clearly outlined". Moved language "when determining application deadline…allow at least six weeks…" to the Planning and Development section, Funding Process Timeline (pg. 16).
Application Cover Sheet *See page 18*	New content. Added due to new requirement of partner agencies to sign the Application Cover Sheet.
Steps for Routing and Approval *See page 19*	Updated and moved to end of template section. Removed language regarding additional documents. Removed language regarding Rating Chart and Instructions.
Release of the Funding Opportunity	Clarified process in opening paragraph. Updated bullets to reflect current process flow.

See page 20	
Post Release Activities and Application Review Process	
Information Sessions *See pages 21-22*	Changed graphic to include Help Sessions. Added potential exclusion for expedited funding processes or RFQs with no funding attached. Added language to contact HSD ADA coordinator for assistance with language needs, physical access needs, etc. Added language that signatures are redacted from sign in sheets. Added bullet to "inform participants…Q&A not final until in writing…"
Questions and Answers *See pages 22-23*	Added section to separate from Information Sessions section. Added language to clarify process of answering and posting questions prior to Info Sessions. Added help session language throughout. Updated Q&A timeline to reflect a goal of posting within 3 business days from receipt. Max is still 5 days. Removed outdated language regarding Web Lead and schedule for posting.

Help Sessions *See pages 23-24*	Added section for Help Sessions and developed new content.
Application Submission and Receipt *See page 25*	Added language "ensuring back-up staffing…"
Late Submission Policy *See page 25*	Updated to reflect a 30-minute unpublished grace period.
Selection of Rating and/or Interview Committees *See pages 27-28*	Added language regarding large funding processes and developing rating sub-committees. Added language to identify alternate raters when needed. Added language regarding who should NOT be on a rating committee.
Minimum Eligibility Screen *See page 29*	Change to be "optional" as more Coordinators are skipping this process and moving all applications forward to rating. Added language regarding requesting additional or missing information. Updated appeal to 4 business days to match updated policy.
Clarifying Questions *See pages 31- 32*	Updated language regarding process to reflect current practice.
Determination of Final Recommendations and Funding	Updated final review and cc list to reflect current practice.

See pages 33- 33	
Award Decision & Announcement	
Funding Recommendation Memo *See page 34*	Included bullet regarding a summary of strengths and weaknesses of unsuccessful applicants.
Agency Notification *See page 34*	Updated language regarding notification to agencies must happen in the a.m.

Public Announcement of Awards *See page 34*	Updated policy to publicly announce contingent awards the same day as agency notifications. Included language regarding a Funding Memo amendment if decisions are changed after award announcements. Removed steps to notify Public Relations Specialist as it is reflected in the Timeline.
Post Evaluation and Other Information *See page 35*	Updated Contract Development language to inform of conditional contracts.
Applicant Appeals Process	
Updated appeal policy for 2018 *See page 36*	Combined types of appeals into 1 paragraph (ineligible, incomplete, unfunded). Changed appeals timeline to 4 days for appellant, and 4 days for HSD to respond. Removed "Appeals Deadlines" sections. Condensed "Appeal Format and Content" section. Removed grounds for appeal "A matter of bias, discrimination, or conflict of interest" as this is subjective. Condensed "Appeals Process" section.
Appendices	
Appendix A	**Participant Roles and Responsibilities**
Overall Structure	Added Appendix A. Moved Participants, Roles, and Responsibilities to Appendix A.
Funding Process Coordinator *See page 39*	Added specification that this role is usually a Planner. Added to role: literature review and Planning Memo completion.
Funding Process Workgroup *See page 39*	Added specification that the HSD staff member participants are usually HSD Planners and Grants and Contract Specialists. Added responsibility of identifying issues or gaps with funding process and current contractors.
Rating Committee, Interviewers, and Site Visit Committee *See page 39*	Added other City staff to this group.

HSD Director *See pages 39- 40*	Added review draft appeal responses. Moved responsibility for final approval of all documents and signatory of cover letter, award and denial letters to Deputy Director.
Deputy Director of Services and Strategy *See page 40*	Added vetting of funding opportunity documents with HSD Director. Added responsibility for final approval of all documents and signatory of cover letter, award, and denial letters from HSD Director.
Funding Process Advisor *See page 40*	Added responsibility of revising policy and document templates.
Data Performance and Evaluation Team *See pages 40-41*	Added HSD Data, Performance and Evaluation Team to Participants, Roles, and Responsibilities section.
Public Relations Specialist See page 41	Added Public Relations Specialist to Participants, Roles, and Responsibilities section. Moved Communications Manager and Web Lead roles to PR Spec.
Communications Manager	Removed role and added responsibilities to new Public Relations Specialist role.
Web Lead	Removed role and added responsibilities to new Public Relations Specialist role.
Executive Assistant *See page 41*	Added Executive Assistant to Participants, Roles, and Responsibilities section.
Appendix B	**Theory of Change**
Overall Structure	Added Appendix B. Moved Theory of Change grid/table to Appendix B.
Theory of Change *See page 42*	Updated Theory of Change grid/table to reflect Results-Based Accountability.
Appendix C	**Overview of Funding Process Manual Revisions**
Overall Structure	Added Appendix C. Moved Overview of Funding Process Manual Revisions to Appendix C.

V3.1 Updates

Funding Memo routing *See page 33*	Updated cc list based on current practice and titles. Removed Division Director and Public Relations Specialist. Updated title of Communications Director to Director of External Affairs.
See page 34	Updated award announcement policy