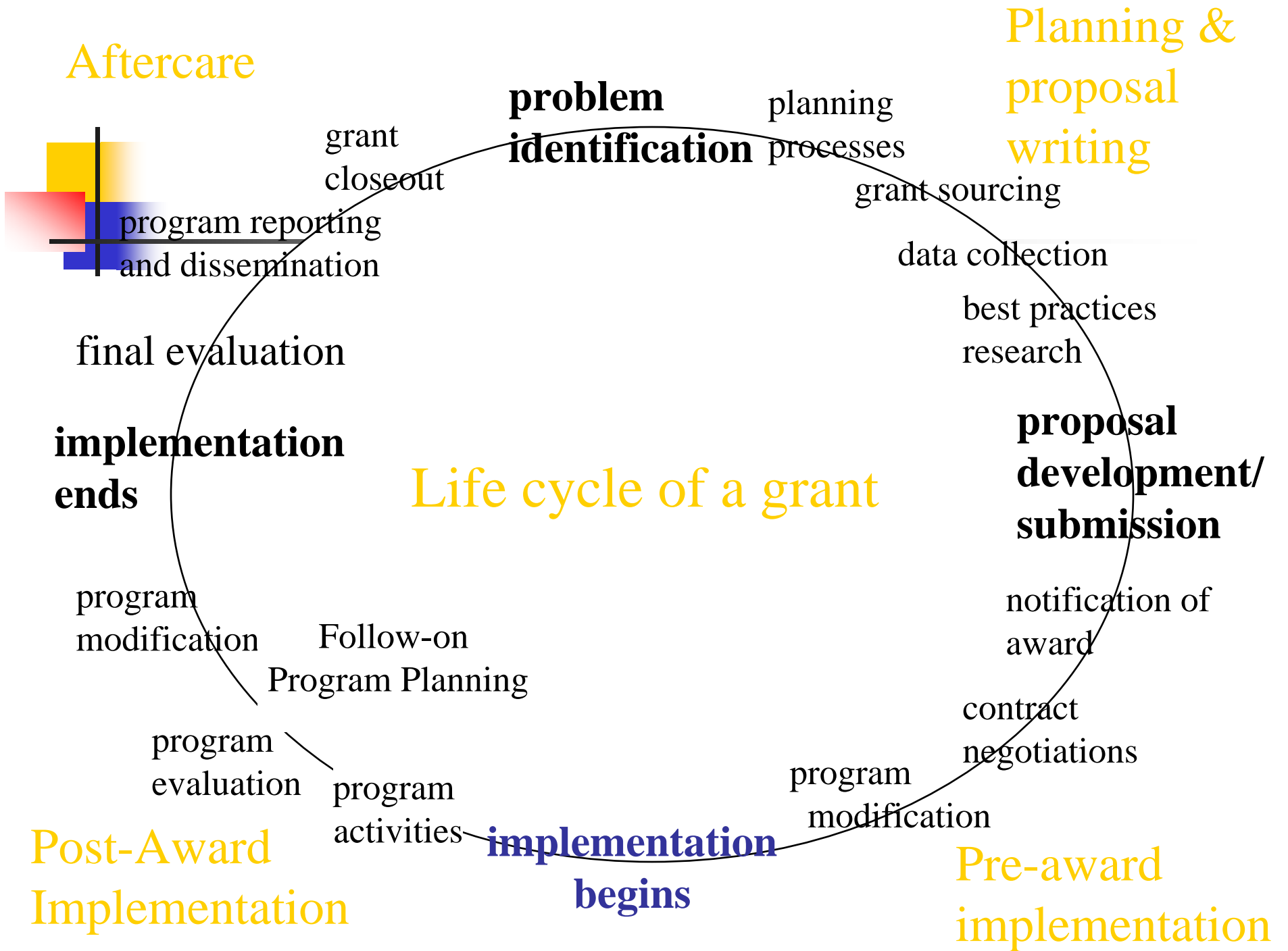




# Grant Management

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# Grant Maintenance Fundamentals



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- Comply with funder's requirements
- Maintain productive relationships
- Utilize effective communications/reporting mechanisms
- Demonstrate effective program and financial administration
- Prepare a successful reapplication



# Compliance with Funder Requirements: Federal Grants

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- Federal programs generally have more requirements, more specificity, restrictions than other forms of grant programs
- Varies by funding source, different degrees of requirements, oversight
- Baseline for federal requirements are the federal circulars

# General Government Requirements



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- Maintaining financial, program records for set time period after funding ends
  - Can use your own record keeping system, but maintain separate accounts
  - Presents challenges in terms of reports, fiscal year/grant year inconsistencies, categorical interpretations
  - Underscores importance of exact budgets in the application process
  - Requires routine program coordination, proactive consultation with your accountant



# Compliance with Federal Funder Requirements

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- Timely submission of periodic program, financial reports
- May require external program evaluations or routine data collection
  - Government Performance Review Act – establishes routine data collection for federal programs
  - Federal Agency may require your organization to participate in national evaluation and cooperate with independent evaluator
  - Federal agency may require you to collect certain types of information related to program progress and impact



# Compliance with Federal Funder Requirements cont.

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- Be familiar with requirements regarding single (A-133) audits and whether or not your organization will be required to conduct one
  - Generally required if your organization will receive \$300,000 in federal grants, cooperative agreements, loans or primary contract awards.
  - Requires an independent audit
  - Good info site: [www.gao.gov](http://www.gao.gov) single audit page
  - See article from *Grantsmanship Center Magazine*



# OMB Circulars: cost principles

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- OMB A-21: cost principles for higher education
- OMB A-122 cost principles for non profit organizations
- OMB A -87 cost principles for states and local government
  - These focus on allowable costs, categories
  - Determining equipment, indirect costs

# OMB Circular: audits



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- OMB A-133: states, local governments, and non profit organizations
  - prescribes what to be concerned with in a federal audit
  - prescribes uniform auditing procedures
  - compliance, matching, equipment management, allowable activities
  - program income, reporting processes, subrecipient monitoring
  - Retention of records (3 years)



# Compliance with Federal Funder Requirements cont.

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- Adhere to funder's regulations regarding human subjects
- Obtain advance approval for program, financial or personnel changes
- Adhere to federal regulations - drug free workplace, civil rights, discrimination
  - generally spelled out in RFP and Cooperative Agreement

# Accountability for Federal Programs



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- Principal Investigator/Project Director
  - Accuracy of proposal information
  - Conduct of the project
  - Proper allocation of funds
  - Compliance with specific terms of award
  - Timeliness and accuracy of cost transfers



# Foundation Requirements

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- Generally less stringent, specific
- Normally requires at least a yearly report, maybe more often
  - if no report required, still submit one annually.
- May be required to participate in evaluation by an outside contractor
- May require an independent financial audit if there is a question of financial improprieties.



# Maintaining Positive Relationships

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- Emphasize the development of personal relationships
  - doesn't have to be an unequal relationship
  - approach as an interdependence issue: you need the funder (money); funder needs you (to meet its goals)
- As with all good relationships, requires proper care and feeding, common courtesy:
  - Send a thank you note when funded, regular updates, funder recognition when appropriate

# Maintaining Positive Relationships



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- Learn what management issues are most important to funder, and pay special attention to those issues:
  - Finances
  - Staff
  - Program activities/clients
  - Public Activities
  - Equipment
  - Adherence to guidelines, communications, etc.

# Maintaining Positive Relationships



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- Avoid the “how come he don’t write?” scenario:
  - Provide reports on timely basis
  - Be prompt to respond to information requests
- Find proper balance between keeping funder informed and involved and too involved in program management
- Credit the funder in all program announcements, newsletters, special events
  - Make sure the funder wants to be acknowledged!



# Constituency Building

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- Focus on building community, constituent support for program through effective public relations campaign
- Can serve as a protective factor for maintaining, renewing grant
- Use proven strategies:
  - Use the media
  - Use newsletters (either written or media)
  - Use advisory groups composed of public officials, community leaders, other agencies
- Involve key individuals
- Maintain open door policy for visits by constituents, funders



# Conflicts with Funder

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- When conflicts arise, focus on maintaining productive relationship
- Five alternatives to weigh:
  - simply comply with funder
  - use information, data to convince funder to go your way
  - try to reach a compromise
  - seek a neutral 3rd party to arbitrate
  - return award only as last resort

# Effective Reporting Systems

- Provide progress reports when required and in the required format
- Provide timely financial reports in format required
- Provide final report to funder within required timeframe
- Keep internal staff, players informed
  - accountants, CEO, board
- Provide community reports, press releases, speaking engagements

# Keys to Effective Program Reporting



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- No surprises! If you have been up front with funder when critical issues occur, there should be no big surprises in the report
- Your best chance to educate funder about what you are doing
- Advance planning - don't do at the last minute
  - Review content requirements for reports upon receipt of grant award

# Keys to Effective Program Reporting



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- Designate someone to manage reporting process
- Have data collection mechanisms in place at beginning of grant implementation
- Use distinctive report layout that is consistent with funder's guidelines

# Keys to Effective Program Reporting



- Use graphics when appropriate (especially when demonstrating impact, outputs)
- Provide explanations for program delays, departures from proposals
- Describe benefits outside of those described in original proposal
- Don't cover up - describe difficulties, efforts to overcome them
- Utilize same evaluation mechanisms you proposed originally



# Effective Administration

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- Leadership style:
  - Demonstrate good management skills by
    - regular contact with program officer
    - timely written reports
    - accurate financial management
- Employ Qualified Staff
  - formal qualifications, hiring requirements
  - training programs
  - Start thinking through hiring process before grant begins



# Effective Administration: Begins Before Grant Award

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- Generally cannot incur costs until grant agreements are signed
  - Follow funder's guidelines
- Before award letter is received, can begin some processes:
  - Develop job descriptions, intake forms, other logistical plans
- Don't trump the funder's press release with your own.
  - Funder may formally or informally embargo press until they are ready to release information



# Effective Administration

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- Organizational Structure
  - create formal structure for grant program
    - clear responsibilities for grant program
    - chain of command
  - create clear grant organization identity
  - without clear identity - unclear mission, unknown impact, fuzzy operations



# Effective Administration

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- Achievement of objectives
  - set up and utilize effective evaluation mechanisms
  - focus on achievement of objectives in reports
  - utilize continuous improvement methods based on objective data to drive program modifications



# Effective Administration

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- Timely Performance
  - complete work within timeframe proposed
  - use project tracking methods, frequent staff meetings to ascertain progress
  - make modifications only when necessary
  - advise program officer of major delays, steps to address the delays



# No-Cost Extensions

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- Permission from funder to continue spending grant funds after contracted end date
- Best to get before end date
- May require letter, new budget for remaining dollars
- Sometimes NOT possible...Know in advance!



# Effective Administration

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- Crisis Management:
  - Loss of staff, negative news reports, etc, loss of partner organization
  - Funder may need to be informed; describe how problem will be addressed quickly
  - Remember staff changes, match changes may require advance permission
- Financial Know-how
  - know when to request financial modifications and for what situations



# Financial Management

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- **Ensure you have adequate fiscal and financial control within your organization**
  - **Adequate financial staff**
  - **Set up appropriate accounting system if you do not already have one**
  - **Adequate controls – who will examine expenditures to make sure they are consistent with grant guidelines?**
  - **Project director needs to be familiar with all spending guidelines**
  - **Make sure reports are timely, consistent with funder guidelines and regulations**



# Financial Management

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- Exercise caution in modifications to budget
  - Know when to get permission for budget modifications:
    - For any modification, regardless of amount?
    - For certain types of expenditures, i.e., equipment, food, etc.
    - For changes in subcontracts
    - For deviations over a specific amount or percentage of overall budget?
- Permission model works better than the forgiveness model!

# Other

## Reporting Requirements

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- Understand IN ADVANCE how grant dollars will be disbursed
  - Advance payments on a quarterly, semi-annual, annual, or full, up-front basis
  - Cost reimbursement basis: You send financial report or statement, they reimburse you
    - Be aware of “draw down” requirements
  - Failure to draw down regularly creates questions of whether or not you are spending the money



# Preparing for future funding requests

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- You may have a multiple year grant subject to renewal on an annual basis, subject to adequate progress reports
- You may have to submit a new grant application for Year II
- You may have to reapply for a new program.

# Steps for refunding



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- Keep records of supporting materials - press releases, client feedback
- Make sure you follow through with evaluation elements
- Make sure reports are timely, well-written



# Steps for Refunding

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- Start looking for additional/new sources of funding early
- Make sure program staff understand that future funding is linked to their performance
- Remember all aspects of the grant's management can play into refunding decisions



# Grant Close Out

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- Begin 90 days prior to end
- No-cost extension required? if so, do it in advance of end date
- Move funded positions to non-grant accounts, notice, termination - allow for vacation time
- Cost sharing obligations met?
  - Obtain documentation from third party match



# Grant Closeout

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- Pay outstanding purchase orders/invoices
- Close out subcontracts
- Terminate leases when necessary
- Submit final evaluations/honor ongoing commitments
- Notice to clientele, constituents if program is ending