

**Grant Management**



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**Congratulations! You got the grant! Now what?**

- ▶ Ensure compliance with funder requirements
- ▶ Protect your agency from bad audits, disallowed costs, lost funder confidence
- ▶ Be re-fundable!



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**Today's Presentation**

- ▶ State and federal grants, some examples from foundation grants, Volkswagen court settlement
- ▶ Pre-Award
- ▶ Start-up
- ▶ Operation
- ▶ Closeout



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**If this is not a good look for you...**



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### Assistance for Applicants and Grantees

 <p><b>BEFORE</b> the deadline: Grantmaker staff may be able to discuss proposal ideas and pre-review proposals</p>	 <p><b>AFTER</b> the grant cycle: Applicants receive reviewer scores and comments</p>	 <p>Review award terms and conditions, reference information from the Grantmaker</p>	 <p>Grant management webinars and tutorials from state and federal agencies</p>
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### Pre-Award

- ▶ **Re-read your application for certifications and commitments made**
- ▶ **Review any comments you receive from application reviewers**



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**Certification Questions**

1. Have you, the applicant or any employee, been the subject of a criminal conviction, civil suit, or other government action that would disqualify you from participating in the program? If so, please provide details of the conviction, suit, or other government action, including the date of the conviction, suit, or other government action, and the nature of the conviction, suit, or other government action.

2. Have you, the applicant or any employee, been the subject of a criminal conviction, civil suit, or other government action that would disqualify you from participating in the program? If so, please provide details of the conviction, suit, or other government action, including the date of the conviction, suit, or other government action, and the nature of the conviction, suit, or other government action.

3. Have you, the applicant, or any employee or other officer, been convicted of a felony in the commission of or related to the violation of a state or federal law? If so, please provide details of the conviction, including the date of the conviction, the nature of the conviction, and the name of the court.

4. Have you, the applicant, or any employee or other officer, been convicted of a felony in the commission of or related to the violation of a state or federal law? If so, please provide details of the conviction, including the date of the conviction, the nature of the conviction, and the name of the court.

5. Have you, the applicant, or any employee or other officer, been convicted of a felony in the commission of or related to the violation of a state or federal law? If so, please provide details of the conviction, including the date of the conviction, the nature of the conviction, and the name of the court.

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### What did you promise when you applied for the grant?

- ▶ **Disclose tax liabilities**
- ▶ **Felony & other convictions**
- ▶ **Operate purchased equipment in specific area**
- ▶ **Maintain according to specs, for five years**
- ▶ **Allow site access, inspection**



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### Communicating With Your Assigned Grant Coordinator

- ▶ **Fear not!**
- ▶ **ALWAYS** put your grant number in the subject line of that email.
- ▶ **Asking permission is ALWAYS better than begging forgiveness.**



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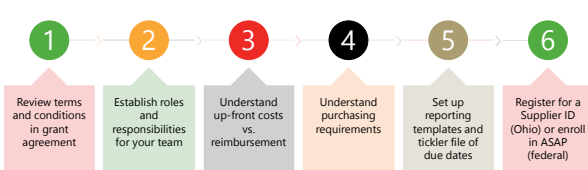
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Start-Up



1  
Review terms and conditions in grant agreement


2  
Establish roles and responsibilities for your team

3  
Understand up-front costs vs. reimbursement

4  
Understand purchasing requirements

5  
Set up reporting templates and tickler file of due dates

6  
Register for a Supplier ID (Ohio) or enroll in ASAP (federal)



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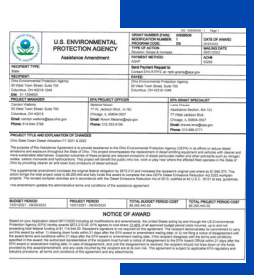
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**Terms and Conditions**

- ▶ Review by your Law Director
- ▶ Audit requirements
- ▶ Drawdown requirements
- ▶ Prohibited and indirect costs
- ▶ Reporting & recordkeeping
- ▶ Termination




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**More Terms and Conditions**

- ▶ Reporting executive compensation
- ▶ Disclosing conflicts of interest
- ▶ Digital/electronic signature
- ▶ Human and animal subjects
- ▶ Civil rights obligations
- ▶ Drug Free workplace, trafficking




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**Establishing Roles & Responsibilities on Your Team**

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**Roles and Responsibilities**

- ▶ **Project Director**
- ▶ **Fiscal Agent**
- ▶ **Authorizing Agent**
- ▶ **Reporting, Purchasing, Property Disposition**



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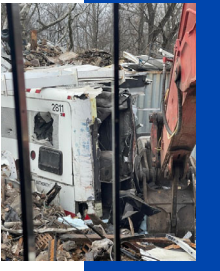
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**When the grant manager and the fleet manager aren't communicating...**

Uh, we were supposed to take photos of that old bus before it was scrapped?



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**Up-front Costs or Reimbursement Only**

Uh, we can't get reimbursed from the grant until we have paid down the entire lease?



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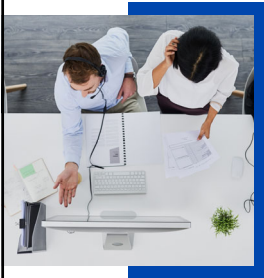
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**Understand Purchasing Requirements**

- ▶ Bidders List
- ▶ Fair Share Objectives
- ▶ MBE/WBE/DBE
- ▶ Cooperative Purchase Agreements
- ▶ State Term Contracts
- ▶ Recycled Content
- ▶ Buy America




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**Due Dates Tickler File**

- ▶ Progress Reports (activities and expenditures)
- ▶ Federal Financial Reporting (annual FFRs)
- ▶ Final/Closing Report
- ▶ How far ahead do you need from your team?
- ▶ When does your fiscal office need from you?




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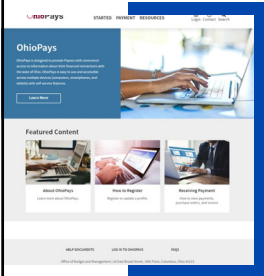
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**State of Ohio Grants**

- ▶ Secure a Supplier ID from Ohio Shared Services
- ▶ Ohio Supplier Portal <https://ohiopays.ohio.gov>
- ▶ Select EFT or check




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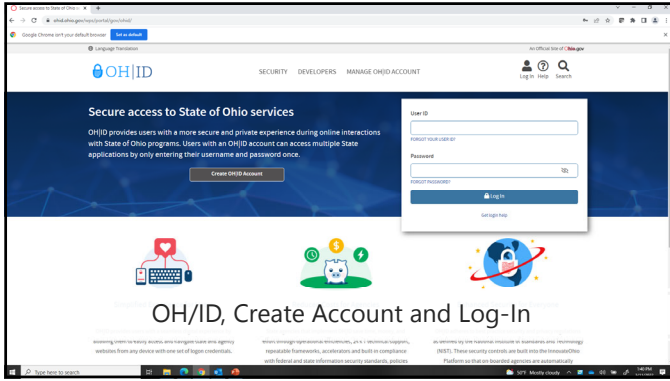
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**Federal Grants:**

- ▶ **System for Award Management (SAM) unique identifier**  
<https://www.sam.gov/SAM>
- ▶ **6-step enrollment in ASAP**  
when authorized by granting federal agency

The slide features the SAM.GOV logo on the left, which includes a stylized American flag. The text is positioned to the right of the logo. The hio logo is in the bottom right corner.

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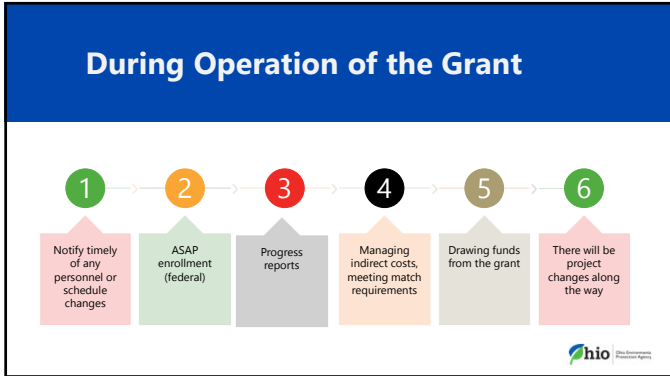
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**Automated Standard Application for Payments (Federal Grants)**

ASAP.gov used by 65 federal agencies  
Same-day or next-day drawdowns


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**ASAP Federal Grant Recipient Roles**


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**Reporting to the Grantmaker**

- ▶ Quarterly (federal), semiannual (state funds) or as specified
- ▶ Activities during the reporting period, include photos
- ▶ Expenditures during the reporting period (including match)
- ▶ Two signatures on expenditure reports




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### Federal Reporting Templates

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### Drawing Down Funds From the Grant

- ▶ **Submit invoices and proof of payment**
- ▶ **Drawdown from the grant prior to paying subrecipients**
- ▶ **~2 weeks for state payments**
- ▶ **Federal same or next day in ASAP**

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### Closing Out the Grant

1

Closing Activity Report - over entire grant period

2

Closing Expenditure Report - also covers entire grant period

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Documentation, Photos, Publicity, Success Indicators

4

Federal Financial Reports (FFRs)

5

Returning funds from the grant or invoicing for remaining funds

6

Recordkeeping and audits

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### Project Evaluation

- ▶ Correlation is not causation (multiple explanations for your results)
- ▶ Quantitative Indicators (how many participated)
- ▶ Qualitative Indicators (what did the participants say about it)
- ▶ Lessons learned from successes and failures



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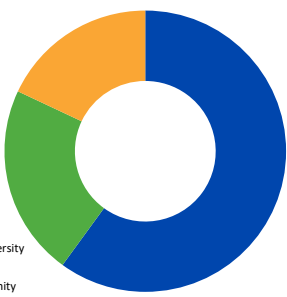
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### Analyzing your Data: Expenditures by Audience Served



- Pre-school to University
- General Public
- Regulated Community



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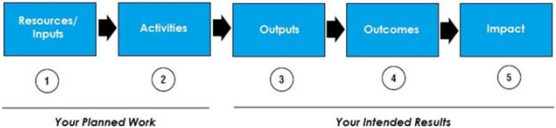
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### Federal Grants: Logic Models

W.K. Kellogg Foundation: *Logic Model Development Guide*  
[wkkf.issuelab.org/resource/logic-model-development-guide.html](http://wkkf.issuelab.org/resource/logic-model-development-guide.html)



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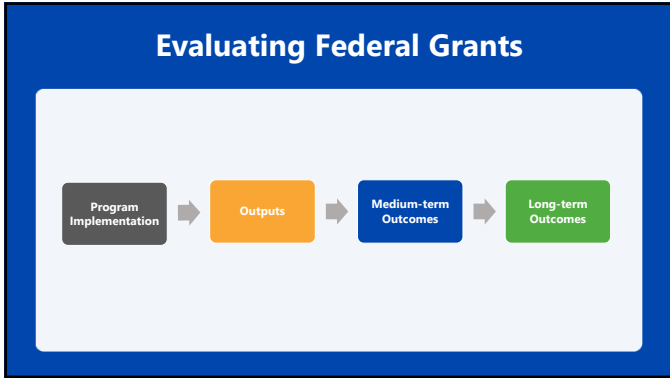
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### Outputs for Federal School Bus Replacement Grant:

- ▶ # and age of diesel school buses replaced
- ▶ # of new propane, CNG, electric buses
- ▶ Estimated tons of pollution reduced (using U.S. EPA's Diesel Emission Quantifier Tool)
- ▶ Cost Effectiveness [\$/ton of fine particulates (soot)] reduced



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### Medium-term Outcomes for Federal School Bus Replacement Grant

- ▶ Widespread adoption of new fuel technology by Ohio school districts
- ▶ Documented reductions in emissions of fine particulates and other pollutants (sulfur oxides, carbon monoxide, hydrocarbons)



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### Long-term Outcomes for Federal School Bus Replacement Grant

- ▶ Improved air quality in four urban nonattainment counties
- ▶ Continued progress toward Midwest Clean Diesel Initiative regional goal of affecting 5 million diesel engines through voluntary actions
- ▶ Continued progress toward transition of public fleets to zero-emission vehicles




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### Other Ohio EPA Grant Funding

- ▶ H2Ohio
- ▶ Clean Water Act Section 319 grants for stream restoration and nonpoint source pollution management
- ▶ Surface Water Improvement Fund
- ▶ Lake Erie Protection Fund
- ▶ Ohio Environmental Education Fund
- ▶ Diesel Emission Reduction Grants
- ▶ Recycling Community, Litter Cleanup and Tire Amnesty, Market Development, and Scrap Tire Grants



[epa.ohio.gov/get-funding](http://epa.ohio.gov/get-funding)

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# Creating Internal Grant Controls

## Program Management

- The overall goals and objectives of your grant program
- A detailed project plan outlining the steps and milestones for achieving the grant program's goals and objectives
- A risk management plan to identify and mitigate potential risks that could affect the program
- A communication plan to keep key stakeholders informed of the program's progress and changes
- Key team members and stakeholders both internal and external, and their responsibilities in the grant lifecycle
- A schedule for reviewing your standardized processes on an annual basis so changes can be made, if necessary

## Compliance

- Review contract and applicable state, federal or foundation grant requirements
- A compliance monitoring plan to ensure that grant recipients are adhering to the terms of the grant, if applicable
- Plan to implement updates when new guidance is released
- A process for addressing and resolving non-compliance issues
- A plan for conducting regular audits of grant recipients to ensure compliance with regulations, if applicable

## Grant Administration

- Workflows for creating and reviewing applications, if applicable
- Schedule regular expenditure and budget monitoring
- Reporting and data collection processes
- Closeout procedures
- Audit preparation procedures
- Information related to your grant management system (GMS) including:
  - Overall functionality
  - User permissions
  - Best practices
  - Resources for customer support