Grants Just Want to Have Funds, But Monitoring is a Must

Charlene Allen, Anne Chansler, and Wanda Brown
Grants Just Want to Have Funds... But Monitoring is a Must!!
What Are the Aims of Monitoring?

• Progress
  • Adequate progress is being made toward objectives

• Compliance
  • Expenditures are in line with relevant statutes, regulations, agency administrative requirements, etc.

• Responsibility
  • Federal Funds are used responsibly
Role of Grantees in Carrying Out Grant Programs in Partnership with ACL

• A “grant” is federal assistance, in the form of money or property, authorized by federal law to support programs with a public purpose that the government wishes to encourage.

• The Federal Grant and Cooperative Agreement Act (1977) authorizes the use of federal assistance to support or stimulate a public purpose or benefit. (“principle purpose” test)
Role of Grantees in Carrying Out Grant Programs in Partnership with ACL

• Federal Agency personnel responsibilities:
  – Program-Specific Responsibilities that require technical knowledge of the program and its objectives
  – Business process and Administrative duties (at ACL, this is shared between Project Officers (PO) Project Directors and Grants staff (GMS, GMO); Includes “fiscal management.”)
Federal Authority for Grant Programs

• Authorization – Legal Basis for Issuing Grants to Carryout Program as an “Activity” (Authorized “Purpose” for program).

• Appropriation – Funding Authority for Program
  – Federal Fiscal Period of Availability (Date X to Date Y)
  – Amount (Can’t exceed)
  – Purpose
  – Also, Specific Grantee Award Amount

• Budget Period - Grant Award
  – Interval of time specified in the award into which a project is divided for budgeting and funding purposes.

• Project Period - Grant Award
  – Total period of time indicated in an award during which awarding Agency expects grantee activity and for which Agency intends to provide funding. May encompass more than one budget period and/or federal fiscal years.
Appropriation – Funding Authority for Program

- Congress/President pass/sign appropriation
- Apportionment of approved budget (administrative control of funds)
- Most funds appropriated as “annual” budget authority that allows obligation for 1 year (October 1, 2017 to September 30, 2018, for example). Grants must be awarded by federal agency (and obligated at agency level) before expiration date.
  • Specific grants awarded for use by grantee for a precise period (i.e. April 1, 2018 to March 31, 2019).

» Key Definitions (obligation, disbursement/outlay, un/liquidated obligation; unobligated balance).
  • Carryovers
  • No Cost Extensions
  • Flexibility (Expired vs. Cancelled funds distinction); Upward Adjustments of Obligations under limited circumstances.
What Are the Aims of Monitoring?

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• Compliance

• Responsibility

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• Expenditures are in line with relevant statutes, regulations, agency administrative requirements, etc.

• Federal Funds are used responsibly
Compliance and Responsibility – Project Officer and Program Manager Roles
Monitoring of Grant Activity – Payment Management System (PMS)

–Monitoring of Grant Activity

»Review of Quarterly Reporting, Expenses and draw downs relative to program timetable and objectives

»Use of PMS reports and Progress Reports by ACL PO
**PMS Reports - DOC-E**

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**SEARCH PARAMETERS**
- GRANT AWARD: 90DNEM0004
- FISCAL YEAR: 2017
- UNIVERSITY OF KENTUCKY, RESEARCH FOUNDATION
- HHS-REG: 04
- STATE: KY
- PMT: ACH
- STOP: N
- MAN-REV: N
- 272: File GROUP: F22
- USER: VNK5LHJ
- AGY: GRANT
- **AUTHORIZED**: 285,234.00
- **DISBURSED**: 168,851.80
- **CHG-ADV**: 177,674.87

**EIN**: 90DNEM000402

**FUTURE AUTH**: 73,481.45
**SNAPSHOT DISB**: 127,457.91
**SNAPSHOT CHRG**:

**TOTAL**:
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- 168,851.80
- 177,674.87

**OPEN & CLOSED**:
- 545,871,578.01
- 408,443,720.77
- 413,017,649.57

**OPEN**:
- 455,999,964.18
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**CLOSED**:
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*** SEARCH PARAMETERS ********************************************************
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FISCAL YEAR: 2017
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Best Practices That Align with Federal Budget Rules

• State grantee sub-contracts and sub-awards should align with grant NOA budget and project periods
• Do not presume that carryovers and NCEs will be approved and plan sub-awards and sub-contracts based upon this assumption.

• Strive for regular, timely recording of disbursements/expenses/obligations
• Drawdowns can exceed disbursement reporting, but this reporting should not lag FAR behind, especially not for multiple quarters with large discrepancies.
• Reconcile disbursement and drawdown activity prior to submitting NME, or be prepared to explain.
Some Online Resources

ACL and HHS webpages for answering most common questions:

• [https://www.acl.gov/grants/managing-grant](https://www.acl.gov/grants/managing-grant)
The End!!
Money Changes Everything!

SHIP/SMP Annual Director Conference
Anne Chansler, FCCM, Statewide Program Manager (SHIP/MIPPA/SMP)
Florida’s Landscape | At a Glance
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Moving to the pay-for-performance methodology with SHIP

- 2011 – Overall program performance decline
- 2012 – Invitation to Negotiate
- 2013 – P4P SHIP contracts began
- 2017 – Complete program restructuring
What went well?

• Immediate increase in service
• More reporting statewide
• Performance increased
Challenges?

- Volunteer dissatisfaction
- You only get what you paid for
- Too much room for interpretation
- How good is the data really?
- Complexity in creating benchmarks and rates
- Funding ceiling
- Inability to adjust rates over time
Moving to the pay-for-performance methodology with MIPPA

- 2009 – MIPPA grant
- 2010 – MIPPA continued
- 2011 – MIPPA reverted
- 2014 – MIPPA grant received P4P methodology implemented
- 2018 – Future plans for contracts
What went well?

- Application assistance increased statewide
- Payment tier incentivizes performance
- Forces focus on hard-to-reach areas (in theory)
- Full expenditure of grant dollars
Challenges?

• While you have more data, is it good data?
• Client traffic changes
• County specific goals – meeting them
• You met a goal, now what?
• Setting goals to match the funding
• Leaving money on the table
• Changes to what is reportable
• Reporting vs. invoicing deadlines
The Perfect Storm | Lessons Learned
Biggest Lessons Learned

• Six-year plan, four-year reality
• Funding ceiling
• Overall program cuts up to 40%
• Complete contract restructuring
• Numbers tanked
• Small states may be better for P4P structures
Experiment, be willing to fail, and learn from that failure!

- Getting to start fresh
- Keeping it simple
- Fixed-rate contracts
- Engaging your partners in the process
- Accountability
- Full grant expenditure
- 2018 – future plans for contracts
Thank You!

• Contact Information:
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  • www.floridashine.org
Grants Just Wanna Have Funds, But Monitoring is A Must

TIME AFTER TIME
Wanda Brown, SHIP/ MIPPA Director
Nevada Aging and Disability Services Division
August 21, 2018
SHIP/SMP National Conference-Chicago, IL
PORTRAIT OF NEVADA SHIP

- 17 Counties; 110,567 square miles
- 27 Nevada Indian Tribes; 32 reservations and colonies
- 452,000 Medicare Beneficiaries and increasing every day
- State Unit on Aging, No AAA’s in Nevada
  - Planning, Advocacy and Community (PAC) Services Unit includes: SHIP, SMP, MIPPA, Long Term Ombudsman, Grants Management
  - SHIP has 2.5 FTE state staff, 1 sub-grantee for Northern Nevada
New to Your Position? It Takes Time

- What happens when you take over Directorship?
- Who should be main contacts to help with your budget?
- What should you do to track your budgets?
- Things to consider if you sub-grant money out to partners
WHAT HAPPENS WHEN YOU TAKE OVER DIRECTORSHIP?

- Read the grant submitted to ACL, review the budget and work plan
- Read your Notice of Grant Award along with Terms & Conditions
- Review due dates for federal reports and newer applications
- Review the Program Measures
- Find who tracks expenditures through the Payment Management System (PMS)
- Review the budget tracking document to check the balance and expenditures
- Track your own expenditures

Step 1 - The Grant
- Read the SHIP Grant, Budget and Work Plan
- Read NGA & Terms and Conditions
- Review due dates for federal reports and new grant application
- Review Program Measures

Step 2 - The Budget
- Connect with Fiscal or Accounting
- Review balances in budget categories and expenditures to date
- Track your own expenditures

Step 3 - Don’t PANIC
- Breathe Deeply
- Tell yourself you can do this!
Who Should Be Your Main Contacts to Track Your Budget?

You’ve Inherited a Carryover Balance of $88,000

• Contact your fiscal or accounting unit for a summary of balances

• Check your grant, budget and work plan to review what the State Plan was and approved to complete.

• Determine if tasks were done, what needs to be done with the excess money. Ask existing staff.

• ACL Grant Specialist can provide instruction on how to request a carryover or you have instructions in the amendment portion of Grant Solutions.
Items to Consider for Budget Tracking

Track the items you can control;
• Background checks
• Contract staff invoicing,
• Volunteer mileage/travel reimbursements,
• Your own travel costs (in state and out of state)
• Media campaign expenses
• Outreach participation expenses
• Supplies
• Liability insurance
• Translation services

Don’t worry about the items you cannot control;
• Rent
• Email costs
• Telephone related costs
• Mailroom expenses
• State personnel costs
Sub-Granting Money to Partners

Why would you do this?
• Limited state staff for statewide goals
• Need help with volunteer coordination, recruiting and training

Your agency should have a system in place for this effort
• Request for proposal
• Review
• Award
• Monitoring requests for funds
• Should have rules/specifications on how the service should be performed
• Provide guidance and technical assistance
• As a SHIP Director, share information with grant management staff

Work closely with your sub-grantees
• They are working under your direction to meet your goals
• Meet regularly
• Share national SHIP training and news ongoing
Time After Time

It gets better!

You may need to be patient, persistent and stay focused

Thank you for your time!

Wanda Brown, SHIP Director
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