



Best Practices in Grants Management

Kish Rusek

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Objectives

1. What are some best practices in grants management at DOEE?
2. How is information on grants management made available to DOEE?
3. What specific tools might be useful to program managers at others agencies?



*Legaspi, Cesar. Superstition. 1982. Oil on canvas.
National Museum of Art, Manila.*

What are some best practices in grants management at DOEE?

Grants Management Team

- To ensure uniformity and consistency across all grants, DOEE employs a Grants Management Team



What are some best practices in grants management at DOEE?

Intranet and Trainings

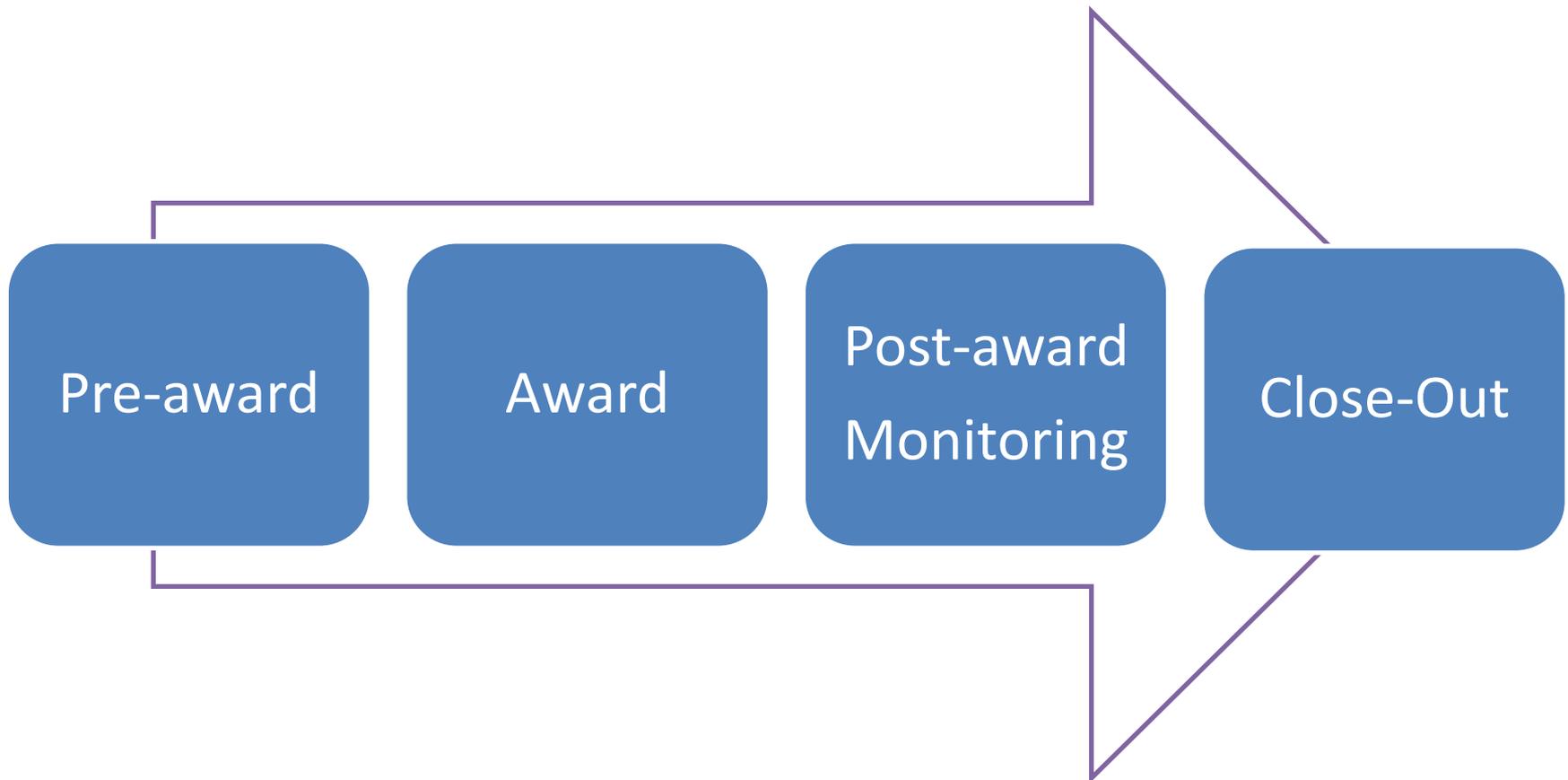
- DOEE makes an agency-wide intranet available to all staff across grants management subject areas
- In combination with the intranet, we offer trainings



What are some best practices in grants management at DOEE?

Tools

- Tools are available to help manage the grants lifecycle



What is the role of the grants management team?

- Research, identify, and analyze grant opportunities
- Develop proposals and prepare grant proposal packages for submission
- Develop and publish Request of Applications (RFAs)
- Distribute grant awards and grant amendments
- Ensure grants compliance with local sourcebook and federal uniform grant guidance

What is the role of the grants management team?

- Develop and offer trainings about grants management procedures
- Provide one-to-one technical assistance for navigating agency procedures
- Provide guidance on audit-ready grant files
- Conduct monitoring visits alongside program managers when asked
- Create and update tools to meet staff needs

How does the grants management team function?

- Grant specialists and supervisor are all knowledgeable in grants compliance
- Though staff knowledge is comparable, staff roles are defined
- Staff continuously engages in professional development
- Regular team meetings + ad-hoc meetings when necessary
- Periodically, grants management team conducts on-site visits to better understand the programs we support
- Grants management team updates are provided in an agency-wide newsletter, including updates to any procedures or tools

Grants Management Documents and Guidance

DOEE Grants Management Division provides a support function to the agency. To better assist DOEE program staff create grants-related packages to route for approval, document templates and examples are posted here. Because these documents will be updated periodically, always visit this page when creating a grants-related approval package. Do not reuse documents previously saved in program files as example or templates.

Grants Management Trainings

- [Risk Assessment Presentation](#)
- [Grants Management Training Calendar](#)
- [How to Develop and Publish a Request for Applications](#)
- [Grants Management 101 Presentation](#)
- [How to Prepare a Grant Award Notification Package](#)
- [Uniform Grant Guidance](#)

Guidance & Policies

- [Advance Payment Request Form](#)
- [Advance Payment Policy and Procedures for Grants](#)
- [Purchase Methods - Grants v. Contracts](#)
- [Audit Ready Checklist](#)
- [How to Make and Manage a Grant](#)
- [Master Supplier Collection Form](#)
- [Close Out Letter Template](#)
- [Grantmaking Timeline](#)
- [Grant Award Notice Amendment Policy](#)

What are some examples of specific tools on the intranet?

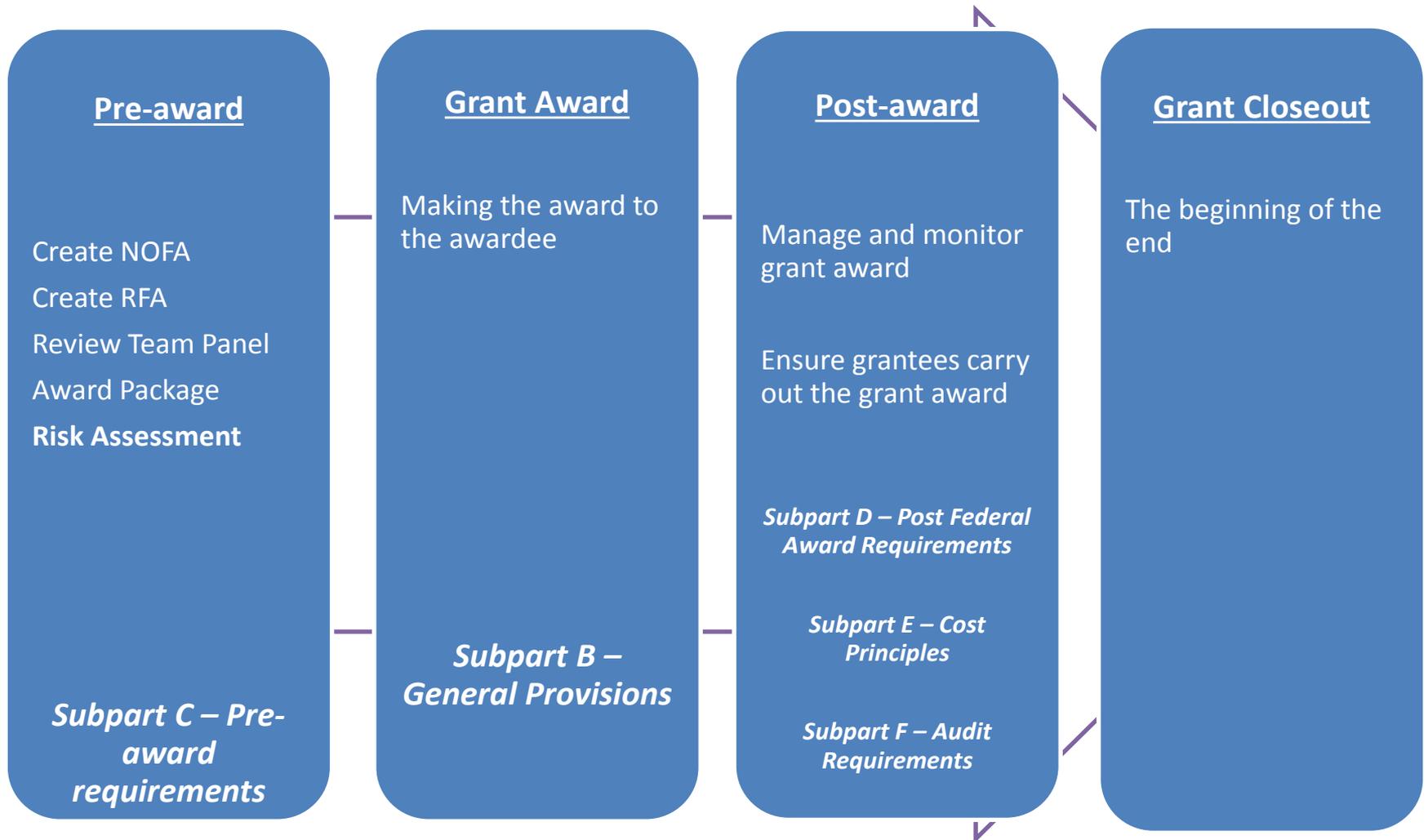
- Guidance
 - How to Make and Manage a Grant
 - Grant Sole Sourcing Guidelines
 - Grantmaking Timeline
- Procedures
 - Grant Evaluation Panel Policy and Procedures
- Template
 - Budget Template for Grant Applicants
 - Rejection Letter Template
 - Close-out Letter Template

Let's look at a specific tool....

Risk Assessment Tool

- Why?
 - Under UGG Subpart C, Pre-Award Requirements
 - Risk Assessment must be done at some point. The guidance states that it should be done prior to making the award
 - Reduces risk and liability to the awarding agency
- When?
 - At the start of the grant period
 - One year into the grant award (if the period is longer than one year)

Where does the Risk Assessment fit within the Grants Lifecycle?



What does a Risk Assessment Tool Include?

- Factors A – I:
 - Amount of awarded dollars
 - Percentage of matching funds
 - Applicant's experience managing grants
 - Quality of past performance
 - Most recent monitoring visit
 - Previous corrective actions
 - Previous financial administration (cost overruns, inappropriate use of funds, incomplete invoices, unspent funds)
 - Management situation (departure of project personnel, adequate written procedures)
 - Percentage of work to be performed by project partners
- Level of Risk chart with guidance for monitoring

Let's look at the tool together...

What if the applicant is high risk?

- According to UGG 200.200, Subpart C, if a high risk is posed by a sub-recipient, special conditions **should** be imposed:
 - Reimbursement only payments
 - Additional, more frequent, financial reports
 - Additional technical assistance or training
 - Prior approvals before commencing work
- Let grantee know that it is high risk and:
 - What the special conditions are now
 - Why additional requirements imposed
 - What action is needed to remove conditions
 - The method for requesting reconsideration of specific conditions

Objectives Recap

- What are some best practices in grants management at DOEE?
 - Team
 - Intranet
 - Specific Tools
- How is grants management information made available to DOEE?
 - Intranet, in combination with trainings
- What specific tools might be useful to program managers at others agencies?
 - Risk Assessment Tool

Bonus!

- PTEs must use federal awards to carry out a program that supports a federal public purpose
- Subawards made by PTEs must also support the federal public purpose
- Subrecipients decide on sub-contractors and program participants (e.g. which high schools involved in an education program)
- All subawards greater than 25K must be reported to FFATA
- The most updated version of the Uniform Grant Guidance, known as the 2 CFR 200, can be found at: <https://www.ecfr.gov/>