Disaster 4724 – Grant Capacity Building

Maui| August 2024

Today's Agenda

- Preparing for Grants
- Project Identification and Development
- Breakout Session
- Grant Management
- Project Delivery

Introductions

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Thoughtful engagement begins with listening.

Achieving Equitable Recovery: A

Post-Disaster Guide for Local Officials and Leaders

Goal	Description
Goal 1: Build Equity into the Recovery Organizational and Coordination Structure	Integrating equity into the structure that sets the agenda, develops policies, makes decisions, and provides management and oversight helps empower and strengthen the whole community, not just segments of it.
Goal 2: Identify Unequal Patterns of Disaster Exposure and Impact	Generating a data-informed picture of recovery needs, conducting an equity assessment, and developing cross-cutting priorities with multi-sector collaboration helps lessen a community's recovery burden.
Goal 3: Develop a Participatory Planning Process	Using a community-based and culturally sensitive process helps establish a more inclusive planning process for setting goals and establishing milestones that reflect the needs of the entire community and support the recovery process.
Goal 4: Promote and Protect Equity throughout Recovery	Fostering equity through an intentional, responsive, and transparent recovery planning process that acknowledges historical and current inequities helps ensure everyone can navigate the recovery process and trust they will be treated fairly.
Goal 5: Adapt to the Dynamic Nature of Recovery	Understanding that recovery proceeds at different rates for different people and community networks helps prepare officials to make necessary adjustments to roles and courses.
Goal 6: Monitor Progress	Addressing root causes of inequities, confirming inclusivity, and evaluating actions throughout the recovery process helps limit unintentional impacts, track outcomes, and lead to equitable outcomes.
Goal 7: Build Adaptive Capacity	Identifying untapped assets, providing access to training, clearly communicating success, and implementing long-term solutions helps lead to a re-envisioned, revitalized, and rebuilt community "with justice for all."
Goal 8: Overcome Barriers and Ensure Fair Recovery Outcomes	Eliminating disparities by developing mechanisms to target underserved areas helps focus resources where they are needed most.

https://www.fema.gov/sites/default/files/documents/fema_equitable-recovery-post-disaster-guide-local-officials-leaders.pdf

There are a range of tools to share, but focus on connection.

Sources of Data

- Resilience Analysis and Planning Tool, FEMA.
- National Risk Index, FEMA.
- Social Vulnerability Index (SVI), CDC/ATSDR.
- Community Resilience Estimates, U.S. Census Bureau.
- Equity and Inclusion in HUD Sustainable Communities Grantees, HUD.
- EJScreen: Environmental Justice Screening and Mapping Tool, EPA.
- Climate and Economic Justice Screening Tool, CEQ.
- U.S. Census American Community Survey, U.S. Census Bureau.
- Environmental Justice Index, CDC.

Assessment and Policy Resources

- Planning for Equity Policy Guide, American Planning Association.
- A Racial Equity Framework for Assessing Health Policy, The Commonwealth Fund.
- Annie E. Casey Foundation provides expert guidance on equity impact assessments.
- Community Health Assessments & Health Improvement Plans, CDC.
- Community Health Assessment and Improvement Planning, National Association of County and City Health Officials (NACCHO).

Recovery Management Resources

- National Disaster Recovery Framework, FEMA.
- Disaster Financial Management Guide: Guidance for State, Local, Tribal & Territorial Partners (SLTT), FEMA.
- Effective Coordination of Recovery Resources for State, Tribal, Territorial and Local Incidents (SLTT), FEMA.
- Investment Priorities, EDA.
- Addendum to Hazard Mitigation Assistance Guidance: Program Administration by States Pilot, Hazard Mitigation Program – For States, Tribes, and Territories, FEMA.
- Hazard Mitigation Assistance Cost Share Guide, FEMA.
- Mitigation Assistance, U.S. Small Business Administration (SBA).
- Single Family Housing Repair Program in Presidentially Declared Disasters, U.S. Department of Agriculture (USDA).

Understand the context, respond today and prepare for tomorrow

Introduction: FEMA's Priorities

2022–2026
FEMA Strategic Plan
Building the FEMA our Nation Needs and Deserves

Goal 1
Instill equity as a foundation of emergency management

Goal 2
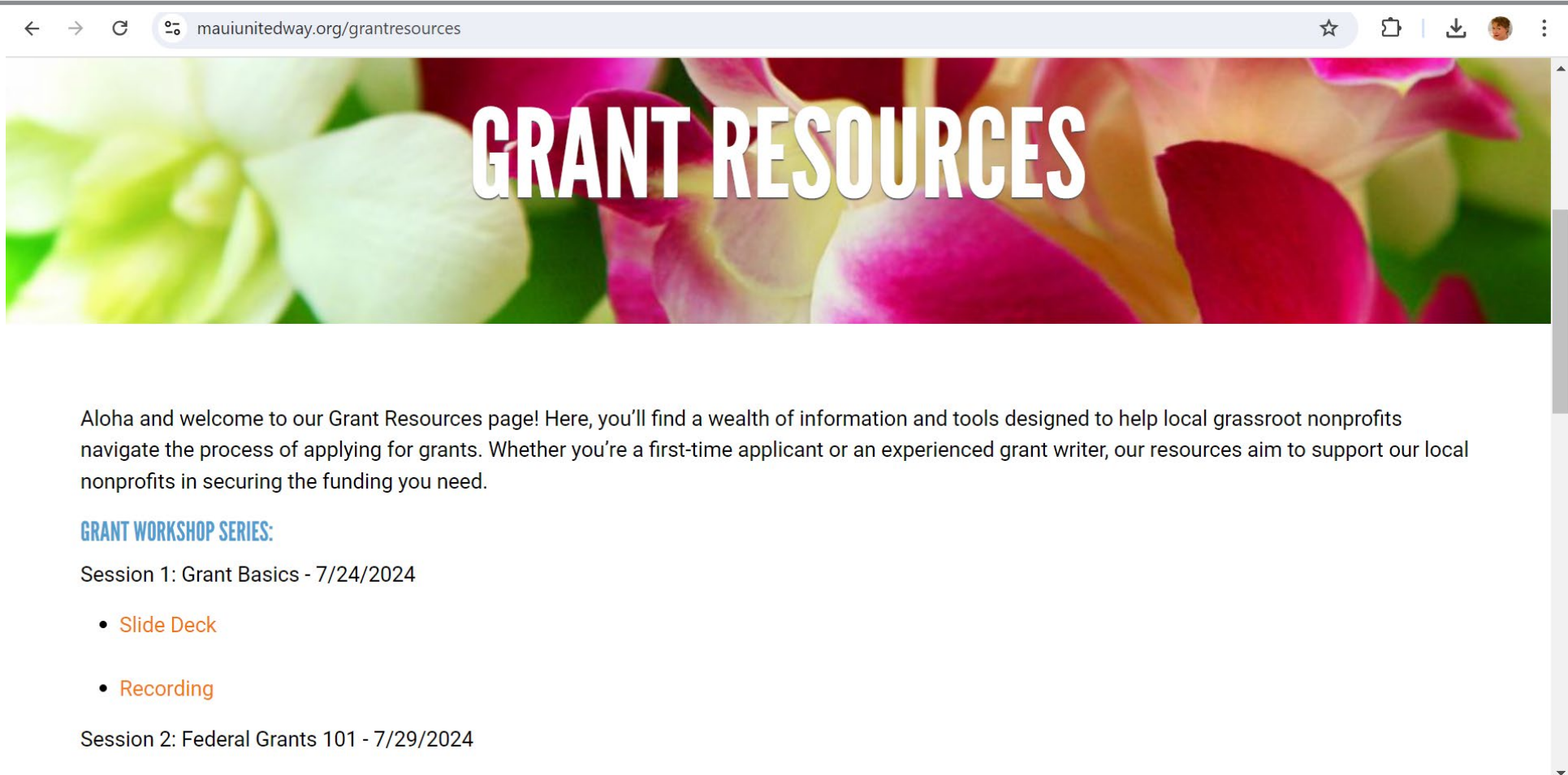Lead whole of community in climate resilience

Goal 3
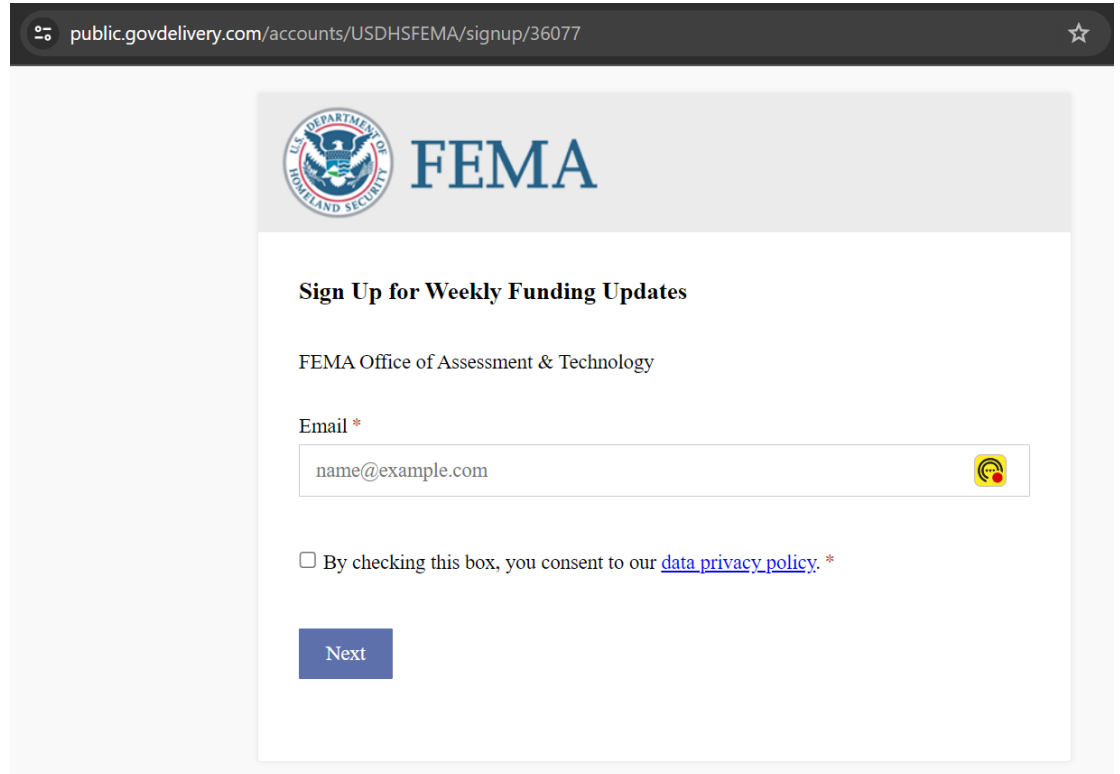Promote and sustain a ready FEMA & prepared nation

FEMA

Today's Conversation is One Part of a Wider, Local Process

Browser showing mauiunitedway.org/grantresources

GRANT RESOURCES

Aloha and welcome to our Grant Resources page! Here, you'll find a wealth of information and tools designed to help local grassroot nonprofits navigate the process of applying for grants. Whether you're a first-time applicant or an experienced grant writer, our resources aim to support our local nonprofits in securing the funding you need.

GRANT WORKSHOP SERIES:

Session 1: Grant Basics - 7/24/2024

- Slide Deck

- Recording

Session 2: Federal Grants 101 - 7/29/2024

Today's Conversation Focuses on the Grant Landscape

- We are here from FEMA and are part of a larger network of federal partners.

- We have deep knowledge of FEMA grants and are talking about grants more widely.

- EPA Matrix and FEMA Emails

Section 1: Preparing for Grants

Top Ten Tips (Grants 101)

1. Connect with us after this event
2. Sign up for NOFOs
3. Be practical: have a budget, have a plan
4. Do the 'prework' and get ready to write
5. Break out a calendar
6. Align your goals and opportunities
7. Connect with others and bundle when you can
8. Go forward with no fear
9. Tell a story
10. Communicate clearly

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Getting Organized: Internal Planning

- Identify need(s)

- Prepare to collaborate

- Bring together core team (grant writer, program staff, experts)

- Identify scope of resources necessary to carry out the work

- What organization resources can be applied/offered to the group

Identify Community/Project Needs, Goals, and Objectives

Community/Project Needs
- Describe the need
- Gather data to inform the need

Goals
- Vision of what you want to accomplish with your project(s)
- Meet an identified need
- Feasible

Objectives
- Specific, Measurable, Achievable, Realistic, and Time-linked
- Impact/output (or outcome) objectives
- Solution Orientation

Within the context of grant writing, activities are the actions you will take in order to reach your goals and objectives. Activities will typically make up your "workplan". Activities describe to the reviewer:

- what you are planning to do;
- within what timeframe;
- how you will measure success; and
- who is responsible for ensuring the activity is completed.

Needs → Goals → Objectives → Activities → Budget

Activities are designed to achieve established objectives, which support goals that address identified needs. Activities should always be consistent with your proposed budget.

Source: https://www.bpcc.edu/institutional-advancement-grants/how-to-write-goals-and-objectives-for-grant-proposals

Harness the Value of Your Networks (New and Old!)

Activity: What networks do you belong to?

Planning for Grants : Conduct Research to Identify Needs

- Consider community characteristics (apply screening tools)

- Consider needs and impact

- Connect with community organizations, the community, your city and county

Sources of Data

- Resilience Analysis and Planning Tool, FEMA.

- National Risk Index, FEMA.

- Social Vulnerability Index (SVI), CDC/ATSDR.

- Community Resilience Estimates, U.S. Census Bureau.

- Equity and Inclusion in HUD Sustainable Communities Grantees, HUD.

- EJScreen: Environmental Justice Screening and Mapping Tool, EPA.

- Climate and Economic Justice Screening Tool, CEQ.

- U.S. Census American Community Survey, U.S. Census Bureau.

- Environmental Justice Index, CDC.

https://www2.ed.gov/admins/lead/account/compneedsassessment.pdf

Mine Your Network

- Connect with your TACs

- Check in with your partners

- Connect with EPA Programs

- Meet with your local officials

- Consider *social media*

- Use this program and share with others!

Tracking Opportunities

- Keep registrations current, and log-in information up to date

- Look at previous awards and NOFO (notice of funding opportunity) documents.

- Register in: Grants.gov, SAM.gov

- UEI Process

- Previous Awards and Debrief Meeting
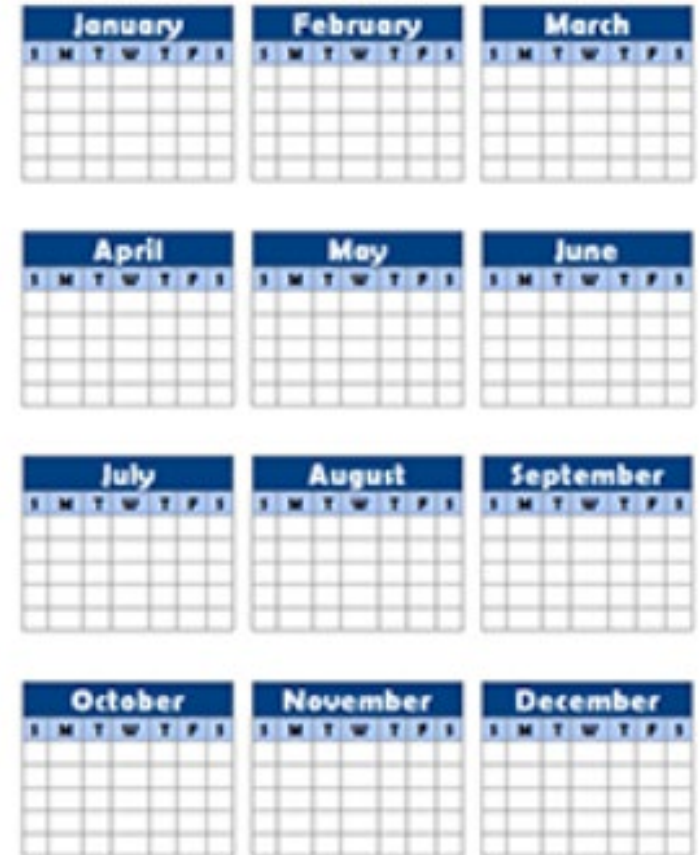
Self Assess for a Successful Grant

- Does the community buy-in?

- Do you have capacity to deliver the grant? How can you share that with the funder?

- Are you familiar with what the funder wants (are you able to address what is communicated in the NOFO)?

- Have you outlined and already begun writing?

- Have you outlined a project plan that shows your proposal aligns to time, cost, and quality, impact (quadruple bottom line) estimates for your project?

- Are you being conservative in your estimates?

- How are you showing that the award aligns to the scope of your project?

Applying for Grants

Organization Background	Tax Documents and Financial Information	Governance	Project and Program Management	Wide Bodies of Support
• History of the organization (narrative) • Year established • Mission, vision, and values statement • Top organizational accomplishments (over the last 3-5)	• IRS tax-exempt status letter • Most recent 990 • Current year W-9	• Board of directors (including affiliations and contact information) • Organizational chart • By-laws, conflict of interest policy, and non-discrimination policy • Current strategic plan	• Detailed program or project description • Measurable goals and metrics for the current year • Outcomes and metrics for the previous year (for example, number of clients served) • These change!	• Letters of support from key partners • State or Local Governance (MOUs etc) • Organizational diversity statement and statistics (including a narrative statement as well as demographic information for both board and staff)

Source: https://fundingforgood.org/grant-readiness-assessment/

Grant Lifecycle

Source: https://rmphtc.org/pages/gm101/management-basics/

Breakout Activity

What did we talk about?

1. **Community Priorities Discussion**: Let's first engage in an open dialogue about the pressing issues facing the community. Your insights will guide and help curate our future online sessions.

2. **Project Discussion**: Attendees may have a particular project in mind for their organization. We'll also explore benefits of collaborative projects, including infrastructure improvements, education, healthcare, and community development.

3. **Ideation**: Take advantage of this platform to connect with fellow stakeholders, share ideas, and build lasting relationships, but also come to learn about local, state and federal grants. Bring your questions, and we will work together to find the answers!

Getting the Energy Up with a Breakout

First, we are listening to the community.

- Do you have a project identified?

- Does your organization have a strategic plan?

- During states of emergency would it be useful to have assistance in writing grants?

- Have you ever applied for a federal grant before?

- What are your greatest barriers in applying for or writing grants?

- What areas are you most interested in getting grants for?

- What areas do you need the most assistance with?

- What was the size of the largest grant you have ever been awarded?

- What, if any, federal grants is your organization currently managing?

- Would having someone provide technical assistance be helpful?

Section 2: Project Identification & Development

First, some shout outs to the experts!

- Bauer, David. 2015. <u>The How to Grants Manual: 8th Edition</u>. Rowman & Littlefield

- O'Brien, David and Matthew Craig. 2020. <u>Building Smart Nonprofits: a roadmap for mission success</u>. Rowman & Littlefield.

- Scot, Laurence. 2010. <u>The Simplified Guide to Not-for-profit Accounting, Formation and Reporting</u>. Wiley.

- Ruppel, Warren. 2002. <u>Not-for-profit Accounting Made Easy</u>. Wiley.

- Bruton, Sonya. 2022. <u>Finding Your Way in the Nonprofit Sector</u>. Advantage Press.

Finding Your Way

- Care – Taking care of yourself, your clients, and your organization

- Community – Fitting in and getting the support you need

- Collaboration – Working well with others and keeping the big picture in mind

- Can Do – Putting in the kind of effort that will make your work stand out

- Change – Being prepared for change and taking advantage of it

SOCIAL-SECTOR ECOSYSTEM

Note: Model Created by Author, Source: Adapted from Bone (2015)
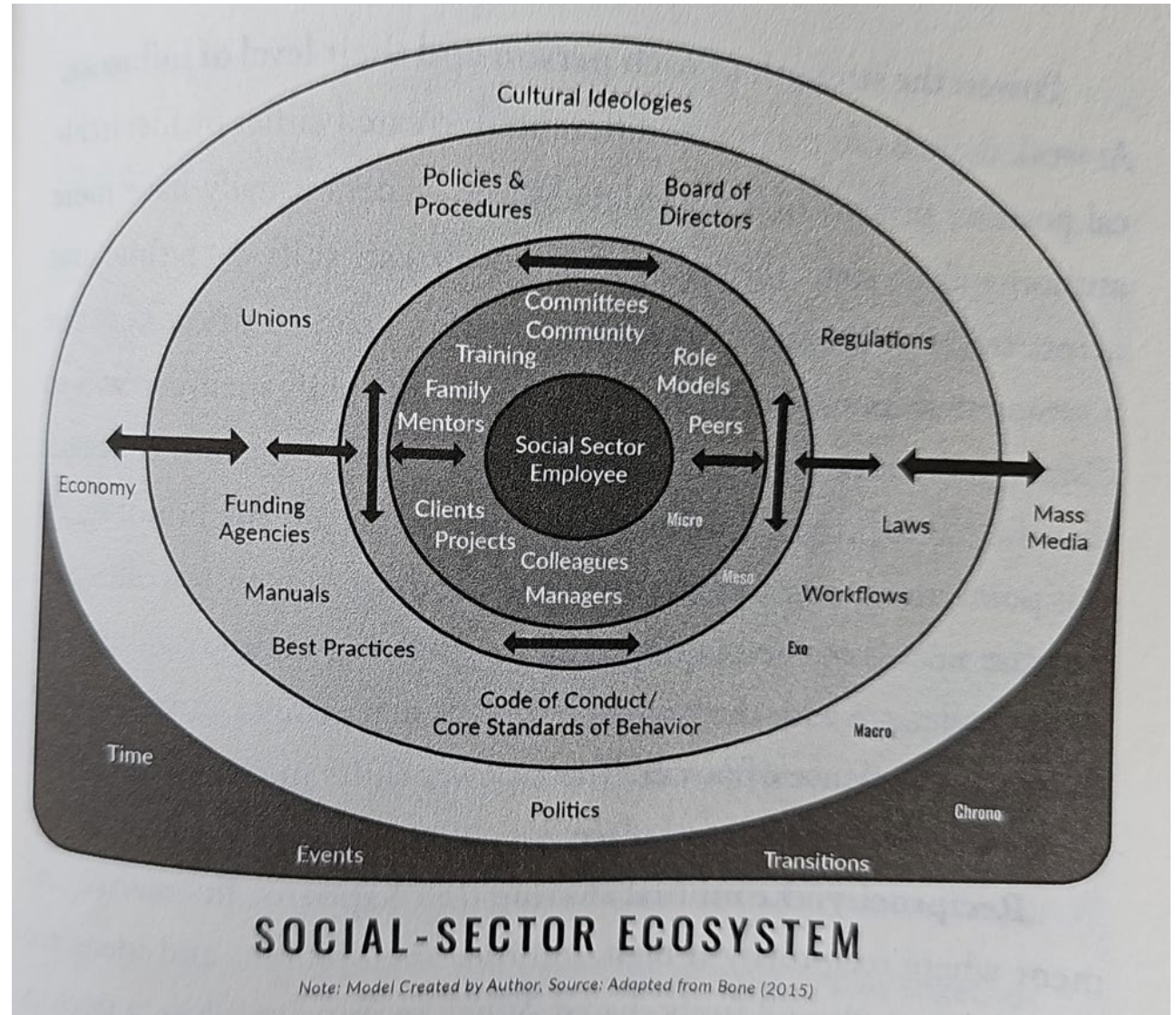
Source: Bruton

Joining and Building Consortia: When you are ready to Power Up!

FOUNDATIONAL PARTNERS
- City & County of Denver
- Colorado Department of Transportation
- Regional Transportation District
- State of Colorado

ENGINEERING
- Jacobs Engineering

NON-GOVERNMENTAL ORGANIZATIONS (NGOs)
- Center for New Energy Economy
- Denver Metro Chamber of Commerce
- Denver Regional Council of Governments (DRCOG)
- Mile High Connects
- National Renewable Energy Lab (NREL)
- Rocky Mountain Institute (RMI)
- United Way

LOCAL GOVERNMENT PARTNERS
- City of Centennial

RESEARCH
- Colorado School of Mines
- Colorado State University
- Mountain Plains Consortium (MPC)/North Dakota State University
- University of Colorado Denver

AUTOMAKERS
- BYD Coach and Bus
- Ford
- General Motors
- Via Motors
- Volkswagen

ENERGY
- ABB
- Momentum Dynamics
- NRG EVgo
- Xcel Energy

TECHNOLOGY
- Bishop Consulting
- Bosch
- Eaton
- E-RIVE
- HERE North America
- IBI Group
- INRIX
- Lockheed Martin
- MTS Systems Corporation
- Panasonic
- Peloton Technology
- Quanergy Systems
- reVision, Inc.
- TomTom
- Xerox

POLICY
- 1776
- Conservation Colorado
- Environmental Defense Fund
- Society of Automotive Engineers (SAE)
- Transportation for America

SAFETY
- Tyco International
- West Safety Services

TELECOM
- AT&T
- Verizon

TRANSPORTATION
- B-Cycle
- Car2Go
- eGo CarShare
- Lyft
- TransDev

POLITICAL
- Hon. Federico Peña
- Sen. Irene Aguilar (D-32)
- Rep. Crisanta Duran (D-05)
- Rep. Alec Garnett (D-02)
- Sen. Michael Johnston (D-33)
- Rep. Susan Lontine (D-01)
- Rep. Beth McCann (D-08)
- Rep. Daniel R. Pabon (D-04)
- Rep. Paul Rosenthal (D-09)
- Sen. Pat Steadman (D-31)
- Rep. Angela Williams (D-07)
- Sen. Michael Bennett (D-CO)
- Rep. Diana DeGette (D-CO)
- Sen. Cory Gardner (R-CO)

FEMA — U.S. Department of Homeland Security

Grant Lifecycle - Winning Is Just The Beginning

Debt collection actions, audit, and other adjustments may continue after grant closeout

Initiation of grants through development of award packages

Final approval of award packages and allocations

Closeout administration, performance evaluation, financial and appeal reconciliation, final reporting activities, appeal resolution and debt actions

Funds become available and grants are executed, monitored, and reported on

Post-Closeout

Pre-Award

Program Management

Grants Management Life Cycle

Business Intelligence

Award

Closeout

Post-Award

Maryland Department of Emergency Management. Grant Information and Deadlines. https://mdem.maryland.gov/community/Pages/grant-subapplicant-resources.aspx

Flashback! We are moving beyond 'back of the envelope' budgeting

Income	Status	Q2	Q3	Q4	Total / Total %
Foundation Grant	Confirmed				
Local Group	Confirmed				

Expenses	Status	Q2	Q3	Q4	Total / Total %
Foundation Requirements	Confirmed				
Grant Close Out	Confirmed				
Previous Close out	Sunsetting				
New Project	Pending				

Habitat For Humanity of Greater Canton, Inc.
Proposed Budget
July 2006 through June 2007

	Jul '05 - Jun 06	Jul 06 - Jun 07
Income		
4004 · Contribution Scholarship Fund	5,000.00	0.00
4010 · Contribution Individuals	100,000.00	80,000.00
4020 · Contribution Businesses	206,000.00	156,350.00
4030 · Contribution Churches	100,000.00	80,000.00
4040 · Contributions Other/Cars-houses	32,800.00	20,000.00
4050 · Contributions Government Grants	120,000.00	120,000.00
4054 · Contributions FHLB	175,000.00	175,000.00
4060 · Contributions Grants	0.00	0.00
4070 · Contributions Organizations	100,000.00	41,100.00
4080 · Contributions Memorials/Honor	5,000.00	5,000.00
4090 · Contributions Foundations	200,000.00	210,000.00
4100 · Donation - Materials		
4110 · Individuals	25,000.00	25,000.00
4120 · Businesses/Contractors	257,650.00	70,000.00
4130 · Churches	0.00	0.00
4140 · HFHI	0.00	0.00
4100 · Donation - Materials - Other	0.00	0.00
Total 4100 · Donation - Materials	282,650.00	95,000.00
4150 · Donations - Services & Rentals		
4160 · Individuals	14,500.00	14,500.00
4170 · Businesses/Contractors	85,000.00	85,000.00
4180 · Churches	0.00	0.00
4190 · HFHI	0.00	0.00
4150 · Donations - Services & Rentals - Other	0.00	0.00
Total 4150 · Donations - Services & Rentals	99,500.00	99,500.00
4200 · Sale to Homeowners	846,000.00	1,080,000.00
4300 · Special Events Income Net		
4310 · Special Events Income Gross	0.00	10,000.00
4320 · Special Events Costs	0.00	0.00
4300 · Special Events Income Net - Other	10,000.00	0.00
Total 4300 · Special Events Income Net	10,000.00	10,000.00
4500 · Other Program Income		
4505 · Mortgage Discount Amortization	0.00	0.00
4510 · Rental Income	0.00	0.00
4515 · Late Fee Income	4,000.00	4,000.00
4520 · Miscellaneous Program Income	15,000.00	10,000.00
4525 · Foreclosure Income	60,000.00	60,000.00
Total 4500 · Other Program Income	79,000.00	74,000.00
4600 · Other Non-Program Income		
4610 · Interest Income	1,500.00	15,000.00
4620 · Misc. Non-Program Income	500.00	1,000.00
4600 · Other Non-Program Income - Other	0.00	0.00
Total 4600 · Other Non-Program Income	2,000.00	16,000.00

Where do you fit, and what does your organization look like?

- Organization Formation

- Structure, Organization Chart, Responsibility Matrix

- Do you have an accountant? Will you need one? Will you need a lawyer?

- Types of Nonprofits

- Are you a subsidiary? Do you, or will you, have interrelated entities or partners? What are they looking for?

- Where does your funding come from AND where will operating budget come from?

Tools and Templates help streamline, but when should you hire an accountant?

BOOKKEEPING vs ACCOUNTING

Bookkeeping Tasks		Accounting Tasks
○ Pay supplier invoices on time and issue client invoices ○ Maintain petty cash fund ○ Collect receivables and cash receipts ○ Make bank deposits ○ Maintain general ledger, chart of accounts and budget	**24 Daily**	○ Perform internal audits to confirm accuracy ○ Examine internal financial documents ○ Produce financial reports ○ Optimize revenues and reduce expenses ○ Advise management on finances
○ Monthly reconciliation of every bank account ○ Calculate budget variances and report issues ○ Process payroll on time	**Monthly**	○ Create monthly projections and forecasts for management ○ Approve tax payments ○ Review payroll ○ Review monthly balance sheet and prior period
○ Prepare financial statements and back-up in case of audit ○ Highlight items for special tax treatment	**Tax Season**	○ Fill out IRS forms ○ Review annual financial reports and tax returns ○ Calculate tax deductions

https://thinkbigwithgeoffreykent.quora.com/

Personal Story: Big Belly Trash Compactors

UNION SQUARE – HISTORIC NORTH PARK OPERATIONS

UNION SQUARE PARK REVITALIZATION

https://ispynyc.wordpress.com/2009/05/07/solar-trash-compactors-in-union-square-nyc/

Personal Story: Yards Park Revitalization

Source: JD Land

Personal Story: Flood Mitigation Project

This Photo by Unknown Author is licensed under CC BY-SA

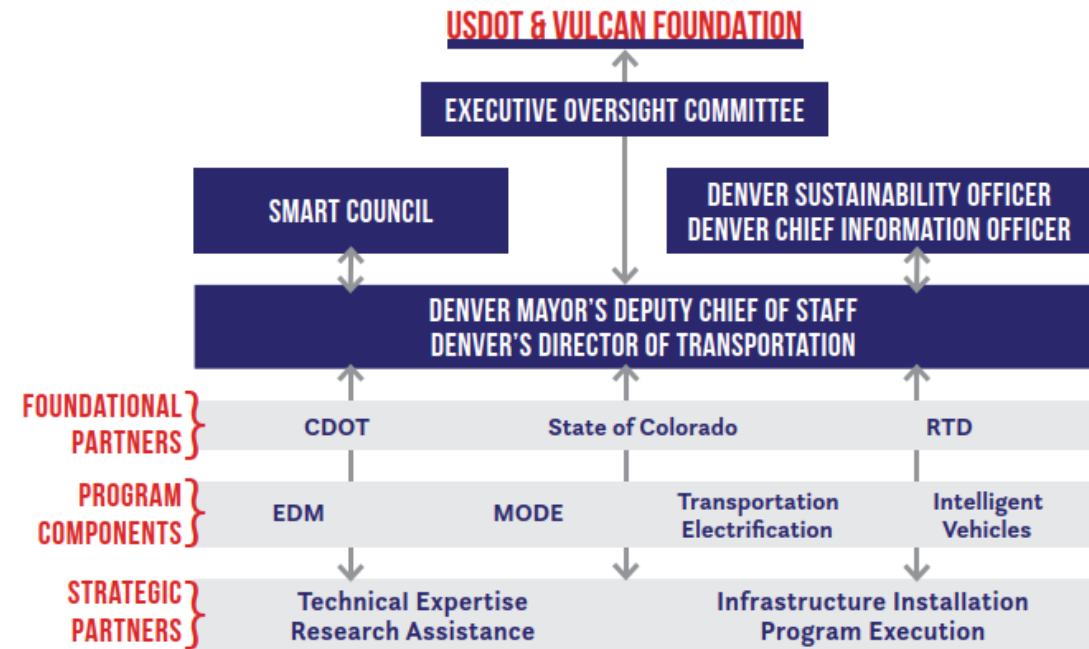# For both revitalization or trashcans, a team had to craft a compelling story.

Stakeholders working together:

- State, Local, County Government

- Civic Services

- Quasi Government Agencies

- Large Nonprofits

- Local Nonprofits and Consortia

- Partnership Groups

- Project Teams

Our flexible organization and communication framework allows Denver to work seamlessly with foundational strategic partners, the SMART Council and key Denver Smart City program members.

U.S. Department of Transportation | Notice of Funding Opportunity #DTFH6116RA00002

BLUF: Read 1023- EZ (501c3 Exemption Checklist)

Form 1023-EZ Eligibility Worksheet

(Must be completed prior to completing Form 1023-EZ)

If you answer "Yes" to any of the worksheet questions, you are not eligible to apply for exemption under section 501(c)(3) using Form 1023-EZ. You must apply on Form 1023. If you answer "No" to all of the worksheet questions, you may apply using Form 1023-EZ.

		Yes	No
1.	**Do you project that your annual gross receipts will exceed $50,000 in any of the next 3 years?** Gross receipts are the total amounts the organization received from all sources during its annual accounting period, without subtracting any costs or expenses. You should consider this year and the next 2 years.	❑	❑
2.	**Have your annual gross receipts exceeded $50,000 in any of the past 3 years?**	❑	❑
3.	**Do you have total assets the fair market value of which is in excess of $250,000?** Total assets include cash, accounts receivable, inventories, bonds and notes receivable, corporate stocks, loans receivable, other investments, depreciable and depletable assets, land, buildings, equipment, and any other assets.	❑	❑

https://www.irs.gov/forms-pubs/about-form-1023-ez

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And consider Form 1023

Instructions for Form 1023

Department of the Treasury
Internal Revenue Service

(Rev. January 2020)
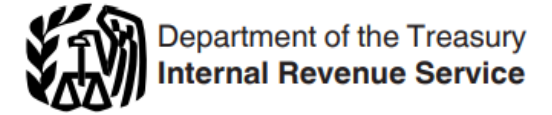
Application for Recognition of Exemption Under Section 501(c)(3) of the Internal Revenue Code

Section references are to the Internal Revenue Code unless otherwise noted.

Note. Keep a copy of the completed Form 1023 for your permanent records.

Future Developments

For the latest information about developments related to Form 1023 and its instructions, such as legislation enacted after they were published, go to *IRS.gov/Form1023*.

Reminder

Don't include social security numbers on publicly disclosed forms. Because the IRS is required to disclose approved exemption applications and information returns, don't include social security numbers on this form. Documents subject to disclosure include supporting

How To Get Forms and Publications

Internet. You can access the IRS website 24 hours a day, 7 days a week, at *IRS.gov* to do the following.
• Download forms, instructions, and publications.
• Order IRS products online.
• Research your tax questions online.
• Search publications by topic or keyword.
• Use the online Internal Revenue Code, regulations, or other official guidance.
• View Internal Revenue Bulletins (IRBs) published since 1995.
• Sign up at *IRS.gov/Charities-Non-Profits* to receive local and national tax news by email.

Tax forms and publications. You can download or print all of the forms and publications you may need at *IRS.gov/FormsPubs*. Otherwise, you can go to *IRS.gov/OrderForms* to place an order and have forms mailed to you. You should receive your order within 10 business days.

https://www.irs.gov/pub/irs-pdf/i1023.pdf

Key Steps: Your Team

- Based on your bylaws!

- Board and Offices

- Members – Nomination and Election

- Quorum

- Responsibilities and Authorities

- Delegation Rules

- Donors

- President / CEO / ED

- Management

- Staff

- Interns

- Volunteer Coordinators

- Volunteers

Source: Scot

FEMA

Accounting – Can you do it internally?

- Tracking and paying bills

- Receiving and tracking revenue

- Processing Payroll

- Taxes and Tax Prep

- Benefit Management

- Bank activity

- Capital Purchases and Depreciation

- Financial Statements and Reporting

- Tracking Contributions

- Classifying Contributions

- Tracking Membership

- Tracking Sales

- Preparing Grant Financials
  - OMB A-133 Compliance

- Other Periodic or Designated Reporting

Source: Scot

FEMA

Other great insight from Laurence Scot

- Assets and Liabilities

- Support and Revenue

  - Paperwork!

- Personal Cost and Expenses

- Pooling and Split-interest Agreements

- Budget Applications

- Regulatory Reporting

- IRS Filings / 990 Regulatory Reporting

https://www.irs.gov/instructions/i990

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Special Non-profit types:

- Membership Organizations

- Civic Leagues

- Local Development Corporations

- Business Improvement Districts

- Churches

- Museums and Cultural Institutions

- Non-government Civic Services (Libraries)

- Chapters and Affiliates

- Colleges

Be ready for growth, build strong administrative bones

whitehouse.gov/omb/information-for-agencies/circulars/

THE WHITE HOUSE

Reporting, and Publication under ... vacy Act (45 pages, 273 KB)

OMB Circular A-110; Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations (11/19/1993) (further amended 09/30/1999, Relocated to 2 CFR, Part 215 ↗ (32 pages, 243 KB)

- Where are the Attachments to A-110? ↗
- Where have Agencies Codified A-110? ↗

THE WHITE HOUSE

OMB Circular A-133 ↗, Audits of States, Local Governments and Non-Profit Organizations (includes revisions published in the *Federal Register* 06/27/2003 and 06/26/2007) (34 pages, 173 KB)

- August 2017 Compliance Supplement ↗
- Federal Register Notice for the 2017 Compliance Supplement ↗

Back to basics: what do I do if I win a grant?

- Have a project plan that aligns with your proposal budgets

- Read the all materials the awarding agency shares with you

- DO NOT spend the funding on anything not agreed to in your budget

  - Note: Agencies may award with modifications to your budget, use this version

- Keep good records of how the money is spent, suggest digitized

- Keep support documentation

Source: Bauer

Keep track of the details

- Project Name

- Director

- Federal ID Number

- Agency Staff and Contact

- Modifications and Dates

- Start and End Date

- Report Due Dates

- Duration and Follow on opportunity

- Match and In-Kind Match

- Records of Match

- Document Management Structure / Owner

- OMB Circulars Expenses

- OMB Circulars Grants

- Other Rules and Federal Management Requirements

- Internal Reporting
  - Governance Documents
  - Partner Requirements and Expectations

Source: Bauer

Project Delivery: Seeing it through

- NOFO Requirements

- Typical Nonprofit management

- Program delivery (PMBOK)

- Governance Documents

12 Project Management Principles

Stewardship	Team	Stakeholders
Value	Holistic Thinking	Leadership
Tailoring	Quality	Complexity
Opportunities & Threats	Adaptability & Resilience	Change Management

https://milestonetask.com/pmbok-seventh-edition-faq/

.2 Project Management Principles

Bundling, Partnering and Innovative Finance

Prioritize Your Opportunities

- Don't be afraid to 'widen the net'
  - Do not be discouraged by a project you feel is too small or too large
  - All are worth researching, but not all are worth applying to
- Consider what you have pursued in the past? How did it work?
- Follow a pattern of success or learn from other past opportunities

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Online Databases - Helping You Find Grants

- Grants.gov

- GrantFinder

- GrantStation

- Grantsmanship Center

- Candid (Foundation Center)

- GrantsWatch

- SAM.gov (Catalog of Federal Domestic Assistance)

- Google or other search engines

- **HANO**

Breakout Activity

Reading the fine print. Let's look at the terms and conditions of a federal grant program.

Section 3: Federal Grants Management

Compliance & Reporting Overview

- What happens after award?

- What contributes to successful grant administration and delivery?

- Addressing changes to scope, schedule, budget, and staff

- Complying with Federal requirements

FEMA

Grant Management Phases

Post-Award

- Grant Agreement
- Kickoff Meeting

Implementation

- Coordination, Site Visits, Project Reviews, Audits, Progress Photos
- Grant Agreement Amendments
- Progress Reporting
- Financial Reporting / Invoicing

Closeout

- Final Reporting
- Financial Closeout

Post-Closeout

- Performance Monitoring and Reporting

Administrative Regulations

- Authorizing Legislation

  □ Examples – Stafford Act, Clean Air Act, Infrastructure Investment and Jobs Act

- 2 Code of Federal Regulations (CFR) Part 200

  □ The U.S. Office of Management and Budget's (OMB's) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) governs grants and cooperative agreements issued by the Federal government to non-federal entities.

- Program-specific Terms and Conditions

Post-Award

- Notice of Award / Grant Agreement
  - Official issuance of grant award
  - Includes project information, budget, cost share requirements, project period
  - Terms and conditions of grant award

- Grant / Project Officer
  - Main point of contact from funding agency
  - Clear and open communication – they are there to help you!

- Kickoff Meeting
  - Project team (grantee) + Grant Officer (grantor)
  - Create project file
  - Set expectations for the project performance period

# Implementation – Coordination and Amendments

- Keep thorough, detailed records of project information – both programmatic and financial
  - Grant application, workplan, budget, grant agreement, progress reports
  - Contracts, subawards
  - Records of purchase
  - Correspondence with Grant Officer

- Progress Monitoring
  - Review of quarterly progress reports
  - Site visits, desk reviews
  - Audits

- Grant Agreement Amendments
  - Changes in scope, personnel, budget, project site, etc.
  - Submit in writing to Grant Officer
  - Subject to review and approval, and may result in a revised workplan/budget
 - Consistent with the grant guidelines
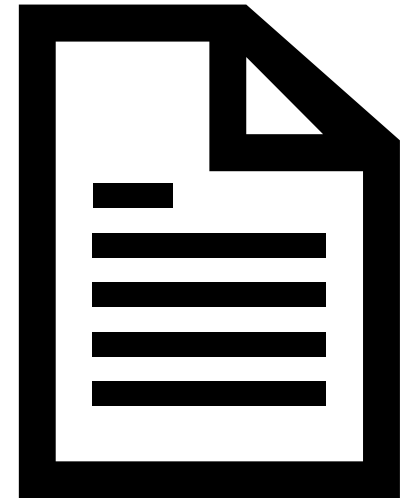
Implementation – Progress Reports

- Recipients must submit progress reports (also referred to a performance reports) on a quarterly basis

- Description of Activities Completed
  - Actual versus expected objectives, including explanation of deviations
  - Progress updates
  - Percentage of Work Completed

- Costs and Timeline
  - Overruns and underruns
  - Challenges or delays that may impact project performance
  - Justification of anticipated extensions to timeline
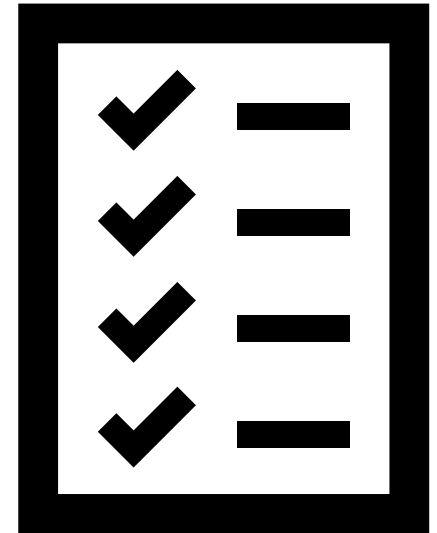
Implementation– Financial Reports

- Quarterly Federal financial reports are part of the progress reporting process
  - Federal Financial Report Form (SF-425)
  - Required even for reporting periods in which activities did not occur

- Costs must be authorized, allowable, consistent with the approved scope and budget

- Status of funds
  - Receipts of program income
  - Cash or in-kind contributions and other local match requirements
  - Overruns or underruns

- Reimbursement requests must include supporting documentation
  - Timesheets for project personnel
  - Receipts
  - Invoices
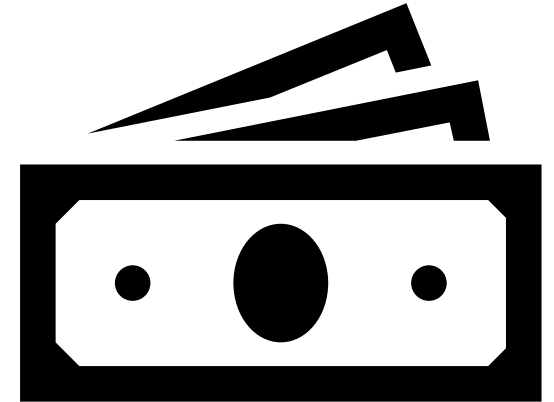
Closeout

- Grantor determines if all financial and administrative requirements have been met

- Follows procedures outlined in 2 CFR Part 200

- Grants must be closed out within 120 days of the end of the performance period

- Closeout Letter

  ☐ Explains grant closeout requirements

  ☐ Received 90 days before grant agreement expires

Grants Management Technical Assistance (GMTA)

Final Closeout Checklist

The checklist below may be used as a guide for non-Federal entities in closing out their grant programs. Please work with your FEMA program contact to ensure all other program-specific closeout requirements are met. Refer to the 'Closeout Reporting Requirements' section of the FEMA Preparedness Grants Manual for more information on Preparedness grant closeout.

	☑	Notes:
Programmatic Reporting		
Depending on grant program, may include: • **All Biannual Performance Progress Reports (PPR)** for Preparedness grant programs. • **Final Performance Progress Report (PPR)** for Preparedness grant programs • **Biannual Strategy Implementation Report (BSIR)** for Homeland Security Grant Programs (HSGP), Tribal Homeland Security Grant Programs (THSGP), National Security Grant Programs (NSGP), Emergency Management Performance Grant Programs (EMGP) • **Threat and Hazard Identification and Risk Assessment (THIRA)** for Homeland Security Grant Programs (HSGP), Tribal Homeland Security Grant Programs (THSGP), Emergency Management Performance Grant Programs (EMPG) • **Stakeholder Preparedness Review** for Homeland Security Grant Programs (HSPG), Tribal Homeland Security Grant Programs (THSGP), Emergency Management Performance Grant Programs (EMPG) • A qualitative narrative summary of the impact of those accomplishments throughout the entire Period of Performance submitted to the respective FEMA Program Analyst • Other documents required by program guidance, NOFOs, appendices to the FEMA	☐	• Provides an overall summary of: grant administration; disbursement of funds used to support program goals; and alignment with approved grant application. • For awards received prior to November 12, 2020, the recipient must submit final reporting no later no later than 90 days after the end of the Period of Performance; FEMA or the pass-through entity may approve extensions as requested. • For awards received on or after November 12, 2020, the recipient must submit final reporting no later no later 120 days after the end of the Period of Performance; subrecipients must submit final reporting to the pass-through entity no later than 90 days after the end of the Period of Performance; FEMA or the pass-through entity may approve extensions as requested, per 2 C.F.R. § 200.344(a).

1 of 3

Closeout – Final Financial and Progress Reports

- Must submit final financial and progress reports to the recipient when all required work and administrative actions have been completed.

- Final progress report must include:

  - Comparison of anticipated outputs/outcomes versus actual outcomes

  - Narrative description of deviations from workplan

- Final financial report:

  - SF-425

  - Must pay contractors and liquidate all obligations within 120 days

Post-Closeout

- Retention periods for financial records and supporting documentation are generally at least 3 years from the final financial closeout

- Accountability for property, operations, and maintenance

- Audits

Elements of Successful Grant Management

- Project Staffing

  - Consistent PM who understands grant recipient responsibilities

  - Ability to maintain open communication with grantor

  - Sufficient staff to administer grant and deliver project

- Coordination with Other Projects

  - Conflicting projects in the program that would make improvements obsolete

- Ability to Meet Federal Requirements

  - NEPA Evaluation

  - Build America, Buy America

  - Davis Bacon / Prevailing Wage

  - Competitive Procurement

- Public and Political Support

Section 4: Project Delivery

Program Management

- You are running a business.

- Plan-Do-Act-Check

- Smart small but iterate and grow

Project Management Vs. Program Management

Critical differences between project management and program management comprise:

1. Scope: as project managers focus on specific projects, program managers coordinate a portfolio of projects.

2. Objectives: where project managers focus on delivering a project timeline, the program manager optimizes for the achievement of multiple projects at a time.

3: stakeholders: project manager work with specific stakeholders to deliver the project. While program managers might work with multiple stakeholders.

4 Timeframe: project managers might be focused on short-term goals, whereas program managers might be more aligned on long-term objectives as they have to ensure success on multiple projects.

Portfolio Management

Program Management

Project Management

FourWeekMBA
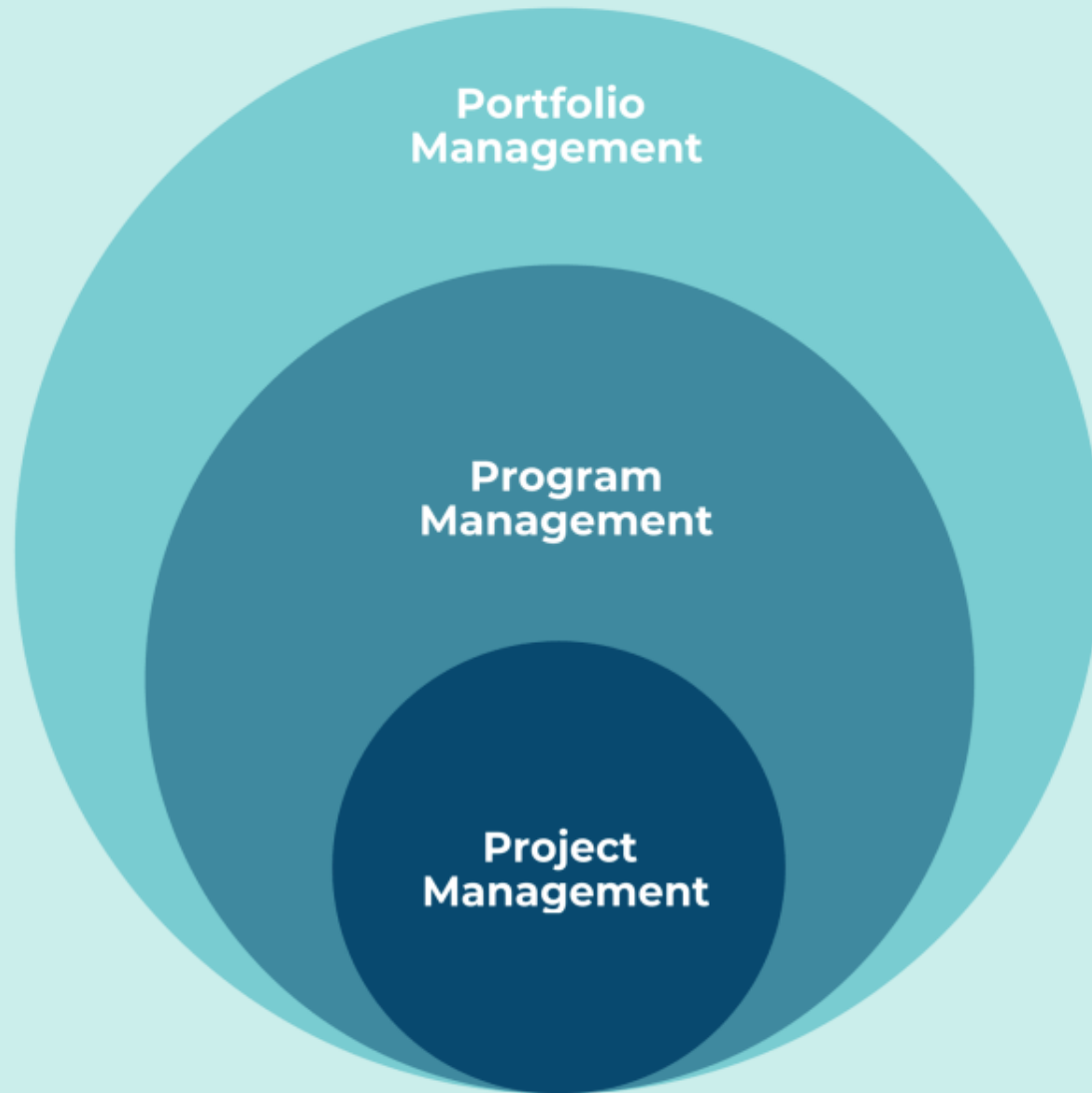
FEMA

Fundamental Underpinnings of Recovery and Preparedness

Figure 2: There are six components of the National Preparedness System.

Figure 1: Five mission areas organize the 32 core capabilities needed to address threat and hazards of concern.

Source:
https://www.fema.gov/emergency-managers/national-preparedness/mission-core-capabilities
https://www.fema.gov/sites/default/files/2020-06/national_disaster_recovery_framework_2nd.pdf

Throughout the Delivery Timeline

Vision & Strategy:

understand current drivers & risks, stakeholder needs, manage dependencies, life-cycle approach, social value, diversity & inclusion

Project delivery:

Design and construction, supply chain management, risk informed processes, community engagement

Response and recovery:

Preparedness, training, emergency operations, evacuation, testing, restoration strategy

Planning and development:

risk informed site selection, whole life planning, design for shocks & stresses, MODA decision-tools, prioritization, emergency management planning

Operations & Maintenance:

Workforce development, team empowerment, continuity of operations, life-cycle asset management

Traditional Projects

Business Case & Feasibility	Strategic Planning	Project Definition	Design + Engineering	Construction + O&M
• Develop Business Case • Pre-Feasibility Study • Risk Impacts Analysis • Business Strategy Compatibility • Market Demand • Corporate/Organizational Alignment • Policy review & modernization • Funding Strategies and budget alignment • Grant Support	• Site Selection • Program Definition • Enabling Infrastructure • Supply Chain • Master Planning • Adaptation & Resilience strategies • Climate Action Plans • Equity in Planning Solutions • Sea level rise policy	• CIP Prioritization • Post Disaster Recovery Plans • Blue Green Infrastructure Plans & Integrations • Post Disaster Recovery Plans • Site Due Diligence • Environmental Studies • Program & Scope Refinement • Preliminary Engineering + Design • Constructability + Operability • ROM	• Facility Siting • Detailed Design • Detailed Engineering • Planning + Scheduling • Cost Estimating • Procurement • Safety Reviews • Quality Management • Construction Drawings	• Construction Management • Construction Logistics • Contract Administration • Schedule Control • Cost Control • Quality Control • Safety + Security • Inspections

MAXIMIZE PULL-THROUGH TECHNICAL SERVICES

Q&A

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