

Webinar Presentation



Grant Writing Under the Uniform Guidance

*By Karen Norris, Principal
Kanoco Consulting*

*Prepared for
Governor's Office of Planning and Research
State of California*

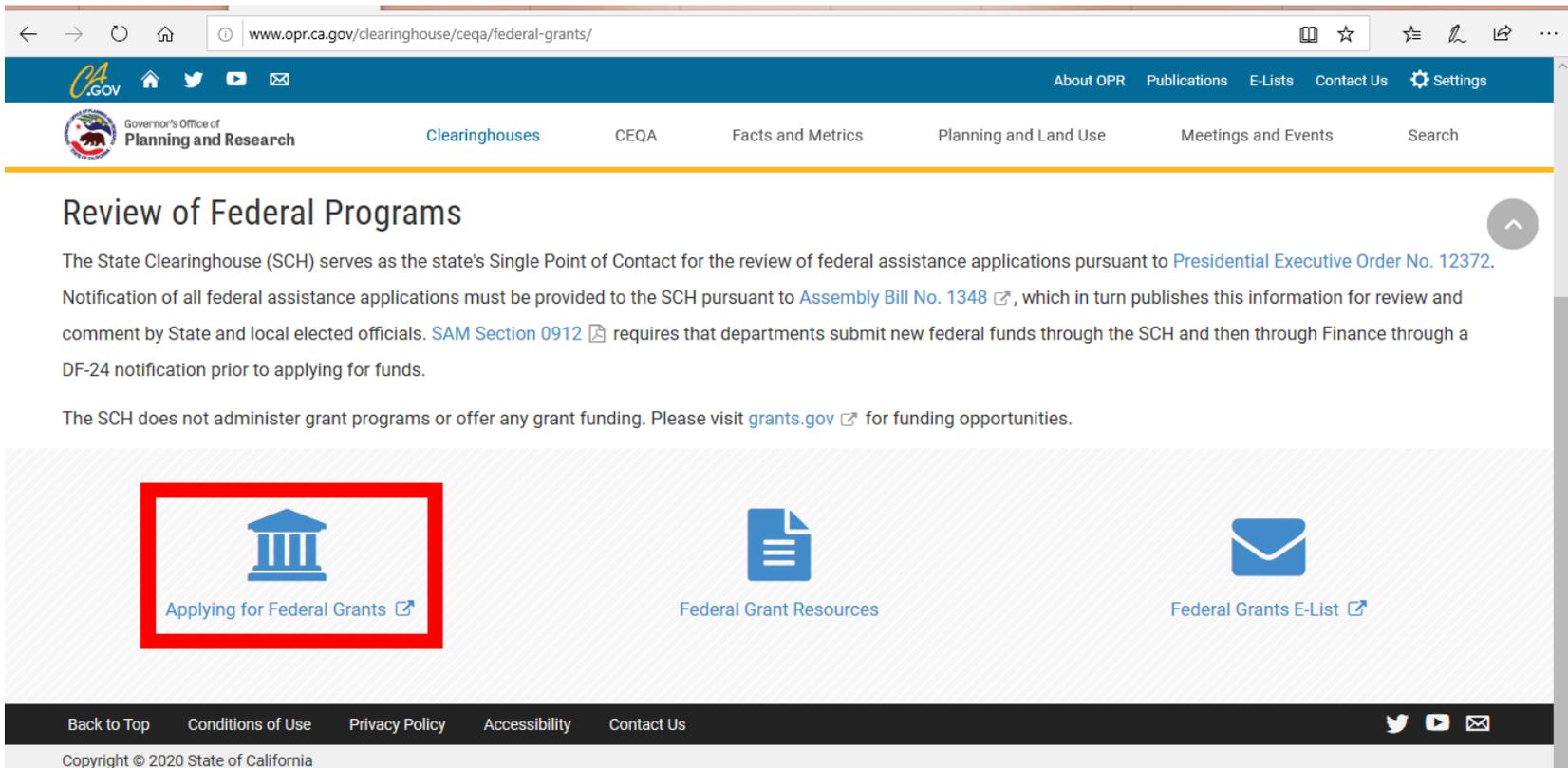


OPR Federal Assistance



A screenshot of the website www.opr.ca.gov. The browser address bar shows the URL. A yellow banner at the top contains a "Coronavirus update" and a "COVID-19 Resources" button. Below this is a blue navigation bar with the CA.GOV logo, home, social media icons, and links for "About OPR", "Publications", "E-Lists", "Contact Us", and "Settings". The main content area features the OPR logo and the text "Governor's Office of Planning and Research". A horizontal menu includes icons for "Clearinghouses", "CEQA", "Facts and Metrics", "Planning and Land Use", "Meetings and Events", and "Search". Below this menu are four white boxes: "State Clearinghouse", "CEQA Document Submission", "CEQAnet", and "Adaptation Clearinghouse". The "CEQA Document Submission" box contains a link for "Federal Assistance" which is highlighted with a red rectangular border. Below the menu is a large green and brown background image of a river with rocks. Text on the image reads: "The Office of Planning and Research We serve the Governor and the Cabinet as staff for long-range planning and research, and constitute the comprehensive state planning agency." An "About OPR" button is located at the bottom of the image.

Applying for Federal Grants



The screenshot shows a web browser window with the URL www.opr.ca.gov/clearinghouse/ceqa/federal-grants/. The page header includes the CA.GOV logo, navigation links (About OPR, Publications, E-Lists, Contact Us, Settings), and a search bar. The main content area is titled "Review of Federal Programs" and contains the following text:

The State Clearinghouse (SCH) serves as the state's Single Point of Contact for the review of federal assistance applications pursuant to [Presidential Executive Order No. 12372](#). Notification of all federal assistance applications must be provided to the SCH pursuant to [Assembly Bill No. 1348](#), which in turn publishes this information for review and comment by State and local elected officials. [SAM Section 0912](#) requires that departments submit new federal funds through the SCH and then through Finance through a DF-24 notification prior to applying for funds.

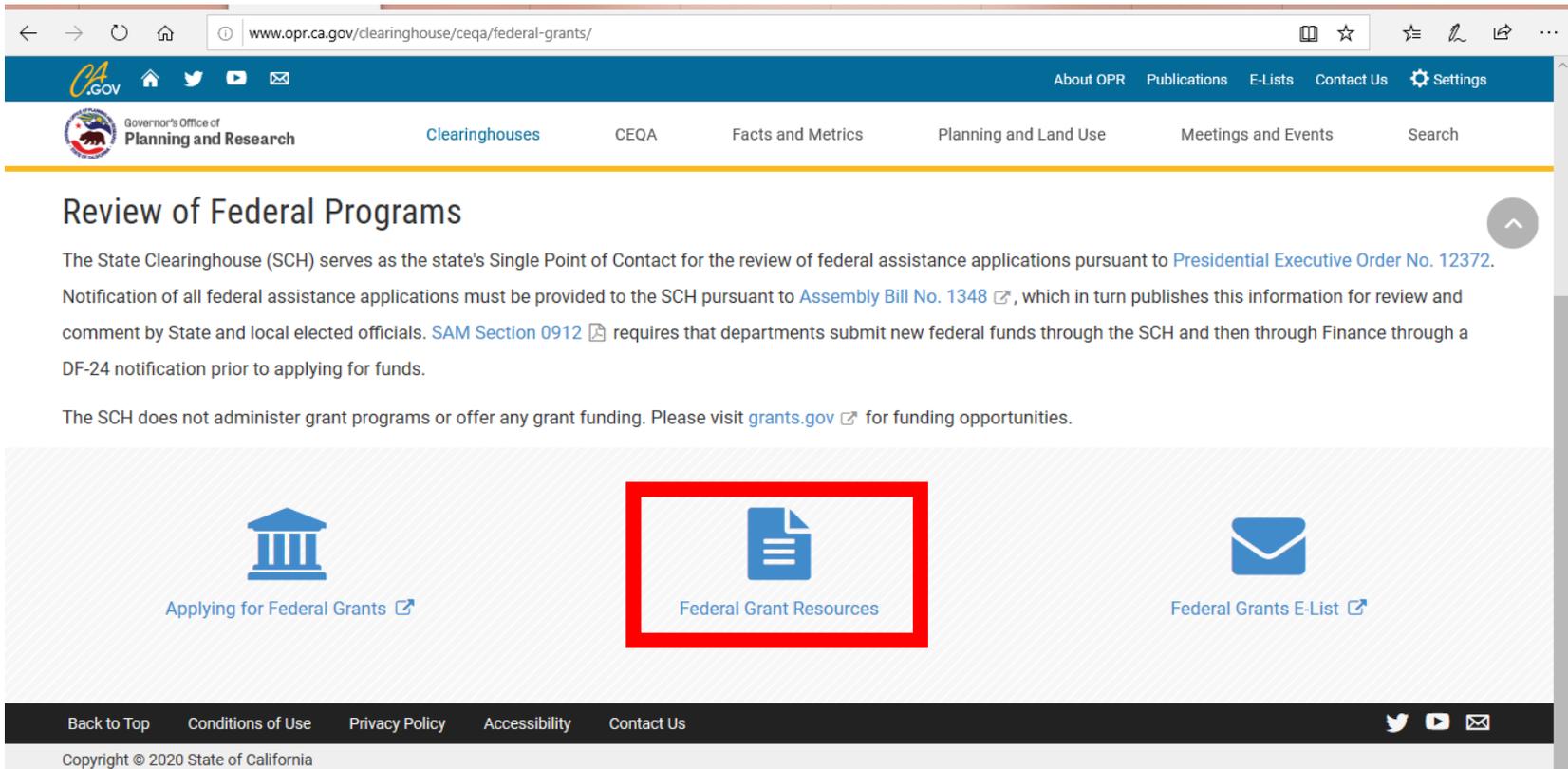
The SCH does not administer grant programs or offer any grant funding. Please visit grants.gov for funding opportunities.

Below the text are three icons with links:

- [Applying for Federal Grants](#) (Icon: Building with columns)
- [Federal Grant Resources](#) (Icon: Document)
- [Federal Grants E-List](#) (Icon: Envelope)

The footer contains links for "Back to Top", "Conditions of Use", "Privacy Policy", "Accessibility", and "Contact Us", along with social media icons for Twitter, YouTube, and Email. The copyright notice is "Copyright © 2020 State of California".

Federal Grant Resources



The screenshot shows a web browser window with the URL www.opr.ca.gov/clearinghouse/ceqa/federal-grants/. The page header includes the CA.GOV logo, social media icons, and navigation links: About OPR, Publications, E-Lists, Contact Us, and Settings. Below the header is a navigation bar with the Governor's Office of Planning and Research logo and links for Clearinghouses, CEQA, Facts and Metrics, Planning and Land Use, Meetings and Events, and Search.

Review of Federal Programs

The State Clearinghouse (SCH) serves as the state's Single Point of Contact for the review of federal assistance applications pursuant to [Presidential Executive Order No. 12372](#). Notification of all federal assistance applications must be provided to the SCH pursuant to [Assembly Bill No. 1348](#), which in turn publishes this information for review and comment by State and local elected officials. [SAM Section 0912](#) requires that departments submit new federal funds through the SCH and then through Finance through a DF-24 notification prior to applying for funds.

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[Applying for Federal Grants](#)



[Federal Grant Resources](#)



[Federal Grants E-List](#)

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Federal Grants E-List



A screenshot of a web browser displaying the website www.opr.ca.gov/clearinghouse/ceqa/federal-grants/. The page has a blue header with navigation links: "About OPR", "Publications", "E-Lists", "Contact Us", and "Settings". Below the header is a navigation bar with "Clearinghouses", "CEQA", "Facts and Metrics", "Planning and Land Use", "Meetings and Events", and "Search". The main content area has a heading "Review of Federal Programs" and a scroll button. The text explains the State Clearinghouse (SCH) role and provides links to "Presidential Executive Order No. 12372", "Assembly Bill No. 1348", and "SAM Section 0912". It also mentions "grants.gov" for funding opportunities. Below the text are three icons: a classical building for "Applying for Federal Grants", a document for "Federal Grant Resources", and an envelope for "Federal Grants E-List", which is highlighted with a red rectangular box. The footer contains "Back to Top", "Conditions of Use", "Privacy Policy", "Accessibility", "Contact Us", and social media icons for Twitter, YouTube, and Email. The copyright notice "Copyright © 2020 State of California" is at the bottom.

Webinar Presentation



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Audience Polls



Who is attending today?



Grant Writing

Learning Objectives

- Raise awareness of federal priorities and selection criteria.
- Recognize the difference between merit and risk reviews.
- Identify pre-award strategies that impact post-award performance.
- Locate funding opportunities in California.

Grant Writing

A Few Words

Grant Writing

A Few Words

“But seriously, I think overall in the scheme of things, winning an Emmy is not important. Let’s get our priorities straight. I think we all know what’s really important in life – winning an Oscar.”

Ellen DeGeneres

Grant Writing

A Few Words

Grant writing under the uniform guidance depends upon priorities and selection criteria for scoring proposals during the merit review; however, there is also a risk review.

Proposals also must demonstrate the ability to perform and achieve results.

Learning Objective #1

Federal Priorities and Selection Criteria

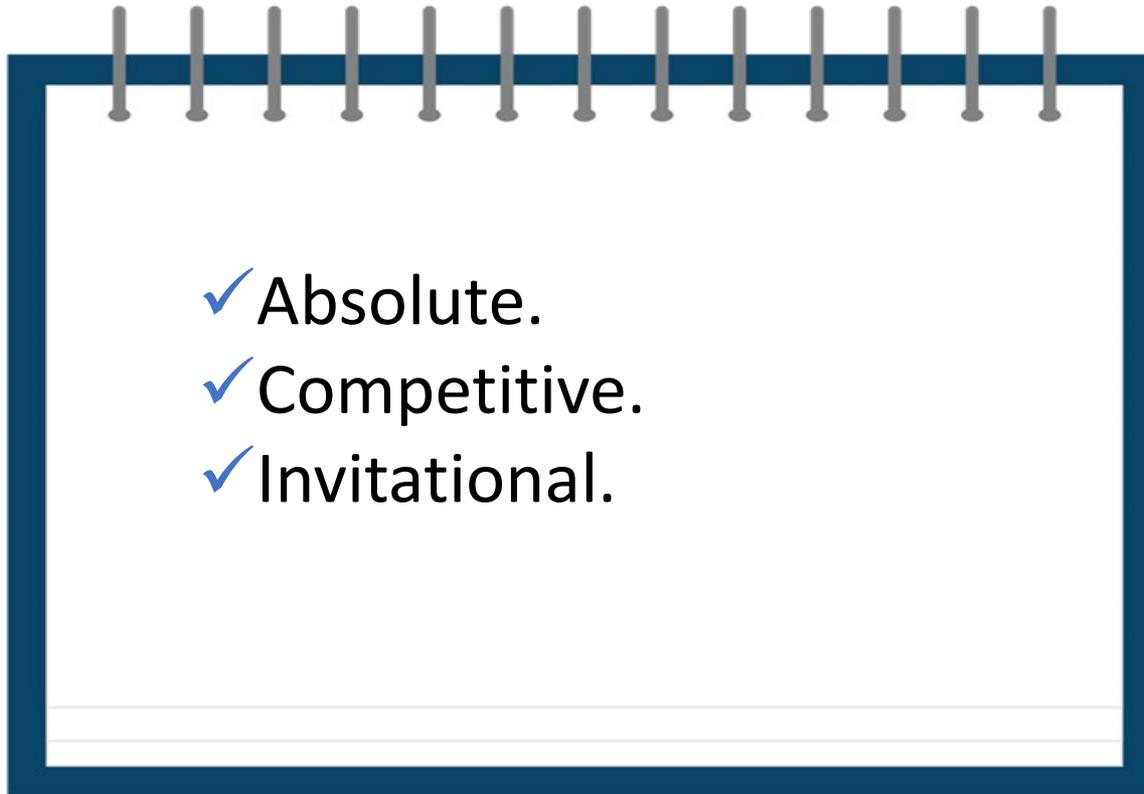
LO1: Priorities and Criteria

Program Statute

- All grants originate from a program statute, also known as a public law or authorization.
- The statute creates the grant program.
- The statute establishes priorities.

LO1: Priorities and Criteria

Federal Priorities



LO1: Priorities and Criteria

Absolute Priorities

- Must be addressed.
- Originate from program statute.
- Limits the competition to a defined need.
- Sometimes simply stated in guidelines.

LO1: Priorities and Criteria

Competitive Priorities

- Provide extra points for selected target areas.
- Not all solicitations include competitive priorities.
- Examples:
 - Poverty.
 - Veteran.
 - Rural.
- Importance varies with each proposal.
- Applicants may/may not be able to address.

LO1: Priorities and Criteria

Invitational Priorities

- Provide no points.
- Not all solicitations include invitational priorities.
- Examples:
 - The agency may also be interested in...
 - The agency invites applications that also address...
- Optional.
- Importance increases if tied scores or too many qualifying proposals.

LO1: Priorities and Criteria

Selection Criteria

“If winning isn’t everything, why do they keep score?”

Vince Lombardi

LO1: Priorities and Criteria

Merit Criteria (§ 200.204)

- Determine how the application is scored.
- Point values for each criteria.
- Common criteria for program grants.
- Can be used to form outline for the proposal narrative.
- Listed on reviewer score sheet.

LO1: Priorities and Criteria

Seven Common Criteria

- Meeting the purpose of the authorizing statute.
- Extent of need.
- Plan of operation.
- Quality of key personnel.
- Budget and cost effectiveness.
- Evaluation Plan.
- Adequacy of resources.



LO1: Priorities and Criteria

Criteria 1: Meeting the Purpose

- Does the proposal address the absolute priority?
- Is language present from the authorizing statute?
- Is there a correlation between the applicant's purpose for submitting and the absolute priority?
- Is there a focus on anticipated outcomes, performance and results?

LO1: Priorities and Criteria

Criteria 2: Extent of Need

- What are the local needs?
- Do local needs exceed national averages?
- Do the needs reflect the absolute priorities?
- Is there documented data?
- Was there a needs assessment?
 - SWOT analysis.
 - Strengths, weaknesses, opportunities, threats.

LO1: Priorities and Criteria

Criteria 3: Plan of Operation

- Are there clear project goals and objectives?
- Are there activities to address each objective?
- Are there methods and strategies?
- Is there a timeline?
- Is there a management plan?
- Are there literature citations to confirm approach?
 - Is the program plan built upon evidence?

LO1: Priorities and Criteria

A Few Words about a Literature Search

- Have you conducted a literature search while developing your ideas?
- Is your idea consistent with the advice of noted authorities?
- Have you incorporated best practices?
- Can your idea be replicated elsewhere?
- Do you use an evidence-based approach?

LO1: Priorities and Criteria

Criteria 4: Quality of Key Personnel

- Who is responsible?
 - Qualifications and prior experience.
 - Time dedicated on the project.
- Some addenda allow one to two-page resumes.
- Use a position description if staff unknown.
- What happens to position after the end date?

LO1: Priorities and Criteria

Criteria 5: Budget

- Is the project a good investment?
- Will the investment of funds make a difference?
- Do requested costs match the narrative?
- Is there mandatory/required cost sharing?
 - Are nonfederal sources available?
- What is sustainable after the project ends?

LO1: Priorities and Criteria

Criteria 6: Evaluation

- What will be evaluated?
- Who is responsible for the evaluation?
- What methods will ensure timely collection of data?
- Is there baseline data?
- Should surveys, interviews, and meeting records be used?
- Is a third-party evaluator required?

LO1: Priorities and Criteria

Criteria 6: Evaluation (cont)

- What assessment tools will be used?
- Is there existing instrumentation or does it need to be developed?
- Is data routinely measured?
- What will change once measured?
- Can the change be sustained?

LO1: Priorities and Criteria

Criteria 7: Adequacy of Resources

- Are existing resources available?
- Is there voluntary cost sharing?
- Can voluntary resources be described in a narrative rather than on the budget sheet?
- Can existing resources contribute to sustainability?

LO1: Priorities and Criteria

**How Are the
Selection
Criteria
Scored for the
Merit Review?**

FUND FOR THE IMPROVEMENT AND REFORM OF SCHOOLS AND TEACHING
TECHNICAL REVIEW FORM

SCHOOL-LEVEL PROGRAM (CFDA NO. 84.211A)
SCHOOLS AND TEACHERS PROGRAM (CFDA NO. 84.211B)

APPLICANT _____

APPLICATION NO. R211 _____

SELECTION CRITERIA	MAXIMUM POINTS	ASSIGNED POINTS
I. Need for the Project	15	_____
II. Plan of Operation	20	_____
III. Quality of Key Personnel	10	_____
IV. Educational Value	20	_____
V. Budget and Cost Effectiveness	10	_____
VI. Evaluation Plan	10	_____
VII. National Significance	15	_____
Competitive Preference	25	_____
TOTAL:	125	_____

OVERALL COMMENTS:

Strengths:

Weaknesses:

Reviewer's Name (PRINT) _____ Phone () _____

Signature: _____ Date _____

Reviewer Score Sheet

LO1: Priorities and Criteria

Selection Criteria for Research Grants

- Intellectual merit.
- Broader impacts.

LO1: Priorities and Criteria

Research Criteria: Intellectual Merit

- Potential to advance knowledge.
 - In one field or across different fields.
- Activities could reflect original or revised concepts.

LO1: Priorities and Criteria

Research Criteria: Broader Impacts

- Potential to benefit society and contribute to desired outcomes.
- Demonstrating broader impacts requires evaluation.
- Reviewers will look for metrics and impact compared to the resources required (cost effectiveness).

LO1: Priorities and Criteria

What Else Is Included in a Proposal?

- Cover sheet and other federal forms.
- Narrative.
- Budget and budget narrative.
- Appendices.

LO1: Priorities and Criteria



Before You Begin

- Think about context, priorities, needs, impact, and sustainability.
- Share your thoughts with leadership.
- Gain approval to pursue.

LO1: Priorities and Criteria

Writing Begins with Priorities and Selection Criteria

- Read the grant guidelines.
- Find the absolute priority/purpose.
- Find the list of criteria that will be scored.
- Base the narrative outline on the priorities and selection criteria.

LO1: Priorities and Criteria

Poll #3

- How should the proposal narrative be written?
 - From most important fact to least important.
 - According to the selection criteria.
 - With the boldest goals possible.
 - Using third person only.

Learning Objective #2

Recognize the Difference Between Merit and Risk Reviews.

LO2: Merit and Risk Reviews

“Denial ain’t just a river in Egypt.”

Mark Twain

LO2: Merit and Risk Reviews

Merit Reviews (§ 200.204)

- All about the proposal.
 - Selection criteria and scoring rubric.
 - Higher scores are considered for funding.
 - Lower scores are not considered for funding.
- Proposals can be denied based on merit.

LO2: Merit and Risk Reviews

Risk Reviews (§ 200.205)

- All about the applicant.
 - Past performance, prior experience.
 - Weaknesses in financial systems.
 - Past disputes, audit findings, recovery of funds.
- Applicants are generally categorized as low, moderate, or high risk.
- Applicants can be denied based on risk.

LO2: Merit and Risk Reviews

Rationale

- The lower the risk, the less likely there will be waste, fraud, and abuse.
- The higher the risk, the more likely there will be waste, fraud, and abuse.

LO2: Merit and Risk Reviews

Denials

- If a proposal is denied based on merit:
 - Disappointing, but denial is limited to the loss of the proposal only.
 - No adverse impact to other future applications.
 - No adverse impact to the applicant.

LO2: Merit and Risk Reviews

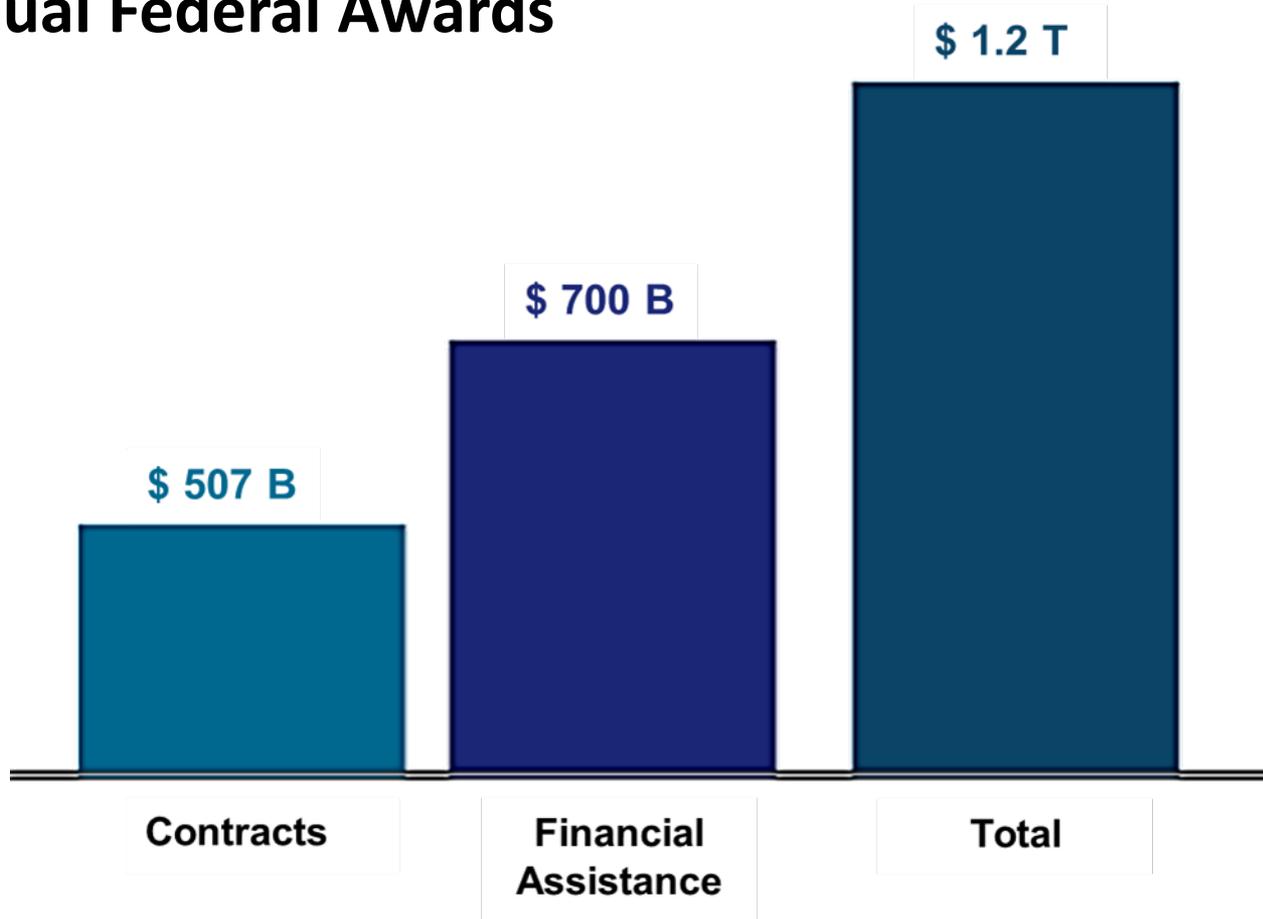
Denials

- If an applicant is denied based on risk:
 - Denial can extend to all federal funds.
 - Determination is posted in FAPIIS for five years.
 - The applicant is considered not eligible for federal funds.
 - Potential adverse impact to applicant over time.

Why so serious?

LO2: Merit and Risk Reviews

Annual Federal Awards



LO2: Merit and Risk Reviews

Here's the Issue: Improper Payments

Year	Improper Payments
2012	\$108 billion
2013	\$106 billion
2014	\$125 billion
2015	\$137 billion
2016	\$144 billion
2017	\$141 billion
2018	\$151 billion
2019	\$175 billion
	GAO Report 20-344

LO2: Merit and Risk Reviews

Steps To Address Pre-Award Risk



Awarding agencies must check lists and databases for risk:

- ✓ Do Not Pay List.
- ✓ Excluded Parties List Service.
- ✓ Suspension & debarment.
- ✓ FAPIIS.

LO2: Merit and Risk Reviews

Steps To Address Risk

- Awarding agencies check applicant performance:
 - Financial management systems.
 - Quality of management systems.
 - History of performance.
 - Report submissions.
 - Correction of audit findings.
 - Applicant ability to implement.

LO2: Merit and Risk Reviews

Other Ways To Address Risk

- Good internal controls.
- Written local policies and procedures.
- Clear organizational structure.
- Record retention capabilities.
- Successful experience managing federal awards.
- Ability to comply with applicable laws and regulations.

LO2: Merit and Risk Reviews

Steps To Address Risk

- Applicants should assess partners:
 - Prior performance.
 - Good financial systems.
 - Performance and results.
 - Not listed in FAPIIS or other watch lists.

Learning Objective #3

Pre-award Strategies that affect Post-award

LO3: Pre- and Post-Award

“The future ain’t what it used to be.”

Yogi Berra

LO3: Pre- and Post-Award

Concept of Sustainability

- Lasting change.
- Impact.
- Long-term outcomes.
- Capacity building.
- Replication and scale-up.
- Best practices.

LO3: Pre- and Post-Award

Sustainability Language

- While all the objectives of the project strive to build capacity, it is important to develop with purpose an initiative that will be sustained over time. Several factors contribute to the sustainability of the program. The level of support may not replace 100% of the grantor contribution; however, sustainable components include: 1) the relationships forged among the applicant, institutions of higher education, business, county, and military partners; 2) the business community networks created; 3) the project infrastructure including existing staff, leadership, and resources; 4) the knowledge gained through the extensive outreach efforts; and 5) the development and refinement of services and offerings.

LO3: Pre- and Post-Award

Extent of Need

- Is there a documented gap in programs or services that can reflect improvement?
- Can a control group be compared to the group receiving services under the grant?
- Does anyone else have the same need?
 - Potential for replication.
- What have others done to address the need?
 - Literature citations.

LO3: Pre- and Post-Award

Management Plan/Monitoring

- Who has the authority to make decisions?
- How will errors be discovered and corrected?
- How will progress be reported and documented?
- How will risk be detected and remediated?
- Management plan described in the proposal should include a timeline for reporting, monitoring, responsible staff.

LO3: Pre- and Post-Award

Awards to Applicants with Elevated Risk

- Award agreement may include specific conditions (200.207) to address issues of risk.
- The specific condition(s) should be corrected during post-award and removed from the award doc.
- Examples of specific conditions:
 - No advance payments or temporary hold on funds.
 - Additional reporting.
 - Additional monitoring.
 - Additional prior approvals.

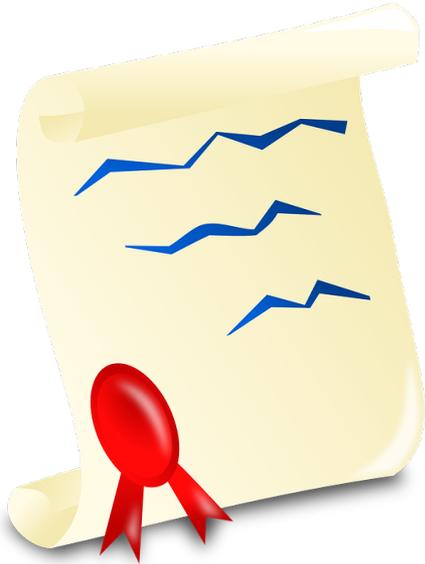
LO3: Pre- and Post-Award

Poll #4

- Can awards be made to applicants with high risk?
 - No.
 - Only for mandatory grants.
 - Yes.
 - Yes, with specific conditions.

LO3: Pre- and Post-Award

Agency GPRA/GPRMA Goals



- Does awarded program address priorities from the program statute?
- Does awarded program also address awarding agency strategic plan or Government Performance Results Modernization Act goals?

LO3: Pre- and Post-Award

Awards and GPRMA

- Applicants/recipients can research federal agency mission statement and strategic plan, which reflects its GPRA/GPRMA goals.
- Information provides insights into advancements, priorities, and societal benefits that are of most interest to awarding agencies.
- What is the potential impact of the project toward these goals?

LO3: Pre- and Post-Award

Proposal Goals and Award Deliverables

- The goals and objectives in the proposal become the deliverables and anticipated results in the award agreement (200.210).
- Goals/objectives lead to outputs and outcomes.

LO3: Pre- and Post-Award

Outputs and Outcomes

- Outputs reflect what is produced:
 - Number of workshops.
 - Number of attendees.
- Outcomes reflect what has changed:
 - Impact over time.
 - Benefits, deliverables, results.

LO3: Pre- and Post-Award

Outputs and Outcomes

- We will hold a conference offering a session on grant writing for 50 math instructors. (*assumes that learning takes place*)
- 75% of math instructions attending the grant writing session will demonstrate a minimum of 50% increase in knowledge about strategies for writing a competitive grant proposal based in pre- and post-session surveys. (*documents that learning takes place*)

LO3: Pre- and Post-Award

Outputs vs. Outcomes

- Which objective sounds more worthy of funding?
- Which objective would be easier to measure or to demonstrate progress?

LO3: Pre- and Post-Award

Key to Outcomes: Measurable Objectives

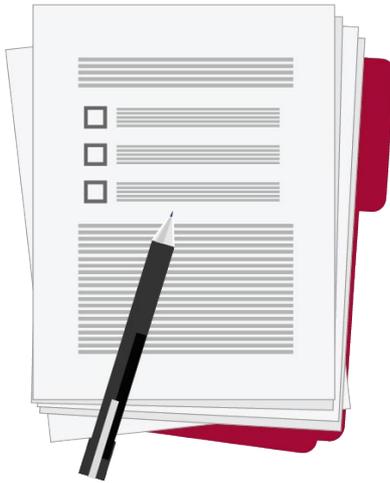
- SMART Objectives.
 - Specific.
 - Measurable.
 - Achievable.
 - Realistic.
 - Time-dependent.
- What will be different as a result of the project?
- Will the change be long-lasting?

Learning Objective #4

Locate Grant Opportunities for California

LO4: Locate Opportunities

Searching for Grants



- Public agencies
 - Grants.gov
 - Federal agency websites.
 - State agency websites.
 - County/City agency websites.

LO4: Locate Opportunities

Private Funders

- Silicon Valley Community Foundation.
- William and Flora Hewlett Foundation.
- David and Lucille Packard Foundation.
- Tides Foundation.
- California Community Foundation.
- San Francisco Foundation.
- Eli and Edythe Broad Foundation.

LO4: Locate Opportunities

Private Funders

- Asia Foundation.
- Conrad N. Hilton Foundation.
- James Irvine Foundation.
- Annenberg Foundation.
- Energy Foundation.
- Orange County Community Foundation.
- Jewish Community Foundation of Los Angeles.

LO4: Locate Opportunities

Private Funders

- William K. Bowes, Jr. Foundation.
- Trust for Public Land.
- Sierra Club Foundation.
- W.M. Keck Foundation.
- Entertainment Industry Foundation.
- Marin Community Foundation.
- Jim Joseph Foundation.

LO4: Locate Opportunities

Private Funders

- Safeway Foundation.
- Sand Diego Foundation.
- Roberts Foundation.
- David Geffen Foundation.
- Weingart Foundation.
- Blue Shield of California Foundation.
- Skoll Foundation

Grant Writing and Uniform Guidance

Summary

Grant Writing and Uniform Guidance

In Closing



“Your net worth to the world is usually determined by what remains after your bad habits are subtracted from your good ones.”

Benjamin Franklin

Grant Writing and Uniform Guidance

In Summary

- Uniform guidance focuses on program and financial performance, in addition to compliance,
- Priority to reduce improper payments, waste, fraud, and abuse.
- Award decisions are based on merit reviews of the proposal as well as risk reviews of the applicant.

Grant Writing and Uniform Guidance

In Summary

- Recipient performance on one grant will impact all future grants.
- Pre-award promises are increasingly connected to post-award performance.
- Pre-award staff must coordinate with post-award staff now more than ever.

Grant Writing and Uniform Guidance

Today's Proposals Must Include Language About...

- The merit criteria and scoring the proposal.
- The applicant risk factors and the ability to provide good stewardship of federal funds.



Grant Writing and Uniform Guidance

Q & A

Friendly Disclaimer

Please be reminded:

This presentation is intended to provide general information and does not constitute legal or financial advice. Please consult with your legal and financial advisors. I hope, however, that the information helps provide some insights as you further pursue your work in the grants community.

Webinar

Prepared For



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