FEDERAL GRANTS
WEBINAR SERIES

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Learn more: opr.ca.gov
Federal Grants

OPR provides technical assistance to state agencies, local governments, institutions of higher learning, and nonprofit organizations, on how to find, apply and manage federal grants.

ON THIS PAGE:

- Links and Resources
- Review of Federal Programs
- For More Info
DISCLAIMER

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Building Partnerships for Federal Grant Success

Julie Assel, GPC
President/CEO

@AGSTraining
Learning Objectives

• The participant will:
  • How to identify potential organizations who could make strong collaborative partners
  • How to build initial relationships between organizations
  • The level of involvement of partners in program design
  • The level of involvement of partners in grant proposal creation
  • The level of financial compensation and commitment of partners in grant budgets
GPCI Competencies and Skills

This training is applicable to GPCI Competency 3 and 4 with emphasis on the skills listed below:

Competency 3: Knowledge of strategies for effective program and project design and development
- Skill 3.1: Identify methods for soliciting and incorporating meaningful substantive input and contributions by stakeholders
- Skill 3.2 Identify methods of building partnerships and facilitating collaborations among co-applicants
- Skill 3.7 Identify existing community resources that aid in developing programs and projects

Competency 4: Knowledge of how to craft, construct, and submit an effective grant application
- Skill 4.3 Identify project management strategic for submitting high-quality and complete proposals on time.
- Skill 4.8. Identify effective practices for developing realistic, accurate line-item and narrative budgets and for expressing the relationship between line-items and project activities in the budget narrative
- Skill 4.9. Identify sources of cash, in-kind, and/or leverage matches for project budgets.

Grant Professional Certification Institute, www.grantcredential.org
Identifying Collaborative Partners

- Nonprofit associations
- United Ways or other local funders/foundations
- Task forces or consortia
- Educational institutions
- Healthcare organizations
- Libraries and cultural organizations
- Government entities
- Chambers of commerce and business associations
What Makes A Strong Partner

• Experience managing significant financial resources
• Staffing expertise
• Policies and procedures
• Ability to track service information
• Ability to ethically manage grant funding
• Ability to collect participant data
• Community need data
• Strong participant outcomes
## Collaboration Continuum

<table>
<thead>
<tr>
<th>Definitions (cumulative from left to right)</th>
<th>Networking</th>
<th>Coordinating</th>
<th>Cooperating</th>
<th>Collaborating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exchanging Information for mutual benefit</td>
<td>Alter activities for a mutual benefit</td>
<td>Share resources to achieve a common purpose</td>
<td>Enhance the capacity of another to achieve a common purpose</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Relationship Characteristics</th>
<th>Networking</th>
<th>Coordinating</th>
<th>Cooperating</th>
<th>Collaborating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Informal</td>
<td>Informal</td>
<td>Formal or informal</td>
<td>Formal</td>
<td>Formal</td>
</tr>
<tr>
<td></td>
<td>• Minimal time commitment</td>
<td>• Moderate time commitment</td>
<td>• Substantial time commitments</td>
<td>• Extensive time commitments</td>
</tr>
<tr>
<td></td>
<td>• Limited levels of trust</td>
<td>• Moderate levels of trust</td>
<td>• High levels of trust</td>
<td>• Very high levels of trust</td>
</tr>
<tr>
<td></td>
<td>• No necessity to share turf</td>
<td>• No necessity to share turf</td>
<td>• Significant access to each other’s turf</td>
<td>• Extensive areas of common turf</td>
</tr>
<tr>
<td></td>
<td>• Info exchange is minimal</td>
<td>• Primary purpose is making services/resources more user friendly</td>
<td>• Primary focus: Sharing of resources to achieve a common purpose</td>
<td>• Primary focus: Enhancing each other’s capacity to achieve a common purpose</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Resources</th>
<th>Networking</th>
<th>Coordinating</th>
<th>Cooperating</th>
<th>Collaborating</th>
</tr>
</thead>
<tbody>
<tr>
<td>No sharing of resources necessary</td>
<td>No sharing of resources necessary</td>
<td>Moderate to extensive mutual sharing of resources</td>
<td>Full sharing of resources</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Some shared risk, responsibility and reward</td>
<td>Full sharing of risks, responsibilities, and rewards</td>
<td></td>
</tr>
</tbody>
</table>

[www.asselgrantservices.com](http://www.asselgrantservices.com)
Collective Impact for social change

- Common agenda
- Guiding principles
- Shared measurement
- Mutually reinforcing activities
- Ongoing communication to build trust and relationships
- Has a backbone

www.asselgrantservices.com
“To partner or not to partner... That is the question.”
Why organizations choose NOT to partner:

- “Partners don’t follow through with their commitments.”
- “I don’t want to be held accountable for noncompliance if they don’t follow through with their commitment.”
- “I don’t want to have to run anything through legal like an MOU or letter of commitment, that takes too much time.”
- “We need all that grant money ourselves; I don’t want to have to give any to a partner. There isn’t enough money in the budget for that.”
Why organizations choose to partner:

• To access more money (as in grants or cooperative agreements).
• As an opportunity to get more clients through referrals or service agreements.
• To add a service or activity that is not available but offered by another agency.
• To access additional resources like volunteers, evaluation capacity, marketing and communications expertise, etc.
Involving Partners in Program Design

• Time: Making decisions quicker than design by committee
• Trust: Who is in charge and who is the applicant?
• Resources: How much money do you need versus want?

What is the intention of the funder?
Treating External Partners like Internal Partners

• Inviting them to proposal development meetings
• Explaining to them what we are trying to accomplish with their partnership in the proposal
• Providing them enough information and time to create a quality letter of support
• Having them read drafts of the proposal
Table XX: Data Methodology

*Key persons/organizations:* You can define acronyms and abbreviations here

<table>
<thead>
<tr>
<th>Performance Measure (tie to grant language)</th>
<th>Data</th>
<th>Data source</th>
<th>How is data collected (how do you get it and who collects it?)</th>
<th>How is data managed (who puts the data where?)</th>
<th>Who does what with the data, and how often?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Output-Attendance/participation</td>
<td>Example: Meeting participation among coalition members</td>
<td>Example: Meeting minutes Attendance log</td>
<td>Example: Agendas and Call notes are saved by the backbone agency; Attendance is taken at the beginning of each meeting</td>
<td>Example: Backbone agency will collate and distribute minutes, and maintain the cumulative attendance of participating coalition entities.</td>
<td>Example: On a quarterly basis, the administrative assistant from the backbone agency will compute attendance rates of all entities.</td>
</tr>
<tr>
<td>Outcome-Increased knowledge of trauma-informed systems of care</td>
<td>Example: Participant change in knowledge as a result of a training</td>
<td>Example: Participant responses to post-program surveys</td>
<td>Example: Agency that provided the training administers a paper post-program survey at the end of the multi-agency training</td>
<td>Example: Agency that administered the survey gathers the surveys and enters responses into an excel spreadsheet on the agency computer.</td>
<td>Example: After every training, the agency that delivered the trainings analyzes aggregate results from the surveys and completes a report to the funder and shares it with the coalition.</td>
</tr>
</tbody>
</table>
Involving Partners in Grant Proposal Creation

• Ask the basic questions up front
• Consider stakeholder capacity
• Consider partner organization resources
• Talk about the data
• Make sure everyone knows their roles & responsibilities
Preparing the Proposal

• Engage the subject matter experts
• Consider specific sections and information needed
• Gather content from all partners, discuss, and repeat
• Review drafts early
Financial Compensation and Commitment of Partners in Grant Budgets

- The RFP dictates the allocation percentages
- The RFP limits how much each partner receives
- The RFP may allow increased request with increased partners
### Who Decides How Much Each Partner Gets?

<table>
<thead>
<tr>
<th>Objective</th>
<th>Need</th>
<th>Activity</th>
<th>Estimated Cost of Activity</th>
<th>Resource</th>
<th>Output</th>
<th>Outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decrease California’s dependence on traditional energy sources (oil/gas)</td>
<td>Residents of Orange County have disproportionately high home utility bills</td>
<td>Community Awareness campaign - benefits of solar energy</td>
<td>Social Media/TV/Radio Campaign - $5,500</td>
<td>Lead applicant - Orange County personnel</td>
<td>Social media ads; website for more information</td>
<td>Increased awareness of the benefits of solar energy</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Mailed Flyer x 3,000 pieces estimated at $0.25/each</td>
<td></td>
<td>Vendor TBD based on quotes</td>
<td>Mailed flyer</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Free home estimates - solar panel configuration and potential cost savings</td>
<td>300 Estimates @ $75/each</td>
<td>Subaward - Solar 4 U</td>
<td>Increased awareness of home eligibility, personal energy consumption/savings</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Rebate check for solar panel installation</td>
<td>$500 per home at 100 homes</td>
<td>Grant Funds - Participant Support</td>
<td>Reduciton of oil/gas energy consumption by 5% in Orange County within project period</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Processing rebate check documentation</td>
<td>$.25 FTE at $35,000</td>
<td>Lead applicant - Orange County personnel</td>
<td>Web survey to homeowners; data collection and analysis; report to county on objectives</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Data collection and reporting</td>
<td>10% of Award</td>
<td>Named Partner - qualified evaluator</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

www.asselgrantsservices.com
Budget Preparation with Partner Organizations

<table>
<thead>
<tr>
<th>Role</th>
<th>Comprehensive Budget / Narrative</th>
<th>Partner Specific Budget / Narrative</th>
<th>MOU / LOC</th>
<th>Qualifications / Experience</th>
<th>Partner Specific Activity Plan / Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lead Applicant</td>
<td>Yes</td>
<td>Sometimes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Vendor</td>
<td>Yes – line item</td>
<td>Describe contributions in appropriate budget category narrative</td>
<td>No</td>
<td>No</td>
<td>No</td>
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<tr>
<td>Subaward</td>
<td>Sometimes</td>
<td>Yes</td>
<td>Almost always</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Named Partner - Evaluator</td>
<td>Yes</td>
<td>No</td>
<td>Sometimes</td>
<td>Yes</td>
<td>Sometimes</td>
</tr>
<tr>
<td>Participant Support</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Sometimes – eligibility</td>
<td>No</td>
</tr>
</tbody>
</table>
Justifiable, Allocable, Reasonable

- **Justifiable** – supports one or more required or proposed objectives
- **Allocable** – is an allowable “type” of expenditure based on the funding agency’s specific guidelines and based on the relevant cost principles outlined in the Code of Federal Regulations (CFR)
- **Reasonable** – the cost is in line with similar costs typically paid by the organization and is in line with what a reasonable person would expect to pay
Partner Contributions to a Grant Budget

- Cash Match
- Level of Effort or Maintenance of Effort
- In-Kind Contributions
- Program Revenue
# Indirect Cost

<table>
<thead>
<tr>
<th>Award Amount</th>
<th>Indirect Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5%</td>
</tr>
<tr>
<td>5,000</td>
<td>$250</td>
</tr>
<tr>
<td>10,000</td>
<td>$500</td>
</tr>
<tr>
<td>15,000</td>
<td>$1,000</td>
</tr>
<tr>
<td>20,000</td>
<td>$1,250</td>
</tr>
<tr>
<td>25,000</td>
<td>$1,250</td>
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<tr>
<td>50,000</td>
<td>$5,000</td>
</tr>
<tr>
<td>100,000</td>
<td>$5,000</td>
</tr>
<tr>
<td>150,000</td>
<td>$7,500</td>
</tr>
<tr>
<td>200,000</td>
<td>$10,000</td>
</tr>
<tr>
<td>250,000</td>
<td>$12,500</td>
</tr>
<tr>
<td>300,000</td>
<td>$15,000</td>
</tr>
<tr>
<td>350,000</td>
<td>$17,500</td>
</tr>
<tr>
<td>400,000</td>
<td>$20,000</td>
</tr>
<tr>
<td>450,000</td>
<td>$22,500</td>
</tr>
<tr>
<td>500,000</td>
<td>$25,000</td>
</tr>
<tr>
<td>1,000,000</td>
<td>$50,000</td>
</tr>
</tbody>
</table>

**Sliding Scale Key**

- **100% IDC goes to department receiving grant award**
- **50% - 50% split of IDC between awarded dept/organization**
- **60% IDC to organization; 40% IDC to awarded department**
- **95% IDC to organization; 5% IDC to awarded department**

**Examples**

<table>
<thead>
<tr>
<th>IDC Amount</th>
<th>Organization</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>$7,500</td>
<td>$ -</td>
<td>$7,500</td>
</tr>
<tr>
<td>$17,500</td>
<td>$8,750</td>
<td>$8,750</td>
</tr>
<tr>
<td>$45,000</td>
<td>$27,000</td>
<td>$18,000</td>
</tr>
<tr>
<td>$500,000</td>
<td>$475,000</td>
<td>$25,000</td>
</tr>
</tbody>
</table>
Monitoring Grant Expenditures within a Consortium of Partners

• Assurances, terms, and special conditions
• Policies and procedures
  • Internal controls
  • Ethical conduct
  • Generally accepted accounting principles
• Monitoring
  • Capacity
  • Policies and procedures
Monitoring Grant Expenditures within a Consortium of Partners

**Lead Applicant**
- Initial risk evaluation
- Works with the partner’s staff to mitigate risks
- Sets the data collection and evaluation plan, including reporting timelines
- Monitors financial and programmatic compliance
- Submits all required reports
- Develops policies and procedures
- Comprehensive audit of all grant activities, grant expenditures, and program revenue

**Subaward**
- Initial risk evaluation & subsequent mitigation plan
- Conducts activities in a timely manner
- Reports activities, progress to outcomes, and relevant supporting data to lead applicant in a timely manner
- Follows agreed-upon procedures for accessing grant funds
- Participates in all formative and summative evaluation activities as appropriate
- Establishes own policies and procedures
Questions?
Contact Us and Connect

Next Trainings!

Elements for Quality Project Design (September 28)
Building a Compelling Federal Budget (October 13)

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