

2018 SMP/SHIP

NATIONAL CONFERENCE

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

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**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.

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**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

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*ACCT* *PIN* ***EIN*** *****DUNS***** *****Organization Name*****
[REDACTED] [REDACTED] UNIVERSITY OF KENTUCKY, RESEARCH FOUNDATION
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CT
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      *****FUTURE AUTH***  ***SNAPSHOT DISB**  ***SNAPSHOT CHRG**
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                        .00                73,481.45          127,457.91
OPEN & CLOSED:       545,871,578.01      408,443,720.77      413,017,649.57
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      CLOSED:         89,871,613.83        89,871,613.83        89,871,613.83
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Hits: 1

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.hhs.gov/grants/grants/grants-policies-regulations/index.html>
- <https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>

The End!!



True Colors: The NOT FUN PART of Program Management

You with the sad eyes
Don't be discouraged, oh I
realize
It's hard to take courage
In a world full of people
You can lose sight of it all
The darkness inside you
Can make you feel so small

Show me a smile then
Don't be unhappy
Can't remember when
I last saw you laughing
This world makes you crazy
And you've taken all you can
bear
Just call me up
'Cause I will always be there
And I see your true colors

Nancy Moore, Indiana SMP,
nmoore@iaaaa.org, 317.205.9201

Portrait of Indiana SMP

Quick stats:

92 counties

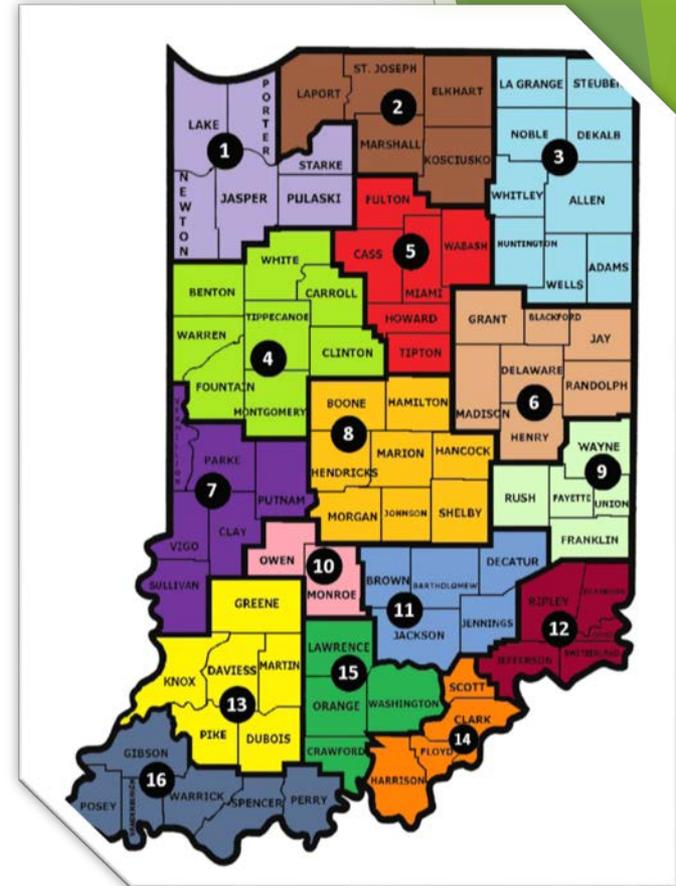
1.2 million Medicare beneficiaries and
trending upwards

Challenges:

Small state-level staff (only 2.5 FTEs)

Not all AAAs participate in formal
outreach & volunteer contracts

(Volunteer Host Organizations-VHOs)



PERFORMANCE Contracts with Volunteer Host Orgs (VHOs)

IN SMP has 2.5 FTEs (director, volunteer coordinator and PT admin and outreach persons)

IN SMP contracts with 12 VHOs

8 AAAs, 4 Senior Centers

Some provide outreach only

Some are also SHIP sites; use nonpaid counselors/volunteers



PERFORMANCE Contracts - Request for Proposals

Scope of Work-Outreach and/or Volunteer Hours

VHO estimates # of events by type of activity

If not realistic, SMP office suggests another #

Limit # of reimbursed outreach events and volunteer hours



Money, Money, Money!!! CHALLENGE: PERFORMANCE Contractors THAT DON'T PERFORM!!

- ▶ MONITOR progress by requiring monthly reporting
- ▶ UNDERSTAND the VHOs have challenges beyond their control!!
- ▶ PAYOUT THE PERFORMANCE contract QUARTERLY
 - ▶ We used to pay at year's end (that left us in crunch with leftover money)
 - ▶ Paid Semi-Annually last year, moving to QUARTERLY PAYMENTS



How to Keep VHOs Engaged



- ▶ Site visits for orientation & training VHO staff
- ▶ Bi-Monthly SMP Coordinator calls
- ▶ Monthly reports due for activities
- ▶ Yearly in person training

More Challenges

- ▶ SMP coordinators at AAAs and senior centers busy with multiple projects
- ▶ Staff turnover
- ▶ Volunteer turnover
- ▶ Recruiting volunteers
- ▶ Timely reporting



Have Plan B in mind (and C and D)

IN SMP uses extra funds:

- ▶ Compensate VHOs who provided extra events
- ▶ Digital advertising campaign
- ▶ Promotional Items
- ▶ Printing of educational material



Michigan's PartnerSHIP

Collaborating with the State Unit on Aging and
the Michigan Medicare Medicaid Assistance
Program (MMAP)

24



The details

- ▶ Aging and Adult Services Agency (AASA) applies for and receives the grants (SHIP & MIPPA)
- ▶ AASA and MMAP write the proposals together
- ▶ AASA contracts with MMAP to provide the services
- ▶ AASA and MMAP write the reports together



The challenges

- ▶ It's the state!
- ▶ Problems with getting contracts signed in a timely fashion
- ▶ AASA's role as advocate
 - ▶ Getting the money to serve the beneficiaries
 - ▶ Advocating networks for SHIP funding



The good stuff

- ▶ Communication
- ▶ MMAP Culture
- ▶ Celebrations!



The commitment

- ▶ To the partners
- ▶ To reduce administrative costs on both sides
- ▶ To the beneficiaries



MMAP Inc. 501(c)(3) - Nonprofit

- ▶ **Sub grantee for the state of Michigan**

- ▶ SHIP
- ▶ MIPPA – AAA & SHIP

- ▶ **Other Grants**

- ▶ SMP – Administration for Community Living (ACL)
- ▶ Financial Alignment Demonstration – Michigan Department of Health and Human Services (MDHHS)
- ▶ Medigap Subsidy – Michigan Health Endowment Foundation (MHEF)



Priority Number One: Communication & Collaborations

- ▶ As noted before, MMAP works very closely with the state contract manager for SHIP and MIPPA
- ▶ The state contract manager works very closely (runs interference) with all state departments that impact timely funding for MMAP
- ▶ MMAP works very closely with our contractors: AAAs, senior centers, subsidized housing service coordinators, health centers and others funded by our programs or providing service as in-kind organizations

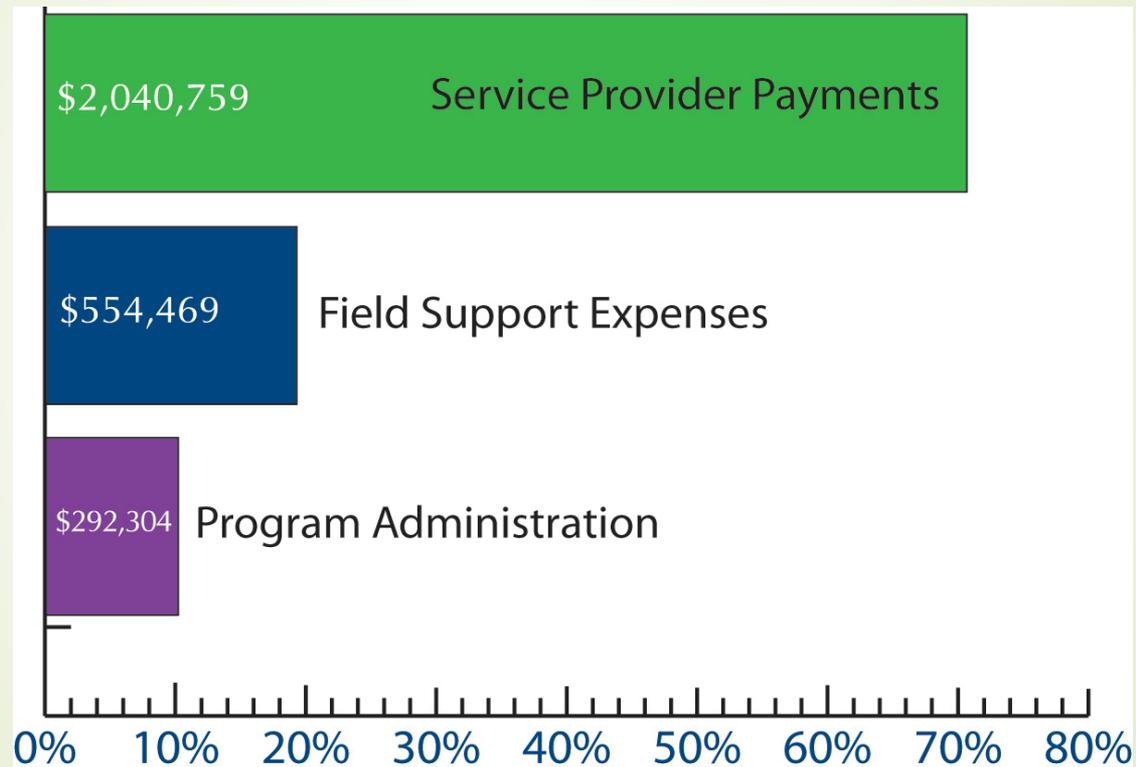


Contractors – 16 Area Agencies on Agencies (AAAs)– Cover 83 Counties

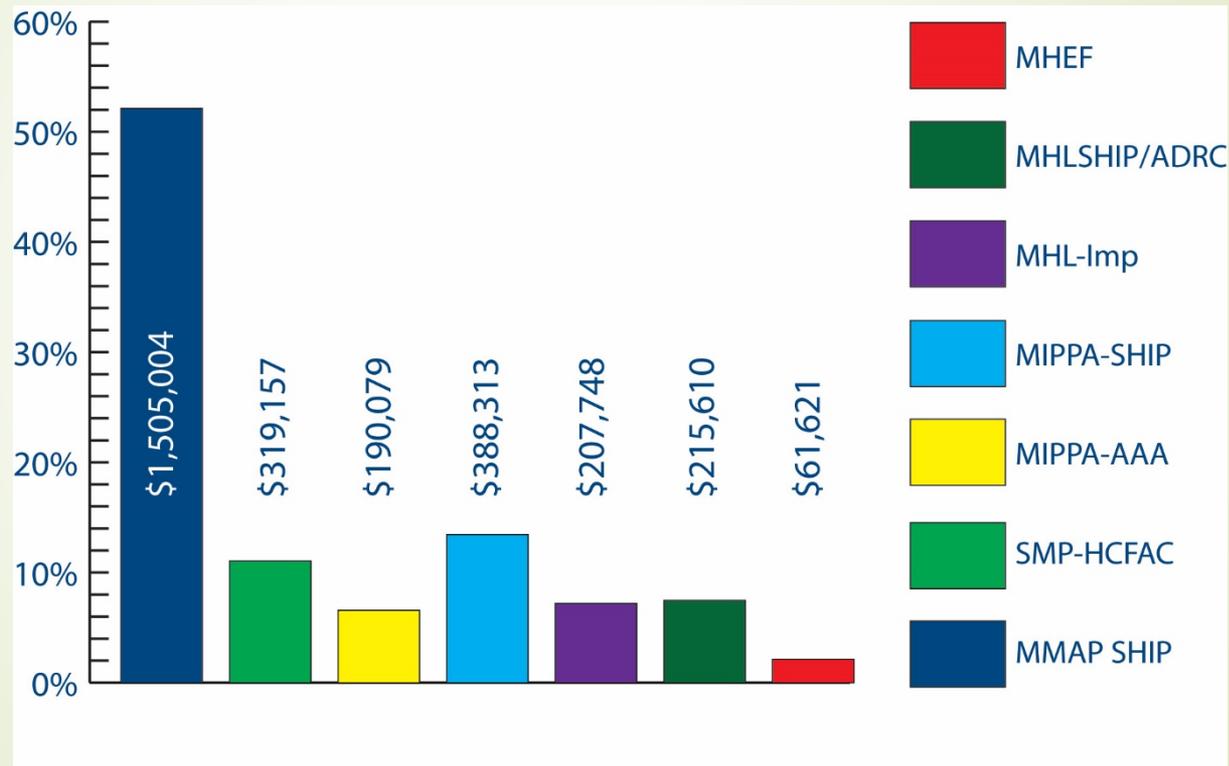
- ▶ Not mandatory to contract with AAAs – began as an AARP Volunteer Program prior to the existence of SHIPs
- ▶ Use the intrastate funding formula developed for Older American Act programs
- ▶ Annual Contract Workshop for SHIP grant
- ▶ Goals are set with the state and with feedback from Regional Coordinators
- ▶ Service Providers Manual is very important in addition to the Contracts



MMAP Expenditures



MMAP Grants (Income)



Field Support Expenses

- ▶ Generally speaking the AAAs receive 55% or more of all grant funding in their annual contracts
- ▶ MMAP keeps approximately 10% of the grant funding for administration
- ▶ The remaining 35% is spent on Field Support Expenses which is non-cash benefits for the contractors



Field Support Expenses

- ▶ Training
 - ▶ Initial Training for All Team Members
 - ▶ Monthly Webinars for All Team Members (Live and Recorded)
 - ▶ Medicaid Specialist Training
 - ▶ Online Self-study Modules for All Team members
 - ▶ Two statewide Trainings for Coordinators Each Year
 - ▶ Annual Recognition and Training for All Team Members
 - ▶ Annual Volunteer Management/ Leadership Training for Regional Coordinators
 - ▶ Annual Certification/Recertification Training



Field Support Expenses

- ▶ Related Training Event Costs
 - ▶ Mileage
 - ▶ Hotels
 - ▶ Food
 - ▶ Room Rentals
 - ▶ Parking



Field Support Expenses

- ▶ A Geo-routed 800 Line
- ▶ National Criminal History Background Checks for All Team members
- ▶ SHIPTools Resource Library, Training and Volunteer Management System
- ▶ Social Media – Statewide Outreach
- ▶ Brochures, Booklets, other Health Fair Materials and give aways
- ▶ Monthly Performance Reports and Other Miscellaneous Program/Team Member Management Reports
- ▶ Casework Assistance



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