

# 2018 SMP/SHIP

NATIONAL CONFERENCE

August 20–23 • Chicago, IL

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

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Brown



**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

INQUIRY: Document Summary Extended      DATE: [REDACTED] TIME: 12:00:43 PM

\*\*\* 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  
 HHS-REG: 04 STATE: KY PMT: ACH STOP: N MAN-REV: N 272: File GROUP: F22A USER: VNK5LHJ  
 AGY\* \*\*\*\*\*GRANT\*\*\*\*\* \*\*\*\*\*AUTHORIZED\*\*\*\*\* \*\*\*\*\*DISBURSED\*\*\*\*\* \*\*\*\*\*CHG-ADV\*\*\*\*\*

CT	****EIN*****	*****FUTURE AUTH***	***SNAPSHOT DISB**	***SNAPSHOT CHR***
2	90DNEM000402	285,234.00	168,851.80	177,674.87
2	[REDACTED]	.00	73,481.45	127,457.91
		*****AUTHORIZED*****	*****DISBURSED*****	*****CHG-ADV*****
		*****FUTURE AUTH***	***SNAPSHOT DISB**	***SNAPSHOT CHR***
TOTAL:		285,234.00	168,851.80	177,674.87
		.00	73,481.45	127,457.91
OPEN & CLOSED:		545,871,578.01	408,443,720.77	413,017,649.57
OPEN:		455,999,964.18	318,572,106.94	323,146,035.74
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!!

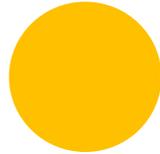
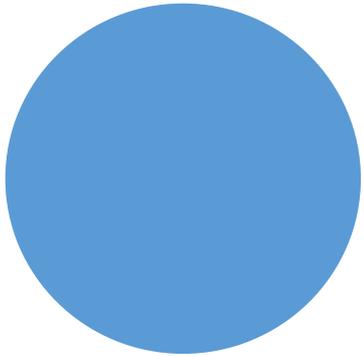




# Money Changes Everything!

SHIP/SMP Annual Director Conference

Anne Chansler, FCCM, Statewide Program  
Manager (SHIP/MIPPA/SMP)



# Florida's Landscape

At a Glance

# Florida State Profile (as of March 2018)

- Number of counties – 67
- Number of volunteers – 500
- Number of Medicare beneficiaries – 4,161,936
- Number of Medicare beneficiaries residing in rural designated counties – 2,376,866
- Number of low-income beneficiaries – 1,180,500
- Number of limited English speaking beneficiaries – 1,046,728
- Number of disabled beneficiaries – 543,638
- 100% federally funded programs
- 11 ADRCs statewide

# Moving to the pay-for- performance methodology with SHIP

- 2011 – Overall program performance decline
- 2012 – Invitation to Negotiate
- 2013 – P4P SHIP contracts began
- 2017 – Complete program restructuring



What went well?

- Immediate increase in service
- More reporting statewide
- Performance increased



# Challenges?

- Volunteer dissatisfaction
- You only get what you paid for
- Too much room for interpretation
- How good is the data really?
- Complexity in creating benchmarks and rates
- Funding ceiling
- Inability to adjust rates over time

# Moving to the pay-for- performance methodology with MIPPA

- 2009 – MIPPA grant
- 2010 – MIPPA continued
- 2011 – MIPPA reverted
- 2014 – MIPPA grant received P4P methodology implemented
- 2018 – Future plans for contracts



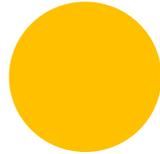
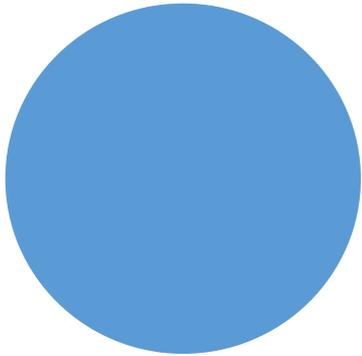
## What went well?

- Application assistance increased statewide
- Payment tier incentivizes performance
- Forces focus on hard-to-reach areas (in theory)
- Full expenditure of grant dollars



# Challenges?

- While you have more data, is it good data?
- Client traffic changes
- County specific goals – meeting them
- You met a goal, now what?
- Setting goals to match the funding
- Leaving money on the table
- Changes to what is reportable
- Reporting vs. invoicing deadlines



# The Perfect Storm

Lessons Learned

## Biggest Lessons Learned

- Six-year plan, four-year reality
- Funding ceiling
- Overall program cuts up to 40%
- Complete contract restructuring
- Numbers tanked
- Small states may be better for P4P structures

Experiment, be  
willing to fail,  
and learn from  
that failure!



- Getting to start fresh
- Keeping it simple
- Fixed-rate contracts
- Engaging your partners in the process
- Accountability
- Full grant expenditure
- 2018 – future plans for contracts



Thank You!

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  - [www.floridashine.org](http://www.floridashine.org)

# *Grants Just Wanna Have Funds, But Monitoring is A Must*

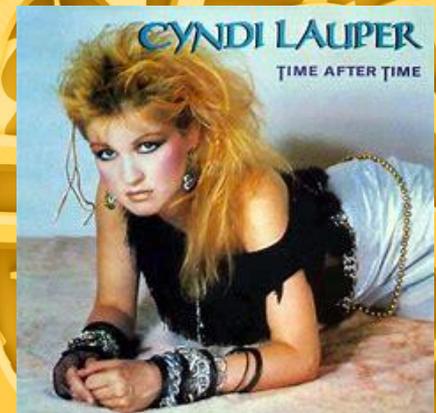
## TIME AFTER TIME

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Wanda Brown, SHIP/ MIPPA Director  
Nevada Aging and Disability  
Services Division

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SHIP/SMP National Conference-Chicago, IL



# PORTRAIT OF NEVADA SHIP

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- 17 Counties; 110,567 square miles
- 27 Nevada Indian Tribes; 32 reservations and colonies
- 452,000 Medicare Beneficiaries and increasing every day
- State Unit on Aging, No AAA's in Nevada
  - ❖ Planning, Advocacy and Community (PAC) Services Unit includes: SHIP, SMP, MIPPA, Long Term Ombudsman, Grants Management
  - ❖ SHIP has 2.5 FTE state staff, 1 sub-grantee for Northern Nevada



## New to Your Position? It Takes Time

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- What happens when you take over Directorship?
- Who should be main contacts to help with your budget?
- What should you do to track your budgets?
- Things to consider if you sub-grant money out to partners



# WHAT HAPPENS WHEN YOU TAKE OVER DIRECTORSHIP?

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- Read the grant submitted to ACL, review the budget and work plan
- Read your Notice of Grant Award along with Terms & Conditions
- Review due dates for federal reports and newer applications
- Review the Program Measures
- Find who tracks expenditures through the Payment Management System (PMS)
- Review the budget tracking document to check the balance and expenditures
- Track your own expenditures

## Step 1- The Grant

- Read the SHIP Grant, Budget and Work Plan
- Read NGA & Terms and Conditions
- Review due dates for federal reports and new grant application
- Review Program Measures

## Step 2- The Budget

- Connect with Fiscal or Accounting
- Review balances in budget categories and expenditures to date
- Track your own expenditures

## Step 3- Don't PANIC

- Breathe Deeply
- Tell yourself you can do this!

# Who Should Be Your Main Contacts to Track Your Budget?

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## You've Inherited a Carryover Balance of \$88,000

- Contact your fiscal or accounting unit for a summary of balances
- Check your grant, budget and work plan to review what the State Plan was and approved to complete.
- Determine if tasks were done, what needs to be done with the excess money. Ask existing staff.
- ACL Grant Specialist can provide instruction on how to request a carryover or you have instructions in the amendment portion of Grant Solutions.

# Items to Consider for Budget Tracking

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## **Track the items you can control;**

- Background checks
- Contract staff invoicing,
- Volunteer mileage/travel reimbursements,
- Your own travel costs (in state and out of state)
- Media campaign expenses
- Outreach participation expenses
- Supplies
- Liability insurance
- Translation services

## **Don't worry about the items you cannot control;**

- Rent
- Email costs
- Telephone related costs
- Mailroom expenses
- State personnel costs

# Sub-Granting Money to Partners

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## **Why would you do this?**

- Limited state staff for statewide goals
- Need help with volunteer coordination, recruiting and training

## **Your agency should have a system in place for this effort**

- Request for proposal
- Review
- Award
- Monitoring requests for funds
- Should have rules/specifications on how the service should be performed
- Provide guidance and technical assistance
- As a SHIP Director, share information with grant management staff

## **Work closely with your sub-grantees**

- They are working under your direction to meet your goals
- Meet regularly
- Share national SHIP training and news ongoing

# Time After Time

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It gets better!

You may need to be patient,  
persistent and stay focused

Thank you for your time!

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