GOVERNOR'S OFFICE OF FEDERAL ASSISTANCE

NEVADA'S FEDERAL GRANT RESOURCE

Success as a Subrecipient

About Us

The Governor's Office of Federal Assistance (OFA) was created with the passage of Assembly Bill 445 of the 81st Legislative Session in 2021. OFA officially opened its doors on July 1, 2022.

Vision

The Governor's Office of Federal Assistance supports our stakeholders in obtaining, increasing, and maximizing federal assistance.

Mission

The Governor's Office of Federal Assistance reduces barriers by providing inclusive, collaborative, comprehensive, and centralized support in obtaining federal dollars for Nevada.

General Housekeeping

- **Welcome**
- Training will be recorded and will be stopped during Q&A
- Today's training video and the resources shared will be posted to our website
- If you have a question, drop it in the chat
- Close Captioning is available, please click the CC button at the bottom of your screen

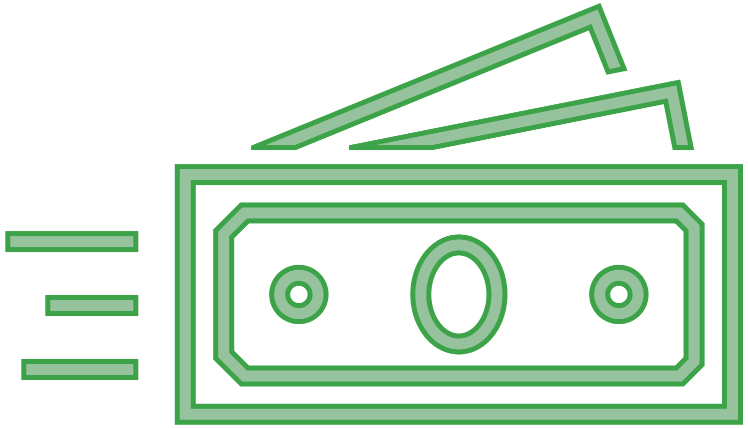
Meet Your Trainers

Mayita Sanchez, MPA
Executive Grant Analyst

Shana Rhinehart
Executive Grant Analyst

Maximizing Effective Federal Funding

- Federal Fund Allocation & Maximizing Impact
- Ensure efficient and effective management of federal funding
- Deliver essential services to individuals within our communities
- Strengthen connections to eliminate in-state competition



Learning Objectives & Goals

- How to be “grant ready”
- Positioning your organization as a low-risk subrecipient
- Monitoring expectations
- Reporting
- Audit prevention
- Sustainability

Grant Readiness

Grant Readiness is being prepared to take immediate advantage of a grant that fits your organizational objectives.

This means having the following done ahead of time:

- Active UEI & State Vendor Numbers
- A list of projects with scope of work, need statement, and budget outlined and ready to be flushed out to meet grant requirements
- Common Grant Application completed
- Buy-In from your manager, board, employees, fiscal and programmatic personnel

How to Become "Grant Ready"

For every grant, you will need:

- UEI number
- State Vendor Number (if applying for a state grant or pass through funds)
- Common Grant Application
- To Identifying your scope of work
- Outline a budget
- Resumes of the principal participants
- Financial Management, Internal Control and Risk Management policies and procedures as described in 2 CFR Subpart D.

Unique Entity Identifier (UEI)

Unique Entity Identifier is 12-character alphanumeric ID number provided by SAM.gov. UEI's are used to identify organizations as eligible for federal grants, awards and contracts.

Anyone can look up your UEI to find out:

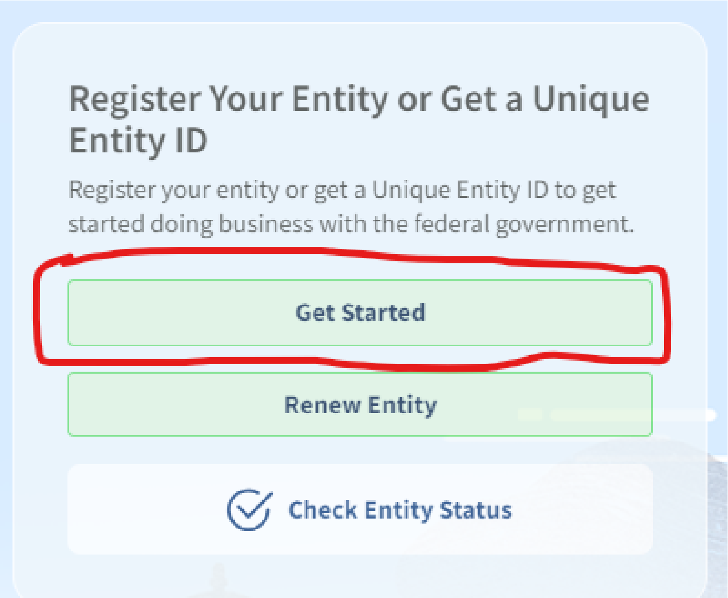
- If your organization is active, suspended or debarred
- Your contact information
- Any entity exclusions or active proceedings

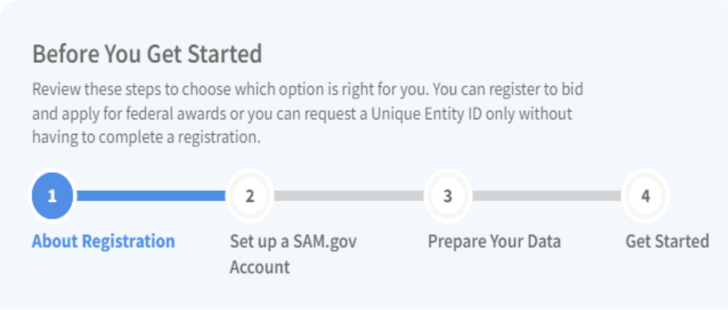
Getting Your UEI Number

On https://sam.gov an click on “Get Started” in the box on the right-hand side.

There are two steps to get started

- Getting Your UEI
- Registering
- If you fully register, you are able to apply for grants as the prime. If you only get a UEI, you are limited to being a subrecipient only.





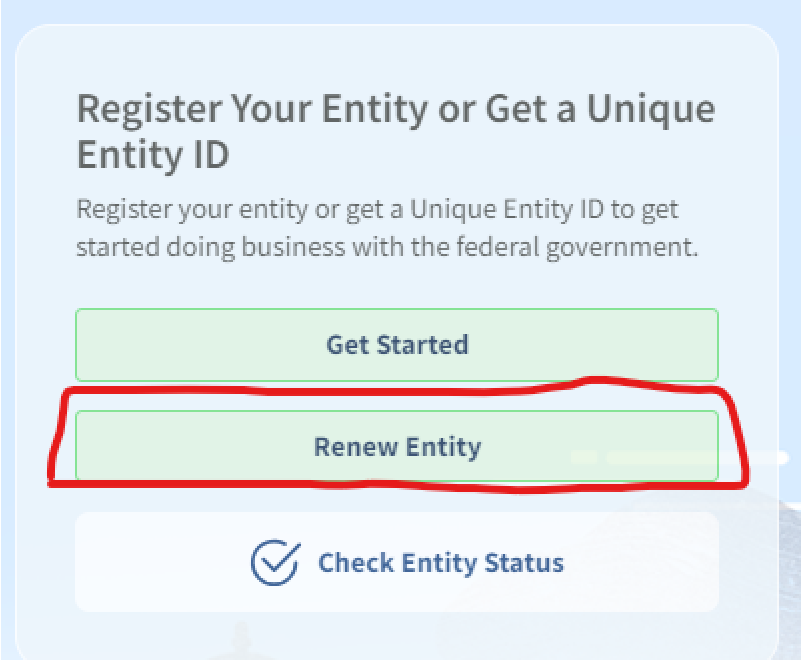
Resources

- Getting Started with Registration & the UEI
- Entity Registration – FAQ’s by SAM.gov
- Prepare for Entity Registration – Entity Checklist

The Federal Service Desk’s agents are highly responsive and can assist you.

Renewing Your UEI

Your UEI is only active for one year. You are required to renew it annually. Go to https://sam.gov, and click Renew Entity.



Renew Timelines

Since it can take up to 30 to 45 days to renew your UEI, we recommend you begin 90 days before your UEI expires.

Updating Tips

Keeping your UEI updated is critical to maintaining your ability to apply for grants as a prime or subrecipient. Update your UEI account when

- You have a new entity administrator
- Your Point of Contact changes
- Your financial information changes

For more information: How to renew or update your entity profile.

State Vendor Number

You need a State Vendor Registration Number to get your funds to apply as a subrecipient to a state agency.

Go to the Electronic Vendor Registration page on the Controller's Office website.

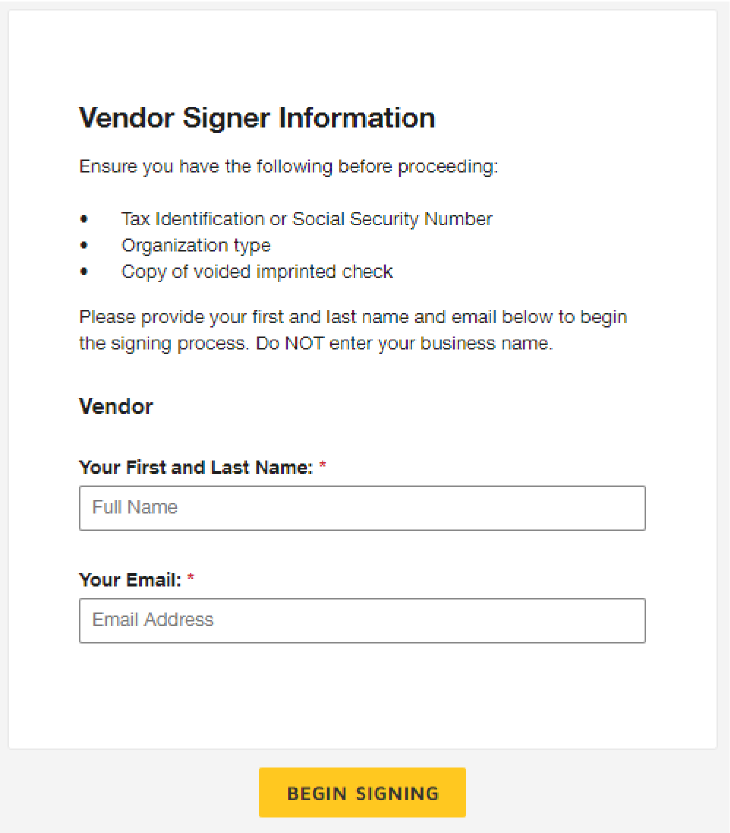
You will need to provide the following:

- Legal Business Name or Individual Name
- Mailing & Email addresses
- Phone number
- Organization Type & Tax ID Number

How long does it take?

Upon submission you will receive a confirmation email from DocuSign. Keep it for your records.

- If your form does not follow the requirements, an email notification will be sent to you.
- Please allow 10 business days for a vendor number to be assigned.
- If you have questions call (702) 486-3895 or email at vendordesk@sco.nv.gov.



Vendor Signer Information

Ensure you have the following before proceeding:

- Tax Identification or Social Security Number
- Organization type
- Copy of voided imprinted check

Please provide your first and last name and email below to begin the signing process. Do NOT enter your business name.

Vendor

Your First and Last Name: *

Full Name

Your Email: *

Email Address

BEGIN SIGNING

Brainstorm Issues to Solve

Define the purpose of the brainstorming exercise

How to do an 18-minute brainstorming exercise

- Set the timer for 11 minutes
    - Paper & Pen
    - Write down every issue your organization wants solve.
    - Write each issue on an index card
- Set timer for 7 minutes
    - Prioritize the issues in order of impact on the community
    - Staple the cards together so the most pressing issue is on top.
- Now you have your grant application topics in order of priority.

Hint: Professional author's use this technique to outline books, plotlines, chapters, and even book series.

Identifying The Issue – "The What"

Define what the issue is in two paragraphs.

- Paragraph #1: Describe the issue you want funding to solve
- Paragraph #2: Describe the effects of the issue on the community you serve

These paragraphs are a rough summary you can use later when you find a grant to fund the solution.

Defining the Need – “The Why”

Often issues are symptoms of a greater unmeet social need.

In one to two paragraphs, write the causes of the issue.

For example, you need the community garden because you live in a food desert. Describe the:

- Distance to a grocery store
- Delivery fees
- Impact on the demographics you serve

This becomes the basis for your needs statement.

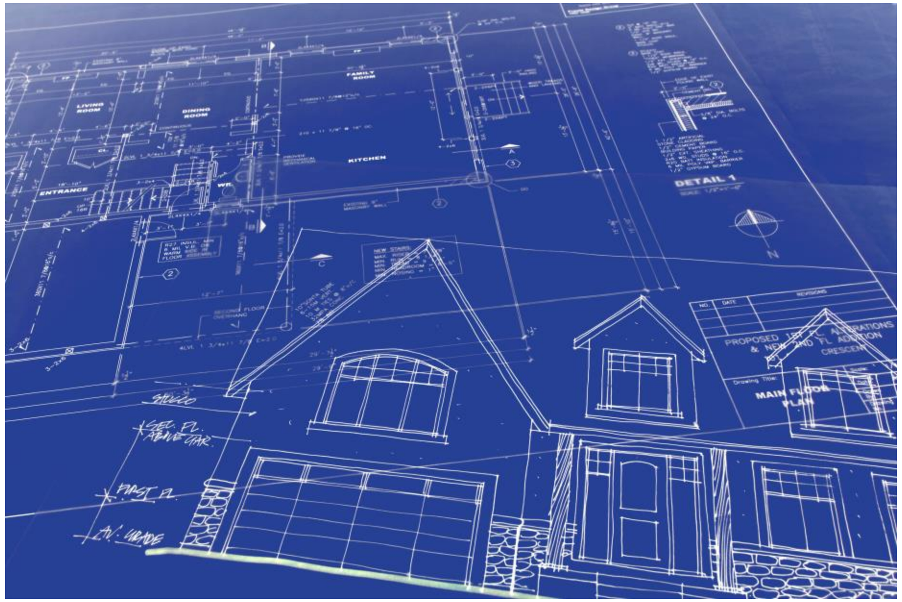
Sketch the Solution – "The How"

In a paragraph or two, define the goals of your solution, Use SMART goals (specific, measurable, achievable, relevant, time-bound) to explain:

- What you want to do
- How you want to do it
- How you are going to measure its impact

The result is the basis for your scope of work.

For more details, watch the training called Grant Writing: Developing the Scope of Work & Budget – The Backbone of Your Grant Application in our training video library.



Outlining a Preliminary Budget

Draft two budgets.

1. Cadillac Budget - where you have all the money to solve the issue
2. Junker Car budget – the minimum you need to make an impact

Your final budget will be somewhere in the middle.

These budgets become the basis for your budget and budget narrative.

Rinse & Repeat

For every problem you outlined in the initial brainstorming session, go through the exercise of:

- Defining the issue
- Defining the need
- Sketching the solution
- Outlining a preliminary Budget

When you have all the issues outlined, you know what to fund. This clarity helps you determine which grants fit your goals.

Common Grant Application

Before you start your hunt for a grant to fund your solution, there is one more piece you need prepare – Your Common Grant Application.

Here are the basics of any grant application:

- About Us
- Mission Statement
- Vision Statement
- The Principals & Their roles
- Resumes for the Principals
- Past experience - Testimonials
- Effectiveness examples

Getting Buy-In Ahead of Time

Before you apply, get the buy-in of all those who would be involved in the grant including:

- Boards & Administrators
- Fiscal staff
- Programmatic staff
- Potential partners

Successful grants have the fiscal and programmatic staff involved and are on the same page.

Advantages of Advanced Buy-In

- Higher ups are not surprised
- Internal approval time lessened
- People know it is coming to better manage their time

Advantages of Being Prepared

Now that you have the pieces of each solution you want to provide, you can put together your grant application.

Being prepared allows you to:

- Move faster on grants with short application windows. Some windows are only 4 weeks long.
- Take more time to review your grant application for completeness
- Confidently apply since most of the work has already been done

Grant Fit Check

Before you commit to any grant, do a grant fit check to make sure the grant will work for you.

Ask yourself:

- ❑ Does it fit current priorities, needs, mission, vision, goals?
- ❑ Existing relationships you can capitalize on?
- ❑ Previous relationship or connection with the funder?
- ❑ Is the grant application deadline feasible for your organization?
- ❑ Are the grant related activities manageable?
- ❑ Is the project ready to go?

[Click here to download the Grant Fit Check.]

Poll Question #1

Where would you rate your grant readiness?

A. Not at all
B. Have an active UEI but that is it.
C. I'm about mid way there.
D. Only need to get Buy-In
E. I'm ready. Bring it on!

What is Risk & Risk Management?

Risk

An event that has a potentially negative impact and the possibility that such an event will occur and adversely affect an entity's assets, activities, and operations.

Risk Management

The continuous process of assessing risks, reducing the potential that an adverse event will occur, and putting steps in place to deal with any event that does occur.

Your Risk Level Determines Your Monitoring Experience

Think of your risk level like a credit score. It tells the funder the likelihood of you completing your commitments on time, with the proper paperwork, and how well you communicate with the funder.

The lower the risk, the more desirable your organization is, and less monitoring is required.

Position Your Organization as Low Risk

Low-Risk subrecipients have

- Internal Controls – written and updated every two years
- Policies and procedures – written & enforced
- Conflict of Interest policy
- Whistle Blower policy
- Solved any previous audit findings
- Procurement Procedures – Written and enforced
- Bi-annually do a fiscal risk assessment
- A culture of fiscal responsibility and frugality with grant funds

Failing to Plan is Planning to Fail

The single most effective strategy of grant management is creating an achievable grant execution plan and sticking to it.

Successful grant execution plans have SMART Goals where:

- Roles are specific and clearly spelled out
- Duties and tasks have due dates – leave time for team lead review
- Timelines are clearly spelled out with clear consequences for failure
- Results are achievable and measurable
- If a team member is not carrying their weight, don't be afraid to switch him or her out for someone who will.

Plan for "What If"

Change is the only constant. In crafting your risk mitigation strategies, you need to account for change.

- Employee Turnover / Resistance
- Resistance or Obstacles to Program Goals
- Programmatic Changes & Pivots
- Unanticipated Delays (like supply chain issues)
- Budget Issues
- Internal Control Failures

For more information, watch the webinar on Risk Management & Mitigation in our training video library.

Internal Controls Areas & Best Practices

The major components of internal controls include:

- Control Environment
- Risk Assessment
- Control Activities
- Information & Communication
- Monitoring

Best Practice:

Include internal control training in your new employee onboarding procedure and refresh this training annually.

Trust is NOT an Internal Control. Rather, trust but verify!

Internal Control Failures

Internal Control failures are when internal controls are not followed leaving your organization at risk for:

- Increased monitoring
- Desk audits & site visits
- Corrective Action Plans
- Recension of funds
- Suspension
- Disbarment
- Prosecution

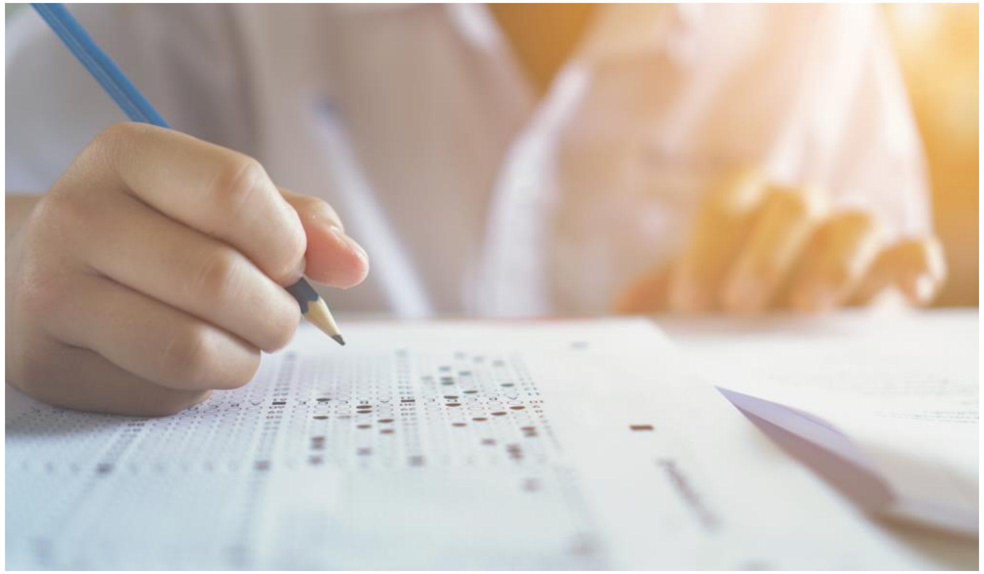
Worst Case Scenario:

Serious, unremedied failures are reported to the Inspector General's Office for investigation, prosecution, and if convicted, federal prison time.

Poll Question #2

What do you think your risk assessment score is?

A. Low risk – We got this nailed!
B. Medium risk – Working out the kinks but improving.
C. High risk – We have work to do
D. I don't know



Monitoring

What is monitoring?

- The systematic and continuous assessment of a project's performance, compliance and effectiveness in achieving its objectives
- The Purpose is to ensure that a subrecipient is using funds appropriately and meeting project goals while also complying with federal regulations and the grant terms and conditions

Types of Monitoring

- Desk Reviews: an examination of reports and documents submitted by the subrecipient
- On-Site Visits: direct inspection of project activities, facilities, and records
- Audits: formal examination of financial records for compliance

Why Monitor?

Accountability

Demonstrates our ability and commitment to using grant funds responsibly and in achieving project objectives

Transparency

Builds trust with the prime recipient and federal agencies by demonstrating that we operate openly and honestly

Continuous Improvement

Provides opportunity to identify areas for improvement and enhance program effectiveness

Risk Management

Helps identify and mitigate potential risks that could impact our projects success and risks of non-compliance

Expectations As a Subrecipient

During Monitoring

- **Be Responsive**
  - Answer Questions and provide requested documentation promptly
- **Be Transparent**
  - Share honest and accurate information about project progress and challenges
- **Be Collaborative**
  - Work with the monitoring team and staff to address any issues or concerns

How to Prepare

Organize Documentation

- Keep all grant-related documents well-organized and easily accessible, such as your contracts, financial reports, and progress reports
- Ensure all your documentation is up-to-date and accurate

Review Compliance Requirements

- Become familiar with federal regulations, grant terms, and conditions (read your Notice of Award or Subaward Agreement)
- Ensure that your organizations policies and procedures align with state and federal requirements

Conduct Internal Audits

- Perform regular internal reviews and identify and address any potential issues or concerns before you are externally monitored

Train Staff

- Ensure that everyone in your organization and on your team understand their roles and responsibilities as it relates to grant management and compliance

Areas of Focus During Monitoring

- **Financial Management Systems**
  - To ensure proper tracking and accounting of grant funds and an assessment of IC to prevent fraud, waste, and abuse
- **Procurement Processes**
  - Review of policies and procedures to ensure fair and open competition and verification of transactions for compliance
- **Staff Qualification and Experience**
  - Assessment of qualification and ability/capacity to effectively manage and implement the grant-funded project
- **Project Management**
  - Review to ensure timeline and efficient execution of project activities and an evaluation of organizational capacity to meet project goals and objectives
- **Performance Metrics**
  - Review of performance and assessment of methods used to measure and report
- **Impact Evaluation**
  - Review of overall impact of the project on the target population or issue
- **Regulatory Compliance**
  - Verification to adherence to federal regulations and to specific grant terms and conditions
- **Reporting Requirements**
  - Review of accuracy and timeliness of reporting and review of documentation to support reported information

Responding to Findings and Recommendations

After Monitoring

- **Review Feedback**
  - Review any finding or recommendations provided by the monitoring team and ask any clarification questions if needed
  - Acknowledge receipt of the report and its contents formally
  - Maintain open communication with the prime recipient or monitoring team
- **Implement Improvements**
  - Analyze the finding to identify underlying causes of the issues and engage relevant staff as needed
  - Develop and implement an action plan to address any identified issues or concerns
- **Report Progress**
  - Inform the prime recipient about steps taken to address findings and to improve compliance
  - Submit a formal response

Best Practices for Maintaining Compliance

- **Understand Grant Requirements**
  - Keep up-to-date with federal and state regulations and guidelines related to your grant
  - Subscribe to relevant newsletters and updates from grant-making agencies
  - Make sure your team is familiar with key requirements and compliance obligations
- **Maintain Accurate and Complete Records**
  - Keep detailed and accurate financial records, including your receipts, invoices, and bank statements and regularly reconcile to ensure accuracy
  - Document all activities, outputs, and outcomes related to your grant project – this can include records of meetings, decisions, and communications
- **Regular Reporting and Communication**
  - Timely: submit all required and programmatic reports on time
  - Ensure reports are accurate, complete and align with grant requirements
  - Maintain regular communication with your prime-recipient or grantor and inform them promptly of any issues, challenges or significant changes
- **Foster a Culture of Compliance**
  - Leadership Commitment
  - Encourage Reporting
    - Create an environment to report compliance concerns or potential issues and establish clear procedures for addressing and resolving concerns

Reporting & Best Practices

- **What should be reported to your pass-through entity**
  - Financial Reports
  - Programmatic Reports
- **Documentation and Reporting Requirements**
  - Ensure they are accurate, complete, and submitted on time and submit all requested back-up documentation
  - Follow the reporting schedule in the grant agreement (must be at least annually(
- **Communication and Coordination with Prime Recipient**
  - Provide Regular Updates and Collaborate to ensure alignment with project goals and compliance requirements
- **Performance Measurement and Evaluation**
  - Establish Clear Metrics
  - Use Data Effectively
- **Retention**
  - Maintain all grant-related records for the required retention period
  - Ensure records are easily accessible for review and audit purposes
  - Protect sensitive information and maintain data security

Data Collection and Management Best Practices

- Understand the purpose of data collection
- Align data collection with program goals and reporting requirements
- Standardize Data Collection Methods
- Ensure and Maintain Data Quality
    - Train Staff on accurate data entry and collection methods
    - Keep records of methodologies and data sources
    - Define roles and responsibilities for data management
    - Develop policies and procedures for data handling and security
- Ensure Compliance with Regulations

Common Reporting Challenges and Solutions

- **Inaccurate or Incomplete Data**
  - Use standardized forms and address any discrepancies or missing information
- **Delayed Report Submissions**
  - Establish clear timelines
- **Lack of Understanding of Reporting Requirements**
  - Provide training and offer ongoing support
- **Insufficient Documentation**
  - Maintain detailed records & develop a process to document and collect information and records
- **Resource Constraints**
  - Leverage Technology when you can
  - Explore opportunities for additional funding or support to bolster reporting requirements

Poll Question #3

Which of the following best describes key responsibilities of a subrecipient during the monitoring process of a subaward?

A. Preparing financial reports and submitting them to the prime recipient

B. Ensuring the accuracy of programmatic performance data

C. Managing documentation for audit purposes

D. All of the Above

Audit Findings

Did you know a common audit finding involves Internal Controls?

No one wants an audit finding. When you get one, take time to review the finding thoroughly.

Below are tips to make remediating an audit finding easier:

- Respond to an audit finding promptly.
- Review your Internal Controls to identify areas of weakness or noncompliance.
- Use the audit finding as an opportunity to improve your processes and seal any gaps to prevent fraud.

Sustainability

- What is Sustainability?
  - The ability for a program or project to maintain its operations, services, and benefits over the long-term or after the initial funding period has ended
- Financial Stability
  - Ensures ongoing funding and resource allocation
- Institutional Support
  - Supports organizational capacity and infrastructure
- Community Engagement
  - Engages stakeholders and beneficiaries in a program or project
- Environmental Responsibility
  - Minimizes negative environmental impacts and promotes eco-friendly practices

Addressing Sustainability

- Create a Sustainability Plan
- Develop a fundraising plan, including how it will be implemented
- **Why …**
  - Demonstrate systems, expertise, and operating infrastructure to deliver on your project or program(s)
  - Demonstrate successful execution of a program similar in scope and size in the past; if not, why can you succeed now?
  - Long-term impact: how funding invested today will help build a program that continues to make a difference in years to come

Examples

- *We have a long-standing commitment to the planning process, as reflected in our current strategic plan, which emphasizes sustainability and identifies the resources needed to continue our work in the future. A copy of our strategic plan is available upon request*
- *We have established relationships with other community partners, service providers, volunteers, funders, and other stakeholders who are committed to working with us to achieve our mutual missions through this project*

Why is Sustainability Crucial?

- Ensures Continued Impact
- Maximizes Investment
- Enhances Credibility and Trust
- Ensures Compliance and Accountability
- Attracts Additional Funding
- Promotes Resilience
- Encourages Innovation

Components of a Sustainability Plan

- **Financial Strategy**
  - Diversify Funding Sources and Cost Management
- **Organizational Capacity**
  - Leadership and Infrastructure
- **Programmatic Sustainability**
  - Adaptability and Integration
- **Community and Stakeholder Engagement**
  - Engagement and Community Support
- **Communication Strategy**
  - Public Relations and Marketing
- **Risk Management**
  - Contingency Planning

Poll Question #4

Which of the following strategies is most effective for ensuring the long-term sustainability of a grant-funded program?

A. Relying solely on grant funding for all program expenses
B. Developing partnerships with other organizations and stakeholders
C. Focusing only on short-term program outcomes
D. Minimizing communication with funders after receiving the grant

Technical Assistance

- Free technical assistance (TA) to all stakeholders
- We answer questions about grants during all phases of the grant lifecycle
- Technical Assistance includes (but is not limited to):
  - Grant Discovery
  - Grant Writing Mentorship & Review
  - Grant Management & Monitoring
- Email us at grants@ofa.nv.gov
- Call us at (775) 684-0156

Educational Resources

- **Video Library & Monthly Webinars**
- **Topic specific webpages [ofa.nv.gov] including**
  - IIJA Hub
  - Grant resources
  - Grant matching program
  - Data Resources
  - FAQs
- **Monthly Consortiums**
  - Network with Likeminded Grant Partners
  - Current Consortiums
    - Work Force Development
    - Rural Development
    - K-12 Education
  - Open to Current USDR Nevada Federal Grant Discovery Tool Users
  - Sign Up at https://ofa.nv.gov/grandiscovery
- **Grant Education**
  - National Grant Management Association
  - Grantsmanship Center
  - Grants.gov

Most Popular OFA Services

- Notice of Funding Opportunity and Database
- Weekly Grant Opportunities – Every Friday
- Grant Training Video Library
- Nevada's Grant Matching Program
- Free Technical Assistance
- Sign up for the OFA Newsletter so you don't miss anything!

Don’t Forget

Single Point of Contact and Intergovernmental Review

- SPoC
- OFA is the Designated Single Point of Contact
- Presidential Executive Order 12372
- Coordinate in-state grant applications
- Foster intergovernmental relationships
- Submit your Federal Assistance Notification Form (FANF)

Upcoming July Training

Next Training in the Post Award Management Series:

Allowability & Cost Principles
July 25th at 10 am

Sign up now.

Time for Questions

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Success as a Subrecipient Training Survey