



New Orleans, Louisiana
Hilton New Orleans Riverside
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NCCEP/GEAR UP CAPACITY-BUILDING WORKSHOP

EXCEL • PROVE • MOBILIZE

SKILL-BUILDING SEMINAR:
*EFFECTIVE GRANT MANAGEMENT B: Key
Strategies and Practices for Excellence from
Experienced Practitioners*

EFFECTIVE GRANT MANAGEMENT B: Key Strategies and Practices for Excellence from Experienced Practitioners



How does a GEAR UP grant implement key strategies and practices?
This presentation highlights the dynamics and best practices involved in leveraging effective programs and partnerships, overseeing grant assessments, and making continuous improvement toward reaching GEAR UP goals

Facilitators:

- **Doris Teague**, Partner, Region One ESC GEAR UP Partnership, Texas

Presenters:

- **Juliette Caire**, GEAR UP Project Director, The University of Texas at El Paso
- **Kevin Hall**, Director of College Access for Partners for Education, Berea College

EFFECTIVE GRANT MANAGEMENT B: Key Strategies and Practices for Excellence from Experienced Practitioners



Leveraging Effective Partnerships With Community Organizations



By: Juliette Caire

Presentation Overview



- Overview of GEARUP's Leveraging of Long-Term Partnerships In the Community
- Testimonials by Private and Civic Partners On the VALUE of the GEARUP Partnership
- Expansion of Community Initiatives Influenced by the GEARUP Connection (Current & Future)
- The Keys to Sustaining Meaningful, Long-Term Partnerships

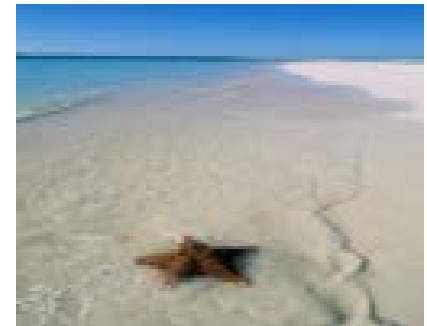
A Common Partnership Philosophy



- ***STARFISH POEM***

One day an old man was walking down the beach just before dawn. In the distance he saw a young man picking up stranded starfish and throwing them back into the sea. As the old man approached the young man, he asked, "Why do you spend so much energy doing what seems to be a waste of time?" The young man explained that the stranded starfish would die if left in the morning sun. The old man exclaimed, "But there must be thousands of starfish. How can your efforts make any difference?" The young man looked down at the starfish in his hand and as he threw it to safety in the sea, he said, "It makes a difference to this one!"

“Every KID Needs A Champion!”



The Partners



- **GEARUP S.O.A.R. Grant (Socorro ISD: UTEP)**

- Juliette Caire – UTEP GEARUP Project Director
- Peter Golding – UTEP College of Engineering



- **El Paso Electric (EPE)**

- Willie Silva – VP Community Relations



- **Community En Accion (CEA)**

- Gilberto Moreno – Co-Chair: Prestige Consulting Services
- Willie Silva – Co-Chair: El Paso Electric



The GEAR UP: Partnership Joint Initiatives



- SISD PARENT CONFERENCE
- SCIENCE & ENGINEERING EXTRAVAGANZAS
- “HI-TECH: HI-HEELS” SUMMER CAMP
- “Are You Smarter Than A 5th Grader” STEM MODULE

Other Key Engagements:

- Participants in National GU Conferences
- Ongoing Mentors/Presenters for GU Events
- Resources: Printing, Give-Aways, etc.



SSID GEAR UP Parent Conference



- EPE & CEA Event Sponsorship
- 22 Workshops – “Are You Smarter Than A 5th Grader”
- Event Planning Support
- Number Of Students/ Parents Impacted – 1450+



Science & Engineering Extravaganzas



- UTEP As Event Venue – Focus on STEM
- CEA/EPE Event Sponsorship
- Workshops – “Are You Smarter Than A 5th Grader”
- Event Planning Support
- Number Of Students Impacted – 475+ Multiple Years



"Hi-Tech Hi-Heels" Summer Pilot



- Pilot Program for Summer 2015
- UTEP GEARUP Initiative
- Program Development & Planning
- 2 Week STEM-Based Curriculum
- Targeted SISD High Schools: El Dorado & Eastlake
- Tailored to 60 Junior High School Females
- Co-Sponsors with Texas Instruments, El Paso Electric, and CEA



"Are You Smarter Than a 5th Grader"



STEM Module



- *Bilingual Versions*
- *Friendly Interactive Team Competition*
- *Parents Talking To Parents / Students Professional Role Models*
- *Demystifying STEM*
- *Getting Ready For College Today*
- *How To Pay For College Starting NOW!*

GEAR UP Partnerships Impact on El Paso Electric



- El Paso Electric Branding as a “STEM Company”
- Highlighting Employee Community Efforts in STEM
- Community Leader in STEM Initiatives
- Increased Venues For EPE Employee Engagement With Students & Families



GEAR UP Influenced Initiatives Driven by Community Partners



- *MOTHER/DAUGHTER – FATHER/SON ISD CONFERENCES*
- *WORKFORCE BORDERPLEX STEM FIESTA BOOKS ARE GEMS*
- *YOUNG ACHIEVERS FORUM -- CEA*
- *NORTH LOOP AFTER SCHOOL PROGRAM*
- *“Are You Smarter Than A 5th Grader” STEM Module EXPANSION*
- *PASOS2 (New!)*

Mother-Daughter/ Father-Son Programs



- CEA Keynote Presentations
- CEA:EPE Workshops – “Are You Smarter Than A 5th Grader”
- Number of Students / Parents Impacted – 350+ Per Event



STEM Fiesta - May 2014



- EPE Event Major Sponsor
- CEA Robotics Presentations Judges
- CEA Workshops – “Are You Smarter Than A 5th Grader”
- Number Of Students Impacted – 5200+



Books are Gems!



- Volunteer – Organizing & Distributing Books
- Information To Surrounding Local Schools Regarding Reading & Literacy
- Number Of Students – Unlimited – Community



CEA Young Achievers Forum



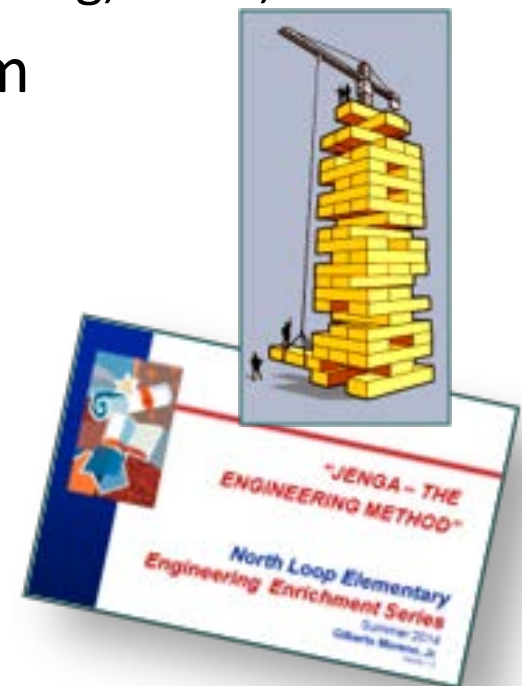
- STEM Strand Planning
- STEM Strand Presentations
- Are You Smarter Than A 5th Grader
- Number of Students – 2150+ Per Year



STEM North Loop Elementary "Engineering Enrichment Series"



- Summer 2014 STEM Three Week Program
 - After School At-Risk Program K-5
 - STEM Interactive Presentations In Engineering, Math, Science
- Parental Introduction to STEM Program
 - Dinner Meeting
 - Parents Talking to Parents
- CEA: EPE Presentations
 - Safety (EPE)
 - Career Day
- Number of Parents / Students - 135



The Future?

Community Mentor Initiative



- CEA 2016 APPROVED & FUNDED STRATEGIC INITIATIVE
- ATTRACTING NEW PARTNERS: EduGuide, Texas Education Foundation, CREEED, etc.
- FOCUS IS ON EXPANDING THE COMMUNITY MENTOR CAPACITY AND FOOTPRINT THRU:
 - A Formal Community Mentor Training Curriculum
 - GRIT Software To Expand Mentor Outreach + Student Connections
 - Academic, College, Career and Life Readiness Portfolio of Resources/Opportunities
 - Transition to College Readiness Checklists
 - Evaluation of the College Transition Process



GEAR UP Partnership Impact on Community en Accion



- Solidified CEA's Commitment To the STEM Movement In the Community
- Facilitated The Integration of Multiple Engineering Companies
- Forged Strong Partnerships Between CEA and Area HS, MS, ES STEM Programs
- Synergistic Planning Made More Efficient Use of CEA Resources



Keys to Growing Partnership Value?



- Think Beyond the Usual “Partner ASK”!
- Make Community Partners Part of the Planning Process for Initiatives
- Identify Specific Partner Roles/ Assets
- Ensure Partners Highlight Foremost Their Roles As Parents and Grandparents
- Provide Venues Facilitating the Sharing of Resources and Talent With Students
- Document, Share and Celebrate The Value Delivered By Partners To Students/ Families
- Continuously Kindle Their Spirit to Serve Kids and Make a Difference



Questions?



- ANY QUESTIONS / COMMENTS???



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- Gilberto Moreno – gmoreno@prestigeconsult.com





Being Audit Ready

By: Kevin Hall

Audit vs Site Visit



AUDITS:

- Conducted by the Office of Inspector General (OIG).
- Auditor may have very little knowledge of the program.
- Intensely look at financial transactions.

SITE VISITS:

- Site visits are usually conducted by US Dept. of Ed.
- Site visits may be done by the Program Officers or Contracted to outside agency.
- Site Visitors usually have knowledge of the program.

Purpose of the Workshop



- Differences between site visit and OIG audit
- Common OIG audit triggers
- The nature of an OIG audit
- How to be OIG audit ready

How Are Sites Selected?



Several factors may trigger a site visit or audit:

- Known serious problems.
- Size of the grants; totaling \$200,000 or more.
- Geographic “packaging”.
- Untimely performance reports.
- Inadequately completed performance reports.
- Irregular fiscal draw down patterns (excessive or too slow).
- Complaints.
- Consideration to newly-funded projects.

OIG Audit



- Often combines financial audit with compliance examinations
- Focuses on control systems and adequacy of procedures
- Seeks to determine compliance with Legislation and Regulations
- Evaluates expenditures and cash transitions procedures
- May follow-up on earlier audit findings (if applicable)



Examiners in an OIG audit:

- Compare information in performance reports with source records, including those demonstrating achievement of objectives. (APR Documentation)
- Trace recorded expenses back to purchase orders, invoices, and canceled checks. (Fiscal Inventory)
- Trace salary payments recorded in the accounting system to time sheets or other payroll records

OIG Audit



- Conduct tests of controls such as:
- Check to ensure equipment purchased with grant funds is located where it should be and the location agrees with the grantee's inventory records.
- Select a sample of participants/files and examine the evidence to support
 1. eligibility
 2. need for services, and
 3. whether services were delivered

Common Audit Findings



- Time & Effort Reporting
- Improper Match Documentation
- Cost Allocation
- Sub Recipients Not Monitored
- Inadequate Accounting Systems
- Lack of Written Policies and Procedures
- Unallowable Cost
- Lack of Equipment Control
- Lack of Internal Controls (Segregation of Duties)



Documentation Needed to be Audit Ready

- Policies and Procedures Manual
- Organizational Chart
- Original Grant Application
- Annual Work plan
- Annual Performance Reports
- External Evaluations
- Job Descriptions

Documents (cont.)



- Time and Effort Reports
- Contracts
- Grant Award Notifications
- Inventory List
- List of all students in the cohort by school and grade level.
- List of all services and recipients of said service.

Policies and Procedures



- Ensure they are in place, accessible to staff and being followed.
- Make sure employees are well versed and notified when revisions are made.
- Staff members will be interviewed by auditors and questioned on policies and procedures.

Annual Performance Report



- Be able to provide all supporting documentation for the APR from the previous three years.

Time and Effort



- Time and effort forms maintained on file for each individual paid from GEAR UP funds
- Hours reported reconcile to actual wages paid

Inventory



- Have inventory list of all equipment purchased with GEAR UP funds.
- Must follow the inventory policy of administering agent.

Match:



- Focused on process used to document all match
- Examiners look whether in-kind match is captured and recorded
- Supporting documentation exist for match reported

Duplication of Services:



- Documentation to support duplication of services are not occurring—grantee has policies/procedures in place
- Documentation to show clean lines of distinction between audiences and services amongst various grants that serve the same students

Financial Records:



- Drawdowns
- Reimbursements
- Reconciliations
- Chart of Accounts
- Yearly Budgets

Characteristics of a Good Internal Control System



- Segregation of duties.
- Effective accounting controls over assets, liabilities, revenues and expenses.
- System of practices to be followed in performing duties and functions.
- Personnel with qualifications commensurate with their responsibilities.
- An effective system of internal review.

Accounting Controls



- Concerned with safe guarding assets and assuring financial records are reliable
 - Files with locks
 - Equipment secured
 - Access limited
 - Database password protected

Keeping Good Records:



- Choose one that works for your environment:
 - Excel
 - Database
 - Digital records

- System should:
 - Be Transparent
 - Allow Flexibility
 - Have trained staff
 - Include tools = timelines & forms

Records



- Recipients are responsible for proper record retention and record keeping.
- Records retention of three years, beyond specified time periods if they relate to an audit, audit resolution or audit appeal.
- Keep records to show compliance with program requirements.
- Your records should be sufficient to establish an audit trail (that shows how money was used and the results /efforts produced).

Reality Check!!!



Don't ever think an audit could not happen to you! Always be prepared!

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Thank You!



Thank you for attending the 'Key Strategies and Practices for Excellence from Experienced Practitioners' workshop session!

- To download materials used during this session, please visit www.edpartnerships.org/materials