Managing Partnerships, Collaborations, and Subgrants

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Disclaimer

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Overview

- Defining partnerships, collaborations, subgrants and contracts
- What do partnerships and collaborations need for success?
- Federal laws and policies that apply to subgrants and contracts
- How Hawaii Youth Services Network creates partnerships and manages subgrants
- So you got the grant . . . Now What?
Subgrant or Contract?

- **Partnership** – A formal arrangement among organizations to provide services or accomplish a goal.
- **Collaboration** – A more informal group of organizations working toward a shared goal.
- **Subgrant** – Provides services that directly lead to accomplishing objectives; usually direct services to clients.
- **Contract** – Provides supportive services needed to carry out the project work plan.
Grant purpose: Provide emergency shelter to runaway and homeless youth

**Subgrant:**
Provides 2 shelter beds and associated services to runaway and homeless youth

**Contract:**
Provides janitorial services at the shelter.
What do partnerships & collaborations need for success?

- Shared vision of success and clearly defined purpose for working together

- Acknowledgement of the collaboration’s assets, opportunities and vulnerabilities
What do partnerships & collaborations need for success?

- Clear understanding of – and desire to meet as much as possible – needs of members

- Takes into account the needs of the community or population to be served

- Sufficient structures in place to get things done
Structures:

- Roles and responsibilities
- What skills are needed
- How decisions are made
- How to assure follow-through and accountability
- Who speaks for the group
- How group will communicate internally
- Whether and how new partners will be added
The Perfect Committee

In October 1991, 3 committees converged in 1 small room, creating...
THE PERFECT COMMITTEE

Meanwhile, at the National Weather Service offices...

Uh oh... 3 committees colliding in one spot. This can only lead to one thing...

...A massive wave of indecision!
What do partnerships & collaborations need for success?

- Clear measures for success – and a process for monitoring and evaluating progress and success

- Sufficient resources ($, time) to get the work done.

- Members can depend upon each other and work together in a spirit of trust and cooperation
When an organization is awarded a subgrant or contract, it must follow a set of rules or standards.

Failure may result in:

- Withholding or disallowance of grant payments;
- Reduction or termination of the grant, and/or
- Denial of future grant awards.
Federal standards/policies that apply to most subgrantees

- Law
- Conflict of interest
- Non-discrimination
- Drug-free workplace
- Lobbying
- Debarment and suspension
- Tax Information
- Debt
Obey Laws

- Must follow all state and local laws
- IRS regulations on reporting income and charitable contributions
Conflicts of Interest

- Any situation in which an official/employee gains personal or financial interest from the grant.

Examples:
- Hiring a family member;
- Contracting with a member of the Board of Directors to print your newsletter
Conflict of Interest

Avoid trouble by:

- Having a written conflict of interest policy;
- Making Board members complete an annual conflict of interest declaration;
- Providing documented justification for sole source contracts.
Non-discrimination

Equal opportunity employment

- Cannot deny employment based on race, gender, religion, sexual orientation, origin, age, disability, Vietnam era status.
Drug–free Workplace

- Agree to follow all federal and state laws related to drugs in the workplace (based on Drug–free Workplace Act of 1989).
  - “Make a good–faith effort to ensure that all Subgrantee employees will not purchase, transfer, use or possess illegal drugs or alcohol or abuse prescription drugs in any way.”
Lobbying

- Cannot use federal funds to influence officer or employee of a government agency, member of congress or other governmental positions.

Examples:
  - Testifying at a legislative hearing;
  - Telling clients to support or oppose a bill;
Debarment and Suspension

- Certification required before subgrant award.

- Subgrantee signs form stating that none of the principal executives are disbarred, suspended, declared ineligible, or excluded from consideration because of a federal decision.

- Check federal Excluded Parties List System
  [https://www.epls.gov/](https://www.epls.gov/)
Tax Information

- Subgrantee must provide an accurate taxpayer identification number
  - EIN for organizations
  - Social Security number for individuals
Debt

- Subgrantee cannot owe any debt to the federal government
How Hawaii Youth Services Network Creates Partnerships and Manages Subgrants
Lead Partner Responsibilities:

- Coordinates application process
- Receives the grant award
- Manages the grant
  - Serves as liaison to federal program and grant staff
  - Monitors compliance with federal rules and regulations
  - Submits program performance and fiscal reports
  - Coordinates development/submission of non-competitive continuation proposals
Lead Partner Responsibilities:

- Provides training and technical assistance
- May manage evaluation
Subgrantee Responsibilities:

- Works with HYSN and other partners to develop vision and plan for project

- Writes portions of grant application that are specific to the roles they will fill in the project

- Provides specific services to meet the goals and objectives (e.g., direct services to clients, training for program staff, evaluation)
Subgrantee Responsibilities:

- Contributes information and data to program performance reports
- Submits invoices for expenses (with documentation of matching funds if required)
- Participates in evaluation and data collection as required by funder and/or HYSN
Selecting subgrantees

- Determine criteria for subgrantee selection
- Invite participation from eligible organizations
- Inform prospective subgrantee of requirements
  - Federal rules and regulations described earlier
  - Specific requirement of grant
  - Our internal requirements
During application process:

¬ Develop a shared vision of and plan for the program/project

¬ Agree upon time line for completing application

¬ Develop grant application outline and writing assignments

¬ Negotiate budget allotments and responsibilities
Lead Partner coordinates application process

- Facilitates design of project vision and plan and helps to bring partners to consensus

- Sends reminders of due dates and status reports

- Ensures that all requirements are met and evaluation criteria addressed

- Responsible for final compilation and proofreading
MOUs

- Included with grant proposal
- Specifies responsibilities of each partner
- States agreement is contingent upon funding award
Subgrant Agreements

- Subgrant agreements include
  - Grant award number and CFDA number
  - Amount of funds subgrantee may receive
  - Monitoring requirements
  - Requires subgrantee to follow all grant terms and federal rules/regulations
  - What will happen if subgrantee is non-compliant
  - Agreement to cooperate with federal evaluation and data collection
  - Allows for termination by either party

Should not be signed until after grant award
So you got the grant . . .

“I got the grant with no problem. Now I just have to figure out exactly what I proposed to do.”
So you got the grant . . . Now what?

- Inform subgrantees of grant award
- Execute the subgrant agreement
- Review the proposal – ensure that all are clear on what they have agreed to do
- Review federal requirements – general rules/regs. and those specific to project
- Train fiscal staff on financial procedures
- Set up for grant reporting
- Maintain ongoing communication
Managing the grant partnership

- Meetings of partners/subgrantees
  - Build and maintain relationships
  - Professional training and development
  - Share what’s going well/innovative ideas
  - Problem-solving of mutual concerns
  - Discuss materials/guidance received from funder
  - Review evaluation data for continuous quality improvement
Managing the grant partnership

- E-mail
  - Facilitates frequent communication among partners
  - Address urgent issues immediately
  - Share documents and media coverage
  - Preferred means of communication among younger participants
Managing the grant partnership

Site visits
- Monitor compliance with grant requirements and terms
- Provide on-site training and technical assistance
- Get to know your partner staff and volunteers on their own turf – Not just your key contacts
- Observe how the program is working in real life – get the “flavor”
Managing the grant partnership

- Training and technical assistance
  - Assess needs of subgrantees
  - Address training needs of all staff within organization – direct service, managers, fiscal
  - Provide training that builds both organizational and program capacity
Managing the grant partnership

- Training and technical assistance
  - Follow-up with technical assistance to increase likelihood that new knowledge & skills will be used
  - Evaluate impact of training on the program and on organizational capacity
When there’s a problem

- **Preventive Actions**
  - Make sure subgrantees know what is required
  - Ensure that requirements are fully documented and subgrantee has agreed in writing to comply
  - Make sure subgrantees have the skills and resources needed for compliance
  - Resolve outside barriers to compliance
When there’s a problem

Resolving problems

- Identify the cause or need (insufficient training, staff turnover, etc.)
- Inform the subgrantee of the delinquency/problem
- Describe the consequences if the problem is not resolved
- Mutually agree on a corrective action plan
- Set deadlines for fixing the problem
- Monitor progress
- May withhold payment until problem is resolved
- When all else fails, terminate the agreement
3 common problems

- Failure to submit required reports or submit reports on time
- Not achieving the objectives of the grant
- Using funds for unallowable purposes
Report templates increase compliance and consistency

<table>
<thead>
<tr>
<th>Outcome Objective</th>
<th>Target</th>
<th>Outcome Mar ‘12 – Aug ‘12</th>
<th>Outcome Sep ’12 – Feb ’13</th>
<th>Outcome Full Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Access medical or mental health services</td>
<td>30 youth</td>
<td>14 youth</td>
<td>16 youth</td>
<td>32 youth</td>
</tr>
<tr>
<td>Obtain full or part-time employment</td>
<td>30 youth</td>
<td>17 youth</td>
<td>13 youth</td>
<td>30 youth</td>
</tr>
</tbody>
</table>
PROBLEMS

(Describe any deviations or departures from the original project plan including actual/anticipated slippage in task completion dates, and special problems encountered or expected.)
Reporting

- Schedules help people submit reports on time

<table>
<thead>
<tr>
<th>Grant</th>
<th>Subgrantee Organizations</th>
<th>Period covered by report</th>
<th>Subrantee Report due to HYSN</th>
<th>Date due to Funder</th>
</tr>
</thead>
</table>
Reporting

- Start of grant year: Provide schedule and report template
- 1 month before report is due: Send reminder and template
- 2 weeks before report is due: 2nd reminder
- Report due date: overdue notice
- Report 1 week late: phone call
- Report 1 month late: discuss with supervisor
Not meeting objectives

- Preventive Action
  - Set realistic objectives when writing grant
Mutually Resolving problem

- Work with subgrantee to determine why objectives are not being met
- Is it within our control to fix the problem?
  - Yes – Identify and test possible solutions
  - No – Work with funder to make changes to program or change target
Not meeting objectives

Example:
Objective: Recruit and enroll 100 clients

- Fewer people enrolling in program than expected
  - Are we using the right media or method or outreach?
  - What barriers prevent people from accessing services
  - Are our messages clearly understood?
  - Are our services culturally appropriate?
  - Do clients want the service we are offering?
Using funds for unallowable purposes

- **Preventive action**
  - Training for program and fiscal staff
  - Invoices from subgrantee should show how funds have been expended
  - Funds released to subgrantee on reimbursement basis – no prepaid expenses

- **Resolving problem**
  - Lead agency reviews invoices to identify unallowable costs prior to payment
  - If already paid, subgrantee must return funds
Questions?
For more information, contact

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Collaboration in Human Services

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Learning Objectives

- Articulate the importance of collaboration between organizations
- Identify challenges to establishing collaborative partnerships
- Acquire the skills needed to build stronger partnerships
Collaboration

- Collaboration is an essential element of any strategy for systemic change in human services education, government, and community agencies.
Necessary Ingredients

- Adaptability
  - Leading through vision & values
- Respect
  - Integrity
  - Commitment to Service
- Working with others to achieve results
- Building & Nurturing Relationships
Overcoming Barriers
The Cost of Overcoming Barriers
The Cost of Failing To Overcome Barriers
Successful Collaboration requires:

- Effort
- Attention

- Equal partners working together to solve a common problem
Developing Collaboration

Key aspects in developing collaboration include:

- Envisioning results
- *Empowering the effort*
- Ensuring success
- *Endowing continuity*
Successful Collaborations Depend On

Changing the System

Quality of Personnel
CHANGING THE S

1. Commitment to Transformation

2. Baseline Measurement

3. Vision and Mission

4. Values and Behaviours

5. Reasons for Change

6. Personal Alignment

7. Structural Alignment

8. Values Alignment

9. Mission Alignment
Quality of personal and professional relationships among the people in the agencies and communities involved.
Regular communication with partners is essential as it relates to three main areas:

- Enabling partnering organizations to understand each other’s priorities
- Pooling resources to accomplish tasks
- Advocating for one another’s programs
Enabling collaboration

For organizations to understand each other’s priorities, they need to:

- Maintain good interpersonal relationships
- Value knowledge, roles, and diversity of others
- Foster sound relationships
Pooling Resources

Inter-organizational collaboration can enhance support for targeted vulnerable youths.

Collaborating groups include:

- NGO’s
- School districts
- Community organizations
Successful outcomes can be achieved by:
  ◦ Employing strategies for effectively using resources and improving coordination between multiple organizations.
  ◦ Focusing on blending and braiding of resources to encourage cooperation between organizations
BLENDING and BRAIDING

- Adds diversity
- Adds strength
- Permits program flexibility
- Allows for unified initiatives
- Integration of resources
- Division of responsibility
By including diverse perspectives, partnerships can:

- develop a more comprehensive vision
- increase accountability
- achieve a wider base of support for their efforts.
Barriers to effective collaboration

- Unfamiliarity
- Lack of sharing of data
- Distrust
- Silo mentality
- Not an agency leadership priority
Strategies that allow resources to be used in more flexible, coordinated and sustainable ways ensure the success of efforts to improve the coordination and impact of multiple youth serving systems.

Resources can be allocated using strategies that focus clearly on outcomes and goals.
Resources

- National Governor’s Association Center for Best Practices. (May 2004) *Early lessons from states to promote youth development*. Washington, D.C.: National Governor’s Association Social, Economic and Workforce Programs.


Suggested Reading


- [www.aspe.hhs.gov/hsp/teenp/teenpreg/teenpreg.htm](http://www.aspe.hhs.gov/hsp/teenp/teenpreg/teenpreg.htm)
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