Developing a Strong Application: From Problem Statement to Performance Measurement

November 17, 2015
9:00am to 12:30pm

Thinking Through the Application: Problem Statements, Logic Models and Describing Your Intervention

November 17, 2015
9:15am to 10:45pm

Writing a Successful Grant Application

Cortney Fisher, JD, PhD

Interim Director, Office of Victim Services and Justice Grants

Writing a Successful Grant Application

- **Write for YOUR agency—**
  - What is your mission? What is your capacity?
    - Grants can be enticing because they represent money for your agency…Don't apply for a grant unless the project is something that your agency is ready and willing to implement
  - What is your agency's reputation?
    - Trust me…you have one…and it makes a difference

Writing a Successful Grant Application

- **Write for the FUNDING agency—**
  - What do THEY want from this solicitation?
    - They have a plan in mind before they issue the RFA. Know what that is before you apply.
    - What is their framework? Are they criminal justice? Health?
  - Read the RFA closely…
    - Are they referencing certain research?
    - Are they requiring a certain format?

Writing a Successful Grant Application

- **Write for the grant reviewers—**
  - Grant reviewers are experts in their field
    - Know the **substance** of the topic
    - If it sounds like you don't know the topic, they will notice that immediately
    - Data. Evaluation. Data. Evaluation.
  - Write clearly and succinctly.
    - Don't use complicated sentence structure
    - Start every sentence with a statement and back up with **data and research**.

Finding Local and National Data For Your Problem Statement

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Justice Research and Statistics Association

November 17, 2015

Defining Data

- **Data are documented information or evidence of any kind.** There are a variety of sources to obtain information about your community to determine the extent of the problem, including:
- Police records
- Conversations with members of the community
- Census information
- State criminal and juvenile statistics agencies

Data for Problem Statements

- Demonstrate Magnitude and Nature of the Problem. Ask:
  - Who?
  - What?
  - Where?
  - When?
  - Why?
- Brainstorm to come up with a list of individuals or agencies you can contact to find out more about the problem.

Target Population

Demonstrate Magnitude and Nature of Problem

- Whom does it affect?
- How serious is it?
- What specifically is the problem?
- How does it connect with other programs in the community?
- What services are already in place to address the problem?
- What are the gaps in services?
- Why is there a problem?

Choosing a Data Source

- Consider data from agency releasing the RFP;
- Think about the source critically:
  - Where was the information published?
  - Any reason to think that the author was biased?
  - Content of report;

  For more on how to read an evaluation report see:

  Understanding Juvenile Justice Evaluation Reports at

  http://www.jrsa.org/njjec/skill-building.htm

Presentation Walk Through

Labor/Employment	• National • Local
Education	• National • Local
Behavioral Health	• National • Local
Adult and Juvenile Justice	• National • Local

Labor and Employment

National

- Bureau of Labor Statistics (BLS)
  http://www.bls.gov/
- **Publications** – select by subject area and classification
  http://www.bls.gov/opub/hom/
- **Databases** – by population or area of interest
  http://www.bls.gov/data/

Local

- Department of Employment Services (DOES)
  - **DC Industry and Occupational Projections 2012-2022:** http://goo.gl/CQlrpX
  - **Labor Statistics:** http://goo.gl/8eLYOv
- DC Fiscal Policy Institute
  - **Trends in DC's Unemployment Rate:** http://goo.gl/kbktCZ
  - **Trends in DC Wages:** http://goo.gl/TEkVky

Education

National

- National Center for Education Statistics (NCES)

  http://nces.ed.gov/
  - School Crime & Safety
  - Achievement Gap
  - Adult life skills
- NCES FastFacts early childhood to post-secondary and beyond http://nces.ed.gov/fastfacts/

Local

- Office of the State Superintendent of Education
  - **High School Graduation Rates**: http://goo.gl/XyoERi
- DC Public Schools
  - **School Data**: http://goo.gl/wxHuym
    - Enrollment, Attendance and Performance
  - **Achievement Gap, Race and Equity**: http://goo.gl/FBEOWS
    - Historical data on achievement gaps across grades, outcomes, races and genders.

Behavioral Health

National

- SAMHSA
  - Data and publications

  http://www.samhsa.gov/data/
- National Institute of Mental Health

  http://www.nimh.nih.gov/index.shtml
- Centers for Disease Control Mental Health

  http://www.cdc.gov/mentalhealth/data-stats.htm

Local

- SAMHSA
  - **Behavioral Health Barometer: District of Columbia, 2014 :** http://goo.gl/6WgGD7
- Office of the State Superintendent of Education
  - **DC Youth Risk Behavior Survey (YRBS):** http://goo.gl/PYyvO9
    - Drug Use, Exposure to Violence, Risky Behaviors
- DC Children's Law Center
  - **Children's Mental Health 2014 Report Card In The District Of Columbia:** http://goo.gl/LWLaAN

Adult Justice System

National

- Bureau of Justice Statistics www.bjs.gov

  Reports along spectrum of criminal justice system:

  Courts

  Corrections

  Law Enforcement
- Data Analysis Tools
  - Prisoner Recidivism http://www.bjs.gov/index.cfm?ty=datool&surl=/recidivism/index.cfm#
  - NCVS Victimization Analysis Tool

    http://www.bjs.gov/index.cfm?ty=nvat

Local

- DC Department of Corrections
  - **Inmate Demographics and Statistics:** http://goo.gl/Onqivw
  - **Correctional Facilities Information**: http://goo.gl/37AVF0
- Court Services and Offender Supervision Agency
  - **CSOSA Fact Sheets**: http://goo.gl/3IBEHn
    - Mental Health, Population Statistics, Reentry, Sex Offender Supervision, Women in the Justice System
  - **District of Columbia Inmates Housed in BOP Facilities**: http://goo.gl/6eEobs
  - **Annual Performance Budget Request Fiscal Year 2016**: http://goo.gl/eOUku9
    - Outcomes, Demographics, Caseloads and Agency Output Measures

Juvenile Justice System

National

- Office of Juvenile Justice and Delinquency Prevention

  http://www.ojjdp.gov/

  – Publications by topic, series or keyword http://www.ojjdp.gov/publications/PubSearch.asp
  – Data Analysis Tools http://www.ojjdp.gov/ojstatbb/special_topics/stateprofile.asp
  – Model Program Guide http://www.ojjdp.gov/mpg/

Local

- DC Lawyers for Youth
  – **Youth Arrest and Court Involvement: Trends in the District of Columbia** (1998-2014) : http://goo.gl/lWGnTZ
- Family Court Social Services Division (Juvenile Probation): http://goo.gl/QUWMSw
- Department of Youth Rehabilitation Services
  – **Public Safety Indicators:** http://goo.gl/c39xmq
  – **Youth Development Indicators:** http://goo.gl/Xe3Pt4
  – **Youth Population Snapshot:** http://goo.gl/eMSq3U

Federal Portal

http://fedstats.sites.usa.gov/

Portal to over 100 Federal agencies - ”provides showcase of information, tools and news related to … federal statistics”.

- U.S. Census Bureau
- Bureau of Economic Analysis
- National Center for Health Statistics
- Bureau of Transportation Statistics
- Social Security Office of Research, Evaluation and Statistics
- U.S. Energy Statistics
- Bureau of Justice Statistics
- Bureau of Labor Statistics

NCJRS

https://www.ncjrs.gov/library.html

- Resource for publications produced, funded and/or sponsored by the bureaus and offices of U.S. DOJ
  - BJA
  - BJS
  - NIJ
  - OJJDP
  - OVC
  - SMART
- Searchable database – over 60,000 online resources

Developing a Strong Application:

From Problem Statement to Performance Measurement

Stephen A. Broyles, MPH, MSW
The Magi Group, LLC

Objectives

Participants will learn to:

- Develop a Data Driven Problem Statement
- Integrate a Logic Model with the Intervention
- Craft an Intervention by Replicating an Evidence-Based Practice/Program
- Integrate Data Driven Strategies
- Appropriately Staff and Budget an Intervention
- Integrate Indirect Costs and Capacity Building into a Budget and Budget Narrative

The Statement of Need

- It is a component or document within a grant proposal that:

1. Supplies an overview of an organization's recognition of a specific community-based issue, or problem.

2. Supplies the research and statistics on this community issue to support the need for the project being proposed.

1. Provides a strong rationale for why support should be provided.

2. Establishes an organization and/or approach as the best candidate to address the need.

Why a Statement of Need?

- The most important thing a Statement of Need answers for a funder is “Why”
  - Why this specific target?
  - Why this specific area?
  - Why does your organization care?
  - Why should I care?
  - Why your organization?
  - Why your approach?
  - Why should I believe you?
  - Why should I believe my resources make an impact?
  - Why now?
  - Why hasn’t the been solved by somebody else?
  - Why is this a sufficient amount of money?

Basic Truths About Statements of Need

1. If you do not have a compelling need, you do not have a compelling project.
2. Funders and reviewers are not required to care about your need or project until YOU compel them to care.
3. If you confuse your organization's needs with the needs of your target population, you have set yourself up for failure.
4. If the need is in your community, you must show the impact there.
5. No one is required to believe anything that you have not proven with accurate, credible data.
6. Your data is only as persuasive as the context you place it in.
7. If you raise an issue, you had better respond to it, given your size and resources.
8. A statement of need is comprehensive, but not boring.

An Effective Statement of Need

1. Uses supportive evidence to clearly explain the nature and extent of the problem/need to be addressed.

2. Identifies the factors contributing to the problem or the circumstances creating the need.

3. Connects the need to the purposes and goals of your organization.

4. Includes quantitative and qualitative documentation and supporting information. (Rational, but has some emotion)

5. Identifies current gaps in services or programs.

6. Provides a rationale for the transferability of "promising approaches" or "best practices" to the population you seek to serve.

7. Describes the benefits to be gained. (And the cost of not responding)

8. Is compelling and clarifying. (Funder should feel an urgency)

The Breakdown of a Statement of Need

1. Problem Description
2. Problem Recognition
3. Problem Implication
4. Problem Hurdles
5. Problem Urgency
6. Problem Interest
7. Problem Approaches

Problem Description

- What is the need?
- Who is experiencing the need?
- When is the need occurring?
- Where is the need occurring?
- Why is the need occurring?
- How does the need impact the community and its people?

Problem Recognition

- Why is it a problem?
- Why does the problem exist?
- Who else sees it as a problem?
- What are the community stakeholder views

Problem Implication

- What will happen to the population is the problem is not resolved?
- What will happen to the community if the problem is not resolved?
- Is there a cost to society if the problem is not resolved?

Problem Hurdles

- What are the challenges in addressing the problem? (Eliminate funding as a challenge)

- What is the gap between what exists now and what ought to be?
  - Knowledge?
  - Services?
  - Resource?

- What has prevented a resolution of the problem?

Problem Urgency

- Why does the problem need to be addressed now? (Be clear about what can be accomplished within the time frame of the grant.)
- What is currently being done about the problem?
- Why should outside funding be used now to solve the problem or reduce the gap?

Problem Interest

- Why should I care?
- Why should I identify with the community/people/issue you are addressing?
- Who else may benefit from the approach/project?
- How compelling and “real” can you make the need?
- What are the opportunities in addressing the need?

Problem Approaches

- What is the rationale for the transferability of "promising approaches" or "best practices" to the population you seek to serve?

- Why should I reject alternative strategies?

- Why are you the best organization to address the issue/problem?

- What are the benefits to be derived through the intervention, treatment, or prevention of the problem?
- Do you have sufficient time to make an impact?

Statement of Need “Don’ ts”

- Not providing information requested in the RFP
- Proposing something outside the scope of the RFP
- Using outdated or suspect information
- Gathering insufficient data
- Statistical pile-up (Data dump)
- Unfamiliar concepts, jargon, or terms
- Emotional appeal, instead of rational appeal. (Editorializing)
- Providing circular reasoning as an argument.
- Lack of Citations.

Data and Statistics

- Should back up/support the issue you want to address
- Needs a point of comparison
- Provides objective, outside information to substantiate the issue

Data and statistics should be:

- Timely: data needs to be as recent as possible
- Unbiased: Who did the research? Who funded the research?
- Reliable: it is considered reputable by other?

Where to Find Data and Statistics

- Public Databases
- Foundation and Nonprofit Reports
- Qualitative/Quantitative Research
- Industry Publications
- Journal Articles

Data and Statistics Sources

- U.S. Census – www.census.gov
- Bureau of Justice Statistics – www.bjs.gov
- Neighborhood Info DC - www.neighborhoodinfodc.org
- Bureau of Labor Statistics – www.bls.gov
- National Technical Information Services (NTIS) – www.ntis.gov
- USDA Economic Research Service - www.ers.usda.gov
- FedStats – www.fedstats.gov
- Behavioral Risk Factor Surveillance Survey – www.cdc.gov/brfss/index.htm
- DC BFRSS - http://doh.dc.gov/doh/cwp/view,a,1374,q,602444.asp

Data and Statistics “Do’s”

- Avoid using assumptions or undocumented assertions. Documented, factual statistics will bring fewer questions to your proposal
- Use clear statistics that support your argument. (Avoid emotional arguments)
- Make sure data collection is well documented.
- Emphasize the geographic area you are designated to serve.
- In any problem statement, include more than one data point.
- Include relevant history surrounding the problem.
- Provide a “Light at the End of the Tunnel”.

Data and Statistics "Don't s"

- Data that represents geographic areas larger than the area you are targeting.
- Data that is outdated and old. (Generally no more than 5-10 years)
- Raw numbers that describe the problem in your area.
- All the data you've ever found that relates somewhat to the problem. (Data dump)
- Data that is not immediately relevant to the problem.
- Data from newspapers, magazines, and TV news programs – sources that are not in the business of distributing reliable data.
- Exclusively including data about the number of people you serve, the number of people who are on your waiting list, and/or the number of activities you conduct each year.

Narrative
&
Program Design

Program Narrative

A program narrative is generally composed of the following components:

- Statement of Need – Why the project is necessary.
- Project Design – What you will do.
- Implementation Plan – How you will put the program into operation.
- Management Structure - How and who will manage a program
- Evaluation Plan – How you prove success and implementation
- Sustainability Plan – How the program will continue after funding

Program Design

- Identify the geographic boundaries of the proposed program, as well as the SPECIFIC target population to be served.
- Describe the goals and objectives, with services to be provided.
- Describe outreach and referral strategies to ensure access to the target population.
- Describe the evidence-based program, approaches, or practices
- Describe how program will be performed, locations, program hours of availability, and length of time
- Describe how your program will ensure cultural competence .
- Describe any potential barriers to implementing the project and strategies to overcome them.

Goals

- Long term aims that you want to accomplish
- Goals define the destination, but not the specific steps
- Goals describe the behavior or condition expected to change
- Goals end to be long term in their accomplishment
- Should lead clearly to one or more measurable results

Sample Goals

- The HUSSW interns will maximize their professional performance at all field placement sites

- The St. David Elementary School students will contemporary African-American history

- The Detroit Economic Advocacy and Leadership (DEAL) participants will improve their financial management skills

- To make Zesty Cukes the preferred gourmet spicy pickles at specialty stores in the United States

Objectives

Specific accomplishments that must be achieved in total, or in some combination, to meet the goals.

Objectives answer:

- **Who** is going to be impacted or changed?
- **What** is going to happen?
- **When** will it happen?
- **How much** change will take place?
- **How** will change be measured?

Basic Components of Objectives

- Description of the activity or service to be provided (e.g. tutoring)
- Expected result of the activity or service (e.g. increased reading level)
- Tool to measure the impact of the provided service or the quality of the provided product (e.g. pre/post reading level test).
- Standard of success the project hopes to meet (e.g. average increase of at least one reading level)
- Number of service recipients or individuals whom benefit (e.g. 25 middle-school youth).

Objectives Format

To <action verb and statement of results and measurement indicator>

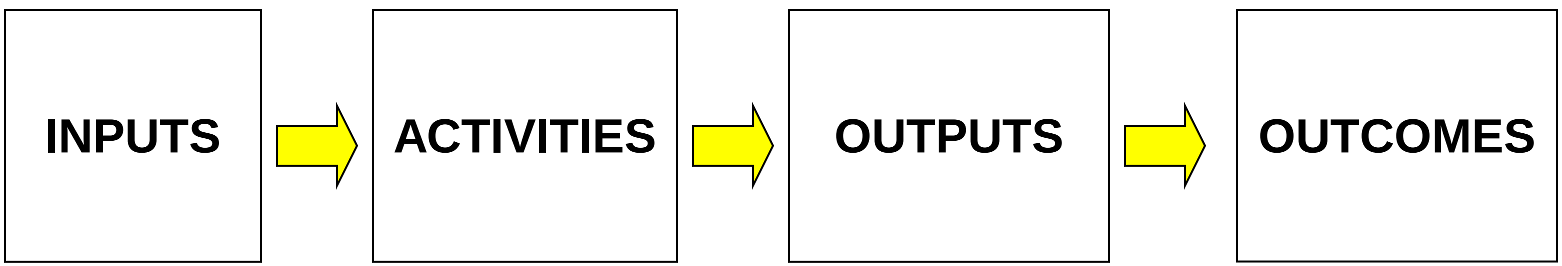
by <degree of change>

by <deadline>

Example: *To increase by at least one grade level the reading skills of 75% of the children who complete the Reading Enrichment Program.*

Basic Logic Model

A graphic representation that shows the logical representation between:



The resources that go into a program – INPUTS

The interventions the program undertakes - ACTIVITIES

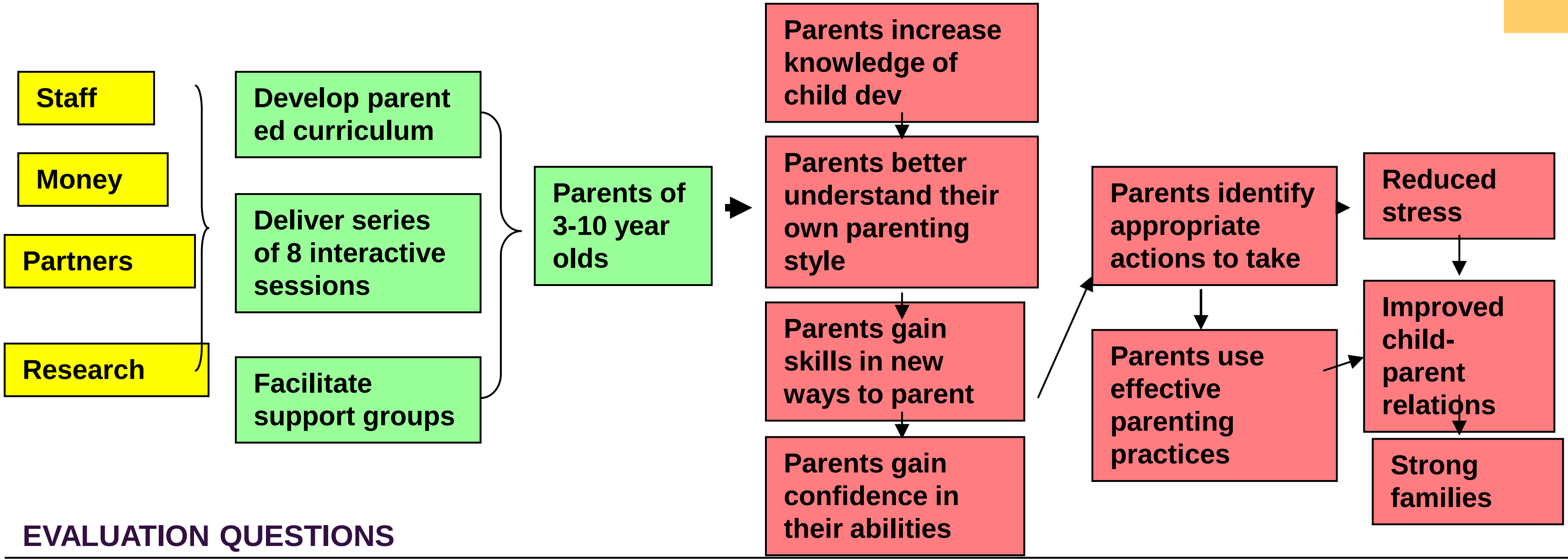
The tangible results of activities - OUTPUTS

The change or benefits that results - OUTCOMES

“If-Then” Assumptions

1. Certain resources are needed to operate your program.
2. If you have access to them, then you can use them to accomplish your planned activities.
3. If you accomplish your planned activities, then you will hopefully deliver the amount of product and/or service that you intended.
4. If you accomplish your planned activities to the extent intended, then your participants will benefit in specific ways.
5. If these benefits to participants are achieved, then certain changes in organizations, communities, or systems might occur under specified conditions.

Parent Education Example: Evaluation questions, indicators



EVALUATION QUESTIONS

What amount of $ and time were invested?	How many sessions were held? How effectively? #, quality of support groups?	Who/how many attended/did not attend? Did they attend all sessions? Supports groups? Were they satisfied – why/why not?	To what extent did knowledge and skills increase? For whom? Why? What else happened?	To what extent did behaviors change? For whom? Why? What else happened?	To what extent is stress reduced? To what extent are relations improved?

INDICATORS

# Staff $ used # partners	# Sessions held Quality criteria	#,% attended per session Certificate of completion	#,% demonstrating increased knowledge/skills Additional outcomes	#,% demonstrating changes Types of changes	#,% demonstrating improvements Types of improvements

Program Narrative Tips

1. Answer ALL of the questions in the RFP!!!!!
2. Develop clear goals and strong, specific objectives.
3. Assume that the funder knows nothing about your organization or program.
4. Mention the best practices, models, approaches, and programs in your field. Give examples!!!
5. Walk the reader through EACH step of the process.
6. Narrative, need statement, and budget must align.
7. Proofread everything!!!!

Evidence Based Practice Sites

National Registry of Evidence-Based Programs and Practices (190)
www.nrepp.samhsa.gov

National Institute for Justice
www.crimesolutions.gov

Compendium/Diffusion of Evidence Based Interventions (69)
www.effectiveinterventions.org

What Works Clearinghouse www.ies.ed.gov/ncee/wwc

OJJDP Model Programs Guide (200) www.ojjdp.gov/mpg

Evidence-Based Disease and Disability Prevention Program
www.aoa.gov/AoARoot/AoA_Programs/HCLTC/Evidence_Based/index.aspx

Harvard Family Research Project
www.hfrp.org/out-of-school-time/ost-database-bibliography/database

Q & A

CJCC

CRIMINAL JUSTICE COORDINATING COUNCIL for the DISTRICT OF COLUMBIA

OPGS

OFFICE OF PARTNERSHIPS AND GRANT SERVICES

JGA

Budgets and Performance Measurement

November 17, 2015
11:00am to 12:30pm

CRIMINAL JUSTICE COORDINATING COUNCIL for the DISTRICT OF COLUMBIA
CJCC

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OFFICE OF PARTNERSHIPS AND GRANT SERVICES

JGA

Translating Your Intervention Into Performance Metrics

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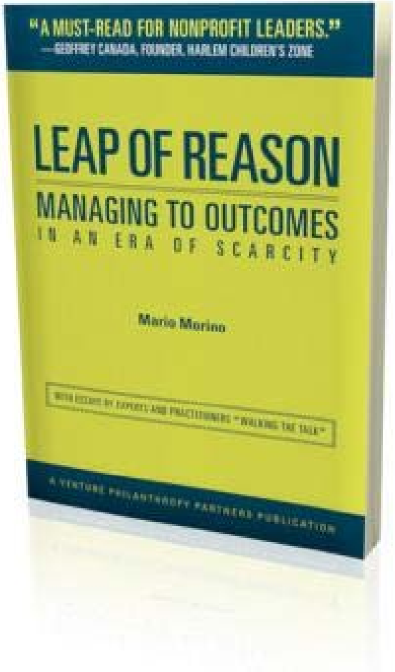
November 17, 2015

Why Should You Care About Outcomes?

- LAYC domestic violence story
  - LeapOfReason.org
  - First Do No Harm…Then Do More Good
- New domestic violence program component designed to teach three things:
  - Partner violence is not an OK expression of love
  - Partner violence is not OK in Latino culture
  - There are safe ways to get out of violent relationships



If You Understand Dieting…You Understand Measurement

- What are some things you want to measure if you are dieting (how do you know your diet is 'working')?
- Why are you measuring these things?
- How do you measure them (and who measures them)?
- How often (when) do you measure them?

Outputs vs Outcomes

- ***Output* measures assess what you do and who you serve (Did you actually deliver programming and to whom?)**
  - Served 100 youth during summer camp
  - Provided 2,250 hours of tutoring during the academic year
  - 9 out of 10 youth attended at least 75 % of available art instruction classes offered
- ***Outcome* measures assess changes in knowledge, attitudes, behaviors or conditions for your service population.**
  - 75 % of youth increased their knowledge of local history during the summer camp
  - 50% of youth increased math grades by one grade level during the academic year
  - 25% fewer youth reported being involved in bullying over the last year

How Do You Measure Difficult Concepts?

- **Be specific about concepts – specify as much as possible.**
  - Academic achievement is too broad – do you actually mean improved grades, improved literacy, improved standardized test scores, improved behavior?
  - Decreased poverty is too broad – do you mean increased median income, increased average income, decreased number of families living below poverty line?
- **Understand what you will use the information for?**
  - Is it just to satisfy funders, or will you use it to make programmatic improvements?
  - Do you really want to public academic papers with your data, or are you just looking to help improve services for clients?
- **99% of concepts can be measured if they can be articulated with specificity and an understanding of how much measurement rigor is needed.**

Big Questions to Consider

- What / who is your service population?
- Are you measuring outputs, outcomes, or both?
- How will you measure?
- How often will you measure?
- Who analyzes the data?
- What will you do with it?

Isaac's Contact Information

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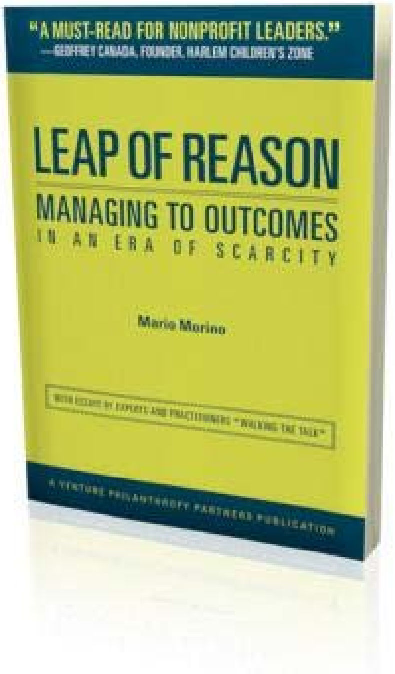

Staffing, Management and Budgets

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Organizational Capability

1. Describes the agency's accomplishments, track record, and characteristics.

AND

2. Describes how those qualities demonstrate that the agency is qualified to undertake the proposed project.

Staffing Plan

Also called “Management Plan” or “Key Personnel”. They convey three primary things:

1. How you are going to staff your proposed project, i.e., what are the positions/titles that will be needed to perform the project;
2. Who are the personnel who will fill these positions — their names, qualifications, backgrounds, etc.; and
3. How you will recruit, train, supervise, and evaluate the project staff

Staffing Plan (Identified)

- How important is staffing to the overall success of the project?
- What are the position descriptions/qualifications for each role on the project?
- Who are the key personnel?
- What level of effort will they contribute? (% of time)
- What roles/responsibilities will each position have? (provide a table or describe)
- What is the background of each key person (provide a biography/summary)
- How does the staff you have selected distinguish your firm and benefit the customer?
- How are skills mapped to project staffing?
- What depth of staffing is available within your organization?

Staffing Plan (Not Identified)

- What is the job description
- How will you recruit new personnel if needed?
- How will new project staff be oriented/trained?
- What on-going training/skills enhancement will be provided to project staff?
- How will staff be supervised?
- What is your plan for retaining staff and achieving low turnover?
- How will staff performance be evaluated?
- How will replacement of staff be handled if necessary?
- Do you plan to hire any consumers/clients?
- Do you plan to hire any of the incumbent contractor's staff?

Keep In Mind

- Describe (in detail) the experience and qualification of the Project Director and key staff that will be involved in the project.
- Describe the roles and responsibilities of the staff (based on project activities) and how the project will be supervised.
- If allowed, include an organizational chart to show lines of accountability and your overall structure
- Mention your financial; record keeping, and MIS systems and the measures that are taken to manage and safeguard financial resources and sensitive information/records
- Describe organizational resources that will support the project

Keep In Mind

- Describe collaborative partners and methods of communicating with them (if not included in the narrative)
- Establish how you will communicate to the funder and in what format (programmatic and financial)
- Describe how you maintain/sustain the project once funding has been exhausted. (it is not sufficient to say "We will look for additional funding"
- It is not sufficient to just mention the numbers you serve, mention the outcomes and impact
- Highlight your methods of addressing cultural competency in detail

Resume Format

- **Bio** – Accomplishments and how they are a fit for the project
- **Experience** – work experience and accomplishments
- **Education** – academic schooling and professional training. (Dates attended, major, degrees conferred)
- **Skills** – additional training, certifications, etc
- **Activities** – demonstrate community involvement, familiarity with target, or desired participation (list time frames)
- **Awards** – awards conferred (list award bodies and title)
- **Memberships** – professional associations

Budget

What is the Budget?

- The expenses you anticipate to incur for a specified period of time, as well as earned income that the project will generate over that period of time.
- The budget is the financial picture of the program/project/organization.
- The organization's commitment to the grant request from the standpoint of *both* cash and in-kind services.
- The budget answers:
  - What personnel will be expending effort on this project?
  - What will I need to spend in order to accomplish the goals and objectives?

Budget Principles

Budgets for federal contracts and grants should be prepared in accordance with guidelines incorporated with 2CFR 220 (formerly Office of Management and Budget Circular A-21)

- **Reasonable** - costs a prudent person would have incurred
- **Allowable** - costs are allocable, reasonable and not specifically excluded
- **Allocable** - costs directly benefit the project to which they are charged and are in proportion to the benefit received by the project

Identify the Total Project Cost

Review each section of the narrative and brainstorm all anticipated project costs.

1. Breakdown the project into phases. (Use your work plan as a guide)
2. Determine milestones, amounts of work, and materials.
3. Determine fixed costs. (Costs that do not fluctuate each month)
4. Determine variable costs (Costs that change each month)

Arrange Items by Category

- Federal Direct Budget Line Items
  - Personnel
  - Fringe Benefits
  - Travel
  - Equipment (No item should exceed $5,000)
  - Supplies
  - Contractual
  - Construction
  - Other

Arrange Items by Category (Personnel)

- This category captures the personnel costs required to perform the project.
- Personnel generally only includes the project staff who are employees of the applicant organization.
- All personnel should be listed by title, with roles directly related to the technical and professional aspects of the project.
- It should include the personnel's bases annual salary and FTE equivalency or percentage of effort.

Arrange Items by Category (Personnel - Fringe)

Fringe is non-wage compensations provided to employees in addition to their normal wages or salaries which may include:

- Vacation and sick leave
- FICA - Social Security (12.3%) and Medicare (2.9%)
- Local, State, and Federal taxes
- Group insurance (medical, life, dental, vision)
- Disability income protection
- Retirement benefits
- Tuition reimbursement
- Daycare

If the rate exceeds 35%,you need to provide a listing of the benefits included

Arrange Items by Category (Other Direct Costs)

Direct costs are non-personnel expenses you would not incur if you did not do the project.

- Office Supplies – copier, software, bulk mailing/postage,
- Communications/Marketing – newsletters, brochures, fliers, printing
- Meeting Expenses – space, audio/video, food, guest speakers, etc.
- Telephone – commercial carrier, long-distance, cell phone, fax
- Equipment – include accessories needed to make it operable, installation fees, maintenance, delivery costs, insurance, and taxes
- Travel – mileage, parking, per diem, and air/rail
- Evaluation – survey design and development, data analysis, focus group costs, participant stipends, etc.
- Project Space – rental/mortgage of programmatic space

Arrange Items by Category (Professional and Contractual Services)

Represents fees or honoraria paid to individuals for a specific service provided based on an agreed per diem rate such as:

- Consultants – according to IRS Revenue Ruling 87-41 (20 criteria)
- Subcontracts
- Contracted services – i.e. web development/maintenance, data analysis, drug testing, etc.

Facilities and Administration/Indirect Rate

- Budgetary items that might be included in overhead
  - Facility Rent (not including programmatic space)
  - Utilities (Electricity, water, gas, phone, etc)
  - Executive Management
  - Human Resources
  - Fiscal/Accounting
  - Administrative Assistance/Reception
  - Maintenance
  - Legal
  - Management Information Services (MIS)/Information Technology (IT)
  - Insurances (general liability, Directors & Officers, automotive, etc)
  - Security
  - Depreciation
  - General office supplies (not programmatic)
  - Subscriptions and memberships

What if I Don't Know the Amount to Request?

1. Review listing of previously funded projects/awards.
2. Review the funding agency's annual report.
3. Review the foundation's 990.
4. Review the agency budget for the previous year.
5. Ask fellow nonprofit organizations.
6. Make a Freedom of Information Act request (FOIA)

Budget Musts!!!!

1. Check with the agency to see if they have suggested/required budget categories that they want you to use. Make sure that all budget items meet the funding agency's requirements. If not, explain how they will get paid for.

2. Focus on the cost-benefit ratio. Clarify how grant dollars will be maximized, how the grant will leverage other funding, and how the benefits will be long-term.

3. Budget line items should reflect the values of your organization. For example, if working with individuals with an addiction, then hiring individuals with first-hand experience for entry level positions might make more sense than staffing the project only with more expensive licensed therapists.

4. Check for consistency between the project description, budget narration, and budget line items. At least one other person close to the project look over the package to ensure that nothing has been left out, and that the budget accurately reflects the description of the project

5. Grant experts recommend that budgets aim for no more than 35%-40% personnel costs, with 60% -65% for direct program support.

Budget Musts!!!!

6. Do not include a “miscellaneous” budget category. Small expenses should properly be allocated to a similarly appropriate category.

7. For staff, identify the percentage of time that each individual will spend on this particular project and pro-rate the costs appropriately. If a position is 100% covered by another funder, then a supplemental percentage of this position cannot be charged to a different funder. (Supplanting)

8. Use only whole numbers (no cents) with proper formatting: $1,270 (not 1270).

9. Beware of including minimal costs for letterhead, postage, photocopying, and utilities, if not essential to project operations. The funder might perceive these expenses as part of normal operating costs and view relatively trivial line items as artificial budget inflation.

10. Costs should be in reasonable proportion to the outcomes that you anticipate. If your costs will be prohibitive, scale back your plans or adjust them to remove the least cost-effective expenditures. Verify salaries, mileage, travel, etc with industry standards.

Application Preparation

Getting Your Ducks In a Row Pre-Application

Preparation Checklist

- Prior Year Grant Application Packages
- Special Requirements
- Grant Administering Organization
- Briefing Your Leadership
- Preparing Partnerships
- Appropriation / Application Cycle
- SF-424
- DUNS
- SAM
- Grants.Gov
- SPOC

Prior Year Grant Application Package

The #1 resource for information you need to know

Notice of Funding Opportunity Announcement (NOFO / FOA)

- What is the grant for?
- Who is the grant for?
- What are the allowable costs?
- What information is required?
- How is the application reviewed/scored?
- What is the period of performance?
- How do you receive payment?
- What are the reporting requirements?
- What are the closeout requirements?

Special Requirements

- Any special requirements unique to this particular application will be listed in the Funding Opportunity Announcement (FOA)
- Specific templates / formats
- Submission requirements (outside of www.Grants.gov)
- Do you need to sign up for a user account/access to some other website/system?
- Do you need to get some information from a third party to include with your application?

Grant Administering Organization

- Identify the Organization (Federal, State, Local, Non-Governmental, etc.) that administers the grant
- Identify the POC for questions about the grant
- Ask questions BEFORE the new grant application period starts (if possible)
- Get added to distribution lists for information (if possible)
- *Contact information for current grant recipients**

Briefing Your Leadership

- What grant you want to apply for
- The project that the grant would support
- The resources / staff that the project requires
  - Any un-funded costs (administrative, etc.)
  - Any required match
- The limits (budget, time, costs) on the grant
- Any required partnerships (internal and external)
- Does your organization’s leadership understand and support the application?

Preparing Partnerships

- Contact any prospective partners
- Share information about proposed grant application
  - Purpose
  - Partner roles / responsibilities for application
  - Partner roles / responsibilities for grant project
- Ensure buy-in prior to application
- Letters of support – if required by grant
- 1-time vs. Ongoing partnership

Appropriation / Application Cycle

- Grant timeline starts with appropriation, not announcement
- Federal grants
  - Appropriation by Congress
    - What bill includes this appropriation?
    - Where is it in the current appropriation bill?
      - Track the new year appropriation bill status!
    - What timeframes are written into the appropriation?
      - Application released by Federal Agency
      - Applications due
      - Federal agency decisions announced
      - Grant awards made

Standard Federal Grant Requirements

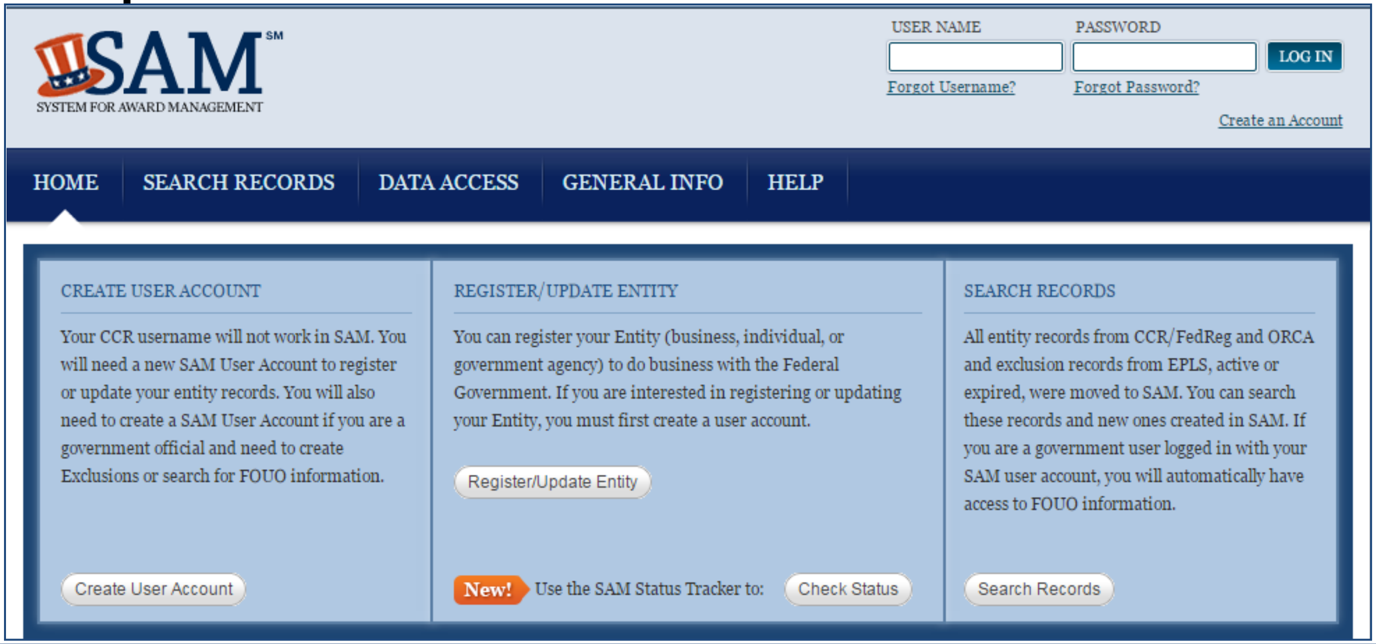
- Standard Form 424 (SF-424)
- Basic federal grant information – required for all federal grants
- Downloaded from www.grants.gov
- Includes many different sections depending on requirements of federal awarding agency
- May be the entire application, or may be just a pro-forma document, with the real application submitted separately
- Practice filling one out pre-application, ask questions of federal agency early on

Standard Federal Grant Requirements

- Dun & Bradstreet Number – DUNS
  - DUNS number request line – (866) 705-5711
- Employer Identification Number - EIN
  - EIN is the IRS Tax ID number
  - https://www.irs.gov/Businesses/Small-Businesses-&-Self-Employed/Apply-for-an-Employer-Identification-Number-(EIN)-Online
  - May take up to 2 weeks to issue a new EIN
- The federal grant awarding agency CAN NOT help you with DUNS/EIN problems
- DUNS and EIN are both 9-digit numbers – do not confuse them
- Do not request a new DUNS/EIN unless you are absolutely sure you don’t have one or need a new one

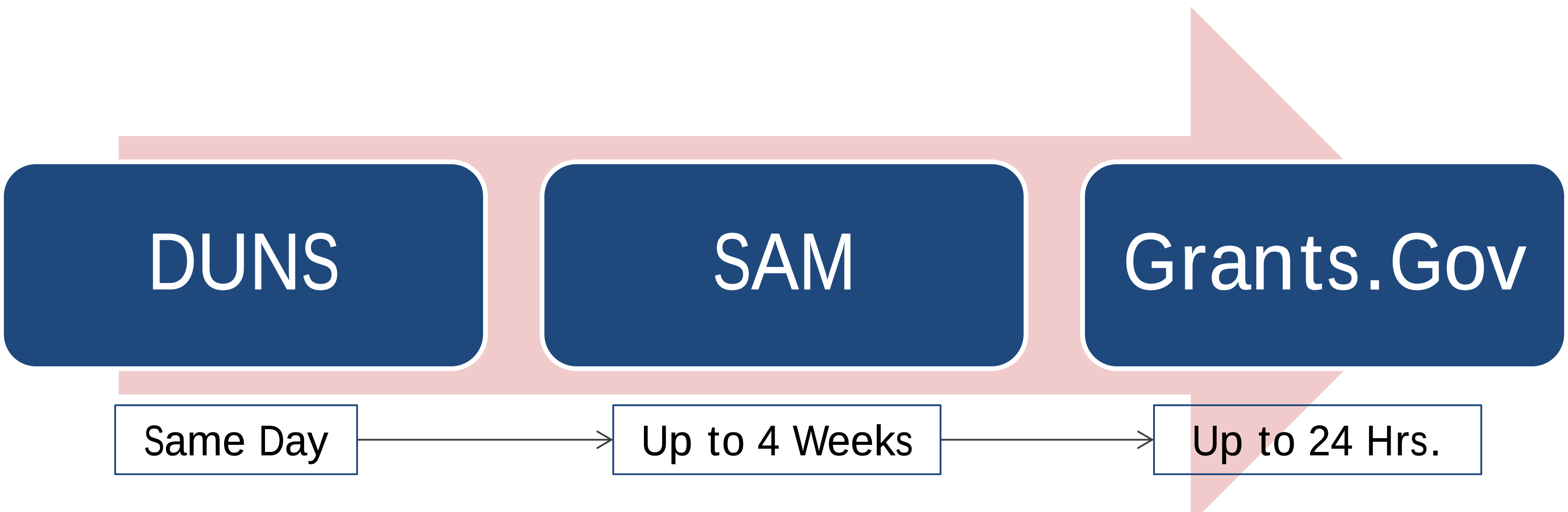
Standard Federal Grant Requirements

- System for Award Management
  - www.sam.gov
- Check your organization's DUNS number
- Check your organization's information
- Set up a SAM account



Standard Federal Grant Requirements

- [WWW.GRANTS.GOV](http://www.grants.gov)
- User account
- Submitting the SF-424 – requires grants.gov login
- *Sign up for grant alerts*



Standard Federal Grant Requirements

- State Single Point of Contact (SPOC) review
  - Requirement of Executive Order 12372
  - Grant Notice of Funding Opportunity (NOFO) will identify if the grant is subject to SPOC review
- DC – Office of Partnerships and Grant Services
  - http://opgs.dc.gov/service/state-single-point-contact-spoc
- Save a record of the SPOC review submission (screenshot) with your grant application file

Are We Ready?

- Questions?

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Q & A

CRIMINAL JUSTICE COORDINATING COUNCIL for the DISTRICT OF COLUMBIA

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OFFICE OF PARTNERSHIPS AND GRANT SERVICES

JGA

Thank You For Attending

Additional Trainings

- Grants Management: Financial and Programmatic Oversight, Reporting and Compliance Tentatively Scheduled for 1/17/2016

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