



# INDIANA DEPARTMENT OF HOMELAND SECURITY

**Joe Wainscott, Executive Director**

*IDHS: Leadership for a Safe and Secure Indiana*



# Project Management

Things to keep in mind:

1. Grants and state funds are not gifts, they come with a price for project managers
2. Managing funds requires trust and accountability
3. Good project management is a skill



# Building Blocks

## ■ Programs

- Begin to break down the broad mission of an agency or division into categorical objectives
  - There may be one or more programs supporting the broad mission.

## ■ Projects

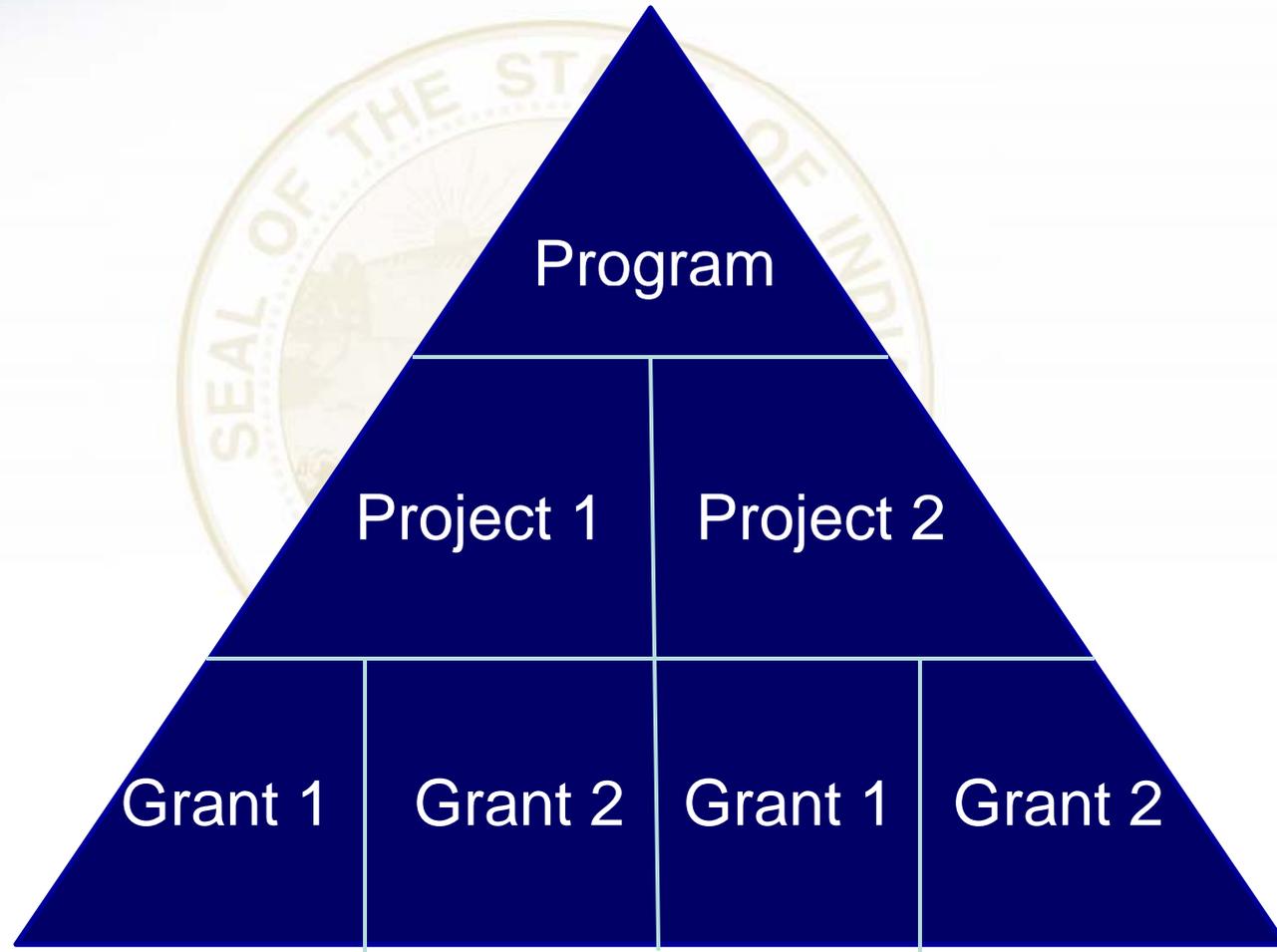
- Support the overarching objective of each program through further specialization
  - There may be one or more projects in any program.

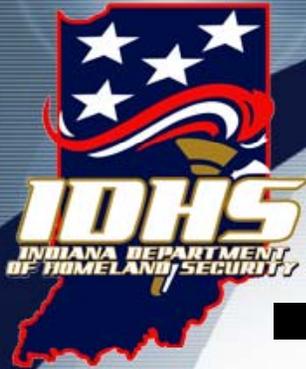
## ■ Grants

- Supply the financial support to each project.
  - There may be one or more grants supporting each project.



# Building Blocks





# Project Management Structure

- The project management structure defines how to manage a project. It may include the following six phases:
  - Originating
  - Executing
  - Initiating
  - Monitoring
  - Planning
  - Close-out Process
  
- While no two projects are exactly alike, all projects should progress through these same six project management elements.



# Project Management

## Project Management vs. Grant Administration

- Because grants provide the funding which fuels many government projects, good project management depends on successful grant administration and the supportive roles played by the federal, state and local governments.
- Poor grant management almost always guarantees failing project management.
  - Why?



## Project Management

Originating

Initiating

Planning

Executing

Monitoring

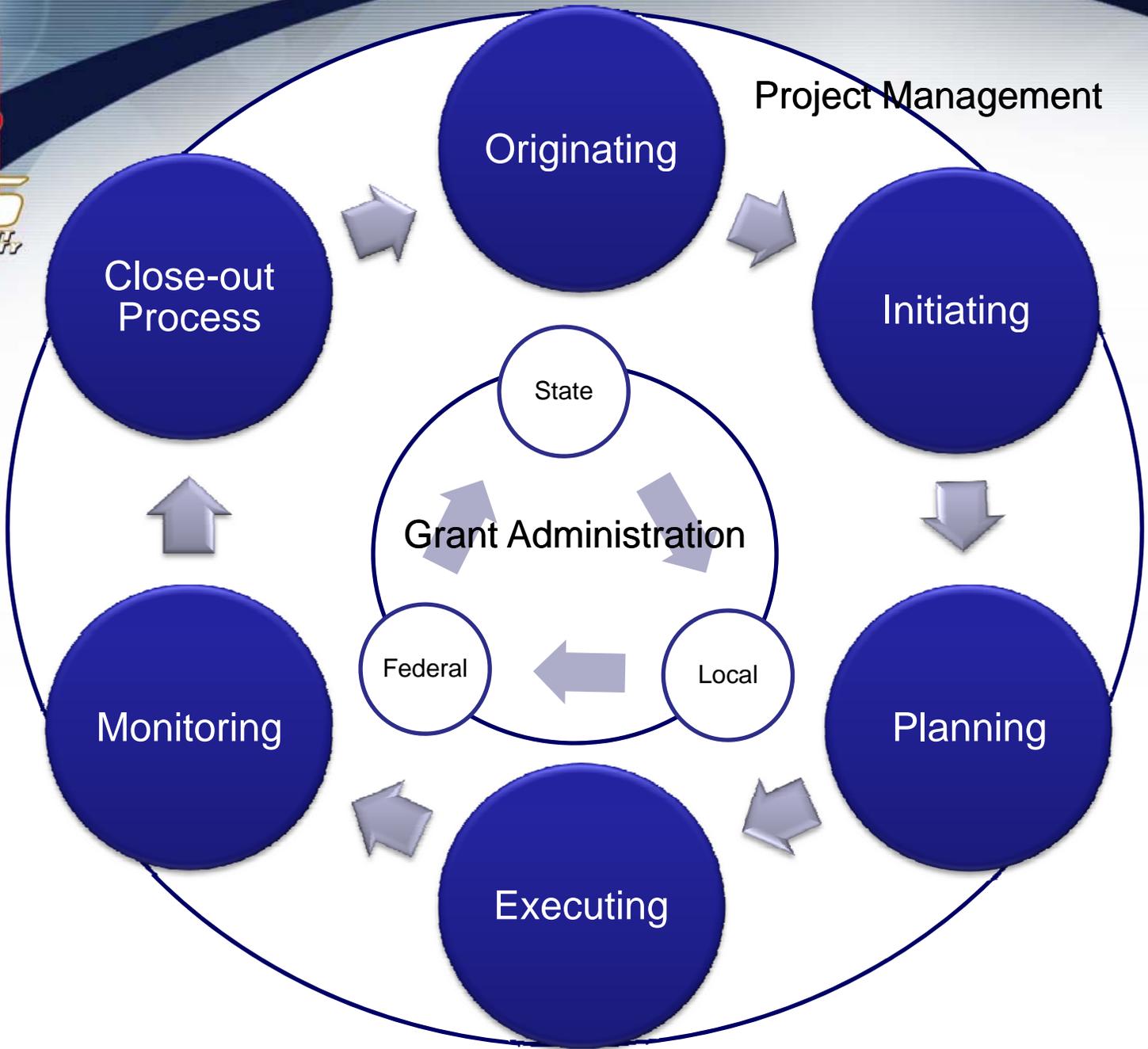
Close-Out Process

## Grant Administration

Federal

State

Local





# Originating

**a project is proposed, evaluated, and approved**

- Most grants utilized by IDHS were developed by the federal government to address predetermined needs or issues in emergency management. (Example PSIC)
- These grants may provide funding for planning, equipment, training, exercise, management and administrative costs, as well as other aspects of preventing, preparing, and responding to manmade and natural disasters.



# Originating

**a project is proposed, evaluated, and approved**

- However, most grants have very specific guidelines governing the administration of the financial awards.
  - Some grants may fund equipment, but not training or planning. Others may only be used for costs associated with planning, etc.
  
- Therefore, for a project to be approved, it must qualify for funding within the guidelines of the particular grant financing the project.
  - Frequently the grant guidance is where a project actually originates because it defines the boundaries of activity.



# Originating

a project is proposed, evaluated, and approved

## ■ Responsibilities

### – Project Managers

- Develop concept
- Refine project
- Identify funding (state or federal)
- Gain Executive approval

### – Grant Administrators

- Serve as advisor on potential funding streams
- Provide information on timelines, approved costs, and other pertinent grant regulations



# Initiating

**a commitment to begin a project is made**

- When a project is initiated, project managers and grant administrators must be identified.
  - The project manager is the subject matter expert who must ensure that funding is used appropriately and expended in a timely fashion.
  - The grant administrator serves both program managers and subgrantees assigned to program managers in answering questions regarding the day-to-day management of awarded grant funds.



# Initiating

**a commitment to begin a project is made**

- Federal grant guidance names a federal program contact who can answer questions about guidance issues.
- When the state acts as an administrator for local grant recipients, the state may determine its own set of criteria, in addition to the federal guidance, to which local award recipients must also adhere.



# Initiating

a commitment to begin a project is made

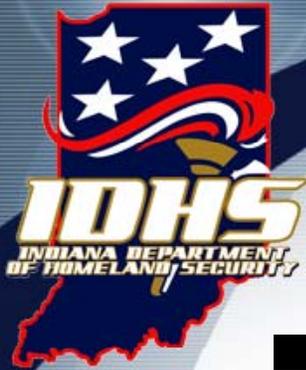
## ■ Responsibilities

### – Project Managers

- Confirm funding based on Executive approval
- Contact participating entities and garner support for project. For grant related projects, this is a **critical** step since most funding must pass through the local entity.

### – Grant Administrators

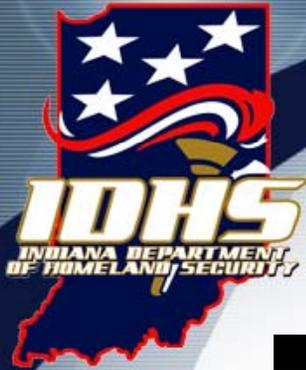
- Advise project manager on necessary steps to access funding including required paperwork.



# Planning

**a workable scheme to accomplish the project is devised**

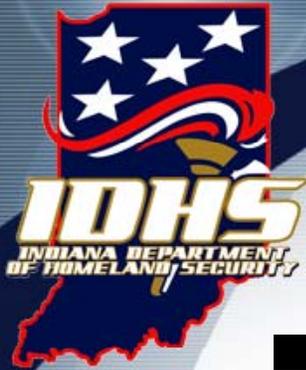
- Any good project needs to have good measures for success.
- Performance Measures: Output vs. Outcome
- Measures for success should be defined at the beginning of the project (Planning) and refined throughout the life of the project as is appropriate.
- When you get to the end of your project (Close-out Process), this is how you will define the project's success or failure.



# Planning

a workable scheme to accomplish  
the project is devised

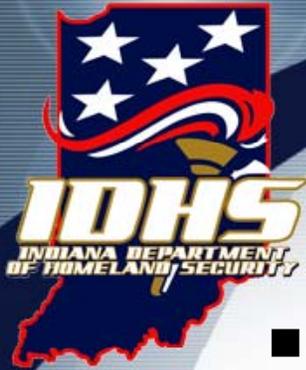
- Good measures for success could include:
  - Are planned projects in line with the grant guidance?
  - Can all projects be completed and expended within the timeframe of the grant's performance period?
  - Do we have appropriate personnel and subject matter expertise to effectively complete the projects?
  - Are projects in line with our mission and our State Homeland Security Strategy?



# Planning

**a workable scheme to accomplish the project is devised**

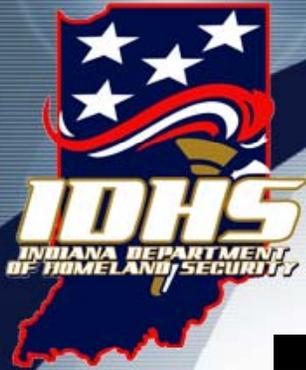
- Most federal and state grant guidance require award recipients to provide intricately detailed budget information about their proposed project to ensure that all costs associated with the project are within the delineated boundaries.
- Because aspects of some projects may fall outside the scope of a particular grant, some IDHS projects contain elements which must be funded through separate grant awards.



# Planning

## a workable scheme to accomplish the project is devised

- When funding a workable scheme to accomplish the project is devised dealing with any funding, there are considerations including timing for drafting and processing the agreement, the signature process, reimbursing the recipient and the performance period, to name a few, that need to be addressed.
- These things all should be explored in the originating phase, firmed up in the initiating phase and built into the timeline during the planning phase so as to make the executing phase easier.
- The use of Microsoft Project software to effectively manage timelines ensures that every step in the grants administration process is completed in a timely manner, and further ensures a smooth execution of the grant.



# Planning

**a workable scheme to accomplish the project is devised**

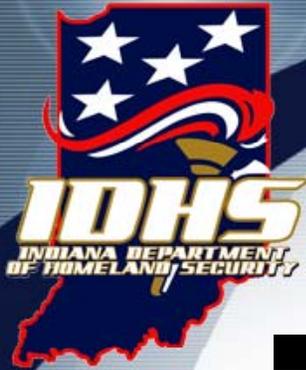
- The Grant Application Process from beginning to completion: (This list of activities must be included in most grant timelines)
  1. Research and locate eligible grants that fall within the agency's mission and capacity to administer
  2. Gather information needed to complete the grant proposal requirements
  3. Submit the grant proposal
  4. Receive and formally accept the federal grant award



# Planning

**a workable scheme to accomplish the project is devised**

5. Notify subgrantees of individual grant awards
6. Complete grant templates/subgrant agreements
7. Complete agreement and signature process
8. Expend grant funds
9. Submit interim financial reports as required
10. Submit invoices for reimbursement
11. Receive disbursement funds
12. Complete projects within performance periods
13. Complete financial closeout of grant within the grant liquidation period
14. Submit final financial report and officially close out the grant



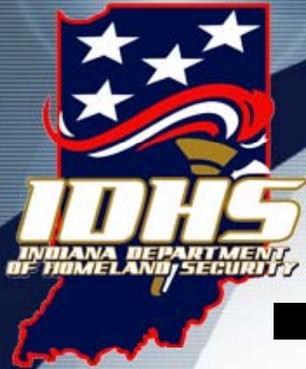
# Planning

a workable scheme to accomplish the project is devised

## ■ Responsibilities

- Project Manager
  - Identify specific timeline for project completion
  - Finalize detailed budget for submission in iGMS
- Grant Administrator
  - Advise project manager on the impact of the identified funding on the project including constraints on funding availability, paperwork processing, and reimbursement.
  - Review budget based on grant guidance and work with IDHS Legal to draft necessary paperwork.

***NOTE:*** An approved budget is necessary prior to drafting an MOU or sub-grant agreement or submitting an RFE to spend funds.



# Executing

**people and other resources are coordinated**

- A well-managed grant stands the best chance of meeting its objectives, which may include:
  - All project activities are completed within performance periods.
  - Funding is expended as planned within performance periods.
  - All grant financial reports are timely submitted.
  - All federal and state programmatic and fiscal guidelines are satisfied.



# Executing

people and other resources are coordinated

## ■ Responsibilities

### – Project Manager

- Serve as primary POC for all issues related to the project including scope, process and submission of invoices.
- Assist recipient in all aspects of project execution.
- Submit quarterly progress reports (when applicable).
- Evaluate and alter project metrics as needed.

### – Grant Administrator

- Review reimbursement submission for accuracy and allowability.
- Provide support to the project manager in areas of allowability, reimbursement and other processes.



# Executing

**people and other resources are coordinated**

- Poor grant planning and breakdowns in adherence to grant project timelines, profoundly affect the successful execution of a grant. Problems may include:
  - Grantee and subgrantee inability to complete projects or receive equipment or supplies needed to advance or support their missions.
  - Inability to expend funds within the grant performance period.
  - Increased subgrantee customer service problems.
  - De-obligation of funds and the withdraw of money back to the federal grant source which greatly increases the risk of not receiving future grant funding from grantors.



# Maintaining

## project is monitored and corrected as needed

- Both federal and state grants administrators maintain reporting requirements, as do identified program managers.
- Throughout the life of a particular grant, recipients are periodically required to submit progress and financial status reports.
  - These are updates from the project manager to the grant administrator.
- Through various means of communication, grant administrators may also monitor the project personally.



# Maintaining

project is monitored and corrected as needed

## ■ Responsibilities

### – Project Manager

- Maintain course, review and alter as necessary.
- Determine whether performance measures are being met.

### – Grant Administrator

- Provide support to the project manager, including:
  - Monitoring fiscal reports

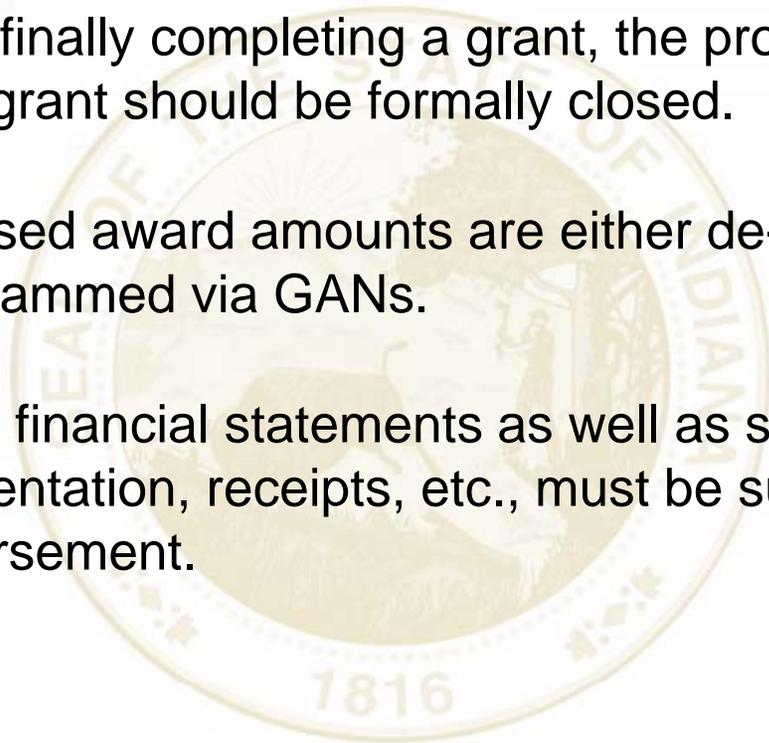




# Close-out Process

**a project is formally and orderly ended**

- Before finally completing a grant, the project being financed by the grant should be formally closed.
- All unused award amounts are either de-obligated or reprogrammed via GANs.
- All final financial statements as well as supporting documentation, receipts, etc., must be submitted for reimbursement.





# Close-out Process

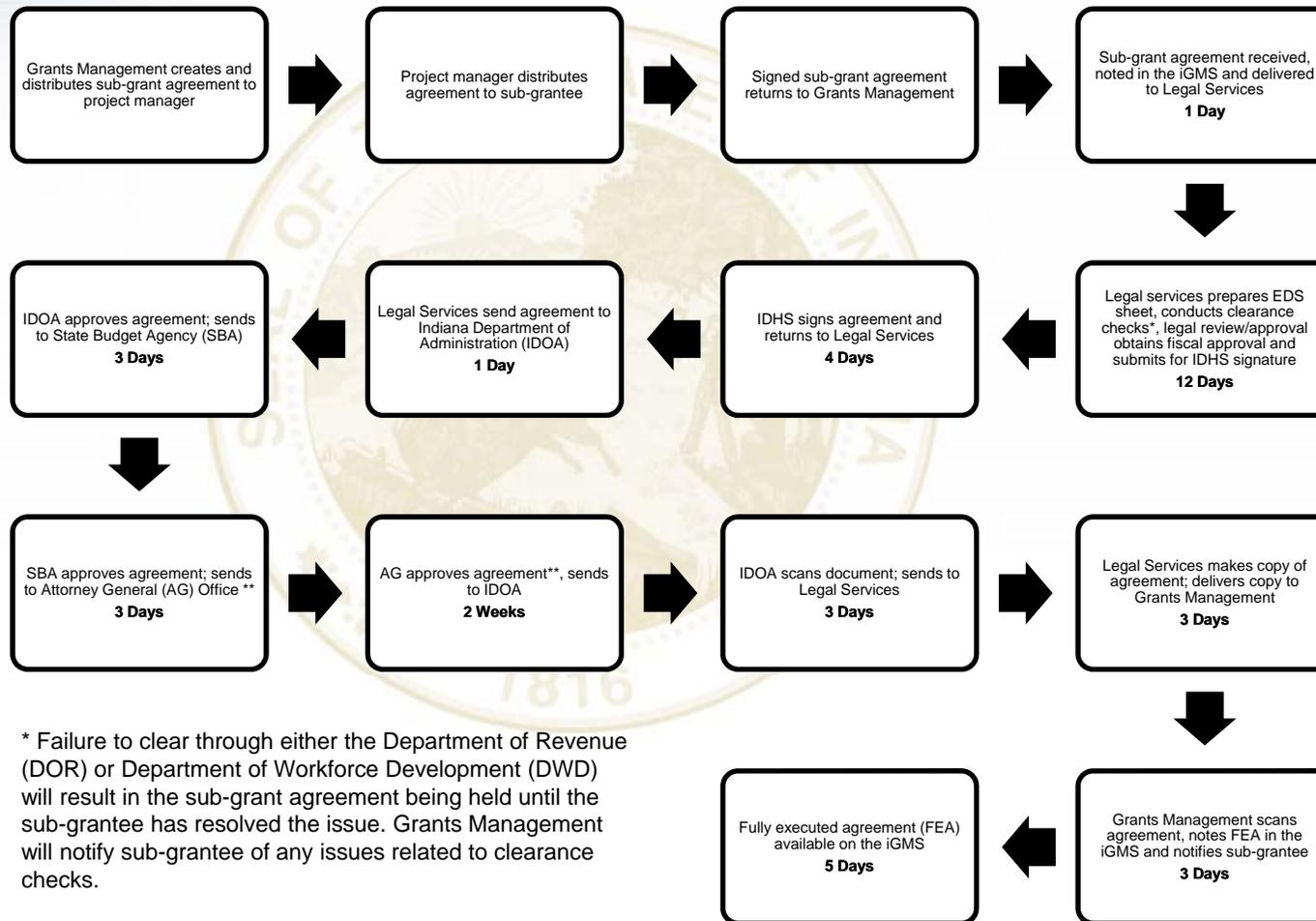
a project is formally and orderly ended

## ■ Responsibilities

- Project Manager
  - Submit final report (when necessary)
  - Evaluate project against performance measures
  - Advise grant administrator on the need for any funding reallocation
- Grant Administrator
  - Provide support to the project manager
  - Mark project as closed
  - 269 process



# Current Grant Process



\* Failure to clear through either the Department of Revenue (DOR) or Department of Workforce Development (DWD) will result in the sub-grant agreement being held until the sub-grantee has resolved the issue. Grants Management will notify sub-grantee of any issues related to clearance checks.

\*\* If form approval has been obtained, this step may be skipped.



# Communication





# Communication

