

**GRANTS MANAGEMENT
OVERVIEW**

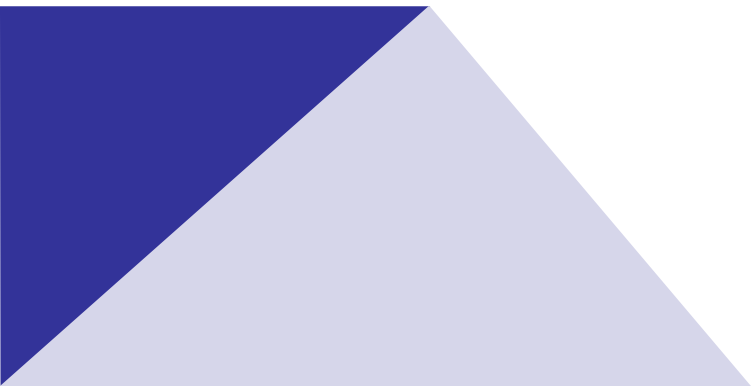
STATE OFFICES OF
RURAL HEALTH
ORIENTATION MEETING

DIVISION OF GRANTS
MANAGEMENT
OPERATIONS
DECEMBER 6, 2018



TODAY'S TOPICS

- Overview and Roles
- Review of the Notice of Award
- Accessing Funds
- Federal Financial Report
- Prior Approval Request
- Resources



GRANT MANAGEMENT RESPONSIBILITIES

DGMO STAFF WORK IN CONCERT WITH RESPECTIVE PROGRAM OFFICIALS TO PROVIDE THE NFE BUSINESS MANAGEMENT ASSISTANCE IN MANAGING THEIR FEDERAL AWARDS.

GRANTS MANAGEMENT SPECIALIST (GMS): ARE RESPONSIBLE FOR ALL BUSINESS MANAGEMENT ASPECTS OF INDIVIDUAL GRANT AND COOPERATIVE AGREEMENT AWARDS. THIS INCLUDES ALL POST-AWARD PROCESSES; SUCH AS PRIOR APPROVAL ACTIONS AND REVIEW AND ACCEPTANCE OF FEDERAL FINANCIAL REPORTS (FFR).

GRANTS MANAGEMENT OFFICER (GMOS): ARE RESPONSIBLE FOR AUTHORIZING AND COMMITTING FEDERAL FUNDS THROUGH THE ISSUANCE OF LEGAL NOTICES OF AWARD (NOA). ONLY RESPONSE PROVIDED BY A GMO ARE TO BE CONSIDERED VALID. NFE'S WHO TAKE UNAUTHORIZED ACTIONS, DO SO AT THEIR OWN RISK.



MEET THE TEAM

Team Leader: Ms. Inge Cooper

Lead Grants Management Specialist for SORH: Ms. Kim Dews

Grants Management Specialists:

Mr. James Padgett

Mr. Potie Pettway

Ms. Jessica Sanders

Mr. Benjamin White

As the primary point of contact for all business management matters and interpretation of award regulations, the GMS is responsible for all financial and administrative aspects:

- creation and issuance of NOAs**
- recommendations on continued Federal support,**
- monitor compliance with award requirements and cost policies,**
- receipt and review of all required financial reports**
- determination of prior approval requests and other NFE issues**

IMPORTANT NFE ROLES

2 Categories: Organization & Specific to individual award

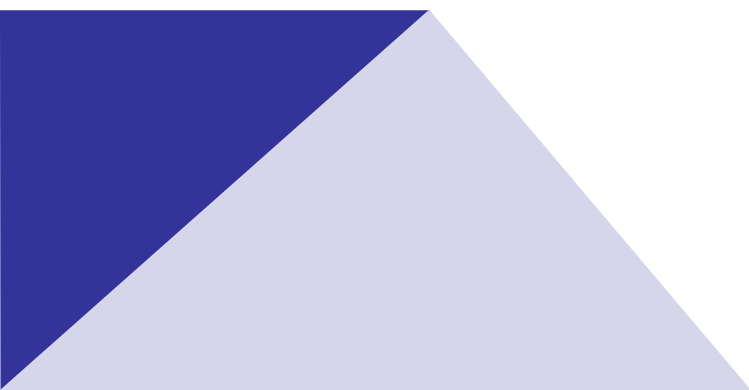
-Separate and Distinct Functions

1. Organization Roles – Initially chosen and established during the organizations registration process

Authorizing Official: Individual authorized to act on behalf of the applicant; assumes the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to applications or federal awards.

Business Official: Individual authorized to review and submit the financial report, and interact with the payment management system.

Other: All other individuals of an organization who participate in the electronic process should register using this role. HRSA's electronic process allows for additional functional roles such as Application Preparer, Communication Contact etc.



IMPORTANT NFE ROLES CONTINUED

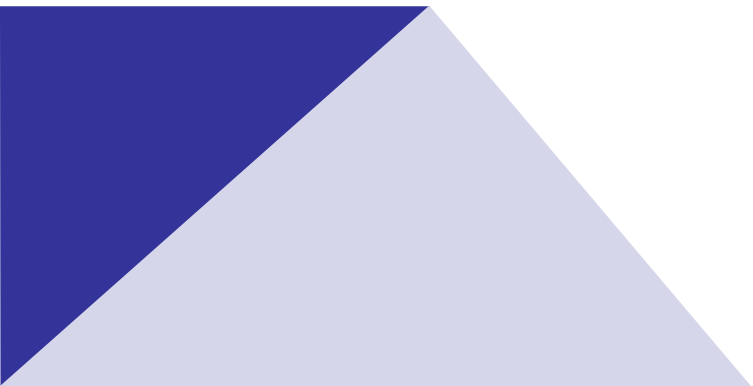
2nd Category: Grant Roles – Specific to the individual project

Program Director (PD): The individual who is most closely tied to programmatic aspects of the award. The PD's name appears on the Notice of Award (NoA).

- **Permissions:** Non-financial submissions; include performance reports, progress reports, noncompeting continuations, and other submissions.
- **Responsible for approving EHB privileges for other individuals in the organization.**

Financial Reporting Administrator (FRA): Individual responsible for financial reporting for the organizations grants. Typically, the organizations Business Official. Registers the grant with the Payment Management System.

- **Permissions:** Financial reports and PMS interactions.
- **Responsible for approving EHB privileges to financial reports for other individuals in the organization.**



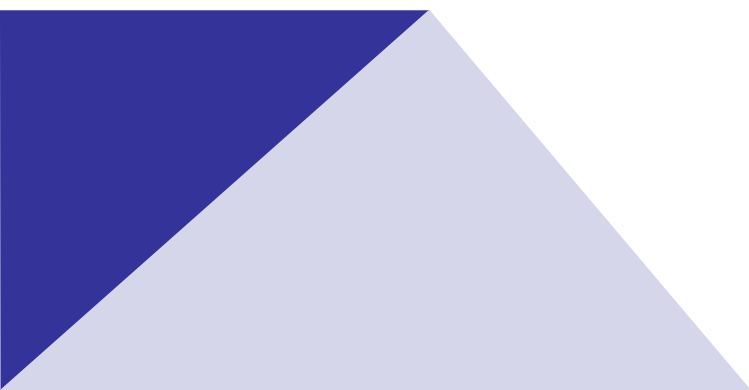
IMPORTANT NFE ROLES

2nd Category Grant Roles Continued – Specific to the individual project

Other Employee (Grant Reporting Support): Other individuals (other than the PD or FRA) who will need access to submissions for a grant. It includes: Users responsible for assisting in the non-financial post award activities for the grant.

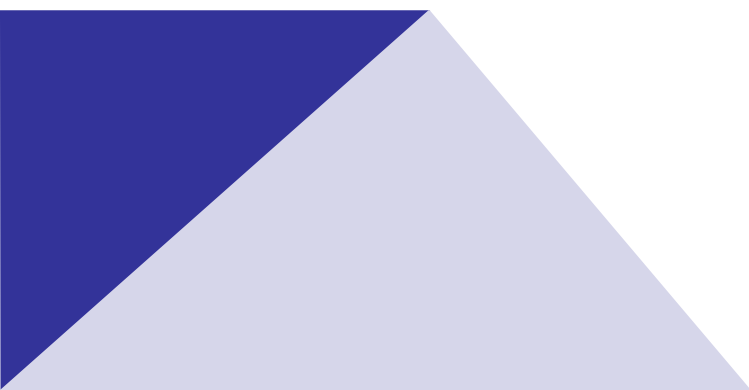
Approval and authorization by the PD are required to access the non-financial grant reports.

- HRSA recommends each award NFE identify 3 individual with the roles of:
 - Program Director
 - Business Official
 - Authorizing Official
- with corresponding email addresses. NoA's are emailed to those address(es)



NFE RESPONSIBILITIES

NFE's of Federal funds are responsible for:

1. Project performance – Assure that approved project goals and objectives are achieved in an efficient and timely manner
 2. Compliance with all federal laws and regulations
 3. Timely respond to all Conditions of award and abide by all Terms
 4. Manage your Payment Management System account by completing regular draws of funds that correlate to award expenditures and submitting quarterly disbursement reports,.
 5. Continue to collaboratively work with the assigned GMS and PO.
 6. Ensure that key project staff attend and participate in HRSA sponsored workshops
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REVIEW OF NOA – CONDITIONS AND TERMS OF AWARD

Conditions of Award: Extremely important –

- Requires Action/Response by specific deadline; usually tied to the NOA issuance date
- Response must be submitted via the Electronic Handbook (EHB)
- Review by HRSA; approval will occur via issuance of a revised NoA
- Resulting NoA will contain language specifically addressing the status of the condition

Most Typical Condition: Submit Revised SF424A Line Item Budget, Budget Narrative Justification to include the budget breakdown of the required non-Federal resources.

■ **3 Categories of Terms: Legally binding –**

1. Standard – 14 Apply to all HHS awards

Example: Must maintain an active registration in the GSA System for Award Management (SAM). Requires Annual update.

2. Grants Specific – 1 Apply to the SORH NFE's

3. Program Specific

REVIEW OF NOA – REPORTING REQUIREMENTS

Reporting Requirement(s)

Due Date: Annually (Budget Period) Beginning: Budget Start Date Ending: Budget End Date, due 90 days after end of reporting period.

The NFE must submit an annual Federal Financial Report (FFR). The report should reflect cumulative reporting within the project period and must be submitted using the

Electronic Handbooks (EHBs). The FFR due dates have been aligned with the Payment Management System quarterly report due dates, and will be due 90, 120, or 150 days after

the budget period end date. Please refer to the chart below for the specific due date for your FFR:

Budget Period ends August – October: FFR due January 30

Budget Period ends November – January: FFR due April 30

Budget Period ends February – April: FFR due July 30

Budget Period ends May – July: FFR due October 30

Failure to comply with these reporting requirements will result in deferral or additional restrictions of future funding decisions.





PAYMENT MANAGEMENT SYSTEM (PMS)

PMS is a centralized payment and cash management system for Federal awards that manages payment requests, drawdowns, and disbursement reporting activities.

PMS, acts as the intermediary between awarding agencies and NFE's by:

1. Expediting the flow of cash between the Federal government and NFE's;
2. Transmitting NFE's disbursement data back to the awarding agencies; and
3. Managing cash flow advances to NFE's.

PMS Personal Identification Number (PIN) is required to access your account

NFE's are required to:

- Complete regular draws of funds correlating to award expenditures,
- Submitting quarterly disbursement reports,

Payment Management System (PMS) www.dpm.psc.gov
(Click on contact list to find your PMS Account Representative)

FEDERAL FINANCIAL REPORT (FFR) SF-425

- Annual Reporting Requirement; submission via EHB
- The FFR is a cumulative report for all expenditures over the document number project period
- The current FFR is due **October 30, 2018 & must be submitted via EHB**
- Funds remaining (Unobligated) at the end of a budget period are subject to HRSA's determination of best use and may be offset
- When a unobligated balance is entered; the FFR contains a: "Carryover Request Decision" and displays as: "Do you intend to request a carryover for this amount?"

Select Option :

Yes - for part of, or entire UOB amount, I will create and submit carryover prior approval within 30 days of Financial Report submission date

No

Not Applicable

- Carryovers should be submitted **with the FFR Due: October 30, 2018 or before December 1, 2018.**

Detailed FFR instructions:

www.hrsa.gov/grants/manage/technicalassistance/federalfinancialreport



COMMON PRIOR APPROVAL REQUEST (PAR)

CARRYOVER - Requests to carry over unobligated funds from the prior budget period into the current budget period.

Requires: The SF-425 Federal Financial Report (FFR) for the appropriate budget period must be submitted and accepted by GMS.

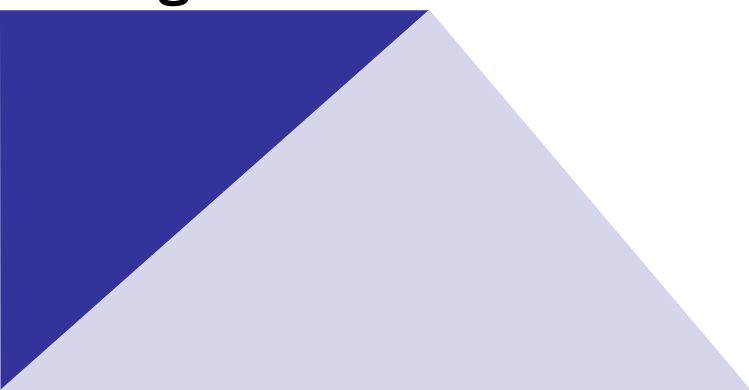
PAR Must include:

- amount of the unobligated funds,
 - project activities for which the funds were originally awarded,
 - reason these activities were not completed within the budget period in which the funds were awarded,
 - proposed activities; must be within the previously approved goals and objectives of the program,
 - a SF424-A line item budget for the proposed activities with narrative justification
- may not be used for new activities (outside the scope of the original grant)

-Requests must be fully justified and not in order to spend down available unobligated funds

-NFE are notified of approved carryover requests by a Revised NOA.

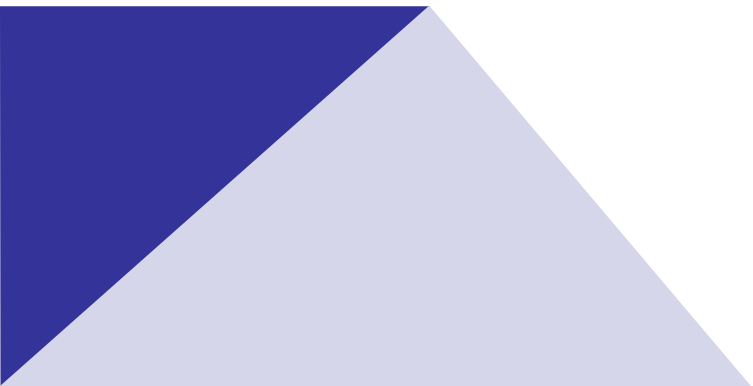
COMMON PRIOR APPROVAL REQUEST (PAR)

- **Budget Revisions - For budget changes of more than 25% of total budget**
 - Cover letter explaining the need for the budget revision
 - Requires SF424-A, reflecting the revised line item budget and narrative justification
 - **Change in Project Director (PD) – Position is vacant, project director is absent for more than 3 months or a 25% reduction in time devoted to project**
 - Requires PAR from Authorized Representative
 - Resume/CV for proposed staff
 - Contact information, e.g. email, current address and telephone number
 - Signature of current PD as well as proposed PD
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PRIOR APPROVAL PROCEDURES

Prior approval requests must be submitted through the EHB Prior Approval section

After review by the PO and GMS, approval is official only when a revised Notice of Award is issued reflecting the authorization of the GMO

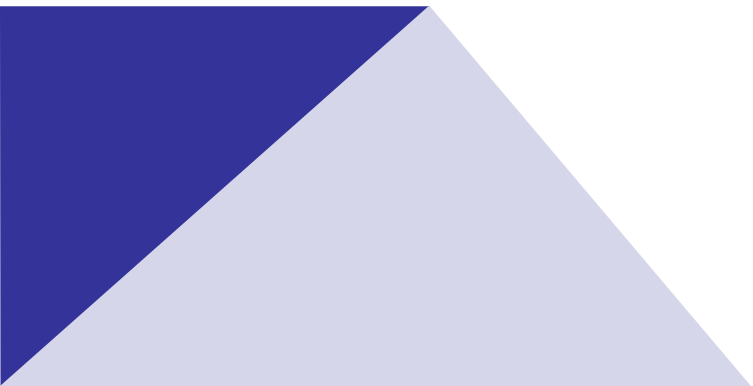


BUDGET MODIFICATION POST AWARD CHANGES

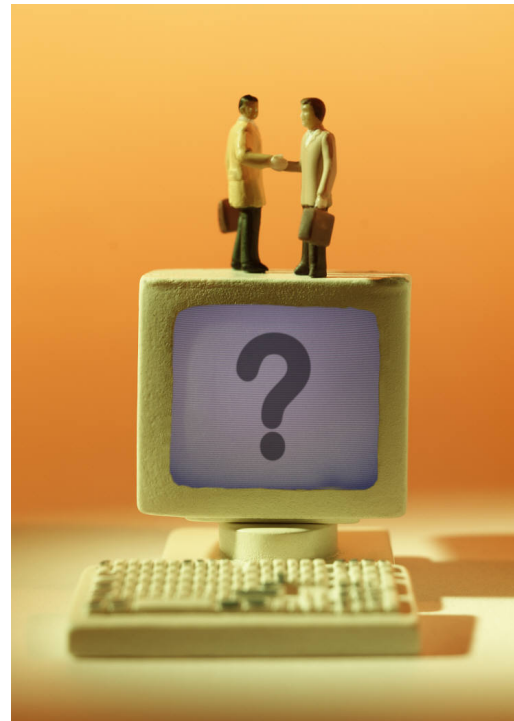
Rebudgetting:

Funds may be revised within and between approved budget line items up to 25% of the total approved budget amount.

Rebudgetting exceeding the 25% limit is consider significant re-budgeting and requires a prior approval request submitted in the Electronic Handbooks (EHB).



QUESTIONS?



INFORMATION RESOURCES

- Payment Management System (PMS) <http://www.dpm.psc.gov>

Questions on the Payment Management System:

E-Mail: PMSSupport@psc.gov 877-614-5533

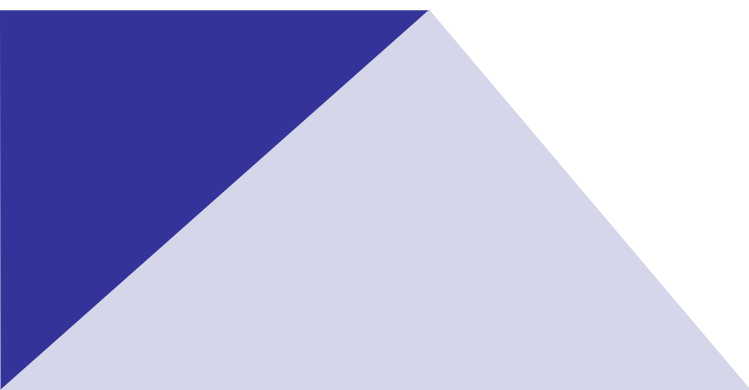
- HRSA Contact Center - Help desk regarding all EHB Information Technology (IT) issues-

Providing step-by-step instructions for navigating all areas of the EHB system

Assisting with internal and external EHB IT issues

FFR instructions in EHB:

www.hrsa.gov/grants/manage/technicalassistance/federalfinancialreport



GRANTS MANAGEMENT CONTACT INFORMATION

Grants Management Specialist identified on the Notice of Award

Questions related to this presentation:

Lead Grants Management Specialist for the SORH Program

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