Behavioral Health is Essential To Health

Prevention Works

Treatment is Effective

People Recover
GRANTS MANAGEMENT 411

GLS/NSSP Grantee Meeting
May 3, 2016

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TOPICS

- Partnership and Roles
- The Grant Cycle at SAMHSA
  - Post-Award Management
  - Reporting Requirements
  - Continuations
- Important Due Dates
- Tips for Effective Communication
- Helpful Resources
PARTNERSHIP - ROLES

After SAMHSA awards a grant, it collaborates with recipients throughout the life of the grant.

Division of Grants Management: Issues the Notice of Award (NoA)

GMS:
- Day-to-day contact for business management and non-programmatic aspects of the award.
- Review, negotiation, award, and administration of grants
- Interprets grants administration policies and provisions
- Works closely with GPO to understand programmatic aspects of the award

CMHS, GPO:
- Programmatic and Technical aspects of your grant project
- Provides GMS guidance on programmatic activities in budget

GMS – GPO:
- Address recipient inquiries
- Review post-award actions
THE GRANT CYCLE AT SAMHSA:
POST-AWARD MANAGEMENT

- **Special Conditions**: Included in NoA – Programmatic, Revised Budget, PPHF Reporting
  - Require a follow-up action by a specific date and submission to GPO, GMS
  - Usually requires a revised NoA indicating the condition has been satisfactorily met

- **Some Actions Requiring Prior Approval**
  - **Removal of Special Conditions** – as indicated in the NoA
  - **Key Staff Changes** – any replacement or substantial reduction in effort of positions designated as key staff in the NoA
  - **Significant re-budgeting** – modifications that exceed 25% or $250,000, whichever is less, of the approved budget
  - **Change in scope** – proposed changes to the objectives, goals, and/or purposes of the project as approved in the grant application
  - **Transfer of substantive programmatic work to a contractor**
  - **Carryover of unobligated funds above 10 percent** of the total federal share of the current budget period
  - **No-cost extension** – to phase-out approved programmatic activities and objectives beyond the established project-period end date
**THE GRANT CYCLE AT SAMHSA:**
**POST-AWARD MANAGEMENT**

- **Requesting Prior Approval**
  - Submit request via email to GMS and GPO
  - Request should include:
    - Grant #
    - Project Director and Business Official signatures
    - Narrative describing:
      - The post-award action
      - The need for the post-award action
      - Budget implications, if any, of the proposed action
    - Revised budget, if applicable
    - Supporting documentation (e.g., CV, checklist, position description, IDC rate)

- **GMS/GPO review**
- **Approval is official with a revised NoA** (sent to Business Official)
THE GRANT CYCLE AT SAMHSA:
POST-AWARD MANAGEMENT

- **Carryovers**
  - **Intent to carryover:** Recipients may carryover an unobligated balance (UOB) of funds of up to **10 percent of the total federal share authorized for the current budget period** without prior approval.
    - For example – In Year 2, the total authorized amount is $500,000. The recipient reports an unobligated balance of $100,000 in the Year 1 Federal Financial Report. The recipient can carryover up to $50,000 of the $100,000 UOB. ($500,000 x 10% = $50,000)
    - Report carryover intent in the Remarks section of the Federal Financial Report for the prior year (ex. Year 1 FFR)
    - Report actual carryover in the Remarks section of the Federal Financial Report for the current year (ex. Year 2 FFR)
    - DGM will not issue a revised NoA approving the use of the UOB up to the allowable 10 percent.
THE GRANT CYCLE AT SAMHSA:
POST-AWARD MANAGEMENT

- **Carryovers**
  - **Formal carryover**: Requests to carryover more than 10 percent; requests from recipients designated on high-risk status
    - For example – In Year 2, the total authorized amount is $500,000. The recipient reports an unobligated balance of $100,000 in the Year 1 Federal Financial Report. In order to carryover more than $50,000, the recipient must submit a formal request.
  - **Request should include:**
    - Explanation of why funds were not used in previous year
    - Programmatic justification for proposed carryover activities
    - Detailed budget and budget narrative presented by budget cost categories
THE GRANT CYCLE AT SAMHSA:
CONTINuations

- **Continuations** – A Continuation Application is submitted for each continuing year of the project
  - **Timeline** – reporting for prior year, implementing current year, applying for following year
  - **Submitted electronically:**
    - System for Award Management (SAM) information must be updated at least every 12 months
  - **Includes:**
    - Standard forms
    - Project Narrative
    - Attestation Letter or Detailed Budget and Narrative Justification
    - HHS Checklist
  - **Guidance:** Continuation Letter
    - Sent via email to designated Business Official
    - Posted on the SAMHSA website
# The Grant Cycle at SAMHSA: Reporting Requirements

<table>
<thead>
<tr>
<th>Report</th>
<th>Timeframe</th>
<th>Sent to</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Progress Report</td>
<td>90 days after the end of the budget period</td>
<td>GPO <a href="mailto:DGMProgressReports@samhsa.hhs.gov">DGMProgressReports@samhsa.hhs.gov</a></td>
</tr>
<tr>
<td>Cumulative Federal Financial Report</td>
<td>90 days after the end of the budget period</td>
<td><a href="mailto:CMHSFFR@samhsa.hhs.gov">CMHSFFR@samhsa.hhs.gov</a></td>
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<td>Quarterly Federal Cash Transaction Report</td>
<td>30 days after each quarter</td>
<td>Payment Management Services – online through PMS account</td>
</tr>
<tr>
<td>Semi-annual PPHF Report</td>
<td>July/January</td>
<td>GPO GMS</td>
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# The Grant Cycle at SAMHSA: Important Due Dates

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<tbody>
<tr>
<td>Continuation Application</td>
<td>Early months of the year</td>
<td>DGM sends guidance to the Business Official in the fall on submission process</td>
</tr>
<tr>
<td>Carryover Request</td>
<td>Usually at the end of January</td>
<td>GMS and GPO</td>
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EFFECTIVE COMMUNICATION

- Know who is listed on the award as the Business Official.

- Include your Grant Number (i.e., SM 12345-01) on ALL correspondence submitted to SAMHSA.

- Include your GPO AND GMS in all requests.

- Submit all requests and reports via e-mail. Do not follow-up with hard-copies, unless specifically requested.
HELPFUL RESOURCES

  - Links to NoA Standard Terms and Conditions
  - Reporting Requirements
  - Post-Award Changes
  - **Continuation Grants**: Continuation Letter and supplemental instructions
- **Payment Management Services** – www.dpm.psc.gov
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