

Behavioral Health is Essential To Health



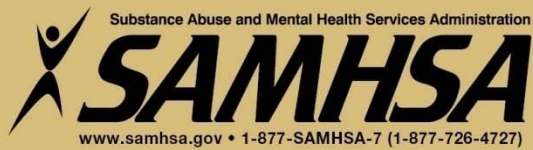
Prevention Works



Treatment is Effective



People Recover



GRANTS MANAGEMENT 411

GLS/NSSP Grantee Meeting

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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. ($\$500,000 \times 10\% = \$50,000$)
 - 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

Report	Timeframe	Sent to
Annual Progress Report	90 days after the end of the budget period	GPO DGMPProgressReports@samhsa.hhs.gov
Cumulative Federal Financial Report	90 days after the end of the budget period	CMHSFFR@samhsa.hhs.gov
Quarterly Federal Cash Transaction Report	30 days after each quarter	Payment Management Services – online through PMS account
Semi-annual PPHF Report	July/January	GPO GMS

THE GRANT CYCLE AT SAMHSA: IMPORTANT DUE DATES

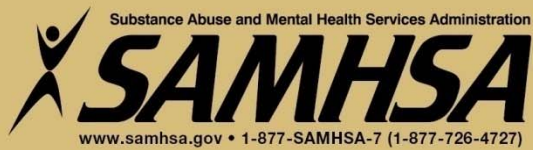
Report	Timeframe	Sent to
Continuation Application	Early months of the year	DGM sends guidance to the Business Official in the fall on submission process
Carryover Request	Usually at the end of January	GMS and GPO
Annual Progress Report	90 days after the end of the budget period	GPO DGMPProgressReports@samhsa.hhs.gov
Semi-annual PPHF Report	July/January	GPO GMS
Cumulative Federal Financial Report	90 days after the end of the budget period	CMHSFFR@samhsa.hhs.gov
Quarterly Federal Cash Transaction Report	30 days after each quarter	Payment Management Services – online through PMS account

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

- **SAMHSA Grants Management** – <http://www.samhsa.gov/grants/grants-management>
 - **Links to NoA Standard Terms and Conditions**
 - **Policies and Regulations:** HHS Grants Policy Statement, Uniform Guidance, Financial Management Requirements, Additional Directives
 - **Reporting Requirements**
 - **Post-Award Changes**
 - **Continuation Grants:** Continuation Letter and supplemental instructions
- **Federal Financial Report** – https://www.whitehouse.gov/omb/grants_forms
- **Payment Management Services** – www.dpm.psc.gov



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