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Roles & Responsibilities

- When an award is made, a Project Officer (PO) and Grants Management Specialist (GMS) will be assigned to oversee the implementation of your project
- The PO complements the business management knowledge of the GMS with expertise in scientific, technical, or programmatic areas
- These key stakeholders are available to provide assistance in navigating unfamiliar territory as you implement your project

The diagram consists of three overlapping circles. The top circle is labeled 'Grant Recipient'. The bottom-left circle is labeled 'Project Officer'. The bottom-right circle is labeled 'Grants Management Specialist'. The overlapping areas between the circles represent the collaborative roles of these parties.

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Roles & Responsibilities

Project Officer

- Responsible for providing defining programmatic objectives and oversight responsibility for program performance
- Provide requested input on the disposition of prior approval requests to the GMS
- Refer questionable situations to the GMS for resolution
- Refer any incoming written prior approval requests to the GMS

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Roles & Responsibilities

Grantee

- Implement work plans to ensure that the project's goals and objectives are achieved in an efficient and timely manner
- Submit completed required performance and financial reports on time as required in your Notice of Grant Award (NGA) "Terms and Conditions"
- Ensure that key project staff members attend and participate in HRSA sponsored workshops and meetings
- Work collaboratively with your assigned grants management officer and program officer

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Roles & Responsibilities

Grants Management Specialist/Officer

- Provides clarification on grants regulations and financial aspects of the project
- Reviews and make recommendations on continued Federal support
- Monitors compliance with grant requirements and cost policies
- Monitors receipt of all required reports and follow-up as necessary to obtain delinquent reports
- Issues Notice of Grant Awards

NOTE: ONLY the HRSA Grants Office has legal authority and the final say in changing, approving or denying program expenditures.

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READ AND UNDERSTAND YOUR NOTICE OF GRANT AWARD (NGA) DOCUMENTS

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Contents

- ☞ Award Document
- ☞ Attachment Pages
 - Program-Specific Conditions
 - Program Terms
 - Standard Terms
 - Reporting Requirements
 - Contacts

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Grant Number

Application
Type Code

Organization
Code

Your unique
Serial number

5 H49 MC

XXXXX-XX-XX

2 H30 MC

XXXXX-XX-XX

Activity/Program Code

Grant Year
of Support

Revision
Number

Notice of Grant Award

4a. AWARD NO.: 5 H49MC00079-06-00	4b. GRANT NO.: H49MC00079	5. FORMER GRANT NO.:			
6. PROJECT PERIOD: FROM: 07/01/2009 THROUGH: 05/31/2009					
7. BUDGET PERIOD: FROM: 08/01/2009 THROUGH: 05/31/2007					
8. TITLE OF PROJECT (OR PROGRAM): HEALTHY START INITIATIVE ELIMINATING DISPARITIES IN PERINATAL HEALTH					
12. AWARD COMPUTATION FOR FINANCIAL ASSISTANCE:					
a. Authorized Financial Assistance This Period	\$583,333.00				
b. Less Unobligated Balance from Prior Budget Periods					
i. Additional Authority	\$0.00				
ii. Offset	\$0.00				
c. Unawarded Balance of Current Year's Funds	\$0.00				
d. Less Cumulative Prior Awards(s) This Budget Period	\$0.00				
e. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	\$583,333.00				
FY-CAN	CFDA	DOCUMENT NO.	AMT. FIN. ASST.	AMT. DIR. ASST.	SUB PROG CODE
06-3898020	93.926	H49MC00079B0	\$583,333.00	\$0.00	N/A

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Notice of Grant Award IMPORTANT ITEMS

- ☛ **Items 6 & 7: Period of Federal Support**
 - Budget and project period: typically 12 months and 3 – 5 years, respectively (but Federal obligation to renew funds is generally limited to budget period authorization).
- ☛ **Items 11-19: Federal funds awarded**
 - Approved budget; budget period funding; offset; carryover (additional authority); future support (conditional); matching/cost sharing requirements
- ☛ **Document No.:**
 - Number you use to report obligations & expenditures against the grant to the Payment Management System.



Attachment Pages

- **Program conditions**
 - Always require a response by a specific date – failure to respond to the HRSA Division of Grants Management Operations in a satisfactory manner may result in an adverse action
 - If the program condition includes additional requirements, HRSA will remove such requirements once the conditions corrected
- **Program Terms**
 - generally informational and advisory by nature (e.g., uses and limitations of funds and post award administration), but may require a response to HRSA



Attachment Pages

- **Standard Terms**
 - appear on the initial award for the budget/project period and describe general terms and conditions of the grant
- **Reporting Requirements**
 - Identifies the various reporting requirements and due dates of the grant
- **Contacts**
 - Identifies the Federal contacts for assistance



ACCESSING YOUR GRANT FUNDS



Accessing Federal Funds

- Payments for grants award by HRSA are made through the Division of Payment Management

Division of Payment Management
 P. O. Box 6021
 Rockville, MD 20852
 (877) 614-5533
<http://www.dpm.psc.gov>



Accessing Federal Funds Important Reminders

- ☞ *You should minimize the time of your draw-down and consider what is administratively feasible for your organization. Manage your Account!!*
- ☞ Draw-downs can either be advances or reimbursement.
- ☞ Federal funds should be placed in an interest bearing account. The first \$250 of interest earned may retained.
- ☞ Submit required reports in a timely manner.



Accessing Federal Funds

- ☞ SF-272 PMS Federal cash transactions report
 - Monitors the timing of cash advances and disbursements
 - Submitted quarterly
 - State/Local Gov't – 15 working days
 - Non-Profit Orgs – 15 calendar days
- ☞ SF-270 Request for Advance or Reimbursement
 - Used when a condition restricting cash draws has been imposed and funds are released only with approval of DGMO
 - Copy signed by authorizing official must be submitted to GMS
 - DGMO approves and submits to PMS
 - Process takes a minimum of 3-5 days – grantees encouraged to submit request 14 days prior to funds being needed

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POST AWARD PROCEDURES

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Post Award Procedures

- ▣ Grantee must notify DHHS of any changes in the scope or budget that may significantly impact the project or materially impair the ability to meet objectives. In such instances, grantee may need approval from funding agency.
- ▣ Grantee must obtain prior approval for the following:
 - Change in project director/other key personnel
 - Absence of project director for more than 3 months or a 25% reduction in time devoted
 - Need for additional Federal funds

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Post Award Procedures

- ▣ Carryover of unobligated funds into the subsequent funding period
 - ▣ Carryover request
 - must be submitted at the same time as the SF-269 (Financial Status Report) and should always include a line item budget, budget narrative and justification
 - should include details as to how the carryover will be used to complete the goals and objectives of the program
 - should not be presented for the reason of spending down of awarded funds
 - ▣ Carryover is not always guaranteed

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Post Award Procedures

☞ **Cost or No Cost Extensions** – A request to extend the final project period up to one year beyond the original expiration date shown on the NGA to complete the goals and objectives of the project.

- Submit 30 working days prior to the end of the project (Expect a denial if submitted after the end of the project period)
- Extensions are made when no additional funds are required to be obligated by the awarding agency, there will be no change to the project scope or objectives and any one of the following applies:
 - Additional time beyond the established expiration date is required
 - Continuity of Federal grant support is required while a competing continuation application is under review
 - The extension is necessary to complete the original approved aims of the project.

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Post Award Procedures

☞ **Prior approval required (cont'd):**

- Inclusion of costs that require prior approval
- Budget Revisions
- Contracting for substantive programmatic work
- Transfer of funds allotted to training

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REPORTING REQUIREMENTS

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Reporting Requirements

☛ **SF269/269A Financial Status Report**

- Submitted annually – within 90 days after the budget period ends.
- Budget period report, not a cumulative report.
- Report should always be dated and signed by an financial official.
- First quarter FY09 – FSR submission will be available electronically through EHB and will be cumulative - to be superseded by uniform electronic Federal Financial Report (FFR) by FY10.

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Reporting Requirements

☛ **Annual Audit (OMB Circular A-133)**

- If Federal expenditures are greater than \$500,000, must complete an annual audit in accordance with the requirements of OMB Circular A-133 and the compliance supplement for health centers
- Due 9 months after the end of the fiscal year or 30 days after receipt from the auditor, whichever is earlier
- Preferably, the audit will result in an unqualified opinion, gross charges exceed billable expenses, acceptable financial ratios, and minimal (or no) material audit findings

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FINANCIAL MANAGEMENT SYSTEM EXPECTATIONS

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Financial Management System Expectations

45 CFR Part 74: Requirements

- ☞ Grantees are expected to have a financial management system that meets basic Federal administrative requirements:
 - General ledger
 - Accounts receivable system
 - Accounts payable system
 - Reporting system
 - Internal Control system with policies and procedures
 - Cash collections and control
 - Schedule of fees and discounts

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Grant-Related Laws, Regulations and Policies

- ☞ Grant enabling statute:
- ☞ Program specific regulations:
- ☞ DHHS administrative regulations: 45 C.F.R. Part 92 or 45 C.F.R. Part 74, incorporating OMB Circulars A-110 and A-122
- ☞ OMB Circular A-133 – Federal Audit Guidance
- ☞ HRSA Program Policies:
- ☞ NGA and special terms and conditions

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HHS Administrative Regulations and Requirements

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HHS Administrative Regulations and Requirements

- ☞ HHS Grants Policy Statement
- ☞ 45 CFR Part 74
 - Transactions/activities conducted by nonprofit grantees (including health centers) that are paid for in whole or in part by Federal funds are subject to administrative requirements in the above, incorporating –
 - OMB Circular A-110 – Administrative standards
 - OMB Circular A-122 – Cost principles

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HHS Administrative Regulations and Requirements

- ☞ Financial/Program Management
 - Federal Cost Principles: Allowability and allocability
 - Federal cost principles (and procurement standards) apply to expenditures of program income and non-grant funds
 - Specific problem areas include lobbying, fundraising, reserves, travel and entertainment

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HHS Administrative Regulations and Requirements

- ☞ Financial/Program Management (cont.)
 - Federal Cost Principles – Indirect Costs
 - Cost principles require grantees with multiple sources of funding to consider utilizing an indirect cost approach, otherwise it is hard to justify cost allocation of “overhead” to the various sources
 - Indirect cost rates assign an approved percentage of “overhead” to each source of funding
 - Indirect costs may be claimed only if an applicable rate has been negotiated with the cognizant Federal or state agency

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HHS Administrative Regulations and Requirements

- Record-keeping and Reporting Requirements
 - Grantees are responsible for monitoring and oversight of all activities supported (in whole or in part) by Federal funds
 - Must submit to DHHS financial and programmatic reports pertaining (directly or indirectly) to the grant-supported project, in such form and the frequency as prescribed by DHHS

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GRANT CLOSEOUT

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Grant Closeout

- Prior to the project period end of a grant, the Division of Grants Management Operations will send information to grantees detailing the specifics of the Closeout Process.
- Grantees are required to submit the following:
 - A final Financial Status Report (FSR), SF-269
 - An inventory of equipment acquired with project funds with a current fair market value of \$5,000 or more per unit
 - A final program performance report
- Financial records, supporting documents, statistical records, and all other records pertinent to this grant shall be retained for a period of three years



Helpful Websites

HHS and Standard Forms:
<http://www.psc.gov/forms/sf/>

Other Helpful Links:

HHS Grants Policy Statement:
<http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>

Code of Federal Regulations (CFR):
<http://www.gpoaccess.gov/cfr/index.html>

OMB Circulars:
<http://www.whitehouse.gov/omb/circulars>



GRANTS MANAGEMENT CONTACTS
 HRSA, Division of Grants Management
 Operations

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Questions & Answers

Thank you for joining us for this webcast!

Archives of this event
 and many others are located at,
www.mchcom.com
