

**2020 SMP/SHIP  
National Conference**

July 21-23, 2020



**GRANTS MANAGEMENT &  
MONITORING**

**July 22, 2020**

*Virtual Presentation*

# Agenda

- **Introductions**
- **Managing a Grant Resource**
- **Payment Management System (PMS) Overview**
- **Grants Management Module (GMM) Overview**
- **Review of Prior Approval Requirements and Procedures**
- **Closing a Grant**
- **Five Suggested Program-Related Grant Actions**

# Presenters

LaDeva Harris (SHIP)

Grants Management Specialist

[LaDeva.Harris@acl.hhs.gov](mailto:LaDeva.Harris@acl.hhs.gov)

Sean Lewis (SMP)

Grants Management Specialist

[Sean.Lewis@acl.hhs.gov](mailto:Sean.Lewis@acl.hhs.gov)

Akia U. Dieuseul (SHIP and SMP)

Project Officer

[Akia.Dieuseul@acl.hhs.gov](mailto:Akia.Dieuseul@acl.hhs.gov)

# Managing a Grant Resource Webpage

<https://acl.gov/grants/managing-grant>

## Managing a Grant

### GRANTS

ACL's Grants Process

Applying for Grants

Funding Opportunities

Grant Lifecycle

Managing a Grant

Successful grant applicants receive from ACL an electronic Notice of Award (NoA) that indicates the grant (program) start and end dates. The NoA is an authorizing document from the ACL authorizing official, Chief Grants Management Officer, and ACL's Office of Budget and Finance. Acceptance of the award is signified by the drawdown of funds from the Payment Management System.

Once an NoA is received, grant program work can begin. As an ACL grantee, there are requirements you need to know as you work to fulfill the expectations of your award. Your Grants Management Specialist and ACL Project Officer are always available to answer questions and discuss issues that arise during implementation of the grant program,

To help you administer your grant award, the following sections offer general information, as well as links to ACL and other federal resources. ***Please note that specific grant compliance requirements will be included in the Notice of Award and must be followed.***

+ Information for New Grantees

+ Federal Restrictions on Lobbying for HHS Financial Assistance Recipients (New)

+ GrantSolutions Grantee Resources

+ Reporting Requirements

+ Terms and Conditions

+ Requesting a Grant Amendment

+ Continuation Awards

+ Grantee Product Disclaimer—REQUIRED

+ Grantee Forms

# Payment Management System (PMS) Overview

- PMS is a secure, online payment platform developed by the Program Support Center (PSC) which provides awarding agencies and grant recipients with grant payments, cash management, and grant accounting support services.
- HHS grant recipients use PMS to drawdown grant funds as well as report financial activity.
- The PMS website is located at
  - <https://pms.psc.gov/>



# Grants Management Module Overview

- GrantSolutions is now referred to as the Grants Management Module (GMM)
- <https://www.grantsolutions.gov/gs/> - Log in screen
- <https://home.grantsolutions.gov/home/> - Main page with links to support, troubleshooting, log in setup assistance and grantee training webinars

Partnering to better serve the grants community. FAQS CONTACT US

GrantSolutions

ABOUT BENEFITS SERVICES PARTNERS NEWS

### Login

GrantSolutions Partners and recipients are the top priority. GrantSolutions will continue to provide uninterrupted grants management support during this COVID-19 national emergency.  
Grantee PIV Card Users: To access GrantSolutions with your PIV credentials please click on the PIV button below.

Username:

Password:

Having trouble logging in?  
[Request a New User Account](#)

**Maintenance Schedule**  
Next Downtime 06/18/2020  
**Current Issues**  
[2 known issues](#)

# Reporting Requirements

- **SF-425-** Financial Status Report- submitted semi-annually. This should be cumulative.
- **Program Progress Report (PPR)** – submitted semi-annually. This is your narrative section which should include the following:
  - **Major Accomplishments** - What were your accomplishments and how did they help to meet project goals and objectives? Include significant project partners and their role in the accomplishments.
  - **Challenges** - What challenges did you face and what actions did you take to address them? Did they cause you to make any changes to your project goals/objectives?
  - **Measurable Outcomes** - How have the activities conducted helped you to achieve the measurable outcomes identified in your project narrative/work plan?
  - **Products** - What was produced and how was it disseminated? Examples include articles, issue briefs, newsletters, surveys, conferences/workshops, websites, or other informational resources. Provide examples in the Appendix.

# Prior Approval Requests

Prior approval is needed from the Office of Healthcare Information & Counseling (OHIC) Program and Office of Grants Management staff for the following:

- **Change in scope**
  - To change the scope of work i.e. goals, objectives or purposes not identified in the approved grant application.
- **Change in Principal Investigator/Program or Project Director (PI/PD)**
  - A Change in Key Personnel is the replacement or change in status (such as an absence for any continuous period of 3 months or more, or reduction of time devoted to the project by 25 percent or more from the level in the approved application) of the Principal Investigator/Project Director (PI/PD).
- **Budget Revision/modification**
  - A budget revision is needed when a grant with a Federal share exceeding \$100,000 has cumulative transfers among direct cost budget categories for the current budget period that exceed 25 percent of the total approved budget (which includes direct and indirect costs, whether chargeable to Federal funds or required matching or cost sharing) for that budget period or \$250,000, whichever is less.



# No – Cost Extension Request

No-Cost Extensions should be submitted at least 30 days prior to the scheduled end of the project period. Requests received after the scheduled project period end date **will not** be processed.

## **Documents Required**

- A dated cover letter signed by the Authorized Organizational Representative (AOR) that includes:
  - Grant Award Number and Grantee Organization Name
  - New proposed project period end date (i.e. June 30, 2020)
  - Written justification that includes:
    - Amount of remaining unobligated funds, if applicable
    - Explanation on why the work has not been completed and a detailed work plan on how all unfinished activities will be completed by the proposed extended end date.

## **How to submit your request**

All requests for No-Cost Extension should be submitted by the grantee in Grants Management Module as a new amendment by accessing “Manage Amendments”, click “New”, select “ACL No Cost Extension (Type 4)” and “Create Amendment”.

# Carryover Request

A grantee's request for Carryover approval should be initiated once the actual unobligated balance is known (generally during the period allowed for preparation and submission of the Federal Financial Report (SF-425). **Grantees must ensure financial reconciliation of financial reports submitted to ACL and PMS that are accurate and therefore requests should be made for the exact dollar amount, including cents.**

## **Documents Required**

A dated cover letter signed by the Authorized Organizational Representative (AOR) that includes:

- Grant Award Number and Grantee Organization Name
- Written explanation of why the carryover is needed, including the reason for having unobligated funds from the prior budget year, the carryover amount, and summary of activities that will be completed using the carryover funds.

The most recent Federal Financial Report (SF – 425) reflecting the unobligated balance of federal funds (line 10h).

A budget narrative/justification providing a breakdown of how the unobligated federal funds will be allocated within each budget category.

## **How to Submit Your Request:**

All requests for Carryover should be submitted by the grantee in Grants Management Module as a new amendment by accessing “Manage Amendments”, click “New”, select “ACL Carryover Request (Type 8)” and “Create Amendment”.

# Change in Scope

A Change in Scope occurs when the recipient proposes to change (or changes) the objectives, aims, or purposes identified in the approved application, such as shifting the research emphasis from one disease area to another, changing the service area, applying a new technology (e.g., changing assays from those approved to a different type of assay), eliminating a primary care delivery site, or making budget changes that cause a project to change substantially from that which was approved.

## **Documents Required**

A dated cover letter signed by the Authorized Organizational Representative (AOR) that includes:

- Grant Award Number(s) and Grantee Organization Name
- Effective date of change
- Work plan
- Project Narrative
- Budget Narrative (if applicable)

## **How to Submit Your Request:**

All requests for Carryover should be submitted by the grantee in Grants Management Module as a new amendment by accessing “Manage Amendments”, click “New”, select “ACL Change in Scope (Type 8)” and “Create Amendment”.

# Obligations vs. Liquidations

**Obligated** – The portion of the funds awarded by the Federal agency that have been allocated by the grant recipient to cover orders placed, contracts and sub awards, goods and services received, and similar transactions during the period being reported on.

**Unobligated** – The portion of the funds authorized by the Federal agency that have not been obligated by the grant recipient. Line 10H on the SF – 425

**Liquidated** – The amount of obligations incurred by the grant recipient that have been paid by disbursement of funds through PMS. Line 10F on the SF – 425

**Unliquidated** – The amount of obligations incurred by the grant recipient that have not been paid (for financial reports prepared on a cash basis) or the amount of obligations incurred by the recipient for which an outlay has not been recorded (for reports prepared on an accrual basis). Line 10F on the SF – 425

# Closeouts

- The final PPR is due 90 days after the project period ends. Upload into the Grants Management Module as an attachment to a Grant Note.
- The final SF-425 is due 90 days after the project period ends. Upload into the Grants Management Module as an attachment to a Grant Note.
- A Property Inventory Disposition (SF-428) form also needs to be submitted; a reminder email will be sent 30 days prior containing this document.

# Frequently Asked Question

- **Can I request a carryover if I still have unliquidated obligated funds?**
  - If you have unliquidated obligated funds reported on line 10F on the SF – 425, those funds are not eligible to be carried over. When it's time to liquidate, you can request an expired funds request via PMS if applicable. PMS will request approval from ACL.
- **Reconciliation between the cover letter, SF – 425 and PMS – It's important that the amount you request to carryover in your cover letter reconciles with your SF – 425 and PMS.**
- **It's critical that the PI/PD and the budget office communicates. When we review your request, we use the official government systems and reporting (PMS and GMM)**
- **You must use funds to cover: orders placed, contracts/subawards, goods and service received and similar transactions during the budget period you received the service.**

# Five Suggested Program-Related Grant Actions

# Regular Contact with Project Officer

1. Keep in contact with OHIC Project Officer through monthly meetings, emails, Adhoc phone calls, etc.

Use these contacts to:

- Ask questions
- Discuss any potential changes or concerns that could impact the grant (staffing, sub-grantee, budget)
- Inform PO when you have submitted an amendment into Grant Solutions
- Receive the latest ACL/OHIC Updates



# Regular Contact with Agency Fiscal

2. Keep in contact with agency fiscal staff to monitor grant spending on a regular schedule (monthly or quarterly).

Regular contact will help determine:

- The status of grant spending (administrative and contractual)
- Completion and submission of Financial Reports
- Whether a Carryover, No Cost Extension, or Budget Revision amendment may be needed.

# SHIP, MIPPA, SMP Listservs

## 3. Read Listserv emails

Information is provided about due dates for:

- Attestations- Unique ID, MARx
- Reports- Semi-Annual Programmatic, SF-425  
Financial Reports
- Grant applications, supplements
- Other pertinent updates

# Access to Grant Solutions

4. Ensure at least 3 people have access to grant solutions (AOR, PI/PD, fiscal or other designated agency staff).

Allowing an additional person to have access to the grant helps:

- During times of staff transitions.
- Provides grantee the ability to submit grant documents into Grant Solutions, such as Change in Key Personnel amendment or programmatic and financial reports, in the absence of the PI/PD.

# Funding and Grant Documents

## 5. Read and Review:

- Funding Opportunity Announcement or Federal Registry Notice to understand and ensure grant requirements are being met.
- Notice of Award each time it is received. Ensure the correct personnel, grantee name and other pertinent information is correct. Review Grant Terms and Conditions for reporting requirements and potential special terms and conditions.
- Your agency's budget narrative and work plan to help understand what items have been approved in your budget/scope of work. May also help to determine when you may need to submit an amendment.

# Bonus Suggestions

## Bonus Suggestions:

Be as flexible, open and receptive to change as possible.

Be patient and understanding with yourself and others as change occurs.

# Questions

