

# Responsibilities as a Title X Grantee – Webinar



**OFFICE OF POPULATION AFFAIRS AND THE  
OFFICE OF GRANTS MANAGEMENT  
OASH**

**THURSDAY, 2 AUGUST, 2012**

# Learning Objectives



- **Understand monitoring responsibilities at the Grantee and Sub-Grantee level**
- **Be aware of the processes regarding the management of Title X Service Grants**
- **Understand the Grantee's responsibilities and process for requesting changes in scope, prior approvals and other requests.**
- **Understand the different administrative and financial reporting requirements**

# Grantee Monitoring and Oversight



- **Program Reviews**
  - Process
  - Expectations
  - Findings, reasonable assurance and recommendations
  - Corrective action plans
- **Site Visits**
  - Purpose
- **Sub-recipient Monitoring**
  - Programmatic requirement
  - Due diligence

# Managing Your Grants



**OASH, OFFICE OF GRANTS MANAGEMENT**

# Notice of Award (NoA)



- **Grant identification number ("grant number")**
  - Every New Competition will result in a new Grant Number.
  - Place assigned Grant Number on all correspondence.
- **Statutory authority for the award and any applicable program regulations**
- **Name of recipient organization, PI/PD, AO and PO.**
- **Approved project period and budget period start and end dates**
- **Amount of Federal funds authorized for obligation by the recipient**
- **Amount of cost sharing, if applicable.**
- **Applicable terms and conditions of award, either by reference or inclusion.**
- **The assigned EIN, which must be used to request payment.**
- **The Office of Grants Management is paperless. There is no signed hard copy of the NOA. You will always have access to the NOA via Grant Solutions.**

# Meeting Your Terms and Conditions



- **The NoA is the legally binding document issued to the receiving organization that awards funds, sets Terms and Conditions, and allows funds to be drawn from the Payment Management System.**
- **It's your responsibility to read the entire document and understand the requirements.**
- **You accept the award and its associated terms and conditions by drawing or requesting funds from PMS.**

# Prior Approval



No proposed action can take place until  
GMO Approval is granted.

- Change in Scope
- Significant re-budgeting
- Change in PI/PD
- Carryover request
- Alteration and Renovation
- Change of Grantee Organization
- No-Cost Extension

# Change in Scope



What defines a change in scope?

- A change in scope occurs when the recipient proposes to change the objectives, aims, or purposes identified in the approved application such as changing the service area, eliminating a primary delivery site, transferring programmatic work and reducing the number of clients served.



# Change in Scope requirements



- As much in advance as possible but no later than 30 days before you want the change effective.
- Provide a detailed explanation of the proposal indicating how the change will impact the existing objectives, aims or purposes from the original approved application.
- If the proposal requires significant budget revision (Over 25% of total award), the request should include a revised Budget Narrative Justification, matching revised SF 424 and SF 424A.

# Significant re-budgeting



- **Significant re-budgeting occurs when, under a grant with a Federal share exceeding \$100,000, cumulative transfers among cost categories for the current budget period exceed 25 percent of the total approved budget (which includes direct & indirect costs when chargeable to Federal funds for that budget period), or \$250,000, whichever is less.**

# Significant re-budgeting requirements



- **A written justification indicating why significant re-budgeting is requested.**
- **Revised Budget Narrative Justification highlighting the proposed re-allocated cost/activities and a revised SF 424 and SF 424A.**

# Change in PI/PD



- The recipient is required to notify the OGM in writing if the PI/PD named in the Notice of Award will withdraw from the project entirely, be absent from the project during any continuous period of 3 months or more, or reduce time devoted to the project by 25 percent or more from the level that was approved at the time of award.

# Change in PI/PD requirements



- **Justification for the change indicating the total FTE percentage the PI/PD will devote to the project.**
- **CV/resume to support the request.**
- **If the proposed Change of PI/PD requires a significant revision to the budget, the request should include a revised Budget Narrative Justification and a revised SF 424 and SF 424A.**

# Carryover request



- **The authorization to spend unobligated (Unspent) funds from a prior Budget Period (e.g., Year 1) in the current Budget Period (e.g., Year 2). These are NOT new funds; they do not add to your cumulative award (i.e., Box 13 on the Notice of Award or Line 10d., Total Federal funds authorized, on the SF 425).**

# Carryover requirements



- Most current copy of the SF 425 (Federal Financial Report).
- Explanation of why the unobligated balance exists and justification for using it in the current budget period.
- An SF 424 and SF 424A and Budget Narrative Justification listing the proposed cost and activities to be completed during the carryover period.

# Notification



- **Change of Authorizing Official**
- **PI/PD departure**
- **Organizational name change**
- **Change of contact information e.g. address, phone, e-mail**



# Reporting and Financial Management



# Project Reporting



- **Program Reporting**
  - End of budget year Progress Reports
    - ✦ Due 45 days from end of the budget period
    - ✦ Extension of the progress report from the NC application
    - ✦ Submitted to OGM grants specialist and cc to regional project officer
  - End of project period comprehensive reports
    - ✦ Due 90 days from the end of the project period
    - ✦ Comprehensive grant report as part of close out
    - ✦ Submitted to OGM grants specialist and cc to the regional project officer
- Official guidance will be developed and distributed to all grantees and available on the OPA website

# Reporting – Family Planning Annual Report (FPAR)



- Each year grantees are required to submit a Family Planning Annual Report (FPAR) for the previous calendar year.
- The FPAR contains a brief organizational profile and 14 tables to report data on family planning users, service use, and revenue for the reporting year.
- The FPAR instrument and instructions can be found on the OPA Web site at <http://hhs.gov/opa>, and at <https://fpar.opa.hhs.gov>

# Reporting



- FPAR should be submitted electronically by February 15<sup>th</sup> at <https://fpar.opa.hhs.gov> This website also includes archived training webinars on how to use the online system for FPAR submission
- New grantees should contact their Regional Program Consultant to attain a username and password for the FPAR system website
- FPARs from prior years are available to the public on the OPA website <http://www.hhs.gov/opa/>

# Financial Management



# Federal Financial Reporting



- The Department of Health and Human Services (HHS) has transitioned from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure reporting. SF-269s will no longer be accepted. If an SF-269 is submitted, the Office of the Assistant Secretary for Health, Office of Grants Management will return it and require the recipient to complete the SF-425. The SF-425 and instructions for completing the form can be found on the Web at:
- [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms)

# Federal Financial Reporting (cont.)



- Grantees must submit quarterly Federal Financial Reports (FFR) due on the same quarterly period with which the cash reporting is required to be submitted to the Division of Payment Management (DPM) or at the end of a federal fiscal quarter.
- The quarterly FFR is due 30 days after the end of each reporting period. An annual FFR is due 90 days after the end of each report period or Federal Fiscal Year.
- GrantSolutions will automatically issue you a reminder seven (7) days prior to each report due date. If not submitted by the due date, you will receive a message indicating the report is past due.
- The Financial Officer must have a GrantSolutions Account to access the FFR Module.

# Instructions for the SF-425 Federal Financial Report (FFR)





# SF 425 Federal Financial Report



- The submission the FFRs will be on a quarterly or annual basis, as directed by the Federal agency. A final FFR shall be submitted at the completion of the award agreement. The following reporting period end dates shall be used for reports: 3/31, 6/30, 9/30, or 12/31. For final FFRs, the reporting period end date shall be the end date of the project period.
- Quarterly reports shall be submitted no later than 30 days after the end of each reporting period: 1/30, 4/30, 7/30, 12/29. Annual reports shall be submitted no later than 90 days after the end of each Federal Fiscal Year. Final reports shall be submitted no later than 90 days after the project period end date. Follow the FFR Reporting table on the NoA.

# SF 425 Federal Financial Report (cont.)



**For single award reporting:**

- **Grantees are required to submit reports completing the required information on lines 10(a) through 10(c) and financial status information lines 10(d) through 10(o).**
- **Lines 10(b) and 10(e) may not be the same until the final report.**

# Line Item Instructions for the Federal Financial Report - 1



1. Federal Agency and Organizational Element to Which Report is Submitted . Enter the name of the Federal agency and organizational element identified in the award document or as instructed by the agency. **(HHS – OASH)**
2. Federal Grant or Other Identifying Number Assigned by Federal Agency. For a single award, enter the grant number assigned to the award by the Federal agency. **(e.g. FPHPA010036)**
3. Recipient Organization Enter the name and complete address of the recipient organization including zip code. **(See NoA)**
- 4a. DUNS Number Enter the recipient organization's Data Universal Numbering System (DUNS) number **(See NoA)**
- 4b. EIN Enter the recipient organization's Employer Identification Number (EIN). **(See NoA)**
5. Recipient Account Number or Identifying Number Enter the account number or any other identifying number assigned by the recipient to the award. This number is for the recipient's use only and is not required by the Federal agency. **(See Document number on NoA if number needed)**

# Line Item Instructions for the Federal Financial Report - 2



6. Report Type Mark appropriate box
7. Basis of Accounting (Cash/Accrual) Specify whether a cash or accrual basis was used for recording transactions related to the award(s) and for preparing this FFR. Accrual basis of accounting refers to the accounting method in which expenses are recorded when incurred. For cash basis accounting, expenses are recorded when they are paid.
8. Project/Grant Period, From: **(Month, Day, Year) Indicate the period established in the award document during which Federal sponsorship begins and ends.**  
Project/Grant Period, To: **(Month, Day, Year) See the above instructions**
9. Reporting Period End Date: **(Month, Day, Year) Enter the ending date of the reporting period. For quarterly, semi-annual, and annual interim reports, use the following reporting period end dates: 3/31, 6/30, 9/30, or 12/29. For final FFRs, the reporting period end date shall be the end date of the project or grant period.**

# Line Item Instructions for the Federal Financial Report - 3



- 10. Transactions** Enter cumulative amounts from date of the inception of the award through the end date of the reporting period specified in line 9. Use Lines 10a through 10c, Lines 10d through 10o, or Lines 10a through 10o, as specified by the Federal agency, when reporting on single grants.
- 10a. Cash Receipts** - Enter the cumulative amount of actual cash received from the Federal agency as of the reporting period end date.
- 10b. Cash Disbursements** Enter the cumulative amount of Federal fund disbursements (such as cash or checks) as of the reporting period end date. Disbursements are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expenses charged to the award, *and the amount of cash advances and payments made to sub-recipients and contractors.*
- 10c. Cash On Hand** (Line 10a Minus Line 10b) Enter the amount of Line 10a minus Line 10b. This amount represents immediate cash needs. If more than three business days of cash are on hand, the Federal agency may require an explanation

# Line Item Instructions for the Federal Financial Report - 4



10d. Total Federal Funds Authorized - Enter the total Federal funds authorized as of the reporting period end date.

**Should match box 13 on your NoA.**

10e. Federal Share of Expenditures - Enter the amount of Federal fund expenditures.

10f. Federal Share of Un-liquidated Obligations Enter the Federal portion of un-liquidated obligations. Those obligations include direct and indirect expenses incurred but not yet paid or charged to the award, including amounts due to sub-recipients and contractors.

10g. Total Federal Share - Enter the sum of Lines 10e and 10f.

10h. Unobligated Balance of Federal Funds - Enter the amount of Line 10d minus Line 10g.

# Line Item Instructions for the Federal Financial Report - 5



- 10i. Total Recipient Share Required - Enter the total required recipient share for reporting period specified in line 9. The required recipient share should include all matching and cost sharing provided by recipients and third-party providers to meet the level required by the Federal agency.
- 10j. Recipient Share of Expenditures - Enter the recipient share of actual cash disbursements or outlays.
- 10k. Remaining Recipient Share to be Provided (Line 10i Minus Line 10j)
- 10l. Total Federal Program Income Earned - Enter the amount of Federal program income earned. **Do not report any program income here that is being allocated as part of the recipient's cost sharing amount included in Line 10j.**
- 10m. Program Income Expended in Accordance With the Deduction Alternative **(N/A)**.
- 10n. Program Income Expended in Accordance With the Addition Alternative .
- 10o. Unexpended Program Income (Line 10l Minus Line 10m or Line 10n).

# Line Item Instructions for the Federal Financial Report - 6



**11. Indirect Expense: Complete this information only if required by the awarding agency. Enter cumulative amounts from date of the inception of the award through the end date of the reporting period specified in line 9.**

11a. Type of Rate(s) - State whether indirect cost rate(s) is Provisional, Predetermined, Final, or Fixed.

11b. Rate - Enter the indirect cost rate(s) in effect during the reporting period.

11c. Period From; Period To - Enter the beginning and ending effective dates for the rate(s).

11d. Base - Enter the amount of the base against which the rate(s) was applied

11e. Amount Charged - Enter the amount of indirect costs charged during the time period specified. (Multiply 11b. x 11d.)

11f. Federal Share - Enter the Federal share of the amount in 11e.

11g. Totals - Enter the totals for columns 11d, 11e, and 11f.



# Line Item Instructions for the Federal Financial Report - 7



## Remarks, Certification, and Agency Use Only

12. Remarks - Enter any explanations or additional information required by the Federal sponsoring agency .
- 13a. Typed or Printed Name and Title of Authorized Certifying Official -Enter the name and title of the authorized certifying official.
- 13b. Signature of Authorized Certifying Official –The authorized certifying official must sign here.
- 13c. Telephone (Area Code, Number and Extension) - Enter the telephone number (including area code and extension) of the individual listed in Line 13a.
- 13d. E-mail Address - Enter the e-mail address of the individual listed in Line 13a.
- 13e. Date Report Submitted (Month, Day, Year) - Enter the date the *FFR* is submitted to the Federal agency using the month, day, year format.

# Payment Process and Audit reporting



- **Payment Procedures – Inquiries regarding payments should be directed to <http://www.dpm.psc.gov> Division of Payment Management, P.O. Box 6021, Rockville, MD 20852, 1-877-614-5533.**
- **Audit reporting - Recipients and sub-recipients are subject to the audit requirements of OMB Circular A-133 for all entities which expend \$500,000 or more of Federal funds in each fiscal year. The audit when completed should be submitted online to the Federal Audit Clearinghouse at: (301) 763-1551 (800) 253-0696 (voice).**

# Closeout



- When the project is in its final budget period and the project period has ended, the grantee organization is required to submit the following:
  1. Final Program Progress report
  2. SF-425 – Final Federal Financial report
  3. SF-428 Tangible Personal Property report and/or Disposition report
- These documents are due within 90 calendar days after the expiration of the project and budget period end date. Both the SF-425 and SF-428 with instructions for completing the forms can be found on the Web at:  
[http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms)
- Instructions for completion of the Final Progress Report will be provided by the Program Office.

# Questions?



See Contact Information on NoA

For your assigned Grants Management Specialist or call OGM at 240-453-8822.

Key guidance provided under this Training –

- HHS Grants Policy Statement

<http://dhhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf>

- Federal Regulations at [45 CFR parts 74 and 92](#)