



Understand the GRANT PROCESS: Pre-Award, Post-Award and Closeout



The Grants Process

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Pre-Award

Federal Assistance Management staff work with program offices to develop a Funding Opportunity Announcement, including

- instrument (grant or cooperative agreement)
 - **Both provide assistance (as opposed to contracts, which procure services) and follow the same administrative requirements. Level of programmatic involvement is primary difference.**
- project period (start and end dates)



The Pre-Award Process

Applicants can contact Federal Assistance Management staff listed in FOA to

- Provide advice and clarity on budget and fiscal concerns
- Explain grants management policy
- Assist with Grants.gov registration and submission

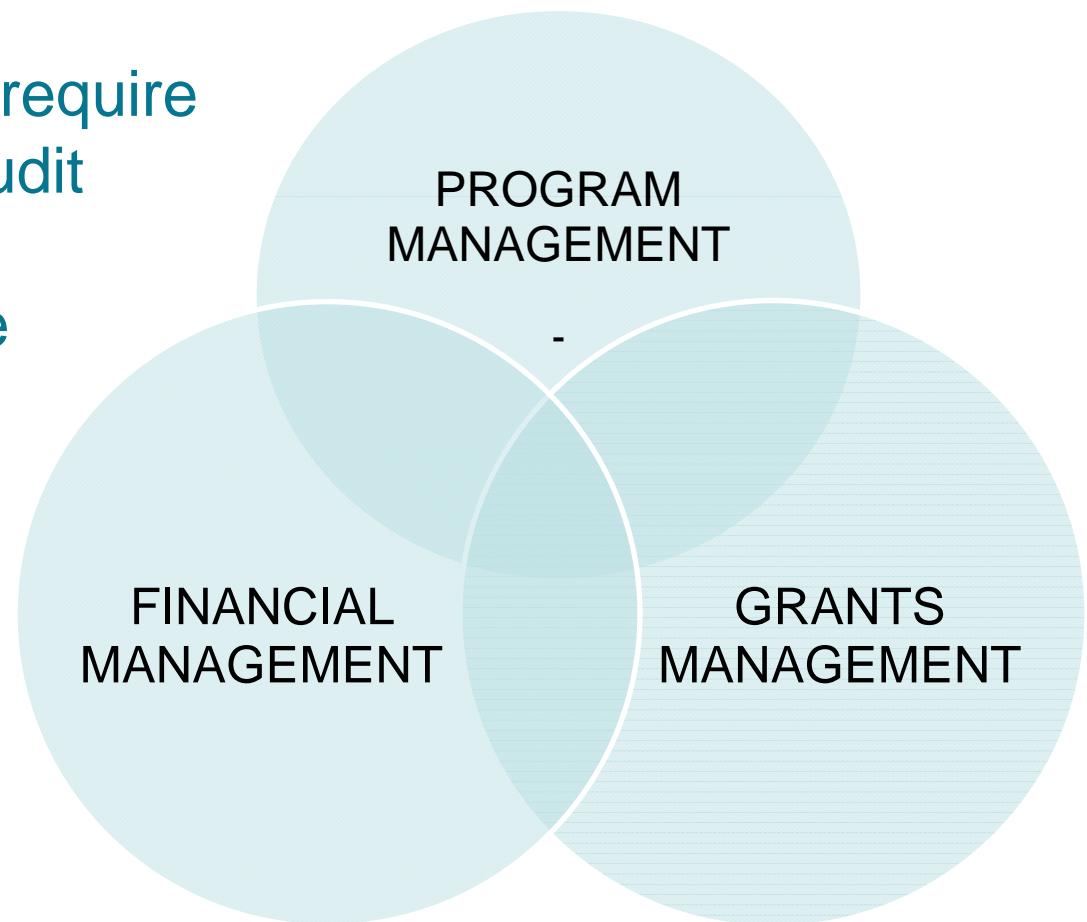
Applicants can contact Program staff listed in FOA to

- Provide advice and clarity on programmatic issues
- Explain evaluation criteria



The Pre-Award Process

Some grant programs require applicants to submit audit reports, which HRSA evaluates to determine applicants' financial viability.





The Pre-Award Process

Every application receives a thorough review by a panel of independent reviewers who have knowledge and expertise equivalent to that of the applicants.

- Each reviewer reads between 6 and 8 applications scores each according to the evaluation criteria published in the FOA.
- Then the review panel meets and develops consensus statements identifying the strengths and weaknesses of each application. These are provided to applicants, whether or not they receive awards.
- The panel does not compare applications, but does make funding recommendations.
- HRSA decides which applications receive funding.



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Post Award Process & Activities

HRSA issues a Notice of Grant Award (NGA) for each application selected for funding.

The NGA stipulates the

- project and budget period,
- amount of federal assistance,
- terms and conditions of the award, and
- reporting requirements.

The Post Award phase of grants management is where and when the day to activities of grant monitoring occurs.



Post Award Process & Activities

The NGA also contains of the grants management specialist will monitor the business management aspects of the grant, including

- Lifting conditions
- Providing prior approvals
- Reviewing any NICRAs or Indirect Cost Agreements
- Responding to Freedom of Information Act (FOIA) requests
- Issuing notices of suspension/termination
- Continuously monitoring fiscal management to ensure fiscal/program integrity



Post Award Process & Activities

Budget Basics

The FOA includes any specific budget requirements, such as budgeting by objectives or budget limitations. All grantees are monitored to ensure adherence to these and other budget requirements, including allowability, reasonability and allocability of costs.



Post Award Process & Activities

Budget Basics: Indirect Costs

Indirect costs are those costs incurred for common or joint objectives that cannot be readily identified but are necessary to the operations of the organization.

The grant management specialist

- Reviews and verifies any indirect costs charged
- Provides information for grantees/applicants with no negotiated rates

If you plan to negotiate an Indirect cost rate, you may request 10% of salaries/wages until the rate is determined.



Post Award Process & Activities

Budget Basics: Unallowable/Restricted

Costs

Grants Management evaluates adherence to program guidance pertaining to budget, including basic policy and legislative requirements.

- If there are no conditions on the budget listed in the Notice of Grant Award, the budget is approved.



Post Award Process & Activities

Site Visits

Site Visits are an opportunity for Federal staff to meet with the grant project teams and view the project in action. The site visit is a monitoring tool and also an information exchange.

The site visit team may include

- Federal program staff
- Federal grant management staff
- Technical assistance consultants



Post Award Process & Activities

Site Visits: Financial Management Systems

Federal grantees are required to have financial management systems that provide for timely, accurate, current, and complete disclosure of financial information while providing oversight and protection of Federal funds. If a grantee does not have an adequate system it can prevent successful accomplishment of grant objectives.



Post Award Process & Activities

Site Visits: Other Records

- Personnel and HR Related policies and procedures
- Subcontract records
- Procurement policies and procedures
- Any other basic administrative regulations that have a bearing on the grant/project being funded by the particular award.



Post Award Process & Activities

Reporting

- Progress – Grantees are required to submit to HRSA periodic reports to reflect the progress on activities to date. NGA spells out the frequency and information to be included in the report.
- FFR – Federal Financial Report for HRSA grantees are due 90 days after the budget period ends. This report will give the details of the grantees spending for the period. Continued funding decisions can be made based on the reports.



HHS Standards

Financial Management Requirements

- 45 CFR Part 74.21 Educational Institutions, Hospitals, and Non-Profit Organizations
- 45 CFR Part 92.20 State, Local Government and Tribal Organizations



COST PRINCIPLES

What are they?

A set of rules that are used to achieve uniformity in the treatment of costs by specific type of recipient organization.

Specific Types are:

- Education
- States, Local, and Indian Tribal Governments
- Non-profits



Federal Cost Principles

Entity Type	Circulars	Grants-wide	HHS Programs
Education Institutions	OMB A-21	2 CFR 220	45 CFR 74.27
State and Local Governments	OMB A-87	2 CFR 225	45 CFR 92.22
Non-Profits	OMB A-122	2 CFR 230	45 CFR 74.27



Post Award Process & Activities

AUDIT REQUIREMENTS

Annual Audits

- Grantees must have an audit performed in accordance with OMB Circular A-133 for FYs with Federal expenditures of \$500,000 or more.
- HRSA's Bureau of Primary Health Care grantees are legislatively required to have an annual audit. This should be an A-133 audit if the \$500,000 threshold is met or a financial statement audit if the threshold **is not** met.



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Close Out

The final phase of the grant life cycle comes at the project period end date.

Grantees are required to submit information on progress, equipment (purchase & disposition), supplies and final Federal Financial Report (totally liquidated)