

Behavioral Health is Essential To Health



Prevention Works



Treatment is Effective



People Recover





Drug-Free Communities New Grant Recipient Training

Drug Free Communities (DFC) Support and Mentoring Programs (Year 1)

SAMHSA's Division of Grants Management
Odessa Crocker, Grants Management Officer

Erwin Morales, Grants Management Specialist
Zekiea Jones, Grants Management Specialist
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SAMHSA

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Federal Partners

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Office of National Drug Policy (ONDCP)

<http://www.whitehouse.gov/ondcp>



Substance Abuse and Mental Health Services Administration (SAMHSA) <http://www.samhsa.gov>

Division of Grants Management (DGM)

<http://www.samhsa.gov/grants>

Centers for Substance Abuse Prevention (CSAP)

<http://www.samhsa.gov/about/csap.aspx>



Payment Management Services

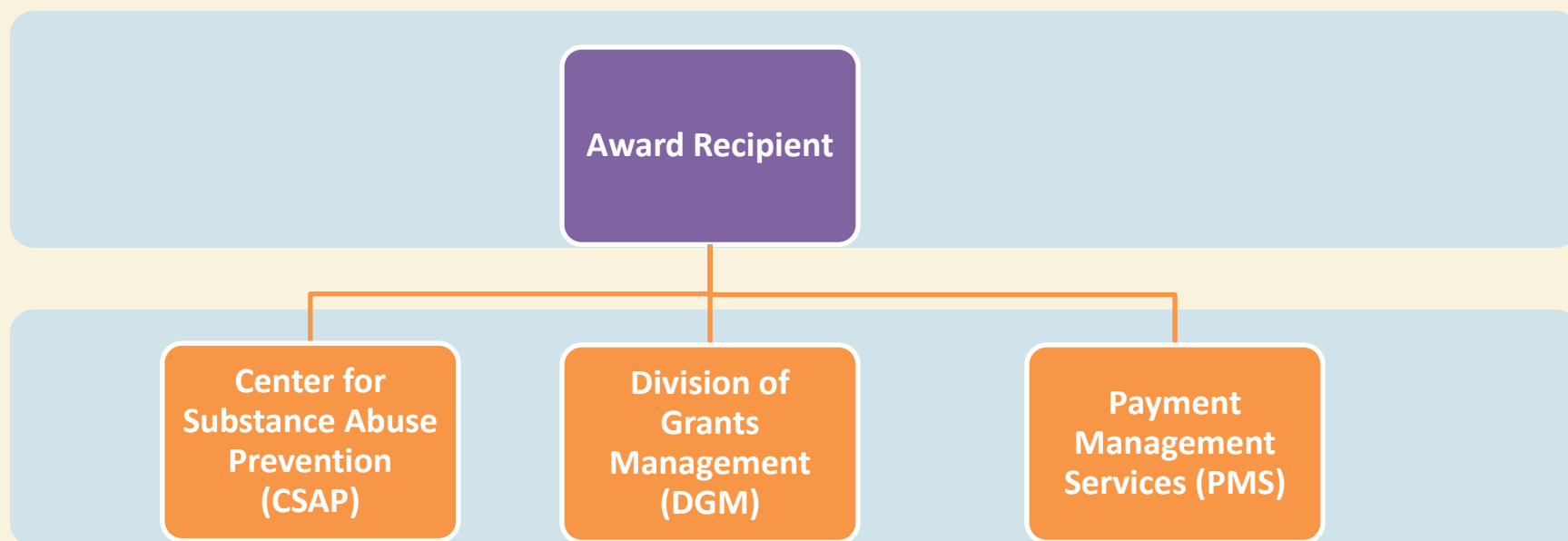
<http://www.dpm.psc.gov/>

Topics

- ✓ *Award Management Partnership*
- ✓ *Roles and Responsibilities*
- ✓ *DFC Program Types*
- ✓ *Notice of Award (NoA)/Terms & Conditions*
- ✓ *Making Post Award Changes – Prior Approval Requirements*
- ✓ *Budget Modification - Prior Approval/Expanded Authority*
- ✓ *Carryover – Prior Approval/Expanded Authority*
- ✓ *Changes in Organizational Status*
- ✓ *Match (Cash, In-Kind, etc.)*
- ✓ *Reporting Requirements*
- ✓ *Federal Financial Reports*
- ✓ *Continuation of Award*

Award Management Partnership

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Award Recipient's Role & Responsibility

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- The Recipient is responsible for carrying out project activities in accordance with the work plan provided in the approved application and complying with the Terms and Conditions identified in the Notice of Award (NoA).

DGM's Role and Responsibilities

- The Division of Grants Management (DGM) is responsible for all business management matters associated with the review, negotiation, award and administration of grants; as well as the interpretation of grant administration policies and requirements.
- The Grants Management Officer (GMO) is the only individual who has signatory authority for obligation of federal funds.
- The DGM works closely with DFC program officials, who are responsible for the technical and programmatic aspects of the grant.

Payment Management Services' Role & Responsibilities

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- When recipients receive an award from SAMHSA, they draw award funds via the PMS system.
- The PMS Account Representative is responsible for managing the recipient account in the PMS.

DFC Program Types

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▪ DFC Regular:

- Awards are up to \$125,000, per each budget period, within a 5 year project period
- Required match is dollar for dollar for years 1 – 6. 125% match in years 7 – 8, and 150% match for years 9 – 10 (cash, in-kind, donations, but no Federal funds).
- Primary goals are to:
 - establish and strengthen collaboration among communities, public and private non-profit agencies; as well as federal, state, local, and tribal governments to support the efforts of community coalitions working to prevent and reduce substance abuse among youth.
 - Reduce substance abuse among youth and, over time, reduce substance abuse among adults by addressing the factors in a community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse.

▪ DFC Mentoring:

- Awards are up to \$75,000, per each budget period, within a 2 year project period.
- Required match is 100% for both year 1 and year 2.
- Having a current DFC grant in good standing (i.e., not on high risk status) is a primary eligibility requirement
- Primary goal is to:
 - assist newly forming coalitions with meeting all of the statutory eligibility requirement of the DFC Program, to be fully prepared to compete for the DFC grant on their own.
 - Funding through this grant is intended to provide the Mentee coalition with the training and technical assistance necessary to ensure formation of a strong community coalition.

Notice of Award (NoA)

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Program Name	Notice of Award
Department of Health and Human Services	
Substance Abuse and Mental Health Services Administration	
Center Information	

Grant Number:

Program Director:

Project Title:

Grantee Address	Business Address
Grantee Address	Business Address

Budget Period:

Project Period:

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$ (Amount of the Award) (see "Award Calculation" in Section I and "Terms and Conditions" in Section II) to (Name of Grantee Organization) in support of the above referenced project. This award is pursuant to the authority of (Program Legislation and Regulation) and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

See additional information below

SECTION I – AWARD DATA –

Award Calculation (U.S. Dollars)

Salaries and Wages	\$
Fringe Benefits	\$
Personnel Costs (Subtotal)	\$
Supplies	\$
Consortium/Contractual Cost	\$
Travel Costs	\$
Other	\$
Direct Cost	\$
Approved Budget	\$
Federal Share	\$
Non-Federal Share	\$
Cumulative Prior Awards for this Budget Period	\$
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$

SUMMARY TOTALS FOR ALL YEARS

YR	AMOUNT
Summary Totals for all Years	

* Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

Fiscal Information:

CFDA Number:

EIN:

Document Number:

Fiscal Year:

IC CAN Amount

SP Administrative Data:

PCC: / OC:

SECTION II – PAYMENT/HOTLINE INFORMATION –

Payments (PMS) PM Program S should be 20852, He The HHS I or abuse U (1-800-447 Services, I	Section II	it System the HHS ding payment ville, MD ing fraud, waste S-TIPS with and Human
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Notice of Award (NoA)

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Contents of Notice of Award:

- ✓ Grant Award Number:
- ✓ Program Director 's Name
- ✓ Grantee Address/Business Address
- ✓ Budget and Period Periods
- ✓ Award Data/ Award Calculations – Section I
- ✓ Summary Totals for All Years – Section I
- ✓ Payment Information – Section II
- ✓ Terms and Conditions – Section III
- ✓ Program Income - Section III
- ✓ Special Terms and Conditions – Section IV
- ✓ Reporting Requirements – Section IV
- ✓ Contacts – Section IV

Making Post Award Changes To Your Grant

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- Making Post Award changes to your grant award or other aspects of your approved application during the year to accomplish certain programmatic objectives is allowable; **See the 2016 DFC Recipient Handbook.**
- Prior approval is required for a number of Post Award changes/circumstances, which are outlined in Section II-49 of the HHS Grants Policy Statement available at: <http://www.samhsa.gov/grants/grants-management/policies-regulations/hhs-grants-policy-statement>
- Failure to obtain prior approval, when required, may result in the disallowance of costs, termination of an award, or other enforcement action.

Prior Approval Requirements

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Standard Actions requiring Prior Approval:

- ✓ **Significant re-budgeting (over 25%)**
- ✓ Transfer of substantive programmatic work to a contractor
- ✓ Change of Key Staff (Project Director or Program Coordinator)
- ✓ Change in Percent of Effort or Level of Work (Key Staff)
- ✓ Change in Scope of Work
- ✓ Alterations and Renovations (A&R)
- ✓ **Carryover of unspent funds over 10%**
- ✓ **Change of recipient organization, contractor or sub-Recipient**
- ✓ No- Cost Extensions
- ✓ Purchase of Equipment in excess of \$5,000
- ✓ Transfers & Relinquishments (Successor-In-Interest)

Although not necessarily post-award changes, the following also require prior approval:

- ✓ Charging Rent to SAMHSA Projects
- ✓ High Risk – Advance & Reimbursement Payments

Budget Modification – Expanded Authority

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Moving funds can help meet unexpected needs or accomplish certain program changes.

Grant recipients (except for those having “**Restricted Status**”) have the liberty to reallocate funds within and between budget categories, up to 25% of the total budget, without prior approval from SAMHSA.

However, when reallocating funds significantly modifies the budget, the submittal of a budget revision request for prior approval is required.

- **Significant Re-budgeting:**

Cost modifications that exceed 25% of the approved budget (which includes direct & indirect costs when chargeable to Federal funds for that budget period).

Budget Modification – Prior Approval

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Exceptions To the Budget Modification Expanded Authority – Prior Approval is Required

If your revision falls into any of the following scenarios, prior approval is required regardless of the 25% threshold:

- Reallocation of funds to a budget category initially funded at “\$0”
- Purchase of a unit of general purpose or special purpose equipment exceeding \$5,000
- Changes to the Personnel or Contract cost categories

To Submit a Budget Revision Request you will need:

- ✓ A request letter – clearly describing the need for the revision; signed by the Project Director and another Authorized Representative
- ✓ Detailed line-item budget with justification
- ✓ SF 424A Budget Information Form

Failure to obtain prior approval, when required, may result in the disallowance of costs, termination of an award, or other enforcement action within SAMHSA’s authority.

Carryover – Expanded Authority

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- **INTENT TO CARRYOVER - EXPANDED AUTHORITY**

- Your organization may exercise its expanded authority to carryover unobligated balances of Federal funds to the subsequent budget period when the SAMHSA grant is
 - 1) not classified as high-risk
 - 2) the request for the amount to carryover is up to 10% of the total federal share of the current budget period (the year in which you will need the funds)
- If the carryover request meets the expanded authority requirements described above, your organization may carryover the unobligated balance of funds for the budget period reported in the FFR to the current budget period without prior approval from the SAMHSA Grants Management Officer.

- **INSTRUCTIONS**

- Your intent must clearly be identified in Box 12 - Remarks of the annual FFR, the intent to carryover funds along with the dollar amount to be carried over. ***Failure to comply with this information may result in the restriction of your Division of Payment Management account, delay of funds or denial of future funding.***

Carryover – Prior Approval

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- **REQUEST (>10%):** Submit with FFR or **no later than** 90 days after the end of the budget period.
- Carryover requests for prior approval greater than **10%** of the Total Federal Share must be submitted electronic via email (required) to the following applicable resource email box: DFCFFR@samhsa.hhs.gov
- Additional guidance to complete a formal Carryover Request is available at: <http://www.samhsa.gov/grants/grants-management/post-award-changes/carryover-requests>

Changes in Organizational Status

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Recipients must give SAMHSA advance notice of the following types of changes in organizational status:

- *Merger*—legal action resulting in the unification of two or more legal entities. When such an action involves the transfer of HHS grants, the procedures for recognizing a successor-in-interest will apply. When the action does not involve the transfer of HHS grants, the procedures for recognizing a name change normally will apply.
- *Successor-in-interest*—process whereby the rights to and obligations under an HHS grant are acquired incidental to the transfer of all of the assets of the recipient or the transfer of that part of the assets involved in the performance of the grant. A successor-in-interest may result from legislative or other legal action, such as a merger or other corporate change.
- *Name change*—action whereby the name of an organization is changed without otherwise affecting the rights and obligations of that organization as a recipient.
- *Transfer* – the transfer of the legal and administrative responsibility for a grant-supported project or program from one legal entity to another before the expiration of the approved project period.

Changes in Organizational Status

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- ✓ The submission of a change in recipient organization request is **not an automatic guarantee**, and is reviewed and approved on a case by case base. The submission of such a request is not taken lightly, and must be supported by a strong and clear justification.
- ✓ Before or during the transfer process, the awarding agency (SAMHSA) cannot reassure that the proposed new recipient organization is guaranteed to be funded. *(i.e., if they are identified as a high risk organization, or fail to meet the eligibility requirements identified in the RFA)*
- ✓ A relinquishment letter/statement cannot be retracted once it has been submitted to the awarding agency (SAMHSA).

Reference GPS: **Changes in Organizational Status** II-79 – 80:

<http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>

Adverse Actions Associated with Recipient Transfers

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- Once a relinquishment letter is submitted the grant goes back to the Federal Government and is no longer the recipient organization or coalition until an official decision is made by the awarding agency (SAMHSA) on such a request.
- After receipt of all required documentation, this process takes 120 days to complete. Therefore, the recipient organization cannot draw down any funds for 120 days from the time the complete request is submitted. The coalition must sustain on its own during this 120 day process.
- A request for a change of recipient organization (change of recipient) must be submitted to the GMO before the anticipated start date at the new organization and preferably several months in advance. Failure to provide timely notification may result in disapproval of the request or a delay in processing.

Match/Cost Sharing

Understanding Matching

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Matching and *cost sharing* are often used interchangeably

- *Matching* usually refers to a statutorily specified percentage
 - Specified as a fixed or minimum percentage of non-Federal participation in allowable program or project costs that must be contributed by a recipient in order to be eligible for Federal funding or a not-to-exceed percentage of Federal participation
- *Cost Sharing* refers to any situation in which the recipient shares in the costs of a project other than as statutorily required matching
- Matching/Cost sharing requirements identified in FOA
- Approved/accepted matching or cost sharing is shown in the NoA

Match/Cost Sharing (cont.) *Understanding Matching*

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- Cash Match
 - Cash spent for project related costs
 - Matching costs must adhere to Federal rules
 - If not allowed with Federal dollars, not allowable with matching dollars
- In-kind Match
 - Are the value of goods and/or services third parties donate for program or project purposes without charge to a recipient
- Third party in-kind contributions
 - May satisfy a matching or cost-sharing requirement only when payment for them would be an allowable cost if the party receiving the contributions (recipient, sub-recipient, or cost-type contractor) were to pay for them

Match/Cost Sharing (cont.)

Understanding Matching

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Valuation of in-kind contributions:

- Rates for volunteers must be consistent with established rates paid for similar work by the recipient or sub-recipient
- If a third party donates the use of equipment and/or space in a building but retains title, the contribution shall be valued at the fair rental rate of the equipment and/or space
- If a third party donates supplies, the contribution shall be valued at the market value of the supplies at the time of donation

Match/Cost Sharing (cont.)

Understanding Matching

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- All costs and contributions used to satisfy a matching or cost-sharing requirement must be documented by the recipient at the same level of detail as federal funds
- Matching contributions are subject to audit
- If a recipient fails to provide required cost sharing, the GMO generally will make a downward adjustment in the federal award amount
- Must be necessary & reasonable for the accomplishment of the grant project objectives
- Allowable costs & included in approved budget
- Expenditures from other federal awards cannot be counted
- Cannot be counted as non-federal matching under another federal grant project

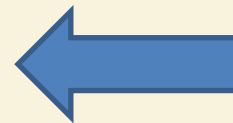
Match/Cost Sharing (cont.)

Understanding Matching

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Recipients must specify the following matching percentages :

- Year 1-6 **100%** of total federal award
- Year 7-8 **125%** of total federal award
- Year 9-10 **150%** of total federal award



Reporting Requirements

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- **Semi-Annual Progress Report:** Friday, February 17, 2017 & Friday, August 18, 2017
- **Annual Coalition Classification Tool:** Friday, August 18, 2017
- **Federal Financial Report (FFR):** December 30, 2017
- **PMS Quarterly Transaction Report:** Due dates:
[https://www.dpm.psc.gov/grant_recipient/ffr_\(fctr\)_due_dates.aspx](https://www.dpm.psc.gov/grant_recipient/ffr_(fctr)_due_dates.aspx)
- **Audit Reports:** <http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&ty=HTML&h=L&r=PART&n=pt45.1.75#sp45.1.75.f>

Federal Financial Report (FFR)

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- **FEDERAL FINANCIAL REPORTING REQUIREMENTS**

- [Federal Financial Report \(SF-425\)](#) is due to the Division of Grants Management (DGM) **no later than 90 days after the end of the budget period**. Per the Terms and Conditions of Award and the HHS Grants Policy Statement, a Federal Financial Report (FFR) is required to be submitted within 90 days for each 12 month budget period.

- **INSTRUCTIONS**

- Annual FFRs **must** be submitted to the applicable email:
DFCFFR@samhsa.hhs.gov

Access a sample FFR (SF-425) here:

<http://www.samhsa.gov/sites/default/files/guide-complete-sf-425.pdf>

Continuation of Award

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- A non-competing continuation application is required to be submitted by a specific due date.
- An electronic letter was sent to the designated Business Official in November, containing detailed instructions on how to submit the continuation application.
- Application SUBMISSION is through GRANTS.GOV and **Recipients are encouraged to submit their continuation applications early enough to resolve any unanticipated difficulties.**
- Recipients submitting an application through grants.gov **must** ensure completion of the following: **SAM information must be updated at least every 12 months to remain active (for both grantees and sub-recipients).**
- Additional information is available at: <http://www.samhsa.gov/grants/continuation-grants>

Useful Websites

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- **CADCA Coalition Institute:**
<http://www.cadca.org>
- **Federal Cash Transactions Report (formerly PSC 272):** <http://www.dpm.psc.gov>
- **Federal Financial Report (SF 425):**
http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf
- **45 CFR Part 75 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards** <http://www.ecfr.gov/cgibin/retrieveECFR?gp=1&ty=HTML&h=L&r=PART&n=pt45.1.75>
- **Grants Policy Statement:** <Http://www.hhs.gov/asfr/ogapa/aboutog/hhsgps107.pdf>
- **Office of National Drug Control Policy (ONDCP):** <http://www.whitehouse.gov/ondcp>
- **SAMHSA Grants Management:** <http://www.samhsa.gov/grants>
- **System for Award Management (SAM)** <https://www.sam.gov>

Questions

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