



2021 SMP/SHIP National Conference
Virtual Meeting • Part One—April 27-29, 2021

From Data to Budget: Tips for Managing Your Grant

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4/28/2021

Agenda

- Programmatic Grants Management
 - Organizing Tips
 - Reporting Tips
 - Resource Tips
- Fiscal Grants Management
 - Reporting Tips
 - Payment Management System Tips
 - Non-Monetary Amendments Tips
 - Grantee Cost Guidance Tips

Organizing Tips

Organizing Tips

- Keep a running brag list
- Post Program Reporting Guidelines
- Calendar deadlines
 - Add non-ACL deadlines
 - Add internal review time
 - Add collection time (fiscal staff, field partners)

Rev

SHIP/SMP/MIPPA Program Reporting Guidelines

All reports are due in Grant Solutions (as Grant Notes) by the due dates listed

SHIP Grants (90SAPG) with No-Cost Extension (NCE) through March 31, 2021
Project Period: April 1, 2017 – March 31, 2021
Cycle: April 1 – March 31
STARS Data Due: End of the following month (see next page)
Final Financial Report Due: June 30, 2021
Final Cumulative Narrative Report Due: June 30, 2021

SHIP Grant (90SAPG) Ending March 31, 2025
Project Period: April 1, 2020 – March 31, 2025
Cycle: April 1 – March 31
STARS Data Due: End of the following month (see next page)
Semi-Annual Report Due: September 30 (for April 1 – August 31)
Semi-Annual Financial Report Due: October 31 (for April 1 – September 30)
Semi-Annual Report Due: April 30 (for September 1 – March 31)
Semi-Annual Financial Report Due: April 30 (for October 1 – March 31)
Final Financial Report Due: June 30, 2025
Final Cumulative Narrative Report Due: June 30, 2025

SMP Grant (90MPPG)
Project Period: June 1, 2018 – May 31, 2023
Cycle: June 1 – May 31
SIRS Data Due: End of the following month (see next page)
Semi-Annual Report Due: December 30 (for June 1 – November 30)
Semi-Annual Report Due: June 30 (for December 1 – May 31)
Financial Report Due: June 30 (for June 1 – May 31)
Final Financial Report Due: August 30, 2023
Final Cumulative Narrative Report Due: August 30, 2023

Work Plan Deadlines

- Grant Application and Progress Reports
 - Located GrantSolutions Notes or History
 - Understand the approved
 - scope of work (what you have to do)
 - budget (where, and how, the money goes)
 - work plan (when to do what you have to do)
 - Program Progress Report narratives detail successes and challenges



Grant Requirements

- Funding Opportunity (FOA) Announcements
 - HHS ACL Priorities
 - Terms & Conditions pages 11-13 of SHIP and SMP FOA
- Notice of Award (NOA)
 - Check NOA when issued, minimum annually (previous NOAs in history section)
 - Terms & Conditions
 - Product Disclaimer (MIPPA, others in FOA)
 - National SMP and SHIP logo (no MIPPA logo)
 - Reporting Requirements – Data, Financial, and Narrative



– Grantee Product Disclaimer—REQUIRED

All ACL discretionary grantee products MUST include the following disclaimer on the first page or preface of all documents and webpages produced, all or in part, with ACL funding.

This project was supported, in part by grant number 90XX####, from the U.S. Administration for Community Living, Department of Health and Human Services, Washington, D.C. 20201.

Grantees undertaking projects with government sponsorship are encouraged to express freely their findings and conclusions. Points of view or opinions do not, therefore, necessarily represent official ACL policy.



SHIP



Grant Deadlines

All grantees report data on a monthly basis in STARS or SIRS.

SHIP

Grant Year: Apr.-Mar.

Progress Report: 9/30
and 4/30

Semi-Annual Financial
Report: 10/31 and 4/30

Annual Budget: January

Annual Subrecipient
List: 5/31

SMP

Grant Year: Jun.-May

Progress Report: 6/30
and 12/30

Annual Financial
Report: 6/30

MIPPA

2020 Grant Year (one
year): Sept.-Aug.

2021 Grant Year (one
Year): Sept. – Aug

Semi-annual Progress
and Financial Reports:
3/31

Final Progress and
Financial Reports: 11/30

Other Deadlines and Time Considerations

SMP/SHIP

- CMS Unique ID Attestation May and Oct.
- Medicare Open Enrollment Period Oct. 15- Dec. 7
- ACL Beneficiary Satisfaction Survey (ongoing, OEP and Apr.)

SMP

- OIG Report Review in Jan.-Feb.

SHIP

- Part D Enrollment Outcomes Semi-annual Quality Assurance: Feb.-Mar. and Aug.-Sept.
- CMS Systems training and certification:
 - CTM Quarterly and Annual (dates vary)
 - MARx Attestation Sept. 30

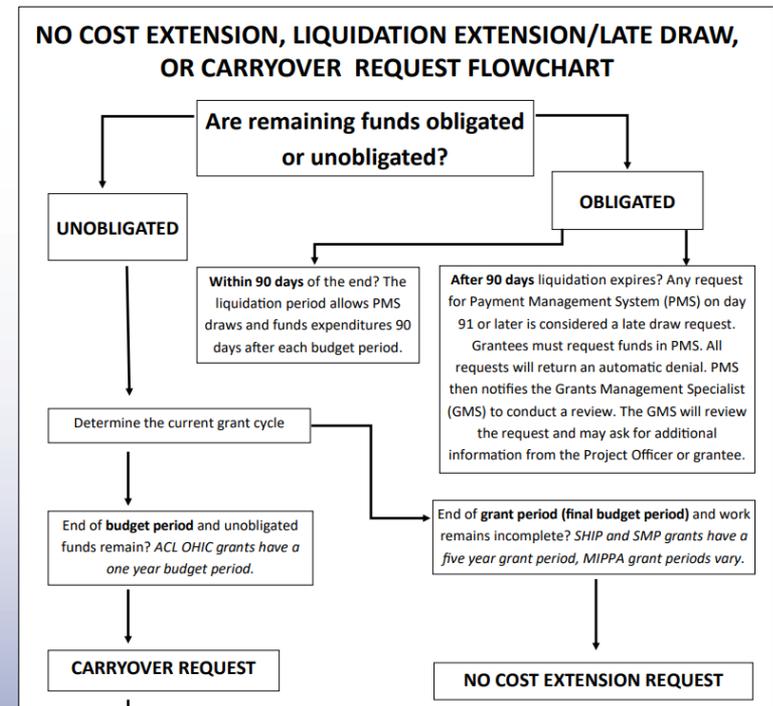
Reporting Tips

Program Progress Reports (PPR) Writing Tips

- Use ACL Reporting Guideline Questions
<https://acl.gov/sites/default/files/grants/ACL-PPR-Instructions-OMB-Exp.pdf>
- Dust off application and work plan and provide updates:
 - what's working and what's not working relative to goals, objectives and activities, and
 - what's new
- Repeat format is ok when provides new information
- Brag about your activities and partner accomplishments
- What's driving you nuts and any strategies to address it
- Updates on reaching target populations
- Submit materials produced and distributed

Grant Amendments

- Submit in GrantSolutions
- Instructions
<https://acl.gov/grants/managing-grant>
- Amendments
 - Change in Key Personnel
 - Budget Revision
 - Carryover
 - No Cost Extension



No Cost Extension vs. Carryover

No Cost Extension

End of GRANT period
(final budget period)

Submit no later than 30 days prior to
end of grant period

Extends life of grant

Financial and Narrative Progress
Reports requirements remain

Carryover

End of BUDGET period
(OHIC has 12 mos. budget periods)

Submit when unobligated balance is
known

Moves funds from grant year to
grant year *(exception for MIPPA)*

Financial and Narrative Progress
Reports requirements remain

Performance Indicator Reports

Monthly Data Reporting Required
Quarterly Data Quality Review Recommended

SHIP and MIPPA Performance Measure (PM) Reports

- Individual Contacts
 - Target Populations: Under 65, Rural, Native American, English as a Secondary Language
- Enrollment Contacts

SMP, SHIP and MIPPA

- Group Outreach Contacts
- Media Outreach Contacts

SMP

- Time Spent
- Cost Avoidance and Recovery
- Savings to Beneficiary

SHIP

- Resource Report

Resource Tips

ACL Website Managing a Grant Page

The screenshot shows the ACL website homepage. At the top, there is a blue navigation bar with a search box and links for 'Announcements', 'Share', and 'For the Network'. Below the navigation bar is the ACL logo and the text 'Administration for Community Living'. The main content area features a large heading: 'Advancing independence, integration, and inclusion throughout life'. A navigation menu is open, showing options like 'Program Areas', 'Grants', 'Aging & Disability in America', 'Newsroom', and 'About ACL'. The 'Grants' menu is circled in blue, and its sub-menu is also visible, with 'Managing a Grant' circled in blue.

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

The screenshot shows the 'Managing a Grant' page. The page title is 'Managing a Grant'. Below the title is a table of contents with the following items: 'GRANTS', 'ACL's Grants Process', 'Applying for Grants', 'Funding Opportunities', 'Grant Lifecycle', and 'Managing a Grant'. The 'Managing a Grant' item is highlighted. To the right of the table of contents is a section titled '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, or 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

ACL Supports

Project Officer

- PRIMARY CONTACT
- Reads program progress reports
- Conducts site visit or desk review
- Advises on program questions
- First review forms, amendments and budget
- Access to data and grants systems
- Work closely with GMS

Grants Management Specialist (GMS)

- Review financial forms for compliance with statutes, regulations, and guidelines
- Final business review
 - Amendments
 - Budgets
 - Closeout

SMP, SHIP, and MIPPA Resource Centers

- Networking Calls
- Training and Webinars
- Best Practices
- Resource Library
- SIRS/STARS Assistance
- Technical Experts

ACL OHIC Contacts

Project Officer	States
Ade Adenariwo	AZ, ID, IA, MN, MO, NV, PA, TX, WA
Akia Dieuseul	AL, CA, DC, KY, MD, MI, TN, SC, VI
Margaret Flowers	LA, ND, WI SHIP and MIPPA Program Manager
Katie Glendening	NC, VT, VA, WV
Shefy Simon	AK, CT, GU, HI, IL, MA, OH, RI
Emberly Zellars	AR, CO, FL, IN, MT, OK, OR, SD, UT, WY
Marissa Whitehouse	ME, NH SMP Program Manager
Wayne Abramovich	DE, GA, KS, MS, NE, NJ, NM, NY, PR

System and Communication Access

ACL Director Listservs

- SHIP, MIPPA, and SMP
- Program guidance, updates, and reminders
- PI/PD and AOR need access

Grants.gov

- Apply for grants
- PI/PD and AOR need access

Data Systems

- STARS for SHIP and MIPPA
- SIRS for SMP
- PI/PD and AOR need access

GrantSolutions

- Access Notice of Award
- Submit Reports, Amendments, and Closeout
- PI/PD, AOR, fiscal or other program staff need access

CMS

- Publication Ordering Website
https://productordering.cms.hhs.gov/pow/?id=pow_login
- Listservs <https://www.cms.gov/About-CMS/Agency-Information/Aboutwebsite/EmailUpdates>
- National Training Program
<https://cmsnationaltrainingprogram.cms.gov/>

STARS and SIRS Data System Help

ACL contracts with Booz Allen Hamilton (BAH) to manage the SIRS (SMP) and STARS (SHIP and MIPPA) databases

- Help desk emails
- System upgrades and enhancements
- Application Programming Interface (API) available, requires signed agreement

Provides technical assistance related to the data system*

- SIRS (SMP): boozallensirshelpdesk@bah.com
- STARS (SHIP and MIPPA): BoozAllenSTARSHelpDesk@bah.com

**Direct programmatic data questions to your PO or Resource Centers*

Fiscal Grants Management Overview

Fiscal Grants Management Overview

- Getting Started
- Reporting Requirements
- Payment Management System
- Non-Monetary Amendments
- Grantee Cost Guidance

Getting Started: Collaborate

- Program and Fiscal/Budget staff **must** communicate and **work collaboratively** on grant management and administration
- Read and review the terms and conditions on your Notice of Award
- Use your approved budget as a guide to spend your grant funds

Getting Started: Terminology

- **Authorization:** Legal Basis for Issuing Grants to Carryout Program as an “Activity” (Authorized “Purpose” for program).
- **Appropriation:** Funding Authority for Program
 - Federal Fiscal Period of Availability (Federal Fiscal Year = October 1 – September 30)
 - Outlines amount (Can’t exceed), purpose, and may also provide additional specifications for the funding

Getting Started: Terminology (cont.)

- **Obligated:** Portion of funds that have been allocated by the grantee for activities, orders, contracts, etc.
- **Unobligated:** Portion of funds that have not been allocated for any activities, orders, contracts, etc.
- **Liquidated:** Amount of obligated incurred by the grant recipient that have been paid by disbursement of funds from PMS (i.e. money drawn from PMS).
- **Unliquidated:** Amount of obligations incurred by the grantee that have not been paid (i.e. not drawn from PMS).

Getting Started: Timing

Budget Period:

- Interval of time specified in the award into which a project is divided for budgeting and funding purposes
- Typically 12 months

Project Period:

- Total life of the award: Total period of time indicated in an award during which awarding Agency expects grantee activity and for which Agency intends to provide funding.
- May encompass more than one budget period and/or federal fiscal years.
- Typically 3 to 5 years in length

Getting Started: Federal Cycles

Federal Fiscal Year:

- October 1st through September 30th annually

Budget Cycle:

- President's Budget:
 - Starting point for each budget.
 - Typically released in early Spring (Jan/Feb/March)
- Federal Budget:
 - Developed, determined, and passed (Appropriated) by Congress ideally prior October 1st.
 - Congressional budgets are often call "Marks".
- Office of Management and Budget (OMB):
 - Once Congress passes and the President signs off on the budget OMB allocates the apportionments to Federal Agencies for disbursement/action.
- Federal Agency Disbursement:
 - Federal agencies have from point of apportionment to September 30th to allocate all dollars received for the current fiscal year.

Getting Started: Know the Policies

Are you familiar with the Grants Policy Statement?

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

Did you know that the ACL website contains useful information on managing your grant?

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

Fiscal Reporting Requirements

Program Progress Reports

- Due Semi-Annually
 - Provide an overview of the work completed during the reporting period
 - Template available on ACL.gov:
<https://acl.gov/sites/default/files/grants/0985-0006%20Discretionary%20ACL%20Grantees%20%20PPR.pdf>

Financial Reports

FFR Federal Cash Transaction Report must be filed within 30 days at the end of each quarter end date:

- December 31 (1st Quarter of fiscal year)
- March 31 (2nd Quarter of fiscal year)
- June 30 (3rd Quarter of fiscal year)
- September 30 (4th Quarter of fiscal year)

Federal Financial Report (SF-425)

- Annual or Semi-Annual:
 - Due 30 days after the end of each reporting period
 - SHIP & MIPPA have semi-annual SF-425 reporting requirement; SMP has annual reporting requirement
- 90 days at the end of the grant

Best Practices That Align with Federal Budget Rules

- State grantee sub-contracts and sub-awards should align with grant NOA budget and project periods
- Do not presume that carryovers and NCEs will be approved and plan sub-awards and sub-contracts based upon this assumption.
- Strive for regular, timely recording of disbursements/expenses/obligations
- Drawdowns can exceed disbursement reporting, but this reporting should not lag far behind, especially not for multiple quarters with large discrepancies.
- Reconcile disbursement and drawdown activity prior to submitting non-monetary amendments.
- If drawdowns exceed disbursements this typically means there is cash on hand. Grantees should drawdown to meet immediate need only. Grantees cannot have cash on hand for more than 3 days.

Payment Management System (PMS)

What is PMS?

Financial Reports in PMS

- New awards made prior to 2020 can still submit the annual SF 425 via [GrantSolutions.gov](https://www.grantsolutions.gov).

PMS Resources

PMS Liaison Accountant:

- <https://pms.psc.gov/find-pms-liaison-accountant.html>
- If you do not hear back from your assigned liaison within a reasonable timeframe reach out to the assigned back up, your ACL Project Officer, and Grants Management Specialist

PMS FFR Training Webinar:

- <https://pms.psc.gov/training/gr-ffr-training.html>

Non-Monetary Amendments

What are Non-Monetary Amendments?

Any official changes to a grant award made during the life of the grant

These changes require ACL prior approval

- Made via GrantSolutions.gov as an “Amendment Request” not a “Grant Note”

Includes budget modifications, carryovers from one year to the next, changes to scope, no-cost extensions, change in grantee name, etc.

Required Prior Approval Amendment Process

1. Grantees must submit the prior approval request as an Amendment via GrantSolutions.
 - Instructions can be found here: <https://acl.gov/grants/managing-grant>
2. The ACL OHIC Project Officer will then review the request to determine program approval of the request and document appropriately.
3. ACL Grant Management Specialist (GMS) must review and process the grantee request.
 - If there are any issues with the request the GMS may return the amendment to the grantee for revision and resubmission.

Example: Change in Scope

Change in Scope (page II-53 of HHS GPS): A change in scope occurs when the recipient proposes to change (or changes) the objectives, aims, or purposes identified in the approved application.

In addition to explicit changes in the objectives, aims, or purposes identified in the approved grant application, post-award changes that are clear indicators of a change in scope or that are likely to be considered a change in scope include, but are not limited to, the following:

Transfer of the performance of substantive programmatic work to a third party through a subaward, contract, or any other means, if the authority for such activities is not included in the approved application.

Significant rebudgeting, whether or not the particular expenditures require prior approval. Significant rebudgeting occurs when, under a grant with a Federal share exceeding \$100,000, cumulative transfers among direct cost budget categories for the current budget period 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.

What if a change doesn't need Prior Approval?

The grantee should submit a Grant Note to the grant file in GrantSolutions which includes the reason for the change, an overview of what is changing (including programmatic and financial details), and the expected result of the change (if applicable).

The OHIC Project Officer will review the Grant Note, discuss any questions or concerns with the grantee, and provide a corresponding Internal Grant Note (only viewable by ACL) to the grant file in GrantSolutions providing concurrence with the change. The OHIC Project Officer will also notify the grantee of the concurrence of the change via email.

If there are concerns with the proposal, the Project Officer will work with the grantee to address those concerns and document the additional adjustments to the request via Grant Notes.

Grantee Cost Guidance

Allowable Costs

Managing Costs

Use your approved budget as a roadmap

All costs charged to a Federal award must be:

- Allowable
- Reasonable
- Allocable
- Properly documented

Allowable Costs in COVID-19

- Equipment or supplies to allow your team to work more efficiently remotely. This may include things like laptops, printers, and/or cell phones.
- Mobile hotspots, data plans for cell phones, and/or remote internet access.
- Licenses/accounts for virtual technology such as Zoom, WebEx, or one of the many other options available.
- PPE for team members and the beneficiaries you will be serving in person.
 - Must be connected to the provision of your SMP/SHIP/MIPPA activities such as one-on-one counseling or small group presentations (when allowed again).
 - Grant funds cannot be used to purchase PPE (such as masks or hand sanitizer) to give away to the public (unless it's done in correlation with a SMP/SHIP/MIPPA event) or to be used by other programs in your agency.

Unallowable Costs

- Anything not directly related to the mission of the program and/or the provision of program services.
- Anything forward funded
 - Includes anything that is purchased at the end of a period to be used in the next period

Grantee Cost Conclusions

It's complicated.

Ask follow up questions:

- How does this tie to the program mission or purpose?
- Is the cost reasonable and allowable?
- Is it an effort to spend funds at the end of the budget year?
- How will the items be distributed (mostly PHE/COVID related)?

Thank you!

Questions?