

Financial Management of Your GLS Grant

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SAMHSA
Substance Abuse and Mental Health
Services Administration

Disclaimer

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Topics

1. eRA Commons
2. Post-Award Changes Requiring Prior Approval
3. Financial Reporting Requirements
4. Carryovers
5. Preparing Your Budget

eRA Commons: Homepage

- All post-award requests will now be processed exclusively through the eRA Commons system and will no longer be accepted through email. You must have an eRA Commons account to submit your request.
- <https://era.nih.gov/>
- To reach the log-in screen, click on “Commons Log-In” on the right side of the eRA homepage.

Home Applicants Grantees Reviewers

electronic Research Administration (eRA)

eRA provides critical IT infrastructure to manage over \$30 billion in research and non-research grants awarded annually by NIH and other grantor agencies in support of the collective mission of improving human health. eRA systems, including eRA Commons, ASSIST and IMPAC II modules, support the full grants life cycle and are used by applicants and grantees worldwide as well as federal staff at the NIH, AHRQ, the CDC, FDA, SAMHSA, and VA.

For Applicants **For Grantees** **For Reviewers**

[For Applicants](#) [For Grantees](#) [For Reviewers](#)

New to eRA Commons?

What's New?

- NIH eRA Items of Interest - February 2018 - 02/06/2018
- eRA Enhancements: New Link for ORCID in Personal Profile - 01/05/2018

Other Web Resources

- eRA Commons Registration & Accounts
- eRA Training
- Modules, User Guides & Documentation
- Related NIH Guide Notices
- PubRoster (Rosters of NIH Scientific Review Groups)
- System-to-System

Grants & Funding Info

- NIH (OER)
- AHRQ
- CDC
- FDA
- SAMHSA
- VA

Need Help?

- eRA Commons FAQs
- Subscribe!
- eRA Deployment & Maintenance Calendar
- eRA Video Tutorials

COMMONS Log-in

ASSIST Log-in

INTRANET Federal Staff

(NIH and Agency Partners)

[Comments & Feedback](#) (We value your input)

[Quick Queries](#)

eRA Commons: Log-In

- Log-in to eRA Commons with your credentials to access your organization's grant portfolio.



Commons Login ?

*Required field(s)

*Username

*Password

Login

Reset

(For External Users Only)

(For External Users)

[Forgot Password/Unlock Account?](#)

Federated Institutions/Organizations ?

Select..



Sign in

Welcome to the Commons

System Notification Message

All systems are currently available.

Note: When application and grant reporting submission delays occur because the applicant or recipient organization is officially closed due to a natural disaster or other emergency, the NIH will consider accepting late applications and reports, on a case-by-case basis. Please reference notice [NOT-OD-17-106](#) in the NIH Guide for Grants and Contracts for additional details.

Heads up! eRA is continuing to identify possible duplicate accounts for Commons users. Over the next few months emails will be sent to account holders that have been identified as likely having more than one account in Commons. Please see the [Nexus article](#) for more information.

Scheduled Commons Maintenance: For maintenance information, see the [eRA Scheduled Maintenance Calendar](#).

Support Related Resources

- **Electronic Submission:** Learn about the most frequent application errors at [Avoiding Common Errors](#).
- **Electronic Application Submission:** To learn about completing and submitting an electronic application and access helpful resources, visit the [Applying Electronically website](#).
- **eRA Home Page:** To find Commons [FAQs](#), [User Guides](#), training materials, and step-by-step instructions for performing tasks in Commons, visit the [eRA website](#).

[Register Grantee Organization](#)

About the Commons

- [Frequently Asked Questions](#)
- [Latest Release Notes](#)

Additional Links

- [RePORT](#)
- [Grants.gov](#)
- [iEdison](#)
- [National Institutes of Health](#)
- [Public Access Policy Page](#)
- [Loan Repayment Program](#)
- [Commons Quick Queries](#)

eRA Commons

- Click on “Non-Research” tab and either “Manage Post Award Amendments” or “Manage Continuations”

U.S. Department of Health & Human Services

eRA Commons
A program of the National Institutes of Health

NIH OER

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR FFR xTrain xTRACT Admin Supp eRA Partners **Non-Research**
Manage Post Award Amendments Manage Continuations

Welcome to the Commons

To connect to the **OFFICIAL PRODUCTION** version of the NIH Commons, use this URL: <https://www.google.com>

Welcome

James Kirk
ID: kirkj
Institution: Starfleet Academy
Roles: SO FSR

System Information Message

Note: It has come to our attention that users are unable to access reports. We are working diligently to address this issue. We apologize for any inconvenience this may cause.

eRA Commons: Post-Award Amendment Requests

- Default “Manage Post Award Amendments” screens will differ for PD/PI role or SO role
- Under Action column:
 - “View” will take you to current Post Award Amendment Requests status screen
 - “Initiate” will begin the process of submitting a new Post Award Amendment Request

The screenshot shows the 'PD/PI Screen' for 'Manage Post Award Amendments'. The page includes a search bar, a table of grants, and an 'Action' column. The 'Action' column is highlighted with an orange box, showing 'View' and 'Initiate' buttons for each grant row.

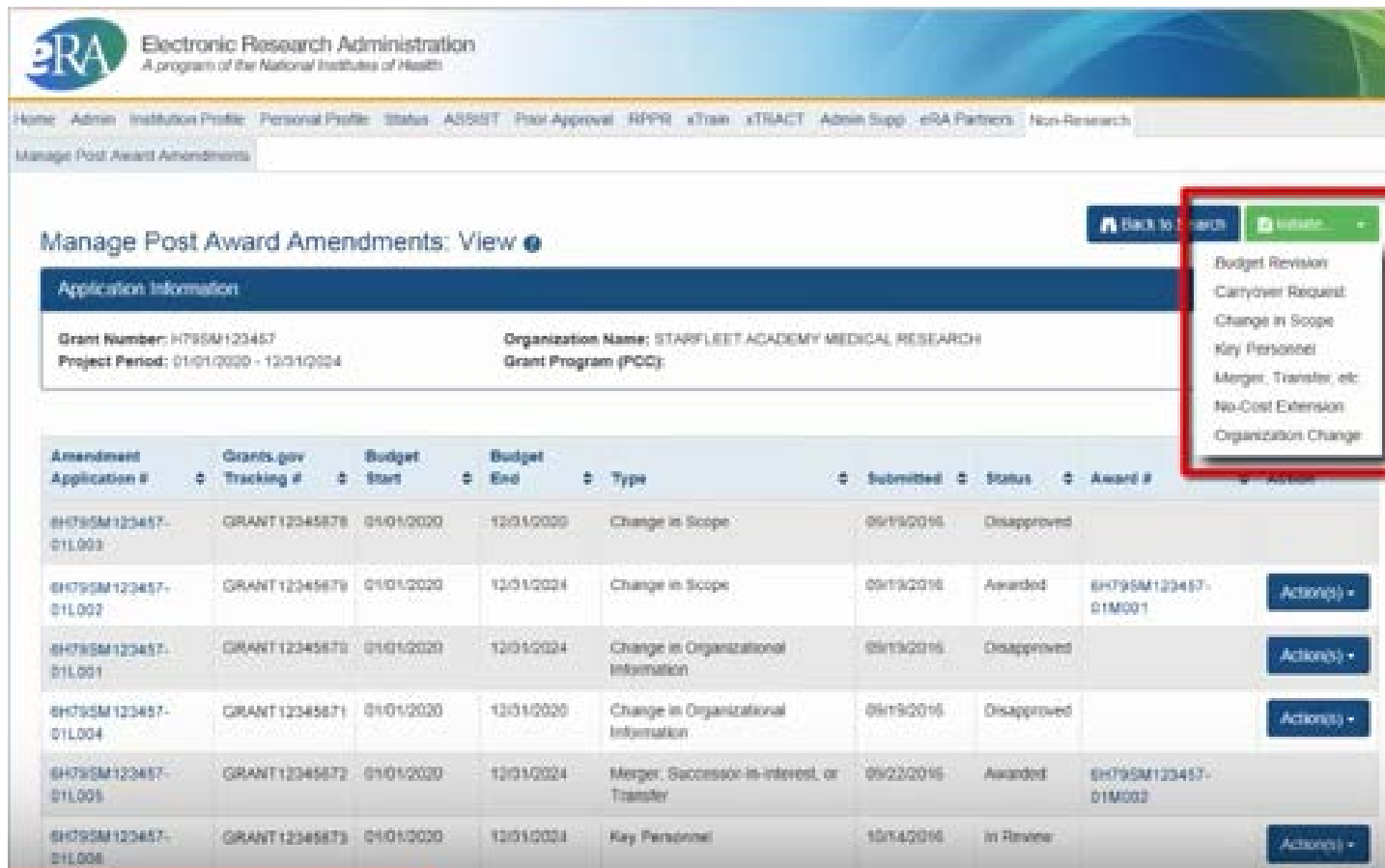
Grant Number	Federal Agency	Project Start	Project End	Budget Start	Budget End	Project Title	Action
H795M123457	SAMHSA	01/01/2020	12/31/2024	01/01/2020	12/31/2020	Functional Behavior Patterns Resulting in Skillset Displacement	View Initiate
H795M123458	SAMHSA	10/01/2016	09/30/2018	10/01/2016	09/30/2017	Neurobiological Study on the Effects of Romulan Ale at Diplomatic Functions	View Initiate
H795M123459	SAMHSA	01/01/2020	12/31/2024	01/01/2020	12/31/2020	Social and Psychological Advantages of the "John Wayne" Walk of Second in Command	View Initiate
H795M123460	SAMHSA	01/01/2015	12/31/2024	01/01/2015	12/31/2020	Emotional Effects of Long Term Cryogenic Sleep on Genetically Modified Humanoids	View Initiate
H795M123461	SAMHSA	01/01/2015	12/31/2024	01/01/2015	12/31/2020	The Relationship Between Claustrophobia and Transporter Psychosis	View Initiate
H795M123462	SAMHSA	01/01/2015	12/31/2024	01/01/2015	12/31/2020	What to Do When You Can't Get Your Mother Out of Your Head: A Study in Betazoid Parenting	View Initiate

The screenshot shows the 'SO Screen' for 'Manage Post Award Amendments'. The page includes a search bar, a table of grants, and an 'Action' column. The 'Action' column is highlighted with an orange box, showing 'View' and 'Initiate' buttons for each grant row.

Grant Number	Federal Agency	Project Start	Project End	Budget Start	Budget End	Project Title	Action
No data available in table							

eRA Commons: Post-Award Amendment Requests

- On Post Award Amendments status screen you will see different rows for all requests submitted
- A new Post Award Amendment can also be initiated on this screen



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Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RFPR eTrain eTRACT Admin Supp eRA Partners Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: View

Application Information

Grant Number: H795M123457 Organization Name: STARFLEET ACADEMY MEDICAL RESEARCH
Project Period: 01/01/2020 - 12/31/2024 Grant Program (POC):

Amendment Application #	Grants.gov Tracking #	Budget Start	Budget End	Type	Submitted	Status	Award #	Action
H795M123457-01L003	GRANT12345678	01/01/2020	12/31/2020	Change in Scope	09/19/2016	Disapproved		
H795M123457-01L002	GRANT12345679	01/01/2020	12/31/2024	Change in Scope	09/19/2016	Awarded	H795M123457-01M001	Actions
H795M123457-01L001	GRANT12345670	01/01/2020	12/31/2024	Change in Organizational Information	09/19/2016	Disapproved		Actions
H795M123457-01L004	GRANT12345671	01/01/2020	12/31/2020	Change in Organizational Information	09/19/2016	Disapproved		Actions
H795M123457-01L005	GRANT12345672	01/01/2020	12/31/2024	Merger, Succession in Interest, or Transfer	09/23/2016	Awarded	H795M123457-01M002	
H795M123457-01L006	GRANT12345673	01/01/2020	12/31/2024	Key Personnel	10/14/2016	In Review		Actions

Dropdown menu options:

- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel
- Merger, Transfer, etc.
- No-Cost Extension
- Organization Change

eRA Commons: Post-Award Amendment Requests

- When initiating a Post Award Amendment, you will be taken to the ASSIST system
- Application Identifier number is automatically generated in ASSIST for each Post Award Amendment request and can be used to search for a particular action

Actions

- MANAGE ACCESS
- ADD OPTIONAL FORM**
- PREVIEW APPLICATION
- VALIDATE APPLICATION
- VIEW STATUS HISTORY
- UPDATE SUBMISSION STATUS

Application Information

Tip: Some actions (e.g., Preview Application and Validate Application) are only available from this screen. The Application Information link in the breadcrumbs above can be used to return to this screen.

Summary SF-424 Cover HHS Checklist Other Narrative Attachments

Application Information

Application Identifier: 17010

Application Type: Post Award Amendment (Key Personnel)

Application Project Title: Functional Behavior Patterns Resulting in Skillset Displacement

PD/PI Name:

Organization: STARFLEET ACADEMY MEDICAL RESEARCH DIVISION

Project Period: 01/01/2020 - 12/31/2024

Status: Work in Progress Submit Application

Status Date: 2016-10-19 02:16:44.000 PM EDT

- Each post award amendment type has different required tabs, with the SF-424 Cover and HHS Checklist always being required
- Click “Add Optional Form” on the left side to upload Other Narrative Attachments to a Post Award Amendment request

eRA Commons: Post-Award Amendment Requests

- When all forms have been completed and you are ready to submit, click “Update Submission Status” and “Ready for Submission”
- The system will indicate whether any required information is missing

The screenshot shows the eRA Commons interface. At the top, it says "U.S. Department of Health & Human Services" and "eRA Commons". Below that is the "Application Submission System & Interface for Submission Tracking (ASSIST)" banner, sponsored by the National Institutes of Health. The user is logged in as "IAMPROK". The main content area is titled "Application Information" and shows details for an "Application for Federal Assistance" (SF 424 v2.1). On the left sidebar, under "Actions", the "UPDATE SUBMISSION STATUS" button is highlighted with a red box. Other buttons include "RETURN TO APPLICATION", "MANAGE ACCESS", "ADD OPTIONAL FORM", "PREVIEW CURRENT FORM", "VALIDATE APPLICATION", "VIEW STATUS HISTORY", "COPY APPLICATION", and "DELETE APPLICATION".

The screenshot shows a dialog box titled "Update Submission Status". It contains a dropdown menu with the following options: "Select Status", "Ready for Submission", and "Abandoned". A green arrow points to the dropdown menu, and a red box highlights the "Ready for Submission" option. Below the dropdown is a "confirm" button. At the bottom of the dialog, there are "Add comment" and "Cancel" buttons. The footer of the dialog includes the text: "© 2016 HHS, All Rights Reserved. Screen Rendered: 10/19/2016 03:27:36 EDT | Screen Id: A005T0004B1092 Version: 3.21.01".

eRA Commons: Post-Award Amendment Requests

- To complete submission, an individual with AOR credentials will have to log-in and click “Submit Application” under the “Summary” tab of a particular post-award amendment request in ASSIST
- Upon submission, confirmation email will be received by grantee and GPO/GMS

The screenshot displays the ASSIST eRA Commons interface for a post-award amendment request. On the left, there is a sidebar with an 'Actions' menu containing buttons for 'MANAGE ACCESS', 'PREVIEW APPLICATION', 'VALIDATE APPLICATION', 'VIEW STATUS HISTORY', 'UPDATE SUBMISSION STATUS', 'COPY APPLICATION', and 'DELETE APPLICATION'. The main content area is titled 'Application Information' and includes a tip: 'Tip: Some actions (e.g., Preview Application and Validate Application) are only available from this screen. The Application Information link in the breadcrumbs above can be used to return to this screen.' Below the tip, a notification states 'Submission status has been updated'. A navigation bar shows tabs for 'Summary', 'IP424 Cover', 'HIG Checklist', and 'Other Narrative Attachments', with 'Summary' highlighted by a red box. The 'Application Information' section contains the following details:

Application Identifier:	17010
Application Type:	Post Award Amendment (Key Personnel)
Application Project Title:	Functional Behavior Patterns Resulting in Skillset Displacement
FOIA Name:	
Organization:	STARFLEET ACADEMY MEDICAL RESEARCH DIVISION
Project Period:	01/01/2000 - 01/01/2004
Status:	Ready for Submission Submit Application
Status Date:	2010-01-01 10:00:00 AM EDT

At the bottom, there is a section for 'FOA Information'.

eRA Commons: Request for Additional Materials

- GPO/GMS may Request Additional Materials (RAM) within eRA Commons if needed. Grantee will receive an eRA Commons notification.
- To access RAM, grantee will go to “Manage Post Award Amendments” in eRA Commons and click on “Action” and then “RAM”

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Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RFPFR eTrain eTRACT Admin Supp eRA Partners Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: View

Application Information

Grant Number: H795M123457 Organization Name: STARFLEET ACADEMY MEDICAL RESEARCH
Project Period: 01/01/2020 - 12/31/2024 Grant Program (POC):

Showing 1 - 7 of total 7

Amendment Application #	Grants.gov Tracking #	Budget Start	Budget End	Type	Submitted	Status	Award #	Action
H795M123457-01L003	GRANT12345678	01/01/2020	12/31/2020	Change in Scope	09/19/2016	Disapproved		Action(s) -
H795M123457-01L002	GRANT12345678	01/01/2020	12/31/2024	Change in Scope	09/19/2016	Awarded	H795M123457-01M001	Action(s) - RAM View Prior RAM
H795M123457-01L001	GRANT12345678	01/01/2020	12/31/2024	Change in Organizational Information	09/19/2016	Disapproved		Action(s) -
H795M123457-01L004	GRANT12345671	01/01/2020	12/31/2020	Change in Organizational Information	09/19/2016	Disapproved		Action(s) -
H795M123457-01L005	GRANT12345672	01/01/2020	12/31/2024	Merger, Successor-in-interest, or Transfer	09/22/2016	Awarded	H795M123457-01M002	Action(s) -
H795M123457-01L006	GRANT12345673	01/01/2020	12/31/2024	Change in Scope	10/14/2016	In Review		Action(s) -

eRA Commons: Request for Additional Materials

- Click “Upload” and add up to 10 PDF attachments needed to respond to the RAM. PDF is the only file type supported, no Word documents or Excel spreadsheets, etc.
- It is required to enter “Comments” when responding to a RAM

Post-Award Amendment Application: Request for Additional Materials (RAM) [Back to Search](#)

Application Information

Grant Number: H795M123457 Amendment Application #: L002 PD/PI Name: McCoy, Larry
Budget Period: 01/01/2020 - 12/31/2020 Grant Program (PCC): Amendment Type: Key Personnel
Org Name: STARFLEET ACADEMY MEDICAL RESEARCH Project Period: 01/01/2020 - 12/31/2024
Project Title: Functional Behavior Patterns Resulting in Skillset Displacement

RAM

Please provide additional material:

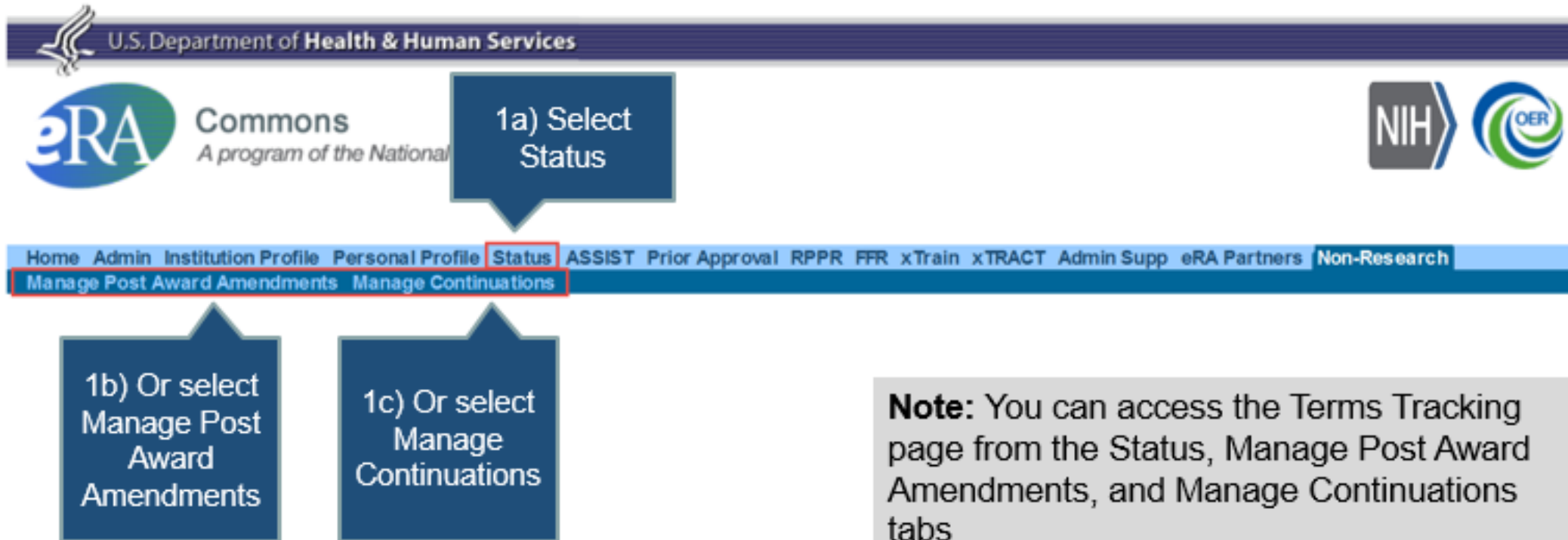
File Name	Date Uploaded	Uploaded By	
RAM Document 3.pdf	10/19/2016	Tiberius, Kirk J	View Delete
RAM Document 2.pdf	10/19/2016	Tiberius, Kirk J	View Delete
RAM Document 1.pdf	10/19/2016	Tiberius, Kirk J	View Delete

Please provide Comments to Agency: (Justification is required when submitting RAM to agency)

[Cancel](#) [Preview](#) [Save](#) [Submit](#)

- Click “Preview” to view message GPO/GMS will receive
- Click “Save” to return to eRA Commons later and complete
- Click “Submit” to ultimately finish response to RAM

eRA Commons: Responding to Special Conditions/Terms



Note: You can access the Terms Tracking page from the Status, Manage Post Award Amendments, and Manage Continuations tabs

Note: The views will vary if you are signed in as a SO versus a PI

- Special Conditions/Terms Examples: Programmatic, Revised Budget, SAM.gov Exclusion, Federal Debt, Disparity Impact, Other, etc.

eRA Commons: Responding to Special Conditions/Terms

Status ?

Important Note:

Please provide additional search parameters to narrow down your searches by PI First and Last Name. This will enable search results to retrieve data promptly and avoid existing issue of delay in data retrieval.

- [General Search](#)
- [Just in Time](#)
- [Pending Progress Report](#)
- [Recently Awarded](#)
- [Recent Pending eSubmissions](#)
- [Closeout](#)
- [Change of Institution](#)
- [Pending Inclusion Action](#)
- [Re-assign Grant](#)
- [Non-Research Continuations](#)

General Search

Grant Number	Type	Activity Code	Institution Code	Serial Num.	Support Yr.	Suffix
			SM	123456		

Accession Number

Grants.gov Tracking #

PI Name Last

Application Status All

Eligible for FFATA Reporting

Eligible for Hurricane Sandy Reporting

Budget Start Date From (MMDD/YYYY) To (MMDD/YYYY)

Budget End Date From (MMDD/YYYY) To (MMDD/YYYY)

Organization Hierarchy School ALL

Division ALL Department ALL

Search Clear

1) Enter the IC and serial number

2) Delete other defaulted search criteria if not applicable

3) Select Search

- Option 1a: Access Special Conditions via Status in the SO Role

Status Result - General Search ?

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI grants.
- Modinat Test for April Release 2017

Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	Application Status	Budget Start Date	FFATA	Show All Prior Errors	Action
1H79SM123456-01		Suicide Prevention Initiative for Arizona Youth	KONTZ, NIKKI	Awarded, Non-fellowships only	10/01/2015			View Terms Tracking

Export to Excel Show Query Print History

1) Select View Terms Tracking

eRA Commons: Responding to Special Conditions/Terms

Status: PI Search

The Status screens have been updated. If you have any questions about the new Commons Status look and feel please contact the eRA Service Desk .

The following list of applications represents a result of the search by Grants.gov Tracking # or a list of all Recent/Pending eSubmissions. If you do not see a complete list of your Recent/Pending eSubmissions, please click **Recent/Pending eSubmissions** menu tab again.

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

1) Select List of Applications/Grants

1) Find your core grant number

2) Expand the section

Status Report - List of Applications/Grants 21

Grouped View Flat View

Application ID	Grants.gov Tracking#	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Available Actions
H79SM123456	09/30/2017 - 09/29/2019	JAMES KIRK	SAMHSA T6 Testing (Title)	Awarded. Non-fellowships only			
6H79SM123456-01M001		SAMHSA T6 Testing	James Kirk		Awarded. Non-fellowships only	10/30/2017	View Terms Tracking
1H79SM123456-01	GRANT00123456	SAMHSA T6 Testing	James Kirk	Submission Complete	Awarded. Non-fellowships only	10/13/2017	View Terms Tracking

3) Select View Terms Tracking

- Option 1a: Access Special Conditions via Status in the PI/PD Role

eRA Commons: Responding to Special Conditions/Terms

Option 1b: Access Special Conditions via Amendments

Manage Post Award Amendments: Search

Activity activity code IC * All selected (6) Serial # 123456 PD/PI Last Name last name

Include Expired Segments

Showing 1 - 1 of total 1

Grant Number	Federal Agency	Project Start	Project End	Budget Start	Budget End	Project Title	Action
H79SM123456	SAMHSA	09/30/2017	09/29/2019	09/30/2017	09/29/2018	SAMHSA T6 Testing	<input type="button" value="View"/> <input type="button" value="View Terms Tracking"/> <input type="button" value="Initiate..."/>

Option 1c: Access Special Conditions via Continuations

Manage Continuations: Search

Activity activity code IC * All selected (6) Serial # 123456

PD/PI Last Name last name Status All Statuses

Open Date From mm/dd/yyyy To mm/dd/yyyy Due Date From mm/dd/yyyy To mm/dd/yyyy

Include Expired Segments

Showing 1 to 1 of 1 entries

Search:

Show 25 entries

Core Grant #	Federal Agency	Project Start	Project End	Budget Start	Budget End	PD/PI Name	Status	Project Title	Action
H79SM12345	SAMHSA	09/30/2017	09/29/2019	09/30/2017	09/29/2018	Kirk, James	Pending	SAMHSA T6 Testing	<input type="button" value="View"/> <input type="button" value="View Terms Tracking"/>

- SO role view will have to search for the specific grant number
- PI/PD role view will have any grants associated with an individual appear
- Select “View Terms Tracking” once correct grant is identified

eRA Commons: Responding to Special Conditions/Terms

Budget Period 01
(09/30/2017 - 09/29/2018)

Submission History

Filter:

Showing 1 - 6 of total 6

Show ALL per page < 1 >

Term Name	Award Number	Next Due Date	Next Task Description	Next Submission Date	Next Removal Date	Next Due Date Status
Annual Federal Financial Report (FFR)	1H79SM123456-01	N/A	N/A	N/A	N/A	Not Tracked
Federal Debt	1H79SM123456-01	N/A	N/A	N/A	N/A	Not Tracked
MULTI-YEAR FUNDED PROGRESS REPORT	1H79SM123456-01	11/30/2017	A			Unresolved
MULTI-YEAR FUNDED PROGRESS REPORT	1H79SM123456-01	11/30/2017	A			Unresolved

- Each special condition will have its own row. Click on the special condition row "+" to expand it and prepare documentation.

Due Date	Task Description	Due Date Status	Submission Status	Submission Date	Removal Date	Grantee Attachments/Comments	Actions
11/30/2017	A	Unresolved	No Submissions				Action
12/31/2017	B	Unresolved	No Submissions				Prepare Documentation
01/31/2018	C	Unresolved	No Submissions				Action

eRA Commons: Responding to Special Conditions/Terms

Terms and Conditions (Additional Materials) ?

Grant Information		
Core Grant Number: H79SM12345	Award Number: 1H79SM123456-01	Term Budget Period: 1
Grant Program (PCC): SPOCK-DR	Project Period: 09/30/2017 - 09/29/2019	Term Name: MULTI-YEAR FUNDED PROGRESS REPORT
PD/PI Name: Kirk, James	Budget Period: 09/30/2017 - 09/29/2018	Term Due Date: 11/30/2017
Org Name: Starfleet Academy	Project Title: SAMHSA T6 Testing	Task Description: A

Submission Content		
Please provide additional materials:		
		Upload
File Name	Date Uploaded	Uploaded By
Grantee Submission 1.pdf	11/03/2017	McCoy, Leonard
		View Delete

Due Date	Task Description	Due Date Status	Submission Status	Submission Date	Removal Date	Grantee Attachments/Comments	Actions
11/30/2017	A	Unresolved	Submitted	11/03/2017		Grantee Submission 1.pdf Grantee Submission 2.pdf Grantee Submission 3.pdf Here are my materials for con	View Submission
12/31/2017	B	Unresolved	No Submissions				Action
01/31/2018	C	Unresolved	No Submissions				Action

- Similar to RAM response, “Upload” up to 10 PDF attachments and submit when ready
- Submission status and date will update once it transmits
- Consolidated submission package can be viewed at “View Submission”

eRA Commons: Responding to Special Conditions/Terms

- If GPO/GMS request additional information, status would show as Unresolved and grantee would click on “Revise Documentation” to address

MULTI-YEAR FUNDED PROGRESS REPORT
1H79SM123456-01
11/30/2017
A
Unresolved

Due Date	Task Description	Due Date Status	Submission Status	Submission Date	Removal Date	Grantee Attachments/Comments	Actions
11/30/2017	A	Unresolved	Returned				Action ▾
12/31/2017	B	Unresolved	No Submissions				Revise Documentation
01/31/2018	C	Unresolved	No Submissions				Action ▾

- If GPO/GMS accept the response status would show as Resolved, a date would be reflected in Removal Date, and a revised Notice of Award would be issued

MULTI-YEAR FUNDED PROGRESS REPORT
1H79SM123456-01
11/30/2017
A
11/03/2017
11/03/2017
Resolved

Due Date	Task Description	Due Date Status	Submission Status	Submission Date	Removal Date	Grantee Attachments/Comments	Actions
11/30/2017	A	Resolved	Submitted	11/03/2017	11/03/2017	Grantee Submission 1.pdf Grantee Submission 2.pdf Grantee Submission 3.pdf Here are my revised materials	Action ▾
12/31/2017	B	Unresolved	In Progress				Action ▾
01/31/2018	C	Unresolved	No Submissions				Action ▾

Post-Award Actions

- Include any activity that takes place after the award is made to implement the award supported project
- Some of these changes require explicit prior approval in the form of a revised Notice of Award (NoA) before being implemented
- Submit via eRA Commons
- <https://www.samhsa.gov/grants/grants-management/post-award-changes>

Common Post-Award Actions

1. Key Staff and Level of Effort Changes

<https://www.samhsa.gov/grants/grants-management/post-award-changes/key-staff-level-effort>

2. Budget Revisions

<https://www.samhsa.gov/grants/grants-management/post-award-changes/budget-revisions>

3. Changes in Scope

<https://www.samhsa.gov/grants/grants-management/post-award-changes/change-scope>

4. Carryover Requests

<https://www.samhsa.gov/grants/grants-management/post-award-changes/carryover-requests>

Key Staff and Level of Effort Changes

- SM-14-008 & SM-15-004 GLS FOAs:

“Seek SAMHSA approval for key positions to be filled. Key positions include, but are not limited to, project director and evaluation director.”

- Continuation Notice of Award:

Key staff are listed below:

Mickey Mouse, Project Director @ 100% level of effort

Donald Duck, Project Evaluator @ 50% level of effort

Any changes in key staff including level of effort involving separation from the project for more than three months or a 25 percent reduction in time dedicated to the project, requires prior approval.

Determining Level of Effort Changes

- Calculating Level of Effort Change:

Level of effort % X 0.25 = Threshold to determine whether prior approval is required

- Mickey Mouse, Project Director @ 100% level of effort
 $100\% \times 0.25 = 25\%$ threshold
- Donald Duck, Project Evaluator @ 50% level of effort
 $50\% \times 0.25 = 12.5\%$ threshold

Key Staff Change and Level of Effort Request

Grantee Should Submit the Following Via eRA Commons:

1. Request Letter
 - Support the need to change the key personnel and/or the LOE dedicated to the project
 - Annual salary and LOE percentage
 - Description of any proposed duties or responsibilities that have changed and why
 - Any impact the change will have on the budget and scope for the approved project
2. CV/Resume/biographical sketches for new personnel
3. HHS/SAMHSA Checklist (Form HHS-5161-1)
4. Proposed PD's eRA Commons ID

AMENDMENT_TYPE_CODE	REQUIRED_FORM_NAME
Change in Key Personnel	SF424
	OtherNarrativeAttachments
	HHS_CheckList

Required attachments/tabs within eRA Commons for a Key Staff/Personnel change

Budget Revisions

Budget Revision: An action resulting in the reallocation of funds within and between approved budget cost categories.

Significant Funds Reallocation: Cost modifications that exceed 25% of the total approved budget, or \$250,000, whichever is less.

Cases Always Requiring Prior Approval:

- Recipients classified as “Restricted Status”
- Reallocation of funds to a budget category initially funded at “\$0”
- Purchase of a unit of general purpose or special purpose equipment exceeding \$25,000
- Changes in applicant cost sharing or matching

Budget Revision Example

	<u>Approved Continuation Year Budget</u>	<u>Proposed Budget Revision</u>	<u>Change, +/-</u>
Personnel	140,000	105,000	- 35,000
Fringe Benefits	42,000	35,000	- 7,000
Travel	17,500	21,000	+ 3,500
Equipment	0	42,000	+ 42,000
Supplies	17,500	10,500	- 7,000
Contractual	210,000	262,500	+ 52,500
Other	133,000	84,000	- 49,000
Direct Charges	560,000	560,000	-
Indirect Charges	140,000	140,000	-
TOTAL	700,000	700,000	Δ 196,000

Equipment category previously funded at \$0. And if \$42,000 involves an item over \$25,000.

Budget revisions are 28% = \$196,000 / \$700,000. This exceeds the 25% threshold.

Budget Revision Request

Grantee Should Submit the Following Via eRA Commons:

1. Cover letter/narrative with detailed explanation of what costs are being rebudgeted and assurance these changes do not involve a change in scope
2. Revised SF-424A Budget Information Form
3. Revised Detailed Line-Item Budget and Narrative Justification
4. If applicable, an updated indirect cost rate agreement
5. HHS/SAMHSA Checklist (Form HHS-5161-1)

AMENDMENT_TYPE_CODE	REQUIRED_FORM_NAME
Budget Revision	SF424
	SF424A
	Budget
	Project
	OtherNarrativeAttachments
	HHS_CheckList

Required attachments/tabs
within eRA Commons for a
Budget Revision

Changes in Scope

A significant change in the scope or objectives of the federally supported project activities identified and approved in the originally funded application.

Common Factors Indicating Changes in Scope

- Change in Goals, Objectives, Aims, or Purposes
- Change in Service Area
- Eliminating a Care Delivery Site
- Transfer of the performance of substantive programmatic work to a third party (contractor or sub-recipient)

Change in Scope Request

Grantee Should Submit the Following Via eRA Commons:

1. Cover letter/narrative explaining the change in scope, including:
 - A detailed discussion of any potential impact on the total approved project budget, and to accomplishing the aims and objectives of the funded project.
 - An explanation and documentation of any unique circumstances that will impact the ability to meet the expectations of the funded project.
2. Revised SF-424A Budget Information Form
3. Revised Detailed Line-Item Budget and Narrative Justification
4. HHS/SAMHSA Checklist (Form HHS-5161-1)

AMENDMENT_TYPE_CODE	REQUIRED_FORM_NAME
Change in Scope	SF424
	SF424A
	Budget
	Project
	OtherNarrativeAttachments
	HHS_CheckList

Required attachments/tabs within eRA Commons for a Scope Change

Carryover Requests

- Grantees can carry over an unobligated balance (UOB) to the current budget period from previous years
- Two types of carryover:
 - 1) Intent: 10% or less
 - 2) Formal: greater than 10%
- Only one type of carryover (intent or formal) can be submitted per budget period

Determining Type of Carryover

- Calculating Percentage of Carryover:

Current year award amount X 10% = Threshold to determine whether carryover is considered Intent or Formal

- Year 2 award amount \$700,000 X 10% = \$70,000
 - Intent: \$70,000 or less
 - Formal: Greater than \$70,000

Carryover Requests

- SAMHSA must have a current FFR report on file
- Restricted funds cannot be used for carryover
- Grantees on restricted status cannot use intent to carryover

Carryover Requests: Intent 10% or Less

- SAMHSA grantees can carryover without prior approval an UOB of 10% or less than the Authorized Award Amount for the current year
- The only action required by the grantee is to state the intention to carry over funds and the intent amount in the remarks section of the FFR (line 12)

Carryover Requests: Formal Greater Than 10%

- SAMHSA grantees must obtain prior approval for a formal carryover, which is defined as more than 10% of the Authorized Award Amount for the current year

Carryover Requests: Formal Greater Than 10%

Grantee Should Submit the Following Via eRA Commons:

1. Cover letter/narrative

- Why the balance of funds have not been expended
- How not spending the balance of funds affects the execution of grant activities and attainment of grant objectives
- How the funds will be used to fulfill an unmet need(s) and/or one-time cost(s)

2. Budget

- The current budget period award amount as it was originally approved
- The requested carryover amount
- The new total budget, including the requested carryover amount

3. SF-424A

4. HHS/SAMHSA Checklist (Form HHS-5161-1)

Required attachments/tabs within eRA Commons for a Carryover Request

AMENDMENT_TYPE_CODE	REQUIRED_FORM_NAME
Carryover Request	SF424
	SF424A
	Budget
	Project
	OtherNarrativeAttachments
	HHS_CheckList

Carryover Requests: Restrictions

- Carryover funds cannot be used for the following purposes:
 - 1) To replace current public or private funding
 - 2) To supplant ongoing activities
 - 3) To purchase or improve land, or any building
 - 4) To reimburse pre-award costs
 - 5) Pay an individual's salary at over 100% level of effort (including current year + carryover)
 - 6) Carryover funds can cover only prospective costs, not costs already incurred by the recipient

Formal Carryover Example

- Year 3 award amount:
\$313,388
- Unobligated balance reported on Year 2 FFR: \$100,000
- Formal carryover request:
amount greater than \$31,338

Award Calculation (U.S. Dollars)

Salaries and Wages	\$210,474
Fringe Benefits	\$87,772
Personnel Costs (Subtotal)	\$298,246
Supplies	\$500
Consortium/Contractual Cost	\$12,924
Travel Costs	\$7,080
Other	\$15,400
Direct Cost	\$334,150
Indirect Cost	\$26,732
Approved Budget	\$360,882
Federal Share	\$360,882
Less Unobligated Balance	\$47,494
Cumulative Prior Awards for this Budget Period	\$313,388
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$0



SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
3	\$313,388

REMARKS:

This award approves the carryover of an unobligated balance in the amount of \$47,494 from previous budget years to Year 3. A carryover request was originally submitted in the amount of \$47,800. However, the indirect costs were miscalculated and should have been $\$43,976 \times 8\% = \$3,518$, a reduction of \$306. If the final resolution of the audit covering the above stated budget period(s) determines that the unobligated balance of funds is incorrect, SAMHSA will not make additional funds available to cover any shortfall.

Please note that the contact name corresponding to the Government Project Officer has changed.

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.

It is essential that the Grant Number be included in the SUBJECT line of the email.

Financial Reporting Requirements

1) Federal Financial Report (FFR)/SF-425

<https://www.samhsa.gov/grants/grants-management/reporting-requirements>

2) Financial Cash Transaction Report (FCTR)

https://pms.psc.gov/grant_recipients/ffrinformation.html

Federal Financial Report (FFR)/SF-425

6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final		7. Basis of Accounting <input type="checkbox"/> Cash <input type="checkbox"/> Accrual		8. Project/Grant Period From: <input type="text"/> To: <input type="text"/>		9. Reporting Period End Date <input type="text"/>
10. Transactions						
<i>(Use lines a-c for single or multiple grant reporting)</i>						
Federal Cash (To report multiple grants, also use FFR attachment):						
a. Cash Receipts					0.00	
b. Cash Disbursements					0.00	
c. Cash on Hand (line a minus b)					0.00	
<i>(Use lines d-o for single grant reporting)</i>						
Federal Expenditures and Unobligated Balance:						
d. Total Federal funds authorized					0.00	
e. Federal share of expenditures					0.00	
f. Federal share of unliquidated obligations					0.00	
g. Total Federal share (sum of lines e and f)					0.00	
h. Unobligated balance of Federal Funds (line d minus g)					0.00	
Recipient Share:						
i. Total recipient share required					0.00	
j. Recipient share of expenditures					0.00	
k. Remaining recipient share to be provided (line i minus j)					0.00	
Program Income:						
l. Total Federal program income earned					0.00	
m. Program Income expended in accordance with the deduction alternative					0.00	
n. Program Income expended in accordance with the addition alternative					0.00	
o. Unexpended program income (line l minus line m or line n)					0.00	

- Always report on a cumulative basis
- Annual FFRs due 90 days after the end of a budget period -- 12/31/2018 due to the current budget period end date being 9/29/2018

Federal Financial Report (FFR)/SF-425

- When used in connection with a non-Federal entity's utilization of funds under a Federal award, **obligations** means orders placed for property and services, contracts and sub-awards made, and similar transactions during a given period that require payment by the non-Federal entity during the same or a future period.
- **Line 10f** -- **Unliquidated** obligations means, for financial reports prepared on a cash basis, obligations incurred by the non-Federal entity that have not been paid (liquidated). For reports prepared on an accrual expenditure basis, these are obligations incurred by the non-Federal entity for which an expenditure has not been recorded.
- **Line 10h** -- **Unobligated** balance means the amount of funds under a Federal award that the non-Federal entity has not obligated.

Financial Cash Transaction Report (FCTR)

- Reported to Payment Management System
- Reporting Frequency - 30 days after the end of the calendar quarter (January 30, April 30, July 30, October 30)
- If the report is not submitted on or before the due date, funds may be restricted automatically in PMS

Preparing Your Budget

- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (CFR Title 45, Subtitle A, Subchapter A, Part 75): <https://www.ecfr.gov/cgi-bin/text-idx?node=pt45.1.75&rgn=div5>
 - Subpart E, Cost Principles is a guide on the allowability/unallowability of certain items of cost
- Provide as detailed and broken down of a budget as possible
- Most common SAMHSA Funding Restrictions (see FOA for more details):
 - Light snacks: \$3/person
 - Incentives: \$30/person (non-cash to help with attainment of program goals and cash or equivalent to encourage participation in data collection follow-up)

Preparing Your Budget

- Personnel or Contractual/Consultant Budget Costs:
 - For individuals on salary, provide annual salary/level of effort/amount being charged to the grant
 - For individuals on hourly rate, provide the number of hours/hourly rate/amount being charged to the grant
- Travel Costs:
 - For flights consult GSA City Pairs Program:
<https://cpsearch.fas.gsa.gov/cpsearch/search.do?method=enter>
 - For hotel rates and per diem consult GSA established per diem rates:
<https://www.gsa.gov/travel/plan-book/per-diem-rates>
 - For mileage reimbursement rates consult the IRS rate, 54.5 cents for 2018 and 53.5 cents for 2017
 - Budget for grantee meeting according to FOA guidance

Preparing Your Budget

- **Equipment:** Tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds \$5,000.
- **Supplies:** All tangible personal property other than those described in Equipment.
- **Contractual Costs:** Detailed, broken down budgets should be provided for all sub-awards

Preparing Your Budget

- **Equipment:** Tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds \$5,000.
- **Supplies:** All tangible personal property other than those described in Equipment.
- **Contractual Costs:** Detailed, broken down budgets should be provided for all sub-awards

Preparing Your Budget

- Indirect Costs:
 - Provide updated indirect cost rate agreements
 - Pay attention to direct cost base language definition when budgeting indirect costs. This determines the maximum allowable budgeted indirect costs. Varies from organization to organization. Common direct cost base language includes:
 - Only include personnel costs
 - Exclude all sub-awards or the portion over \$25,000 for each sub-award
 - Exclude equipment

Preparing Your Budget

	<u>Approved Budget</u>
Personnel	105,000
Fringe Benefits	35,000
Travel	21,000
Equipment	42,000
Supplies	10,500
Contractual	262,500
Other	84,000
Direct Charges	560,000
Indirect Charges	140,000
TOTAL	700,000

- IDC rate is 25% in this example
- Direct cost base language examples:
 - All direct costs: $\$560,000 \times 25\% = \underline{\$140,000}$
 - Only include personnel costs: $\$105,000 \times 25\% = \underline{\$26,250}$
 - Exclude all sub-awards or the portion over \$25,000 for each sub-award: Contractual category includes four sub-awards at \$65,625 each (\$262,500). $\$297,500 + \$100,000 = \$397,500 \times 25\% = \underline{\$99,375}$
 - Exclude equipment: $\$560,000 - \$42,000 = \$518,000 \times 25\% = \underline{\$129,500}$

Expected Upcoming Dates/Deadlines

- Carryover NoAs Released: late April-May 2018
- Continuation NoAs Released: late June-early July 2018
- PPHF Funded Recipients: next semi-annual report due 7/15/2018
- Next Annual FFR Due Date: 12/31/2018