Native Connections Grantee Orientation

Please stand by – we will begin soon!

To access the audio for this event, please use the following phone number and passcode.

Phone Number: 888-553-4801
Passcode: 8532440
Disclaimer

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Webinar Overview

- Introduction to the Native Connections grant by Michelle Carnes and Kameisha Bennett
- Introduction to the Tribal Mental Health Technology Transfer Center by Humberto Carvalho
- Introduction to your Government Project Officers by Michelle Carnes and Kameisha Bennett
- Introduction to required data entry in SPARS by Angela Mark
- Introduction to budgetary/fiscal requirements via Grants Management by Louis Velasco
Native Connections is a SAMHSA grant specifically designed for American Indian/Alaska Native tribes and communities.

This is the FOURTH round of funding.

Overall program emphasis on community-based planning that will result in systems change to benefit Native youth.

Think of this opportunity as a part of a long-term “movement”, or ongoing “initiative” to improve services and supports for Native youth and not just another “project”
The Purpose:

• ...to prevent and reduce suicidal behavior and substance abuse, reduce the impact of trauma, and promote mental health among American Indian/Alaska Native young people up to and including age 24.

• ...reduce the impact of mental and substance use disorders, foster culturally responsive models to reduce and respond to the impact of trauma on AI/AN communities, and...

• ...allow AI/AN communities to support youth and young adults as they transition into adulthood by facilitating collaboration among agencies.
Background Note: Typical Service System Approach

- Youth who seek/need services are passive recipients
- Administrators and professionals create stand-alone programs
- Professionals are experts that assess problems and direct treatment
- Professionals plug youth into service “slots” of existing programs
- Lack of clear expectations and reliability across youth-serving components in the system
- Youth fall between the cracks

Youth in Crisis, Youth Who Have Attempted, Youth at Risk

- Medical
- Mental Health
- Substance Abuse
- Child Welfare
- Juvenile Justice
- School/Education
Activities in Year 1

- Hiring
- Involve Community
- Conduct Readiness Assessment
- Develop Policies and Procedures
- Standards of Care for Youth
- Effective Transitions Between Care
- Role of Traditional Healing/Western
Activities in Years 2 Through 5

Years 2 - 5

- Universal
- Selective
- Indicated
A Word About Evidence-Based Practices...

- Pp 9-10 of (SM-18-017) the Funding Opportunity Announcement:
  - “An evidence-based practice refers to approaches to prevention or treatment that are validated by some form of documented research evidence.”
  - “SAMHSA realizes that EBPs have not been developed for all populations and/or service settings. However, in addition to traditional practices, applicants are expected to identify and use EBPs for the types of problems or disorders addressed in the application to the extent practicable.”
  - Tribally-based interventions are considered evidence-based practices.
Project Director Requirements for Native Connections

• On page 6 of the Funding Opportunity Announcement:
  • “The key personnel for this program will be the Project Director with a 1.0 FTE level of effort.”
  • “This position requires prior approval by SAMHSA after a review of the staff credentials and job description.”

How to change the Project Director for your project in eRA Commons:

Click on pdf document in Adobe Connect: eRA CHANGE IN PD (downloadable instructions)
Resources for Support

- Native Connections program webpage
- Native Connections Funding Opportunity Announcement
- Your Native Connections Notice of Award
- Native Connections Technical Assistance Archived Resources
- Tribal Mental Health Technology Transfer Center
American Indian & Alaska Native (AI/AN) MHTTC

Goals

- Foster regional and national alliances and bi-directional informed communication among culturally diverse practitioners, researchers, policy makers, family members, and consumers of MH promotion and treatment services.

- Enhance the T/TA infrastructure to support programs and workforces serving tribal and urban Indian communities; to facilitate expansion of culturally informed knowledge and skills for effective MH services to AI/AN populations, and to prepare for culturally informed EBP implementation.

- Accelerate the adoption, implementation, and sustainment of MH-related, trauma- and culturally informed EBPs across the lifespan and across tribal and urban Indian communities.

https://mhttcnetwork.org/mhttc/mhttc-tac.html
AI/AN MHTTC Services

- Needs assessments, environmental scans and gap analyses for states and tribal entities
- No-cost T/TA (via face-to-face meetings, webinars, conference calls, and other virtual means of delivery) to the MH field
- T/TA, capacity-building, and development of learning communities to Urban Indian and tribes AI/AN communities
- Education and training for certification exams and clinical supervision opportunities for MH professionals working with tribal members
- Native American Leadership Academy to enhance leadership skills in MH promotion, treatment, and recovery
- Expansion of tele-behavioral services to Urban Indian and Tribal communities
- Tribal Action Planning TA and ongoing support
- Network-wide T/TA to promote the adoption and bi-directional diffusion of culturally informed EBPs, including trauma-focused EBPs, suicide EBPs, and promising practices, recovery-oriented systems of care, and other topics of interest to the MH promotion and prevention, treatment, and recovery field.
Thank You

SAMHSA’s mission is to reduce the impact of substance abuse and mental illness on America’s communities.

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Rockville, MD 20857
Humberto.Carvalho@samhsa.hhs.gov
240-276-2974

www.samhsa.gov

1-877-SAMHSA-7 (1-877-726-4727) • 1-800-487-4889 (TDD)
The Role of Your SAMHSA Government Project Officer

- Serve as Primary Contact for your grant
- Monitor activities and progress of the project
- Review requests for changes to the project
- Help navigate the Federal system and your Federal team
- Assist with, review and approve submissions for Standard and Special Terms and Conditions
- Review required reports and provide feedback.
- Share announcements
- Overseeing and approving SPARS goals and quarterly data submission
Kameisha Bennett

- Confederated Tribes of Grand Ronde Indians
- Tule River Indian Health Center, Inc.
- Confederated Tribes of Coos, Lower Umpqua and Siuslaw Indians
- K’Ima: W Medical Center
- Picayune Rancheria of the Chukchansi Indians
- Red Lake Band of Chippewa Indians
- Quartz Valley Indian Reservation
- Mississippi Band of Choctaw Indians
- San Diego American Indian Health Center
William Reyes

- Native American Community Health Center
- Native Americans For Community Action, Inc
- American Indian Health and Family Services of Southeast Michigan, Inc.
- Santee Sioux Tribe of Nebraska
- Port Gamble S’Klallam Tribe
- Five Sandoval Indian Pueblos, Inc.
- Nez Perce Tribe
- Center School, Inc.
- Zuni Youth Enrichment Project
Irene Darko

• First Nations Community Healthsource, Inc.
• Kiowa Tribe of Oklahoma
• Kickapoo Traditional Tribe of Texas
• Eastern Shawnee Tribe of Oklahoma
• Wichita and Affiliated Tribes
• Quapaw Tribe of Oklahoma
• Sac and Fox Nation
• Pyramid Lake Paiute Tribe
Angela Mark

- Chugachmiut, Inc.
- Native Village of Hooper Bay
- Norton Sound Health Corporation
- Knik Tribe
- Goldbelt Heritage Foundation
- Eastern Aleutian Tribes, Inc.
- Organized Village of Kake
- Aroostook Micmac Council
- Copper River Native Association
- Aleut Community of St. Paul Island Tribal Government
Michelle Carnes

- Fort Peck Assiniboine and Sioux Tribes
- Pueblo of Acoma
- Black Feet Tribe (2)
- Ute Mountain Tribal Government
- Southern Ute Indian Tribe
- Ohkay Winge
- Oglala Sioux Lakota Housing
- MHA Nation
- Shoshone-Paiute Tribes
Next Steps as You Get Started

- If you are the contact and **have not yet received an email from us about Native Connections**, please email your SAMHSA GPO listed in your Notice of Award.
- Send us additional contact information for any staff assigned to the Native Connections grant and their role.
- Review the Welcome Email from your GPO.
- Your GPO will set up periodic monitoring phone calls with you around your Year 1 deliverables. For example:
  - Community Systems Analysis
  - Community Readiness Assessment
  - Strategic Action Planning
  - Crisis Response/Protocol Development
Questions & Answers
Before We Move On
How do we know Native Connections is working?

- New policies as a result of the grant
- New partnerships as a result of the grant
- Newly implemented tribal and evidence-based services
- Number receiving tribal and evidence-based mental health or related services after referral
- Number of substance-related, suicide-related and alcohol-related ER visits in the community
- Total number of youth served/reached as a result of this grant
SPARS Overview for New Grantees

• Overview of SPARS
  • Entering Annual Goals and Budget
  • Required Indicators (4)
  • Quarterly Data Entry Reporting Period & Deadlines
What is SPARS?

SAMHSA Performance Accountability & Reporting System

- Web-based, consolidated, centralized data platform
- Allows SAMHSA to measure programs and grantee performance
- Grantees report data only on “GRANT FUNDED” activities
SPARS has two program components:

1. **Annual Goals and Budget Information**
   - Submit goals/budget info. Due: January 31, 2019
   - Modify future goals yearly (December), if needed.

2. **Quarterly Data**
   - Submit quarterly data every 3 months
   - First Quarter Data: Due January 31, 2019
SPARS Annual Performance Goals and Budget Estimates
Due: January 31, 2019

- Log into SPARS and enter Annual Goals for all grant years
- Enter budget estimates for all grant years
- Click on “Submit to GPO” for review/approval
Purpose of Annual Performance Goals

1. Quantify what you plan to accomplish with your grant
2. Tied to your workplan: Realistic & Attainable!
3. Used for performance and program management
4. Consult with your GPO if you need help

It is a “Goals-Based” type evaluation used to assess & monitor the extent your project is meeting its goals
Create Budget Estimates for:

1. Infrastructure Development
2. Data Collection/Evaluation  (estimate cannot exceed 20% of annual grant award)
3. MH Promotion/Prevention
4. Grants Administration
5. Services Provision
6. Technical Assistance

✓ Include all direct & indirect costs associated with each budget category. It is okay to estimate direct and indirect costs.

✓ DO NOT include: in-kind contributions, match costs, or carry over dollars
How to Enter Data in SPARS

1. Go to SPARS online data entry system at https://spars.samhsa.gov
2. Enter data **only** on completed activities and trainings **in the quarter** it was completed and funded by Native Connections
3. **WAIT to** enter data on activities that are “in progress” **for the quarter it is completed**.
4. If you have nothing new to report in a category, click on “No New Results” to indicate
5. Click on “SAVE” to complete entry
6. After you submit your data, your GPO will review and approve (or request revisions).
Introduction to Your Grant Indicators
(Cohort 4)

PD1, PC2, T2, T3
The number of policy changes completed as a result of the grant

- Policy could refer to a broad range of written documents directing an administrative or legislative action or event
- Report once change is complete, not while being implemented

Examples: Tribal Resolutions, Crisis Protocols, Mission Statements that are written/revised to include suicide prevention/mental health promotion/substance misuse.
PC2: PARTNERSHIP/COLLABORATIONS

The number of organizations collaborating, coordinating, and resource sharing with other organizations as a result of the grant to improve mental health-related practices/activities that are consistent with the goals of the grant.

Examples:

• Collaborating with Faith Based Taskforce on prevention activities
• Partnering with another community on training
• Partnering with a University to create support for two-spirit students
The number of programs/communities that implemented tribally-based/evidence-based practices and activities as a result of the grant.

Think of these as interventions used and relevant in your community.

Examples: Talking Circles, Language Curriculums in the school, Youth Camps, American Indian Life Skills Curriculum (adaptation is fine).
The number and percentage of individuals receiving tribally-based/evidence-based mental health or related services after referral.
Every Quarter, Grantees are required to log into SPARS and do the following:

- Enter data only on *completed* activities *in the quarter* it was completed
- DO NOT enter data on activities that are “in progress” or “pending”
- Nothing new to report for an indicator? Click on “No New Results” which is a valid data entry
- After you submit your data, your GPO will review, approve & disapprove or request revisions
- Make edits and revisions to your data, as requested by GPO
What If I Do Not Have Any Data to Report?

1. Log In to SPARS online data entry system at [https://spars.samhsa.gov](https://spars.samhsa.gov)
2. Click on Indicator
3. Click the “No New Results” box on the result record to indicate no new data to report for given indicator for given quarter
<table>
<thead>
<tr>
<th>Quarter</th>
<th>Quarterly Reporting Period</th>
<th>Grantee Deadline to Submit Data</th>
<th>GPO Review Deadline</th>
<th>Grantee Deadline to Revise Data</th>
<th>System Lock Date*</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st</td>
<td>October 1–December 31, 2018</td>
<td>January 31, 2019</td>
<td>February 28, 2019</td>
<td>March 31, 2019</td>
<td>April 1, 2019</td>
</tr>
<tr>
<td>2nd</td>
<td>January 1–March 31, 2019</td>
<td>April 30, 2019</td>
<td>May 31, 2019</td>
<td>June 30, 2019</td>
<td>July 1, 2019</td>
</tr>
<tr>
<td>3rd</td>
<td>April 1–June 30, 2019</td>
<td>July 31, 2019</td>
<td>August 30, 2019</td>
<td>September 30, 2019</td>
<td>October 1, 2019</td>
</tr>
<tr>
<td>4th</td>
<td>July 1–September 30, 2019</td>
<td>October 31, 2019</td>
<td>November 30, 2019</td>
<td>December 31, 2019</td>
<td>January 1, 2020</td>
</tr>
</tbody>
</table>

**Quarterly Reporting Periods and Deadlines for Submitting IPP Results**

Quarterly Reporting Periods:
- **1st Quarter**: October 1–December 31, 2018
- **2nd Quarter**: January 1–March 31, 2019
- **3rd Quarter**: April 1–June 30, 2019
- **4th Quarter**: July 1–September 30, 2019

Grantee Deadlines:
- **1st Quarter**: January 31, 2019
- **2nd Quarter**: April 30, 2019
- **3rd Quarter**: July 31, 2019
- **4th Quarter**: October 31, 2019

GPO Review Deadlines:
- **1st Quarter**: February 28, 2019
- **2nd Quarter**: May 31, 2019
- **3rd Quarter**: August 30, 2019
- **4th Quarter**: November 30, 2019

Grantee Deadlines to Revise Data:
- **1st Quarter**: March 31, 2019
- **2nd Quarter**: June 30, 2019
- **3rd Quarter**: September 30, 2019
- **4th Quarter**: December 31, 2019

System Lock Date:
- **1st Quarter**: April 1, 2019
- **2nd Quarter**: July 1, 2019
- **3rd Quarter**: October 1, 2019
- **4th Quarter**: January 1, 2020

**SAMHSA**
Substance Abuse and Mental Health Services Administration
SPARS Staff Resources

- **SAMHSA Government Project Officer (GPO):**
  Provides programmatic technical assistance and consultation on classifying IPP indicators, setting annual goals and budget information, reviews and approves your data.

- **SPARS Help Desk**
  Provides technical support with navigating screens, user account, username, password resets/information
  - Phone: 1-855-796-5777
  - Email: SPARS-support@rti.com

SPARS continually hosts webinars and data clinics for grantees.
You will also be expected to collect and report on the following data **annually** in your project performance assessment report:

- The number of substance use-related (including opioid-related) emergency room visits by youth served under this grant.
- The number of suicide-related emergency room visits by youth served under this grant.
- The number of alcohol-related emergency room visits by youth served under this grant.
- The total number of youth served and/or reached as a result of this grant.
The Role of Your SAMHSA Grants Management Specialist

- Serves as Primary Contact for your Financial or Business Office
- Responsible for all business/financial matters
- Enforces grants administration policies & regulations
- Authorizes approval to issue funds, carry over monies & no-cost extensions
- Coordinates with SAMHSA GPO
Topics

1. eRA Commons
2. Post-Award Changes Requiring Prior Approval
3. Continuation Applications
4. Financial Reporting Requirements
All post-award requests, responses to special conditions, and financial/programmatic reports will now be submitted and processed exclusively through the eRA Commons system. They 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 home page.
Log-in to eRA Commons with your credentials to access your organization’s grant portfolio.
• Click on “Non-Research” tab and either “Manage Post Award Amendments” or “Manage Continuations”
eRA Commons: Responding to Special Conditions/Terms


• Special Conditions/Terms Examples: Programmatic, Revised Budget, Submit Indirect Cost Rate Agreement, SAM.gov Exclusion, Federal Debt, Disparity Impact, Other, etc.
eRA Commons: Responding to Special Conditions/Terms

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

1) Enter the IC and serial number
2) Delete other defaulted search criteria if not applicable
3) Select Search

1) Select View Terms Tracking
**Option 1a: Access Special Conditions/Terms via Status in the PI/PD Role**

1. **Select List of Applications/Grants**
2. **Find your core grant number**
3. **Expand the section**
4. **Select View Terms Tracking**
Option 1b: Access Special Conditions via Amendments

- 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

Option 1c: Access Special Conditions via Continuations
**eRA Commons: Responding to Special Conditions/Terms**

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

### Table 1: Special Conditions/Terms

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

### Table 2: Due Dates and Status

<table>
<thead>
<tr>
<th>Due Date</th>
<th>Task Description</th>
<th>Due Date Status</th>
<th>Submission Status</th>
<th>Submission Date</th>
<th>Removal Date</th>
<th>Grantee Attachments/Comments</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>11/30/2017</td>
<td>A</td>
<td>Unresolved</td>
<td>No Submissions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12/31/2017</td>
<td>B</td>
<td>Unresolved</td>
<td>No Submissions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>01/31/2018</td>
<td>C</td>
<td>Unresolved</td>
<td>No Submissions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
eRA Commons: Responding to Special Conditions/Terms

- 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

• 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
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
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
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.

• 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
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
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”
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

  • Click “Preview” to view message
  • Click “Save” to return to eRA Commons later and complete
  • Click “Submit” to ultimately finish response to RAM
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

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

3. Changes in Scope
Key Staff and Level of Effort Changes

• **SM-18-017 FOA:**
  “The key personnel for this program will be the Project Director with a 1.0 FTE level of effort. This position requires prior approval by SAMHSA after a review of the staff credentials and job description.”

• **Notice of Award:**
  Key staff are listed below:
  
  Kermit the Frog, Project Director @ 100% 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

• Kermit the Frog, Project Director @ 100% level of effort
  100% X 0.25 = 25% 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

<table>
<thead>
<tr>
<th>AMENDMENT_TYPE_CODE</th>
<th>REQUIRED_FORM_NAME</th>
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</thead>
<tbody>
<tr>
<td>Change in Key Personnel</td>
<td>SF424</td>
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<tr>
<td></td>
<td>OtherNarrativeAttachments</td>
</tr>
<tr>
<td></td>
<td>HHS_CheckList</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th></th>
<th>Approved Year 1 Budget</th>
<th>Proposed Budget Revision</th>
<th>Change, +/-</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>125,000</td>
<td>105,000</td>
<td>-20,000</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>25,000</td>
<td>21,000</td>
<td>-4,000</td>
</tr>
<tr>
<td>Travel</td>
<td>2,500</td>
<td>4,500</td>
<td>+2,000</td>
</tr>
<tr>
<td>Equipment</td>
<td>0</td>
<td>28,000</td>
<td>+28,000</td>
</tr>
<tr>
<td>Supplies</td>
<td>7,500</td>
<td>4,500</td>
<td>-3,000</td>
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<tr>
<td>Contractual</td>
<td>25,000</td>
<td>32,000</td>
<td>+7,000</td>
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<tr>
<td>Other</td>
<td>15,000</td>
<td>5,000</td>
<td>-10,000</td>
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<tr>
<td>Direct Charges</td>
<td>200,000</td>
<td>200,000</td>
<td>0</td>
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<tr>
<td>Indirect Charges</td>
<td>50,000</td>
<td>50,000</td>
<td>0</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td><strong>250,000</strong></td>
<td><strong>250,000</strong></td>
<td><strong>Δ 74,000</strong></td>
</tr>
</tbody>
</table>

Equipment category previously funded at $0. And if $28,000 involves an item over $25,000.

Budget revisions are $74,000 which is a 29.6% change, exceeding the 25% threshold.
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)

<table>
<thead>
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<td>OtherNarrativeAttachments</td>
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</table>
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)

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<td>HHS_CheckList</td>
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</table>
Continuation Applications

• Recipients must ensure the following are up-to-date:
  ➢ Submission of annual program progress and financial reports
  ➢ Federal Cash Transactions Reports in the HHS Payment Management System
  ➢ System for Award Management (SAM) annual registration and DUNS information

• Continuation applications are completed and submitted within the eRA Commons system

• https://www.samhsa.gov/grants/continuation-grants
Continuation Applications: eRA Commons

- For upcoming support years you will see information for the support year, status, open date, due date, and the “Select One” button in the action column. Click on “Select One” and you will see the “Initiate...” option.

- You may initiate a new continuation when the continuation status is “Due” (i.e., within the open and due date range) or “Late” (i.e., after the due date, but before the current budget period end date).

- If you have already initiated a continuation, the dropdown option will say “Edit Continuation”.

- You may initiate a new continuation when the continuation status is “Due” (i.e., within the open and due date range) or “Late” (i.e., after the due date, but before the current budget period end date).

- If you have already initiated a continuation, the dropdown option will say “Edit Continuation”.
• Information about the application will be input in the different tabs; these include the forms that are required to be completed.

• Some data fields will be pre-populated based on the current award. Some of these fields are editable and some are not.

• Any additional required forms can be uploaded by selecting “Add Optional Form” on the left-hand side of the screen.

• When ready to submit, select “Update Submission Status” on the left-hand side and change to “Ready for Submission”. An application validation will be run to check for errors.

• The designated Authorized Organization Representative (AOR) must ultimately submit the application. Once completed, it will be sent to Grants.gov and eRA for processing.
Continuation Applications: Budget or Attestation

• Recipient must include either of the following:
  1. A detailed budget and narrative justification for the upcoming continuation year.
  2. A signed and dated attestation letter when the budget will not change more than 25 percent from the current budget period. The attestation letter must clearly state that the budget will not change by more than 25 percent and must be signed by the AOR on the organization’s letterhead.
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

- Always report on a cumulative basis
- Annual FFRs due 90 days after the end of a budget period -- 12/31/2019 due to the current budget period end date being 9/29/2019
• 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
Expected Upcoming Dates/Deadlines

• Year 2 Continuation Applications Due: late January-early February 2019
• Year 2 Continuation NoAs Released: late June-early July 2019
• End of Year 1 FFR & Programmatic Progress Report – 12/31/2019
Preparing Your Budget


➢ 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
Preparing Your Budget

- Most common SAMHSA Funding Restrictions:
  - 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)

- IECMH specific FOA restrictions:
  - No more than 15 percent of the total grant award for each annual budget period may be used for developing the infrastructure necessary for expansion of services.
  - No more than 15 percent of the total grant award for the budget period may be used for data collection, performance measurement, and performance assessment.
  - Cost sharing/match is required by statutory mandate to provide matching funds from other non-federal sources, either directly or through donations from public or private entities. Section 10006 of the 21st Century Cures Act, which creates Section 399Z-2 of the Public Health Service Act, requires a 10 percent match of the annual grant award. Matching resources may be cash or in-kind, including facilities, equipment, or services, and must be derived from non-federal sources (e.g., state or sub-state non-federal revenues, foundation grants).
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:
  ➢ For mileage reimbursement rates consult the IRS rate, 54.5 cents for 2018 and 53.5 cents for 2017
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

• Any non-Federal entity that has never received a negotiated indirect cost rate may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely.
Preparing Your Budget

**Approved Year 1 Budget**

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<th>Category</th>
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<td>Fringe Benefits</td>
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<tr>
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<td>Equipment</td>
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<tr>
<td>Supplies</td>
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<tr>
<td>Contractual</td>
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<tr>
<td>Other</td>
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<td>Direct Charges</td>
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<td>Indirect Charges</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td>500,000</td>
</tr>
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</table>

• IDC rate is 25% in this example
• Direct cost base language examples:
  - All direct costs: $400,000 X 25% = **$100,000**
  - Only include personnel and fringe costs: $300,000 X 25% = **$75,000**
  - Exclude all sub-awards or the portion over $25,000 for each sub-award: Contractual category includes one sub-awards at $50,000. $350,000 + $25,000 = $375,000 X 25% = **$93,750**
Questions & Answers
Thank you and welcome to Native Connections!