

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



SAMHSA
Substance Abuse and Mental Health
Services Administration

Disclaimer

- Disclaimer: The views, policies, and opinions expressed in written conference materials or publication and by speakers and moderators do not necessarily reflect the views, opinions, or policies of SAMHSA or HHS; nor does mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

Grantee Orientation FY 2018 Tribal Behavioral Health Grant Cohort 4: Native Connections

Your Native Connections SAMHSA Project Officers
Kameisha Bennett, William Reyes, Irene Darko, Angela Mark,
Michelle Carnes
Substance Abuse and Mental Health Services Administration
U.S. Department of Health and Human Services

FY 2018 Tribal Behavioral Health Grantee Orientation Webinar
November 27, 2018



SAMHSA
Substance Abuse and Mental Health
Services Administration

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”

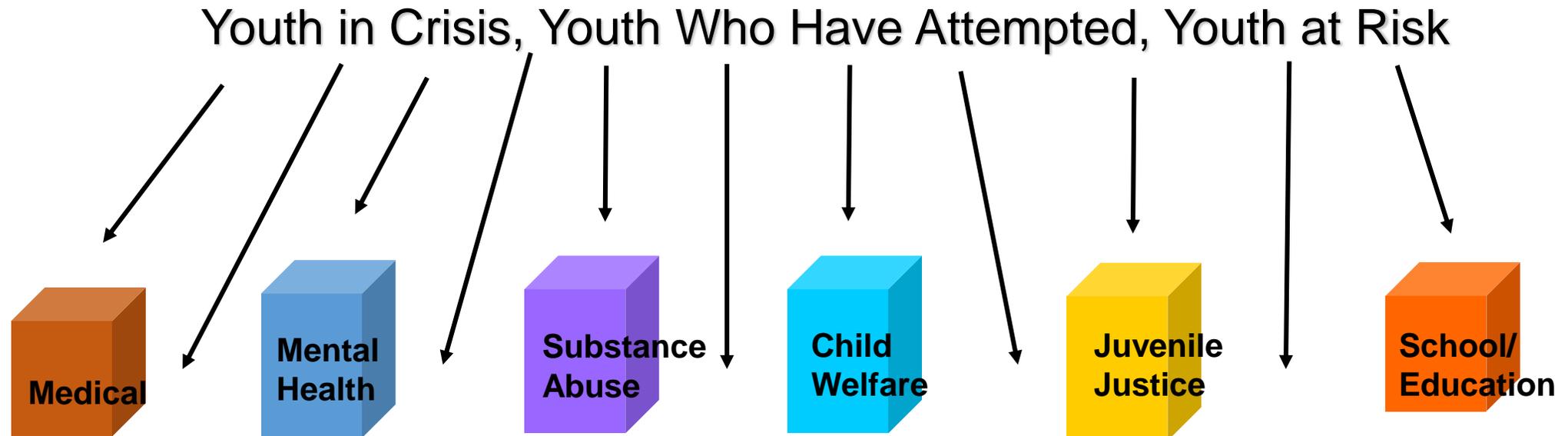


The Purpose:

- ...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**



Activities in Year 1

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



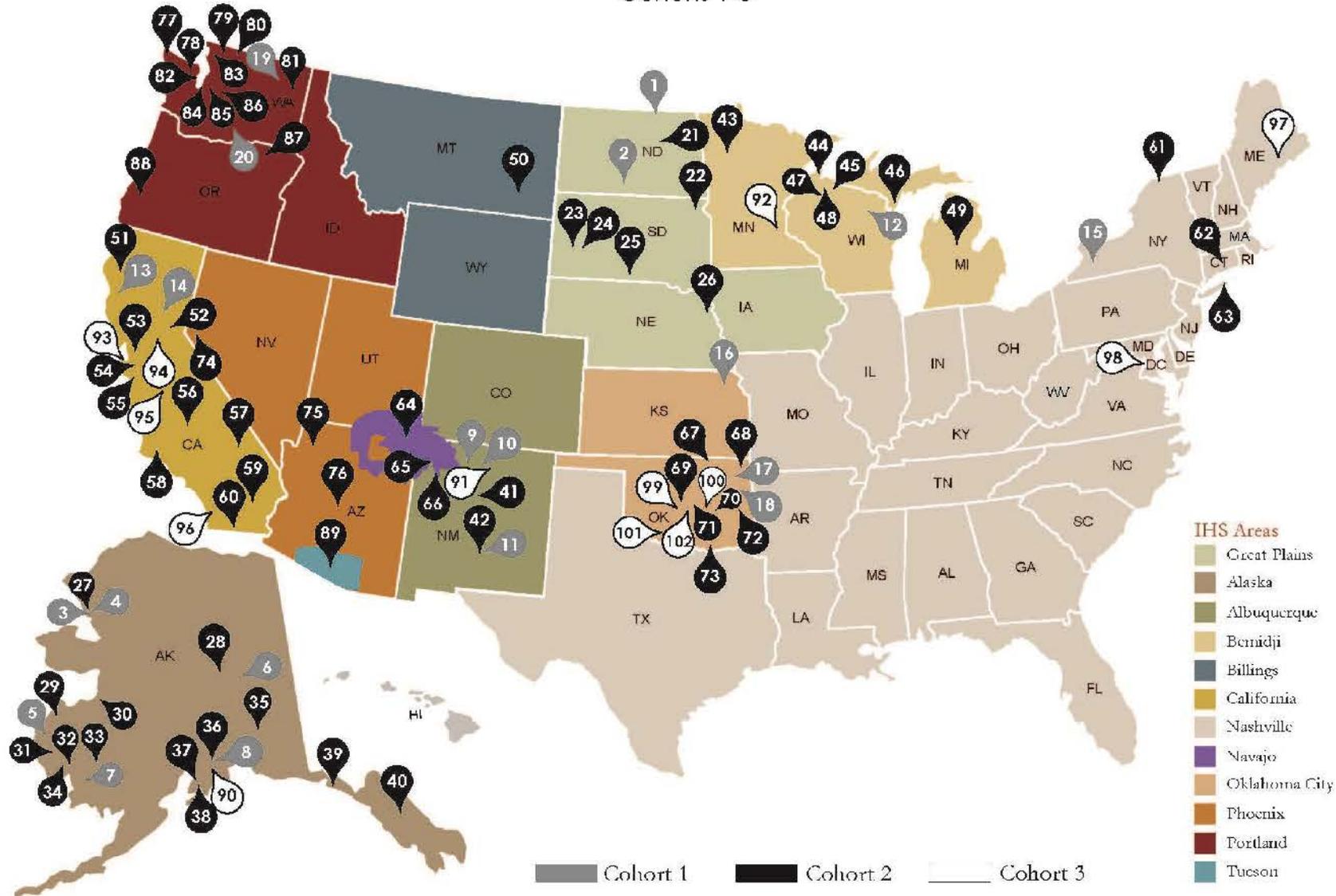
Indicated

A Word About Evidence-Based Practices...

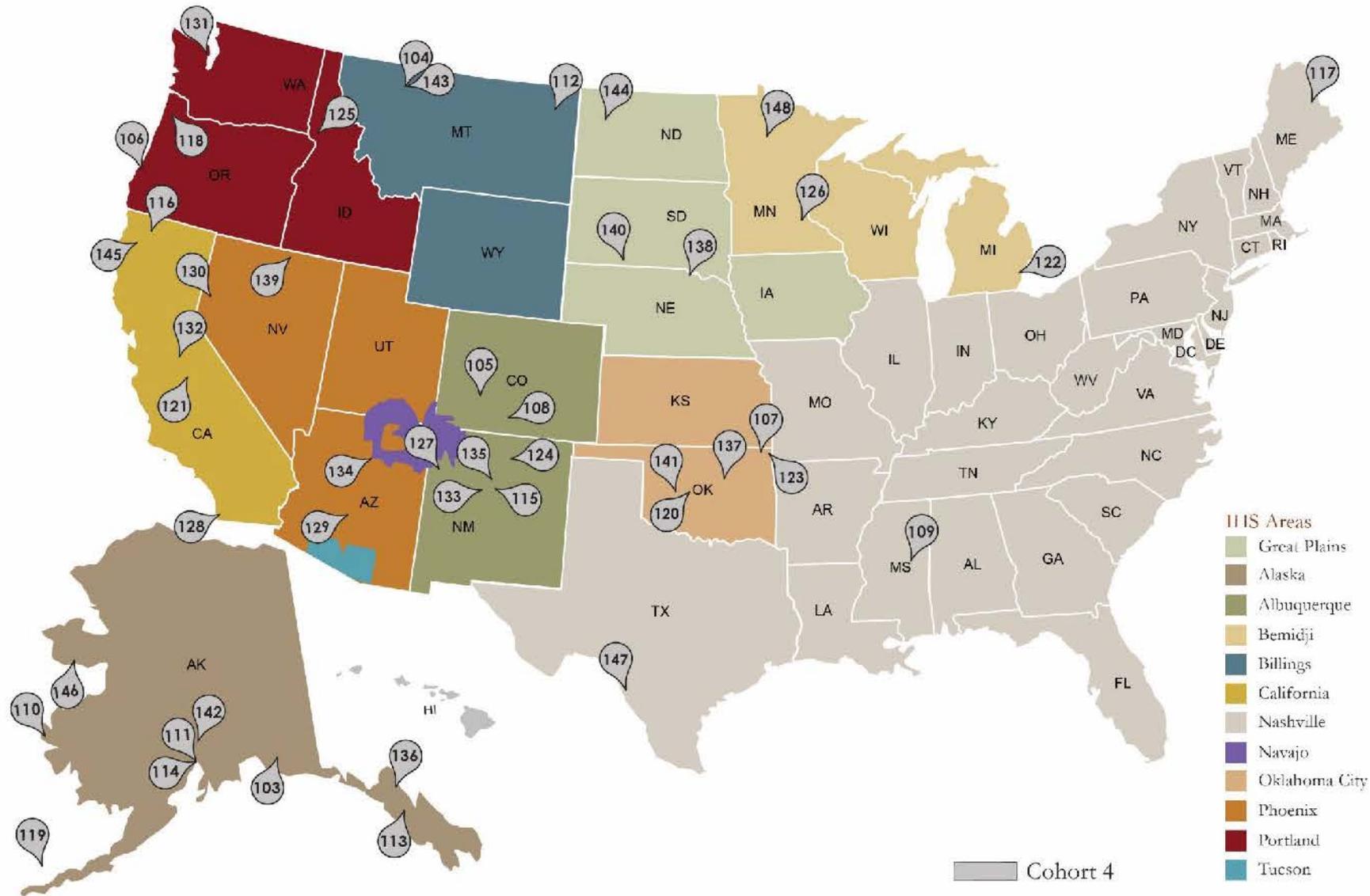
- Pp 9-10 of (SM-18-017) the Funding Opportunity Announcement:
 - “An evidence-based practice refers to approaches to prevention or treatment that are validated by some form of documented research evidence.”
 - “SAMHSA realizes that EBPs have not been developed for all populations and/or service settings. 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.**

Native Connections Grantee Map

Cohorts 1-3



Native Connections Cohort 4 Grantee Map



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

<https://mhttcnetwork.org/mhttc/mhttc-tac.html>

- ❑ 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.



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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240-276-2974

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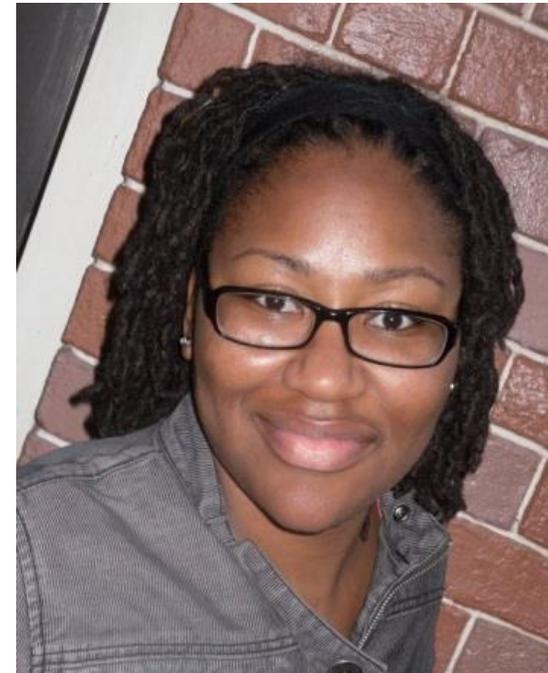
1-877-SAMHSA-7 (1-877-726-4727) • 1-800-487-4889 (TDD)

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 Wingeh
- 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

6 Budget Categories in SPARS

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

POLICY DEVELOPMENT: PD1

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

TYPES/TARGETS OF PRACTICES: T2

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).

TYPES/TARGETS OF PRACTICES: T3

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>
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

Quarterly Reporting Periods and Deadlines for Submitting IPP Results

Quarter	Quarterly Reporting Period	Grantee Deadline to Submit Data	GPO Review Deadline	Grantee Deadline to Revise Data	System Lock Date*
1st	October 1–December 31, 2018	January 31, 2019	February 28, 2019	March 31, 2019	April 1, 2019
2nd	January 1–March 31, 2019	April 30, 2019	May 31, 2019	June 30, 2019	July 1, 2019
3rd	April 1–June 30, 2019	July 31, 2019	August 30, 2019	September 30, 2019	October 1, 2019
4th	July 1–September 30, 2019	October 31, 2019	November 30, 2019	December 31, 2019	January 1, 2020

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.

Additional Data Collection

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

Financial Management of Your FY 2018 Tribal Behavioral Health Grant Native Connections

Louis Velasco
Grants Management Specialist
Substance Abuse and Mental Health Services Administration
U.S. Department of Health and Human Services

FY 2018 Tribal Behavioral Health Grantee Orientation Webinar
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Topics

1. eRA Commons
2. Post-Award Changes Requiring Prior Approval
3. Continuation Applications
4. Financial Reporting Requirements

eRA Commons: Homepage

- 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.

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.

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

For Applicants [For Applicants](#)

For Grantees [For Grantees](#)

For Reviewers [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

Need Help?

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

eRA 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”

The screenshot shows the top navigation bar of the eRA Commons website. The header includes the U.S. Department of Health & Human Services logo and the eRA Commons logo, which is described as a program of the National Institutes of Health. To the right are the NIH and OER logos. The navigation menu contains the following items: Home, Admin, Institution Profile, Personal Profile, Status, ASSIST, Prior Approval, RPPR, FFR, xTrain, xTRACT, Admin Supp, eRA Partners, Non-Research, Manage Post Award Amendments, and Manage Continuations. The 'Non-Research' tab is highlighted with a red box, and an orange arrow points to the 'Manage Post Award Amendments' link. Below the navigation bar, the text 'Welcome to the Commons' is displayed, followed by a URL: <https://www.google.com>. The main content area is divided into two sections: 'Welcome' and 'System Information Message'. The 'Welcome' section displays the user's name (James Kirk), ID (kirkj), institution (Starfleet Academy), and roles (SO FSR). The 'System Information Message' section contains a red note: '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.'

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: Responding to Special Conditions/Terms



1a) Select Status



1b) Or select Manage Post Award Amendments

1c) Or select Manage Continuations

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

- [https://era.nih.gov/files/TCM User Guide Grantee.pdf](https://era.nih.gov/files/TCM_User_Guide_Grantee.pdf)
- 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

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/Terms 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

Tracking Number Search

1) Select List of Applications/Grants

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

1) Find your core grant number

2) Expand the section

Status Report - List of Applications/Grants 21

Grouped View Flat View

H79SM123456	2	09/30/2017 - 09/29/2019 (Project Period)	James Kirk (PD/PI)	SAMHSA T6 Testing (Title)	Awarded. Non-fellowships only		
Application ID	Grants.gov Tracking#	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Available Actions
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

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 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/term 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	Action 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 ▾

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

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Manage Post Award Amendments

Manage Post Award Amendments: Search ⓘ

Include Expired Grants ⓘ

Grant Number	Federal Agency	Project Start	Project End	Budget Start	Budget End	Project Title	Action
H79SM123457	SAMHSA	01/01/2020	12/31/2024	01/01/2020	12/31/2020	Functional Behavior Patterns Resulting in Skillset Displacement	View Initiate
H79SM123458	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
H79SM123459	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
H79SM123460	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
H79SM123461	SAMHSA	01/01/2015	12/31/2024	01/01/2015	12/31/2020	The Relationship Between Claustrophobia and Transporter Psychosis	View Initiate
H79SM123462	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

PD/PI Screen

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Manage Post Award Amendments

Manage Post Award Amendments: Search ⓘ

Include Expired Grants ⓘ

Activity ⓘ activity code IC ⓘ All selected (0) Serial # ⓘ 000000 PD/PI Last Name ⓘ last name Search

Filter:

Showing 1 - 25 of total 49

Show 25 per page 1 2

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

SO Screen

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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Manage Post Award Amendments

Manage Post Award Amendments: View

Application Information

Grant Number: H79SM123457 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 #	Actions
H79SM123457-01L003	GRANT12345678	01/01/2020	12/31/2020	Change in Scope	09/19/2016	Disapproved		
H79SM123457-01L002	GRANT12345679	01/01/2020	12/31/2024	Change in Scope	09/19/2016	Awarded	H79SM123457-01M001	Actions
H79SM123457-01L001	GRANT12345670	01/01/2020	12/31/2024	Change in Organizational Information	09/19/2016	Disapproved		Actions
H79SM123457-01L004	GRANT12345671	01/01/2020	12/31/2020	Change in Organizational Information	09/19/2016	Disapproved		Actions
H79SM123457-01L005	GRANT12345672	01/01/2020	12/31/2024	Merger, Successor-in-interest, or Transfer	09/22/2016	Awarded	H79SM123457-01M002	Actions
H79SM123457-01L006	GRANT12345673	01/01/2020	12/31/2024	Key Personnel	10/14/2016	In Review		Actions

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

The screenshot displays the ASSIST system interface for a Post Award Amendment request. On the left, an 'Actions' sidebar contains buttons for 'MANAGE ACCESS', 'ADD OPTIONAL FORM' (highlighted with an orange box), '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 are three tabs: 'Summary' (selected), 'SF-424 Cover', and 'Other Narrative Attachments' (highlighted with a red box). The 'Application Information' section shows the following details: Application Identifier: 17010 (highlighted with an orange box); Application Type: Post Award Amendment (Key Personnel); Application Project Title: Functional Behavior Patterns Resulting in Skillset Displacement; PD/PI Name: [blank]; Organization: STARFLEET ACADEMY MEDICAL RESEARCH DIVISION; Project Period: 01/01/2020 - 12/31/2024; Status: Work in Progress (with a 'Submit Application' button); 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

U.S. Department of Health & Human Services | eRA Commons | Home | Logout | Help Desk | Contact

A Application Submission System & Interface for Submission Tracking (ASSIST)
Sponsored by the National Institutes of Health

Username: JAWROK

Home > Application Information

Application Information

Summary | SF 424 Cover | HHS Checklist | Other Narrative Attachment

Application for Federal Assistance | SF 424 v2.1 | UMB Number: 4040-0004 | Expiration Date: 08/31/2016

Actions

- RETURN TO APPLICATION
- MANAGE ACCESS
- ADD OPTIONAL FORM
- PREVIEW CURRENT FORM
- VALIDATE APPLICATION
- VIEW STATUS HISTORY
- UPDATE SUBMISSION STATUS**
- COPY APPLICATION
- DELETE APPLICATION

Expand All * Required Fields

1. * TYPE OF SUBMISSION

* Type of Submission: Pre-Application Application Changed/Corrected Application

2. * TYPE OF APPLICATION

Update Submission Status

Enter a comment for this submission without adding a comment.

Select Status

- Ready for Submission
- Abandoned

confirm

Add comment Cancel

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Screen Rendered: 10/19/2016 02:27:36 EDT | Screen Id: ACGST003481092
Version: 2.21.01

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 system 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' (highlighted with a red box), 'SF424 Cover', 'HHS Checklist', and 'Other Narrative Attachments'. 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
FO/PI Name:	
Organization:	STARFLEET ACADEMY MEDICAL RESEARCH DIVISION
Project Period:	01/01/2010 - 12/31/2014
Status:	Ready for Submission Submit Application
Status Date:	2010-10-17 10:40:12:00 PM EDT

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

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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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 (PCC):

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	GRANT12345679	01/01/2020	12/31/2024	Change in Scope	09/19/2016	Awarded	H795M123457-01M001	Action(s) + RAM View Prior RAM
H795M123457-01L001	GRANT12345670	01/01/2020	12/31/2024	Change in Organizational Information	09/15/2016	Disapproved		Action(s) +
H795M123457-01L004	GRANT12345671	01/01/2020	12/31/2020	Change in Organizational Information	09/15/2016	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: [Upload](#)

File Name	Date Uploaded	Uploaded By	View	Delete
RAM Document 3.pdf	10/19/2018	Tiberius, Kirk J	View	Delete
RAM Document 2.pdf	10/19/2018	Tiberius, Kirk J	View	Delete
RAM Document 1.pdf	10/19/2018	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

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>

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
 $100\% \times 0.25 = 25\%$ 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

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

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

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.

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

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

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Home | Admin | Institution Profile | Personal Profile | Status | ASSIST | Prior Approval | RPPR | xTrain | XTRACT | Admin Supp | eRA Partners | Non-Research

Manage Post Award Amendments | Manage Continuations

Manage Continuations: Search

Include Expired Segments 

Search:

Showing 1 to 9 of 9 entries

Show 25 entries Previous 1 Next

Core Grant #	Federal Agency	Project Start	Project End	Budget Start	Budget End	PD/PI Name	Status	Project Title	Action
H79SM123456	SAMHSA	09/30/2017	09/29/2020	09/30/2017	09/29/2018	McCoy, Leonard	Due	How to Defeat Khan	



Continuations: View

Application Information

Grant Number: H79SM123456 Project Period: 09/30/2017 - 09/29/2020	Organization Name: Starfleet Academy Grant Program (PCC): SPOCK-DR
--	---



Search:

Showing 1 to 2 of 2 entries

Show 25 entries Previous 1 Next

Support Year	Application #	Grants.gov Tracking #	Status	Open Date	Due Date	Submitted Date	Action(s)
2			Due	03/29/2018	06/29/2018		
3			Pending	03/29/2019	06/29/2019		



- 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”.

Continuation Applications: ASSIST



Home > Search for Applications > Application Information

Hide Navigation

Show Help

Application Information

Summary SF424 Cover Sites Budget - Non-Construct. HHS Checklist Budget Narrative Project Narrative



Application Information

Application Identifier: 16270
Application Type: Continuation
Application Project Title: How to Defeat Khan
PD/PI Name:
Organization: Starfleet Academy
Project Period: 09/30/2017 - 09/29/2020
Status: Work in Progress Submit Application
Status Date: 2017-10-29 02:03:32.000 PM EDT

Summary SF424 Cover Sites Budget - Non-Construct. HHS Checklist Budget Narrative Project Narrative



Application Information

Application Identifier: 16270
Application Type: Continuation
Application Project Title: How to Defeat Khan
PD/PI Name: Leonard McCoy
Organization: Starfleet Academy
Project Period: 09/30/2017 - 09/29/2020
Status: Ready for Submission Submit Application
Status Date: 2017-10-29 02:50:52.000 PM EDT

1) Select Submit Application

- 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.

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 -- 12/31/2019 due to the current budget period end date being 9/29/2019

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

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

- 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

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:
<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

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

- IDC rate is 25% in this example
- Direct cost base language examples:
 - All direct costs: $\$400,000 \times 25\% = \underline{\$100,000}$
 - Only include personnel and fringe costs: $\$300,000 \times 25\% = \underline{\$75,000}$
 - Exclude all sub-awards or the portion over \$25,000 for each sub-award: Contractual category includes one sub-awards at \$50,000. $\$350,000 + \$25,000 = \$375,000 \times 25\% = \underline{\$93,750}$

	<u>Approved Year 1 Budget</u>
Personnel	250,000
Fringe Benefits	50,000
Travel	5,000
Equipment	0
Supplies	15,000
Contractual	50,000
Other	30,000
Direct Charges	400,000
Indirect Charges	100,000
TOTAL	500,000

Questions & Answers

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Thank you and welcome to Native
Connections!

