

# ADD Grant Administration Overview



2009 Youth Technical  
Assistance Institute

# Presentation Overview

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- To inform grantees of their responsibilities
- To remind grantees of ADD's responsibilities
- To highlight reporting requirements

# Grantee Responsibilities

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- Submits application according to what is required in the program announcement
- Undertakes activities as specified in the application
- Submits narrative and financial reports according to the prescribed schedule
- Requests technical assistance
- Requests prior approval for cost and activity changes in writing

# ADD Project Officer Responsibilities

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- Responds to requests for prior approval within 30 days
- Provides direct consultation and assistance concerning programmatic or technical matters
- Conducts site visits as deemed necessary
- Evaluates programmatic performance, progress, and any requested changes in scope or objectives from the approved application using information in program and financial reports, site visits, correspondence, and other sources
- Serves as the focal point for responding to scientific, technical or programmatic correspondence from the grantee

# ADD PO Responsibilities (continued)

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- Provides programmatic input concerning proposed withholding of payment, or suspension or termination of award.
- Thoroughly documents on-site reviews and any discussions with the recipient that may influence the project administration and provides a copy to the Grants Management Office for any necessary action.
- Advises recipients, as appropriate, on programmatic emphases for subsequent years of a project within an approved project period.
- Reviews the technical aspects of a recipient's request for extension of the final budget period of a project period.
- Assists the Grants Management Office in closing out completed or terminated projects.

# Reminders

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- Semi-Annual Reports are due Thursday, April 30, 2009
- Continuation applications are due Friday, May 15, 2009
- Due dates relate to when items should be in ADD's offices

# Semi-Annual Report Suggestions

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- Please provide as much detail as possible
- Avoid using only bullets
- Please be mindful of comments sent to you regarding your semi-annual report and make the necessary changes.
- It would be helpful to align the project's goals and objectives with its accomplishments.

# Fiscal Forms

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- Standard Form 269 (SF269) is due every 6 months
- Standard Form 424 (SF424) is due at least once per year and should be attached to an application as well as a budget request
- Standard Form 424A (SF424A) should be attached to an application as well as a budget request

# SF 424 Highlights

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- Block 18 – Please ensure that the non-Federal funding is at least 25% of total funding (or 1/3 of Federal funding)
- Block 19 – Executive Order 12372, the Intergovernmental Review of Federal Programs will allow each state to designate an entity to review applications prior to Federal funding
- <http://www.whitehouse.gov/omb/grants/s poc.html>

# SF 424 (Continued)

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- Arkansas
- California
- Delaware
- District of Columbia
- Florida
- Georgia
- Iowa
- Kentucky
- Maine
- Maryland
- Michigan
- Mississippi
- Missouri
- Nevada
- New Hampshire
- North Dakota
- Rhode Island
- South Carolina
- Texas
- Utah
- West Virginia
- Wisconsin
- American Samoa
- Guam
- Northern Mariana Islands
- Puerto Rico
- Virgin Islands

# Fiscal Forms Online

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- SF269 –  
<http://www.whitehouse.gov/omb/grants/sf269.pdf>
- SF424 –  
<http://www.whitehouse.gov/omb/grants/sf424.pdf>
- SF424A –  
<http://www.acf.hhs.gov/programs/ofs/grants/sf424a.pdf> or  
<http://www.whitehouse.gov/omb/grants/sf424a.pdf>

# Budget Justification

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- Personnel
  - Please explain the level of effort, salary, and other relevant information per person covered under this category.
- Travel
  - Please include as much information as possible about prospective travel. Any travel which requires an overnight stay goes in this category. If it is in-state travel and does not require overnight stay, it should be included in the "other" category.

# Budget Justification

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- Equipment
  - If each individual item is less than \$5,000, it should be included in the “supplies” category.
- Other
  - Insurance, food, medical, and dental (non-contractual), professional services, space and equipment, rentals, printing and publication, computer use, training cost, tuition and stipend, staff development, and administration costs.

# Revisions – Prior Approval Needed

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- 1) **to apply actual unobligated balance from prior budget period and increase the amount awarded;**
- 2) to apply actual unobligated balance from prior budget period and increase or decrease the total Federal approved budget;
- 3) **to approve a requested change in the Principal Investigator or Program Director;**
- 4) to approve a requested change in the date of the budget and/or project period;
- 5) **to approve a requested budget modification within the total Federal approved budget;**
- 6) to change the total grantee participation;
- 7) other (remarks section of Federal Assistance Award).

# Prior Approval Requirements

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- Initiated by the recipient
- In writing
- Signed by an authorized organizational official
- Submitted directly to the Office on Grants Management with a copy to ADD

# Carryover Request Requirements

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- A detailed description of the objectives/goals not completed
- An explanation as to why the objectives/goals were not completed
- An explanation of how the unmet objectives/goals will be met in the subsequent year
- State the adverse effects if the request is denied
- The above should be included in a letter signed by the authorizing official

# Carryover Request Requirements

## (continued)

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- A detailed line item budget (i.e., personnel, travel, supplies etc.) and budget justification that supports the work to be completed and the proportionate non-Federal share
- A copy of the current indirect cost rate agreement, if charging indirect in the carry over
- The original SF424 signed by the authorizing official (same date as carryover request)
  - Reflect only the Federal carryover amount the non-Federal match (1/3 of Federal amount)
- SF424A (Section A columns a,b,e,f,g; Section B columns 1 (Federal), 2 (non-Federal), and 5 (total))
- A current SF269-which should show unobligated balance in line "p"

# Change in the Principal Investigator or Program Director

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- According to AAGAM 3.05.105-3, the Office of Grants Management (with a copy to ADD). Should receive the notification in writing-on the organization's letterhead, and signed by the authorizing official
- Letter should state the effective date of the new personnel
- The new personnel's resume or curriculum vitae should be attached

# Change the Total Grantee Participation

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- This relates to the non-Federal
- Grantee can choose to provide exact non-Federal match or more; however, it is responsible for what is stated in its application

# Accounting Suggestions

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- Each grantee which expends \$500,000 or more should make provisions for regular audits (please see OMB Circular A-133)
- HHS reserves the right to conduct additional audits than what the grantee conducts

# Suggestions from Common Audit Findings

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- **Concentration of Cash on Deposit and Uninsured Cash Benefits**
  - Grantee must have procedure strengthened to ensure that all funds are adequately safeguarded (45 CFR part 74.21(b) (3)), including bank deposits in excess of insurance of collateralization.
- **Accounting Review**
  - Grantee must have policies and procedures developed and implemented to ensure that general ledger entities and reconciliations are properly reviewed and approved by management
- **Employee Compensation/Time Spent Documentation**
  - Grantee must have policies and procedure developed and implemented to ensure that personnel costs charged to Federal programs are adequately supported by time and attendance records
- **Financial Management**
  - Grantee must have procedures strengthened to ensure that accounting records and budgetary controls are accurate with complete.

# Suggestions from Common Audit Findings

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- **Subsequent Monitoring**

- Grantee must have procedures developed and implemented to ensure that subrecipients are adequately monitored in accordance with Federal regulation

- **Indirect Costs**

- Grantee must have procedures strengthened to ensure that indirect costs are correctly charged to Federal programs.

- **Net Assets**

- Grantee must have procedures strengthened to ensure that financial statements are prepared to permit adequate control over the administration of Federal financial assistance.

- **Expenditures**

- Grantee must have procedures strengthened to ensure that general ledger accounts are reconciled to supporting documentation in a timely manner

# Questions?

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# Contact Us

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- Ophelia McLain  
[ophelia.mclain@acf.hhs.gov](mailto:ophelia.mclain@acf.hhs.gov) or 202 690-7025
- Larissa Crossen  
[larissa.crossen@acf.hhs.gov](mailto:larissa.crossen@acf.hhs.gov) or 202 690-5999