

Prior Approval Requirements & Review of Notice of Grant Award (NGA)



Presenter: Roscoe Brunson
Senior Grants Management Specialist
OASH, Office of Grants Management

Prior Approval Requirements

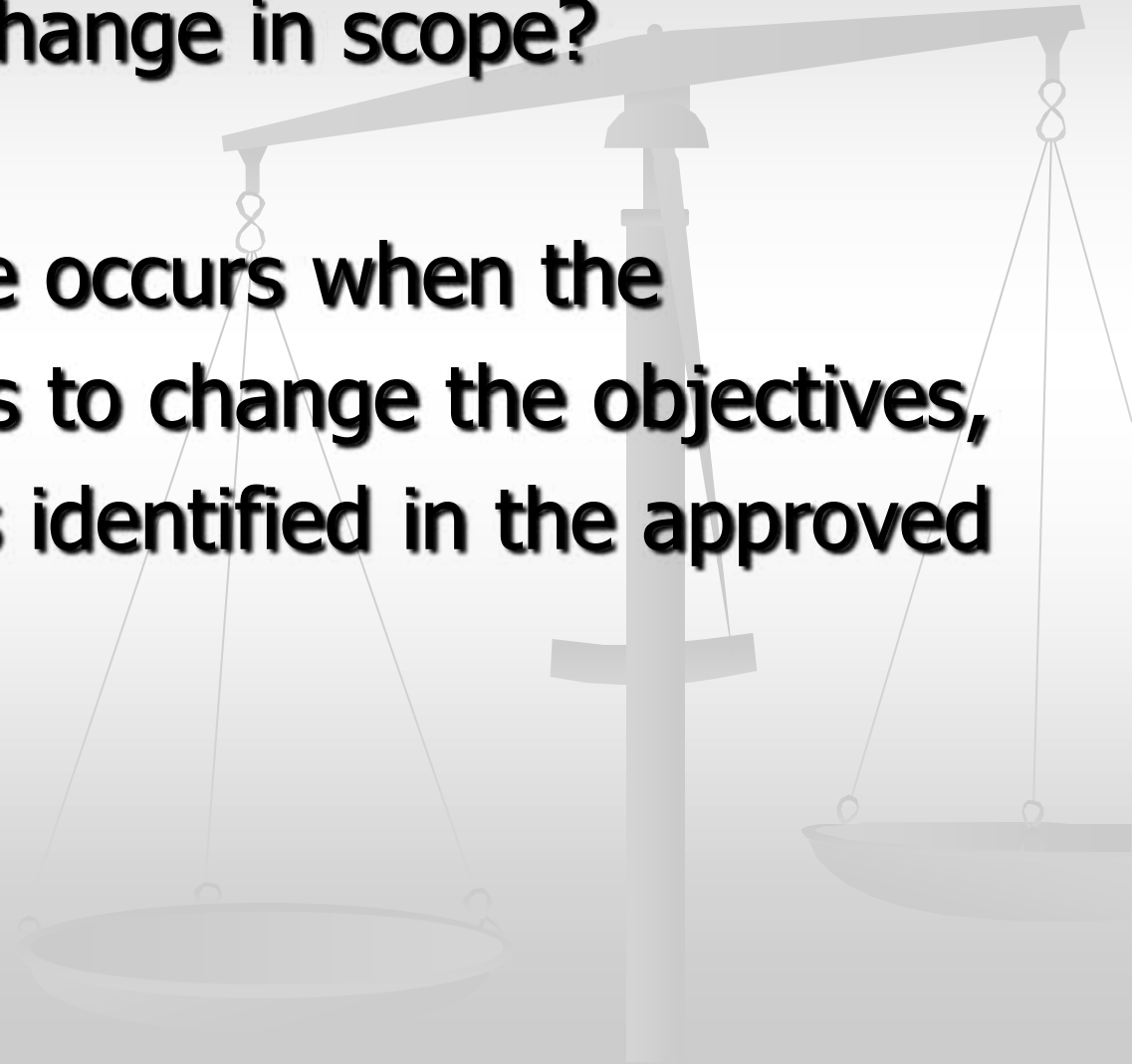
- **Change in Scope**
- **Significant re-budgeting**
- **Change in Program Director**
- **Carryover request**



Change in Scope

What defines a change in scope?

A change in scope occurs when the recipient proposes to change the objectives, aims, or purposes identified in the approved application.



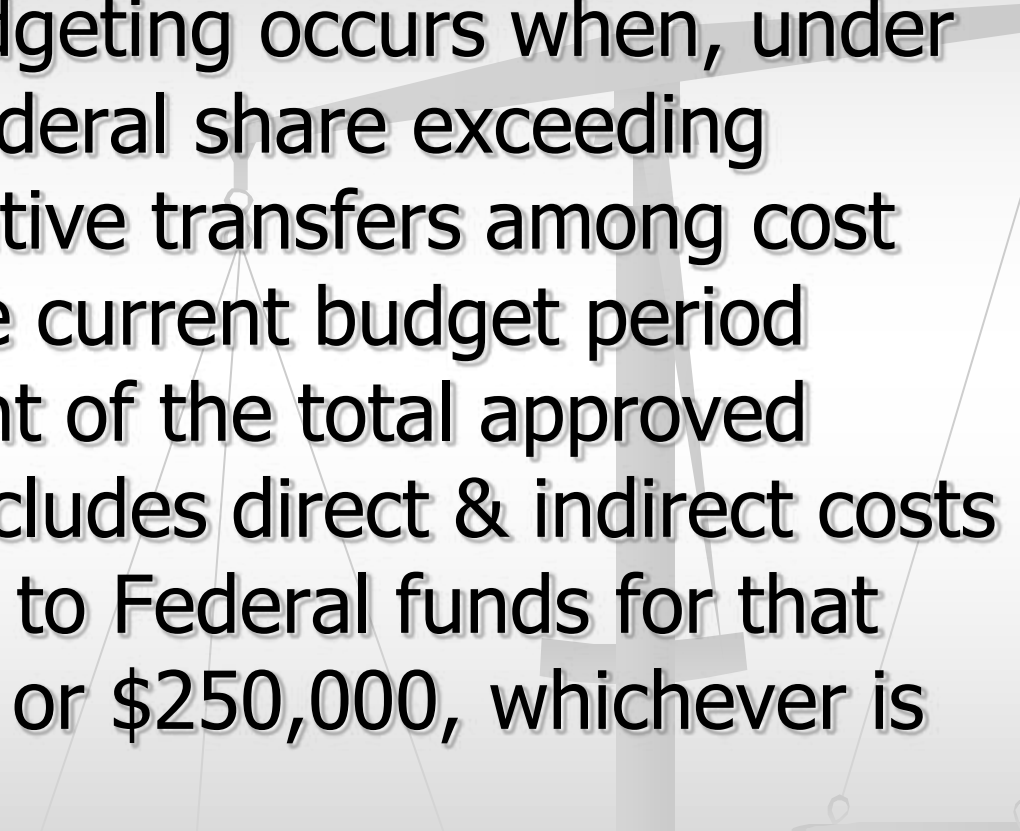
Change in Scope requirements

- **No proposed action can take place until approval is granted.**
- **Provide a detailed explanation of the proposal indicating how the change will impact the existing objectives, aims or purposes from the original approved application.**
- **If the proposal requires significant budget revision (Over 25% of total award), the request should include a revised Budget Narrative Justification and matching revised SF 424a.**
- **Send to assigned Grants Management Specialist and OAH Project Officer for review and considered approval.**

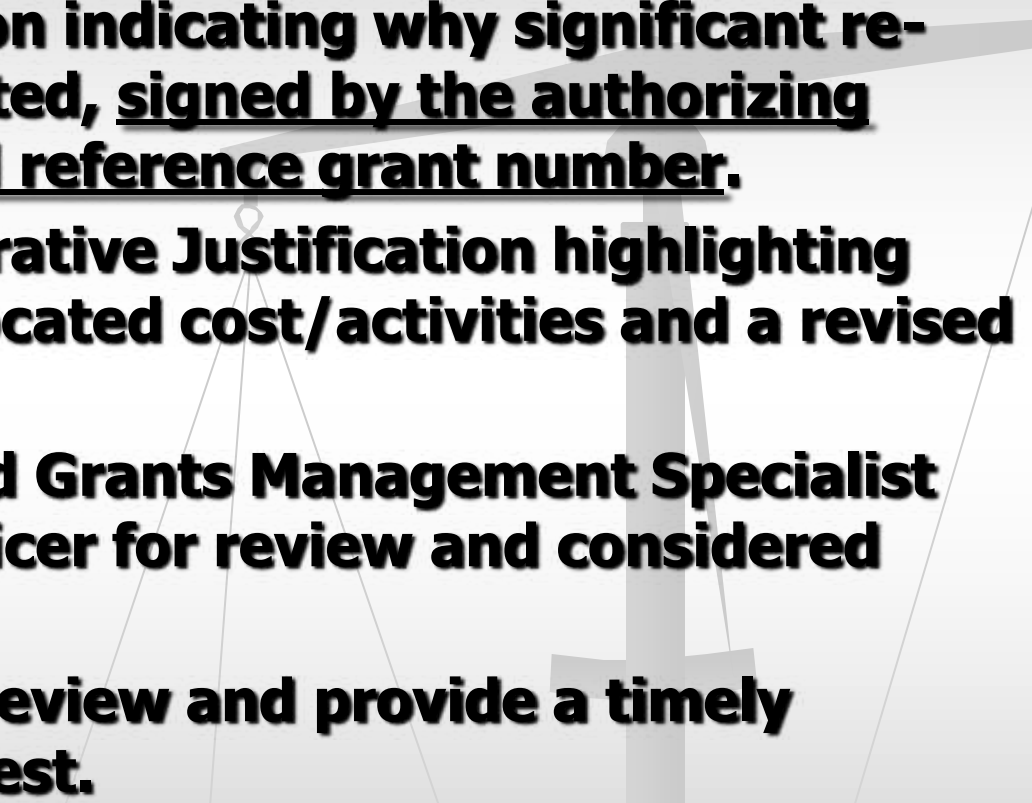
signed by the authorizing business official and reference grant number

Significant re-budgeting

Significant re-budgeting occurs when, under a grant with a Federal share exceeding \$100,000, cumulative transfers among cost categories for the current budget period exceed 25 percent of the total approved budget (which includes direct & indirect costs when chargeable to Federal funds for that budget period.) , or \$250,000, whichever is less.

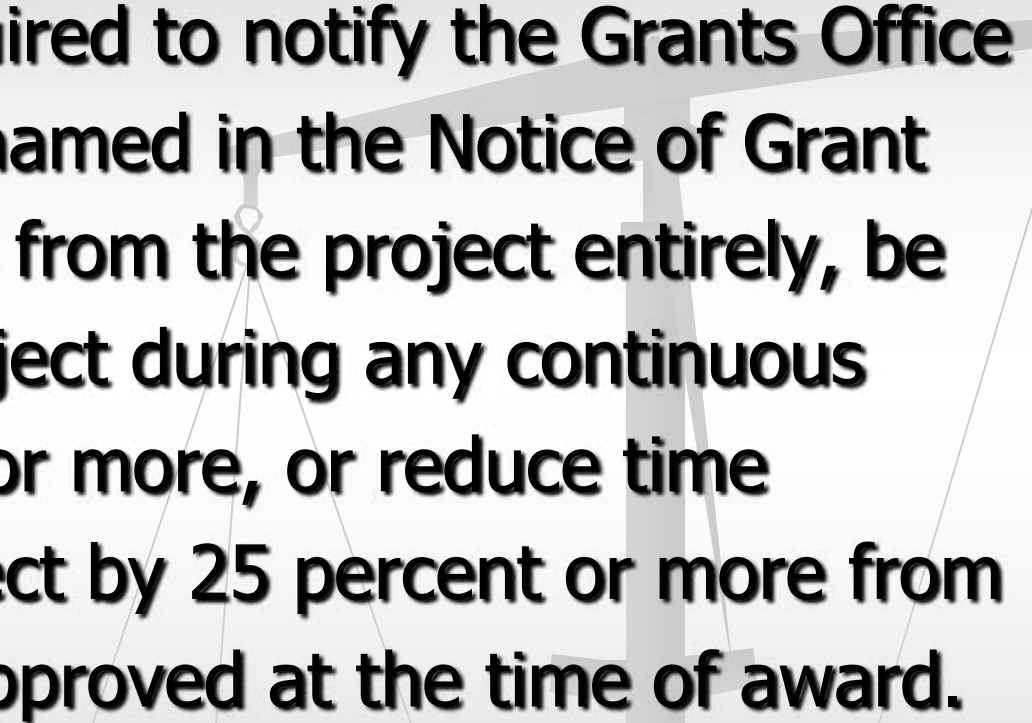


Significant re-budgeting requirements

- **A written justification indicating why significant re-budgeting is requested, signed by the authorizing business official and reference grant number.**
 - **Revised Budget Narrative Justification highlighting the proposed re-allocated cost/activities and a revised SF 424a.**
 - **Send to the assigned Grants Management Specialist and OAH Project officer for review and considered approval.**
 - **Upon receipt, we'll review and provide a timely response to all request.**
- 

Change in Program Director (PD)

The recipient is required to notify the Grants Office in writing if the PD named in the Notice of Grant Award will withdraw from the project entirely, be absent from the project during any continuous period of 3 months or more, or reduce time devoted to the project by 25 percent or more from the level that was approved at the time of award.



Change in PD requirements

- **Submit a written justification for the change and indicate the total full time equivalency percentage the PD will devote to the project.**
- **Submit a CV/resume to support the request.**
- **If the proposed Change of PD/PI requires a significant revision to the budget, the request should include a revised Budget Narrative Justification and a revised SF 424a.**
- **Send to the assigned Grants Management Specialist and OAH Project Officer for review and considered approval.**

signed by the authorizing business official and reference grant number

Carryover request

- **The Carryover of Un-obligated (unspent) Funds from one Budget Period (e.g. Year 1) to use in the current Budget Period (e.g. Year 2).**
- **The Un-obligated Balance comes from the previous budget year Financial Status Report (e.g. Year 1) that is required to be submitted within 90 days after the end of each budget period.**

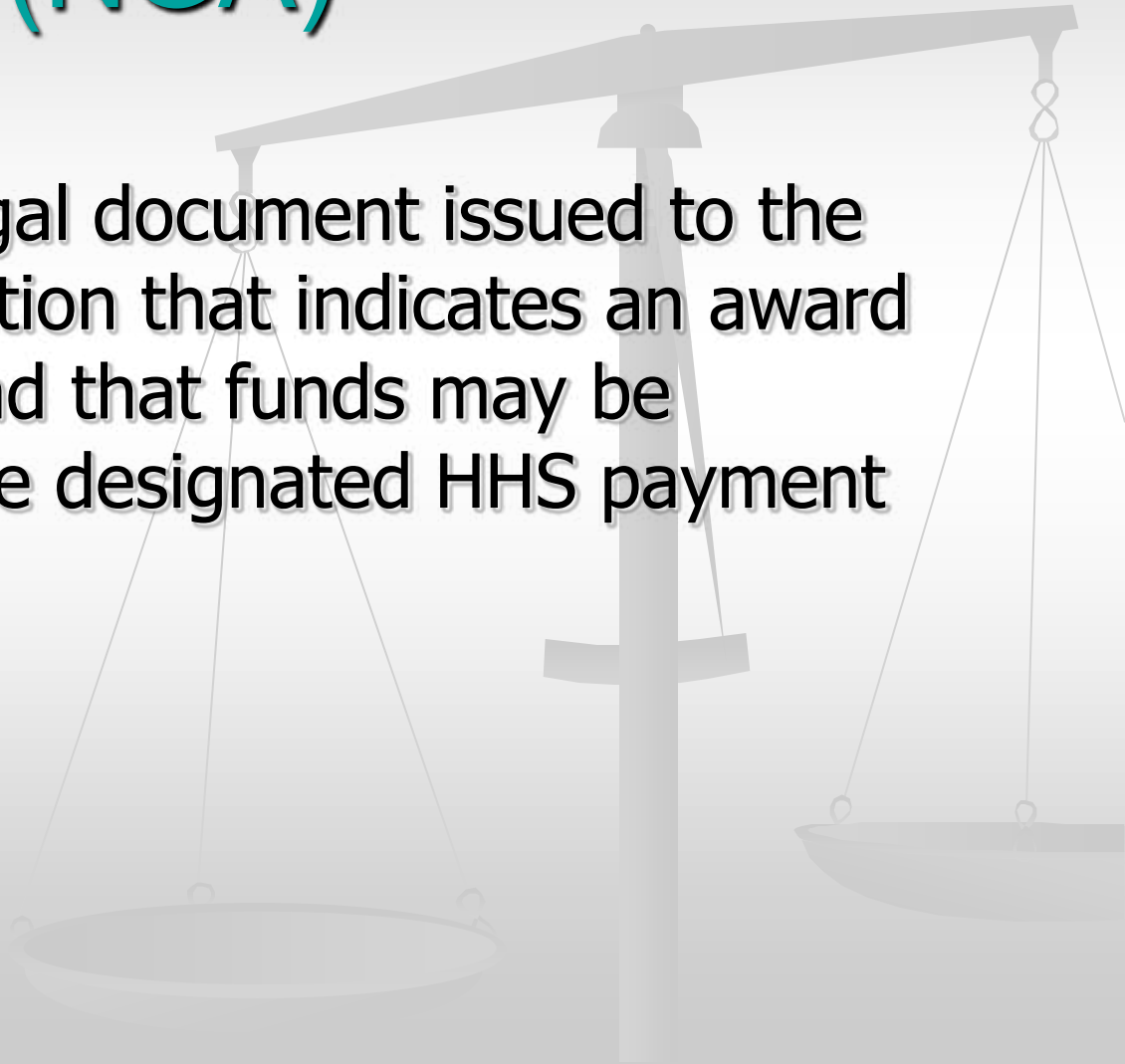
Carryover requirements

- **A copy of the annual SF 269 (Financial Status Report) which covers the complete annual budget period of the award.**
- **A written justification indicating why the un-obligated balance exist.**
- **An SF 424a and Budget Narrative Justification listing the proposed cost and activities to be completed during the carryover period which helps the recipient meet the listed goals and objectives during year two. Breakdown must be both federal and non-federal.**
- **Send to the assigned Grants Management Specialist and OAH Project officer for review and considered approval.**

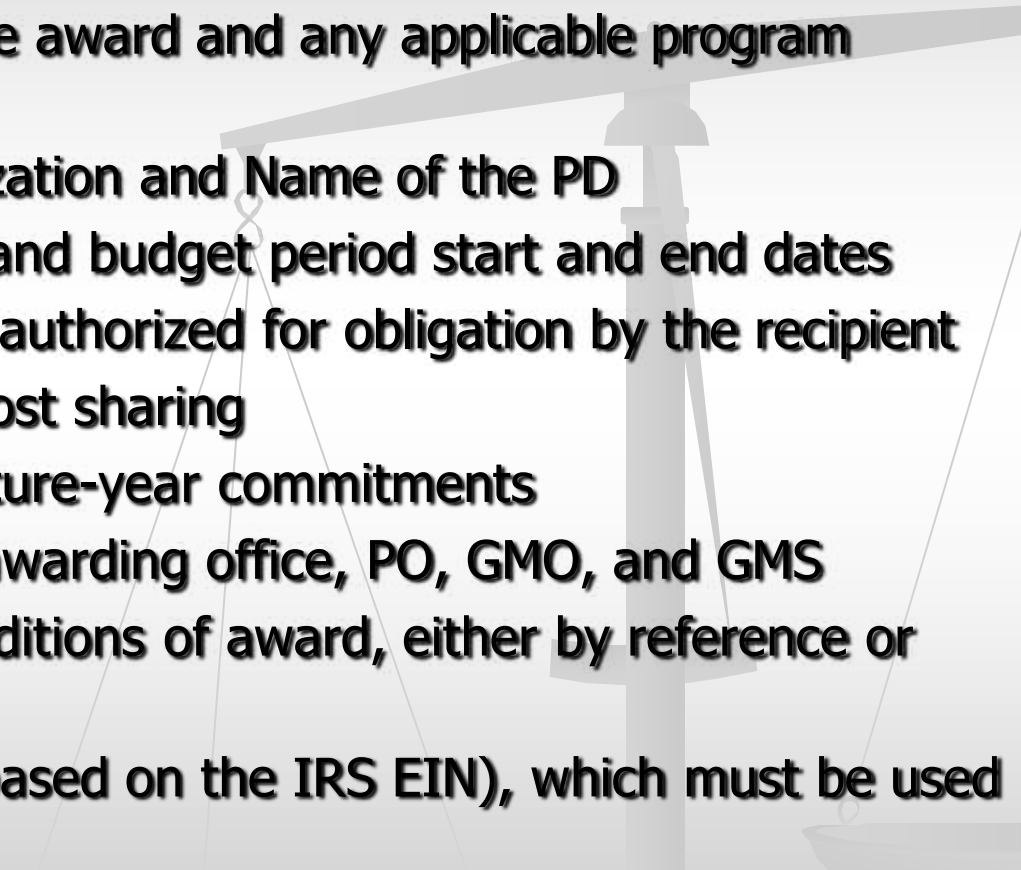
signed by the authorizing business official and reference grant number

Review Notice of Grants Award (NGA)

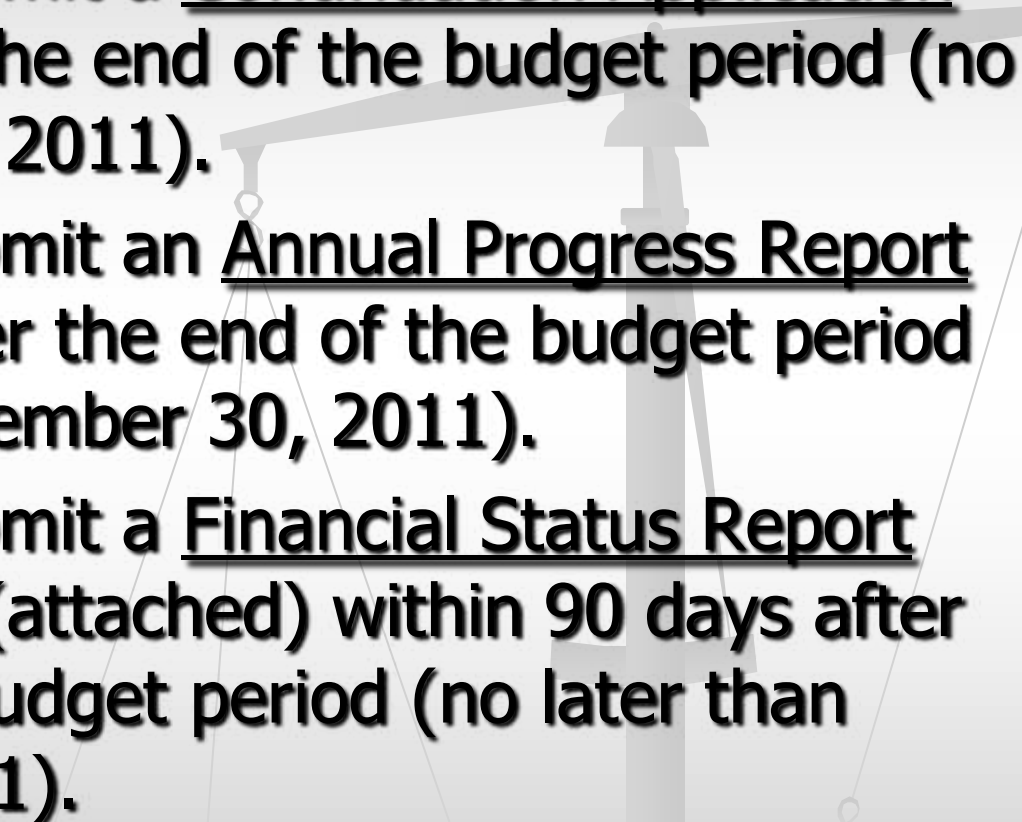
The NGA is the legal document issued to the receiving organization that indicates an award has been made and that funds may be requested from the designated HHS payment system or office.



The NGA will list the following:

- Grant identification number ("grant number")
 - Statutory authority for the award and any applicable program regulations
 - Name of recipient organization and Name of the PD
 - Approved project period and budget period start and end dates
 - Amount of Federal funds authorized for obligation by the recipient
 - Amount of matching or cost sharing
 - Amount of anticipated future-year commitments
 - Names of the cognizant awarding office, PO, GMO, and GMS
 - Applicable terms and conditions of award, either by reference or inclusion.
 - The HHS-assigned EIN (based on the IRS EIN), which must be used to request payment.
- 

NGA Reporting requirements

- Grantees must submit a Continuation Application within 90 days of the end of the budget period (no later than May 31, 2011).
 - Grantees must submit an Annual Progress Report within 90 days after the end of the budget period (no later than November 30, 2011).
 - Grantees must submit a Financial Status Report SF-269/long form (attached) within 90 days after expiration of the budget period (no later than November 30, 2011).
- 

Payment process and Audit reporting

- **Payment Procedures – Inquiries regarding payments should be directed to <http://www.dpm.psc.gov> Division of Payment Management, P.O. Box 6021, Rockville, MD 20852, 1-877-614-5533.**
- **Audit reporting - An audit is required for all entities which expend \$500,000 or more of Federal funds in each fiscal year. The audit when completed should be submitted online to the Federal Audit Clearinghouse at: (301) 763-1551 (800) 253-0696 (voice)**
- **<http://harvester.census.gov/fac/index.html>**
- **<http://harvester.census.gov/fac/cfoBrochure2005.pdf>**

Questions?



Contact:

Your assigned Grants Management Specialist at 240-453-8822 or email: roscoe.brunson@hhs.gov

Re: Key guidance provided under this Training –

1. HHS Grants Policy Statement, Rev. 1/07
2. Federal regulations, at [45 CFR parts 74 and 92](#)