

**Health Resources and Services Administration
HIV/AIDS Bureau (HAB)
Division of Service Systems (DSS)**

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***FY 2011 Part A Program Updates
Executive Summary***

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Executive Summary

On May 17, 2011, the Division of Service Systems (DSS) hosted a webinar for Part A grantees on the topic, *FY 2011 Part A Program Updates*. This report summarizes the webinar presentations and provides a transcript of the question and answer sessions following each presentation.

Katherine Patterson – HRSA/HAB/DSS

The moderator, Katherine Patterson, began the webinar by welcoming the participants and reminding them of the topic, *FY 2011 Part A Program Updates*. The moderator then defined the purpose of the webinar, which was to discuss the *FY 2011 Part A Award, the Federal Financial Report (FFR/SF-425)* and the *Program Terms Report*. The presenters were introduced: Gary Cook, the Acting Director of the HIV/AIDS Bureau's Division of Service Systems; Shonda Gosnell, Lead Grants Management Specialist, Division of Grants Management Operations, and Gbolahan Cole, Project Officer, Northeastern Central Services Branch.

HRSA Announcements and Updates

Gary Cook provided the following HRSA announcements and updates:

1. **FY 2012 Comprehensive Plan:** The instructions on completing the comprehensive plan will be released to grantees soon—hopefully this week or next (i.e., by end of May). Grantees will have one year to complete the updated plan.
2. **The Administrative Overview Training:** The administrative overview training for Part A grantees will be held June 13-15, 2011 in Rockville, Maryland. Details on the venue for the training will be provided by the end of this week. **Invited** grantees are encouraged to send at least (2) Part A Program staff to this training. Grantees are expected to cover costs of travel, lodging and per diem from their grantee administrative budget.
3. **National Monitoring Standards:** There will be a series of national webinars beginning in June on the Monitoring Standards to assist grantees as they implement and have questions regarding the documents. Remember the standards are the minimum expectations. Grantees should review the documents and begin a process of developing monitoring systems that incorporate the monitoring standards. Remember the Monitoring Standards will be included as a condition of your award.
4. **FY 2011 Budget and Part A Final NGA:** The final budget passed in April and the HRSA Operations' budget is currently in review. The hope is to make final 2011 awards by the end of June.

Q & As About the HRSA Announcements and Updates

Question: Is the administrative overview training mandatory for grantees?

Answer: The administrative overview meeting is for invited grantees with new program staff. Those grantees were sent an invitation initially and then a follow-up message was sent to them within the last couple of weeks reminding them about the meeting. Not all grantees were invited to the meeting.

Question: I was just wondering with the administrative overview, have you also listed a hotel yet, so I can make travel arrangements for my staff?

Answer: No, we haven't done that yet, but we expect to have that information to you by next week.

Question: I was wondering if we could print the slides.

Answer: The presentation should actually be available on the Ryan White TARGET site, hopefully by the end of the week or early next week.

Question: I've got a question about grant award notices. You said by the end of June. For some of us, an award notice in mid- to late June is going to mean an interruption in service.

Answer: Yes, we understand that the late award may cause some difficulties for a number of grantees, but unfortunately, because of the late budget, we have to work through the process here. We're going to do everything possible to make sure we can get you the grant notice award as soon as possible. I wish I could tell you more, but if we can certainly release them before then, we will definitely do so. But as of now, that's what we're thinking—in June.

Updates to the Federal Financial Report (FFR/SF-425)

Shonda Gosnell, Division of Grants Management Operations, discussed the recent updates to the Federal Financial Report (FFR/SF-425) including highlights and clarifications. Ms. Gosnell highlighted two new changes pertaining to future submission requirements for the Federal Financial Reports:

1. The Office of Management and Budget (OMB), the Department of Health and Human Services (HHS) and the Health Resources and Services Administration (HRSA) implemented the replacement of the Financial Status Report (FSR) with the Federal Financial Report (FFR). With that change, there are new requirements surrounding the submission dates for final reports. The Final FFR for grants with budget periods ending

in March, will no longer be due in June, but **will now be due by July 30th**. The July 30th date has been implemented to correspond with the quarterly due date for the submission of the top section of the FFR that is submitted to the Payment Management System (PMS), (which was formerly the 272 Quarterly Report). This allows grantees to submit the same information to both PMS and to HRSA regarding outlays and disbursements, as well as advances.

2. Carryovers will still be available for requests through the Prior Approval Module within the EHB, but the FFR must be received in order for a Carryover Request to be considered. Just as in the past, the FFR must be in agreement with the Report of Disbursements and Advances to PMS, in order for it to be approved. Organizations may continue to submit the FFR early if it is in synch with PMS. Please be aware, however, that requests will not be approved until all reporting is in synch.
3. The second change regarding the Final FFR submissions, beginning with the FY '10 Final FFR, which will be due by July 30, 2011, is the inclusion of a requirement for supporting documentation. In order for the FFR to be submitted into the EHB, the newly-required attachment needs to be completed. The attachment includes a breakdown of expenditures in the following format for all applicable categories (Formula, Supplemental, MAI, and Carryover from the prior year):

$$\text{Authorized} - \text{Expended} = \text{Unobligated}$$

Ms. Gosnell hoped the implementation of both of these changes will greatly reduce the number of FFRs being returned for revision.

Q & As About the Federal Financial Report (FFR) Presentation

Question: I have a question about the carryover request. It said in the FFR instructions to use the Prior Approval Module in the appropriate handbook, and I can't find that anywhere in any of our handbooks.

Answer: It's within the EHB (Electronic Handbook). You'll just go into the Prior Approval section—just as if you were requesting a change in program director or any other programmatic change after the NGA (New Grant Award) has been released to you. If you can't specifically find it within the EHB, the Call Center can direct you page-by-page to get to it. You're going to request your carryover there.

Follow-up Question: The only supporting documents that are required for the FFR is the “authorize minus expended equal an obligated” for the three or four funding streams?

Answer: That is absolutely correct.

Question: I'm a little confused about the carryover request. From what I read on the EHB, the Prior Approval is just for those requests that exceed the statutory five-percent limitation. For the other carryover requests—we already submitted an initial request, and we should just wait until our FFR and PMS match and are accepted. Then we follow the prior rules for smaller requests, or are the smaller requests just automatic? I have a carryover of one percent or less. Is that just automatic or do I need to request a formal carryover?

Answer: If it is an unobligated balance from a prior year, it has to be approved. It doesn't matter what the percentage is, but it really should be done all at one time.

Clarification: **The question regarding the initial request for carry over funds appears to be related to the submission of grantees' estimate of unobligated funds that was due in January/February timeframe. This submission was simply an estimate. If grantees have an unobligated balance for the FY 2010 grant year, they must follow the instructions above and submit their carry over requests via the Prior Approval link in EHB.**

Follow-up

Question: In fiscal year 2010, if we have, say \$5,000 left over then I must request it on the FFR?

Answer: You don't request it on the FFR; you request it in the Prior Approval Module as a carryover. For the FFR unobligated balance, the FFR has to be submitted and obviously has to have an unobligated balance in order for a request for a carryover to be considered, and it can't exceed the unobligated balance on the FFR. The point I was making is that the request can't be submitted until the FFR is submitted and the carryover can't be considered until the reporting on the FFR is done; i.e., how much you've expended and how much you have unobligated matches what is submitted as far as your disbursements and advances within PMS.

Follow-up

Question: But you still must request it on the FFR, right?

Answer: You don't have to carryover ever. You don't request it on the FFR. There is a portion when you're filling out the FFR at the end that you can say that you're going to submit it within 30 days, submit it now, or don't want to submit one at all.

Question: Staff here heard some reference to the end of March in the earlier discussion around the FFR due date. Was that a misunderstanding?

Answer: For a budget-period end date of March, your FFR is not due in June like it was, but it's now due by July 30th.

Question: Our grant periods all end on February 28th (i.e., the last day of February) and the FFR is typically due 90 days after or around May 30th. Are you saying it's no longer 90 days after the end of the grant year? It's no longer May 30th for the FFR for Ryan White Part A?

Answer: It is no longer 90 days; that is correct. It's due on the quarter to coincide with PMS reporting, which is July 30th.

Question: Can we go over the breakdown, specifically, how you want the documentation for the formula supplemental carryover to be done?

Answer: As simple as possible. I would recommend that you have each category that you received funding for on each line. For example, you say:
Formula: \$(authorized amount) - \$(expended amount) = \$(unobligated amount)
You do the same thing on the next line for *Supplemental*, the next line for *MAI*, the next line for *Carryover* if you received a carryover in that year.

Follow-up Question: And then what if we don't? Add some attachment when you're doing the FFR?

Answer: That is correct. You'll find out when you're completing the FFR, before you're allowed to submit, hit the *Mark As Complete* button, and there will be a requirement. It will give you an error message if you don't add an attachment. You can do that as a Word document or Excel document—whatever is easiest for you, but we need that breakdown of expenditures there.

Follow-up Question: I'm just drilling down a little bit more on the FFR due date. Our current notice of grant award (NGA) says the FFR was due on May 29th and I understand that that it is now changed to July 30th. Are we going to get anything that we could show to an auditor that that date in the NGA is no longer correct?

Answer: It did change on the NGAs that were released for FY11, and the due dates for the FY10 FFRs have now been changed within EHB as well, which you may show to an auditor if questioned. Beginning in FY11, all awards are now being issued with this quarterly FFR due date change. This is a HRSA-wide implementation, i.e., a HRSA-wide change, in response to the new OMB approved FFR form.

**Follow-up
Question:**

I ask because usually auditors prepare the NGA to what we do, and it might be good if you just proactively sent that out, but we will make do. I have a follow-up question on reporting the *authorized minus expended*, I'm just confirming there could be as many as five categories. You have: 1) formula, 2) supplemental, 3) MAI, 4) carryover, and 5) MAI carryover. Is that correct or would the *MAI carryover* just be considered part of *carryover*?

Answer from

Shonda Gosnell: You could break it up into both, that's fine.

**Follow-up
Question:**

Is it fine either way? What I don't want to do is turn it in one way and then be told it should have been the other. Do you want the carryover for MAI broken down into a separate category or is the complete carryover amount sufficient?

**Follow-up
Answer from**

Shonda Gosnell: I think it should be broken into how you said. Do we want it broken out between *authorized and expended equaling unobligated* for each asset of the Part A award—the formula, the supplemental and the MAI?

**Follow-up
Comment**

(Gary Cook): Right, we've clarified that. He's asking if they received carryover of MAI funds and carryover of formula funds, do we want to know how much of each of the carryover funds were spent? I don't believe it matters because you can't carryover funds twice.

**Follow-up
Question:**

MAI does the five-percent limitation before penalties are applied. It's sort of separate money, so we've been informed. If one should carry over unexpended MAI money, does it lose its identity as MAI money or is it still MAI money that should be added to your new year; i.e., your current year MAI money?

**Follow-up
Comment by**

Shonda Gosnell: It is still MAI money that should be added to your new year MAI fund.

Gary Cook:

For us, it doesn't lose its identity once it's carried over, so we would want to know that it's still being added to that new MAI pot and that it has been obligated and expended right?

Shonda Gosnell: But if you received \$5,000 in carryover funds, you can't take part of that \$5,000 and now add it to this expenditure; break out that \$5,000 into the MAI

pot. It has to be carryover, the accounted for \$5,000, how much of that was spent.

Gary Cook: Right, but I think we're saying the same thing. If there were \$5,000 in MAI funds from, let's say 2010, that has carried over into 2011, it still will continue to be MAI funds that will be added to the MAI pot for 2011 since it started out as MAI funds.

Shonda Gosnell: Correct, but as far as the expenditures are concerned, keep them separate. I think that's the answer to your question. That's the easiest way to make this clear.

Question: Now that we've changed the FFR due date, that does not change the 90 days we have to liquidate all of our funds from the prior year, does it?

Answer: That is correct. This is a reporting time. A lot of people had issues last year, because they had to submit the FFR before they submitted to PMS. Once they submitted their disbursements to PMS, they didn't match what they had submitted on the FFR, and we had to send the FFR back to be reconciled with PMS, which caused a holdup in some people's carryovers. With this new reconciliation, you still have to liquidate within the 90 days. However, you are going to submit your FFR and submit your disbursements to PMS by July 30th—by that same date. Our hope is that you're going to be reporting the same thing to us as you're reporting to them, so that we will not have this problem of going back and forth to get your FFR reconciled.

Question: Is the electronic handbook going to be open for early submittal of the FFR and, if so, how long in advance? We understood you to say that we could submit early. Is the EHB going to be open for that?

Answer: Yes, it will still be open the same amount of time that it has been previously. Just make sure that if you do submit it early, it's in sync with PMS.

Question: Let's say we submit the FFR a month early, but *carryover* approval will be held up until all the FFRs are in, in other words, until August. Is that correct? In other words, even if you submit the FFR early, you have to wait until August after everyone's FFR has been submitted?

Answer: No way, absolutely not. We will look at your FFR as soon as it comes in.

Follow-up Question: Do you have a target for how long it would take to process a *carryover* approval?

Answer: There are so many factors, I can't answer that. We're hoping that it's going to speed up the process, but I can't give an estimated timeframe. It depends on

availability of funds, on programmatic review, the grants management's office review, what you submitted, and what you asked for.

Clarifying

Comment: The important thing to know is that a *carryover* request will be processed as they come in, assuming the FFR is in, and that we won't need to wait until July 30th after everybody's FFRs are in.

Answer: That is correct.

Question: This question is about reporting the authorized minus expended to get your unobligated balance and by the various application categories. How is that formatted, or can we create our own table and attach it to the FFR?

Answer: That's correct. It's a separate attachment. It's not part of the OMB form.

Follow-up

Question: And it doesn't matter what format that takes as long as...?

Answer: As long as it has all the categories and those three amounts for each category.

Question: I have a question regarding the *carryover*. The *carryover* is subject to the Part A formula dollars and MAI dollars, correct?

Answer: Yes.

Follow-up

Question And not the supplemental, correct?

Answer: Yes.

Follow-up

Question: OK. Because everyone has been talking about *carryover* and there is no specific breakdown, and according to the five percent, I understood that it is just for the formula dollars only.

Answer: Formula and MAI. Right, you cannot carry over the Supplemental.

Question: When we try to do the FFR, the attachment is very picky because it didn't take the new version of Excel (ver. 2007). We use Excel 2007 for our report, and it didn't accept it—the format was not right or something. It took us a while to figure out the old version of Excel (ver. 2003) is required. Is that how you set it up?

Answer: We have been told that Excel versions from 97-03 should be acceptable and certain versions of 2007 also may be, but Excel always allows you to save in an earlier version if that is needed.

Question: The question is about Part A—the deadline has been moved from May to July?

Answer: That's correct.

Question: When is the July 30th due date for the FFR effective?

Answer: Immediately.

Question: Will the new due date and instructions for the FFR be posted on the HRSA EHB?

Answer: It should be effective in your queue right now, so when you look at the requirements on your FFR, you should see now that the due date has been changed.

Question: I have a grant that ended February 28th of this year for which the FFR is due to HRSA on 5/30. Is that now due on 7/30?

Answer: It should say 7/30. I will ask the system developer to look into that as well. They should all have been updated. As I said, they can be submitted in May if you're done in May and it matches PMS, but they aren't due until July 30th.

Question: I understand that new NGAs won't be issued with new FFR due date, but the EHB still shows a 5/29/11 due date. Will the EHB be changed?

Answer: That was the question we just got. I will talk to the system developer to see if that can be an across-the-board change. I thought it already had been done.

Question: They got a reminder e-mail about the May 29th due date. Should they just disregard that?

Answer: Yes.

FY 2011 Program Terms Report Presentation

Mr. Gbolahan Cole provided an overview of the FY 2011 Program Terms Report. For FY 2011, everything should be submitted via the EHB. Program Terms Report combines all requirements into one report for Part A. The Program Terms Report components include:

- Part A & MAI Planned Allocation Table

- FY 2011 Implementation Plan
- Consolidated List of Contractors (CLC)
- Contract Review Certification (CRC)
- Revised SF 424A and Budget Narrative

The Allocations Table serves as a monitoring tool to track and monitor the use of Ryan White funds. The Allocations Report identifies categories of services that are being delivered; changes in the type of services being provided over time; trends in the amount of funds being used to deliver these services. In addition, the Allocations Table outlines the dollar amounts allocated for the Ryan White program for the current FY (including the MAI amounts). It also accounts for prioritized funding set by the planning council and planning body with regard to the 75/25 rule and needs within the EMA/TGA. The Allocations Table accounts for administrative dollars and quality management where applicable.

Grantees are encouraged to use the templates provided for each of the reports and plans. An Implementation Plan should include: 1) objectives; 2) service unit definition; 3) quantity; 4) time frame; 5) funds, and 5) outcomes to be tracked. The Implementation Plan will be compared to the Allocations Table CLC and CRC.

Q & As About the *Reporting* Presentation

Question: This is a question about the Quality Management reporting. In the Allocation Report, *Quality Management* appeared as a line item category so you can report the amount allocated under Part A *and* MAI. But in the SF424, the way it's structured, *Quality Management* is a separate column alongside MAI. There's no clear way to demonstrate the amount of dollars you've allocated for *Quality Management* activities under your MAI program. How would you advise grantees to demonstrate the amount of money being used for *Quality Management* under the MAI grant?

(Gary Cook): We're looking at the two forms that you had raised the questions on. We'll try to get your project officer to get back to you on that, and we'll clarify that in the transcript, because we're still not exactly certain about your question. We might have to do a little further follow-up.

Clarification: **Your MAI is not a separate grant but the funds utilized for MAI activities must be tracked separately. The amount shown in the column for Quality Management should include all funds utilized for Quality Management including MAI funds. Grantees that provide Quality Management under MAI should provide the breakdown/justification in their budget narrative.**

Question: We want to clarify two items on last year's grant requirements calendar. First of all, the final FY 2010 Annual Progress Report is still due June 30th and also, there is a Maintenance of Effort expenditure on there for fiscal years '08 and '09, which also is normally due June 30th. Do those deadlines still apply for those two items? Again, the last year's (2010) Annual Progress Report with all of its various pieces, and then the Maintenance of Effort Report for 2008 and 2009.

(Gary Cook): When the final NGA is released sometime in June, we will specify the due dates for all the conditions of award and other budget requirements.

**Follow-up
Question:**

The 2010 annual report condition was from last year and that's the year that ended February 28th. You do not want the Annual Report on June 30th then? That has nothing to do with this fiscal year; it's the report on last fiscal year.

(Gary Cook): Exactly. That date still stands, but we're actually talking in regards to 2011, but the dates that you have for 2010 still stand, yes, you're right.

**Follow-up
Question:**

Will you be sending out a new format to that or should we just use last year's [format] with the A Part aggregated, administrative, etc., or are you going to send out some new instructions for the Annual Report that's due June 30th?

(Gary Cook): You're going to use the previous year's template that we sent to you.

**Follow-up
Question:**

OK, are you going to be clarifying that for folks? It would be nice to get that in writing in terms of the due dates of these reports.

(Gary Cook): OK, we'll do that and we'll send it when we send the updates of the transcripts.

**Follow-up
Question:**

And the Maintenance of Effort is not due in June? That will be sometime later? We'd just like clarification.

(Gary Cook): Again, we'll do some clarification and send notes out as soon as possible.

Clarification: Grantees will receive a calendar providing due dates for all grant reporting requirements and conditions of award once the final NGA is released. The Maintenance of Effort will not be due on June 30th.

END