

Understanding the Lifecycle of Ryan White HIV/AIDS Program (RWHAP) Part C, Part D, and Part F Dental Grants

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Gail Glasser

Senior Project Officer

Jessica Fox and Ijeamaka Okoye

Project Officers

Division of Community HIV/AIDS Programs (DCHAP)

HIV/AIDS Bureau (HAB)

Health Resources and Services Administration (HRSA)



Disclosures

Presenter(s) has no financial interest to disclose.

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Health Resources and Services Administration Overview

- Supports more than 90 programs that provide health care to people who are geographically isolated, economically or medically vulnerable through grants and cooperative agreements to more than 3,000 awardees, including community and faith-based organizations, colleges and universities, hospitals, state, local, and tribal governments, and private entities
- Every year, HRSA programs serve tens of millions of people, including people living with HIV/AIDS, pregnant women, mothers and their families, and those otherwise unable to access quality health care



HIV/AIDS Bureau Vision and Mission

Vision

Optimal HIV/AIDS care and treatment for all.

Mission

Provide leadership and resources to assure access to and retention in high quality, integrated care, and treatment services for vulnerable people living with HIV/AIDS and their families.



Ryan White HIV/AIDS Program

- Provides comprehensive system of HIV primary medical care, medications, and essential support services for low-income people living with HIV
 - More than half of people living with diagnosed HIV in the United States – more than 550,000 people – receive care through Ryan White HIV/AIDS Program (RWHAP)
- Funds grants to states, cities/counties, and local community based organizations
 - Recipients determine service delivery and funding priorities based on local needs and planning process
- Payor of last resort statutory provision: RWHAP funds may not be used for services if another state or federal payer is available
- 84.9% of Ryan White HIV/AIDS Program clients were virally suppressed in 2016, exceeding national average of 59.8%



Source: HRSA. Ryan White HIV/AIDS Program Annual Client-Level Data Report 2016; CDC. HIV Surveillance Supplemental Report 2016;21(No. 4)



Session Overview

- Identify the key personnel and their roles and responsibilities
- Provide an overview of the HRSA award process from pre-award, award, post-award, and through award closeout
- Discuss the role of the Project Officer in all phases of the lifecycle of an award
- Recognize best practices to incorporate into the grant process for achievement of program outcomes and successful relationship with the Project Officer and Grants Management Specialist



Key Personnel/ Roles & Responsibilities

- Recipient (CEO, CFO, COO, Program Director, Medical Director)
- Program (DCHAP) Staff (Branch Chief and Project Officer)
- Grants Management Staff (Grants Management Specialist and Team Lead)
- Payment Management System Staff (Program Support Center Liaison)



Recipient / Roles & Responsibilities

- **Authorizing Organization Representative (AOR)**

- Authorized to act on behalf of the organization to do business with the federal government
- Responsible for registering in systems (SAM.gov; Grants.gov; Electronic Handbooks (EHBs))
- Assures compliance with Federal laws, regulations, certifications, and award terms

- **Business Official**

- Accesses grant funds for project needs
- Interacts with Payment Management System



Recipient / Roles & Responsibilities

- **Program Director (PD)**

- Responsible for project performance, daily operations
- Works closely with recipient organizational officials to ensure compliance with the financial and administrative aspect of the award
- Works most closely works with Project Officer

- **Financial Reporting Administrator (FRA)**

- Confirms award expenditures are consistent with projects goals and objectives
- Responsible for financial reporting on federal awards



DCHAP / Roles & Responsibilities

- **Project Officer (PO)**

- Monitor performance and provide technical assistance to grant recipients
- Provides recommendations to grants management staff on grant actions
- Consults with the Grants Management Specialist when needing resolution for the recipient

- **Branch Chief (BC)**

- Supervises POs and provides final program grant actions and reporting requirements such as of prior approvals in EHB, NCCs, and other funding processes
- Provides guidance and technical assistance to PO on grant actions
- Consults with Senior Project Officers (SPO) needing resolution for the recipient



DCHAP / Roles & Responsibilities

Project Officer

Pre-Award Phase

- Provides details for the pre-application technical assistance (TA) webinar and refer applicants to appropriate points of contact during the competitive process
- Represents program during the objective review process
- Provides funding recommendations for competitive and non-competitive progress reports

Post-Award Phase

- Reviews terms and conditions of the Notice of Award (NOA)
- Reviews project budgets, financial reports, and audit findings to analyze program progress and performance
- Ensures proper documentation of deliverables in accordance with HRSA and program policies
- Assesses technical assistance needs and arranges TA support



Grants Management / Roles & Responsibilities

- **Grants Management Officer (GMO)**

- Is responsible for business management and other non-programmatic aspects
- Evaluates grant applications for administrative content and compliance with statutes, regulations, and guidelines
- Provides consultations and technical assistance to applicants and recipients
- Interprets grants policy and award administration
- Is the only official authorized to obligate HRSA's funds, change the funding, duration, or other terms and conditions



Grants Management / Roles & Responsibilities con't

- **Grants Management Specialist (GMS)**

- Ensures that the budget is reasonable, allocable, and allowable, and in accordance with HHS policy and the Notice of Funding Opportunity (NOFO)
- Acts on prior approval requests or for changes in the terms and conditions of award
- Provides consultation and technical assistance to applicants, recipients, and HRSA staff, on interpretation of Federal awards administration policies and provisions
- Administers, monitors, and closes out Federal awards



Payment Management / Roles & Responsibilities

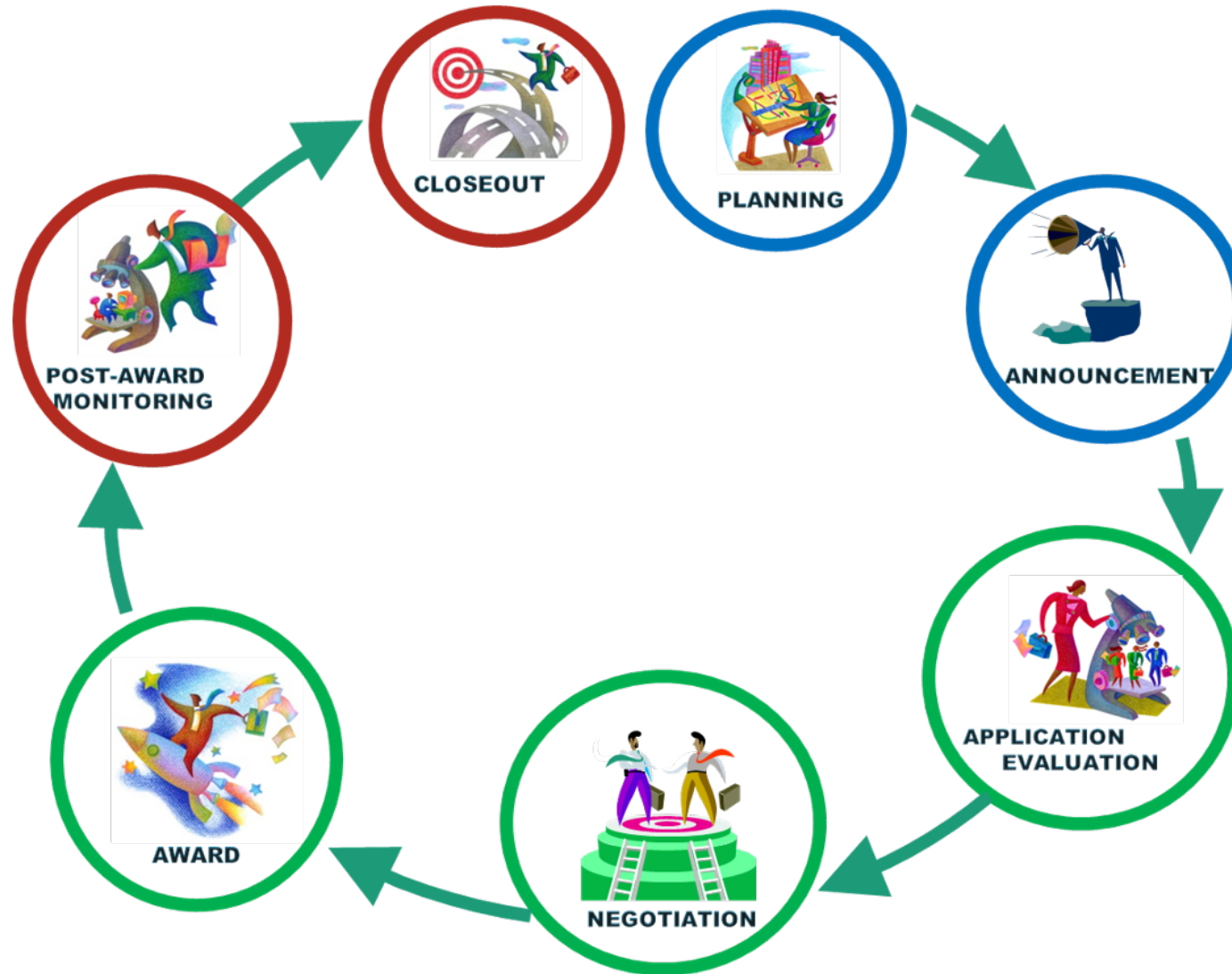
- **Payment Management System (PMS) Staff**
 - Responsible for receiving payment requests
 - Reviews requests for accuracy and content
 - Transmits the payment for deposit into the recipient's bank account
 - Records the transactions and corresponding disbursements to the appropriate account

PMS HelpDesk 1-877-614-5533

PMSSupport@psc.hhs.gov



Overview of the Grant Cycle



Critical Component

- Federal Awardee Performance and Integrity Information System (FAPIIS) and Mandatory Disclosure Requirements
 - Publicly accessible online database established to store data about recipients' qualification to receive awards
 - Several systems feed into FAPIIS, including SAM.gov, CPARS, and PPIRS
 - FAPIIS impacts how federal agencies evaluate awardees
 - Data about awardees is stored in FAPIIS for five years

Critical Component: Notice of Award (NoA)

- Official, legally binding document issued to a receiving recipient
- Signed electronically by a Grants Management Officer (GMO)
- Notifies the recipient of the grant award
- Contains or references all the **terms and conditions** of the grant and federal funding limits



NoA: Terms and Conditions

- Terms

- Provide information and requirements that must be adhered to for the duration of the project

Grant Specific
Term(s)

Program
Specific
Term(s)

- Conditions

- Requirements placed on an award that requires a specific response or deliverable from the Recipient

Standard
Term(s)

Grant Specific
Condition(s)

NoA: Reporting Requirements

- Federal Financial Report (FFR) – SF-425
- Program Reporting Requirements
 - RWHAP Allocations Report
 - RWHAP Expenditure Report
 - Ryan White Services Report
 - Non-Competing Continuation Progress Report (NCC)



Notice of Award (NoA)

NoA	Terms & Conditions	Award Email
1. DATE ISSUED: (MM/DD/YYYY) 08/08/2018		2. PROGRAM CFDA: 93.153
3. SUPERSEDES AWARD NOTICE dated: except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.		
4a. AWARD NO.: 5 H12HA24800-07-00	4b. GRANT NO.: H12HA24800	5. FORMER GRANT NO.:
6. PROJECT PERIOD: FROM: 08/01/2012 THROUGH: 07/31/2020		
7. BUDGET PERIOD: FROM: 08/01/2018 THROUGH: 07/31/2019		
8. TITLE OF PROJECT (OR PROGRAM): Ryan White Title IV Women, Infants, Children, Youth and Affected Family Members AIDS Healthcare		
9. GRANTEE NAME AND ADDRESS: HARRIS COUNTY HOSPITAL DISTRICT 2525 Holly Hall St Houston, TX 77054-4124 DUNS NUMBER: 086976214		10. DIRECTOR: (PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR) Nancy Miertschin HARRIS COUNTY HOSPITAL DISTRICT 2015 Thomas St Houston, TX 77009-8044
11. APPROVED BUDGET: (Excludes Direct Assistance) <input checked="" type="checkbox"/> Grant Funds Only <input type="checkbox"/> Total project costs including grant funds and all other financial participation		12. AWARD COMPUTATION FOR FINANCIAL ASSISTANCE: a. Authorized Financial Assistance This Period \$371,851.00 b. Less Unobligated Balance from Prior Budget Periods



AUTHORIZATION (Legislation/Regulation)
 Public Health Service Act, Section 2671
 Public Health Service Act, Section 2671, 42 USC 300ff-71
 Sections 2671 and 2693 et seq of Title XXVI of the Public Health Service Act, as amended by the Ryan White HIV/AIDS Treatment Ext.
 Sections 2671 and 2693 of Title XXVI of the Public Health Service Act (42 U.S.C. 300ff-71 et seq.), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 P.L. 111-87
 Section 2671 of Title XXVI of the Public Health Service Act (42 U.S.C. 300ff-71), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L. 111-87)
 Sections 2671 and 2693 of Title XXVI of the Public Health Service Act (42 U.S.C. § 300ff-71 and 42 U.S.C. § 300ff-121), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P. L. 111-87)



NoA con't

NoA

Terms & Conditions

Award Email

HRSA Electronic Handbooks (EHBs) Registration Requirements

The Project Director of the grant (listed on this NoA) and the Authorizing Official of the grantee organization are required to register (if not already registered) within HRSA's Electronic Handbooks (EHBs). Registration within HRSA EHBs is required only once for each user for each organization they represent. To complete the registration quickly and efficiently we recommend that you note the 10-digit grant number from box 4b of this NoA. After you have completed the initial registration steps (i.e., created an individual account and associated it with the correct grantee organization record), be sure to add this grant to your portfolio. This registration in HRSA EHBs is required for submission of noncompeting continuation applications. In addition, you can also use HRSA EHBs to perform other activities such as updating addresses, updating email addresses and submitting certain deliverables electronically. Visit <https://grants3.hrsa.gov/2010/WebEPSEExternal/Interface/common/accesscontrol/login.aspx> to use the system. Additional help is available online and/or from the HRSA Call Center at 877-Go4-HRSA/877-464-4772.

Terms and Conditions

Failure to comply with the remarks, terms, conditions, or reporting requirements may result in a draw down restriction being placed on your Payment Management System account or denial of future funding.

Grant Specific Term(s)

1. \$185,805 is designated under the Minority AIDS Initiative to support the elimination of racial and ethnic disparities in the delivery of comprehensive, culturally and linguistically appropriate care and services for women, infants, children and youth.
2. This Notice of Award is issued based on HRSA's approval of the Non-Competing Continuation (NCC) Progress Report. All post-award requests, such as significant budget revisions or a change in scope, must be submitted as a Prior Approval action via the Electronic Handbooks (EHBs) and approved by HRSA prior to implementation. Grantees under "Expanded Authority," as noted in the Remarks section of the Notice of Award, have different prior approval requirements. See "Prior-Approval Requirements" in the DHHS Grants Policy Statement: <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>
3. This Notice of Award provides the offset of an unobligated balance in the amount of \$33,376.00 from the 08/01/2016 - 07/31/2017 budget period to the current budget period. Please be advised that if the final resolution of the audit determines that the unobligated balance of Federal Funds is incorrect, HRSA is not obligated to make additional Federal Funds available to cover the shortfall.

Standard Term(s)

1. Recipients must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions outlined in applicable Department of Health and Human Services (HHS) Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts.
2. All discretionary awards issued by HRSA on or after October 1, 2006, are subject to the HHS Grants Policy Statement (HHS GPS) unless otherwise noted in the Notice of Award (NoA). Parts I through III of the HHS GPS are currently available at <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>. Please note that the Terms and Conditions explicitly noted in the award and the HHS GPS are in effect.



NoA con't

Reporting Requirement(s)

1. Due Date: Within 90 Days of Budget End Date

Submit a Ryan White HIV/AIDS Program Expenditure Report within 90 days of the budget period end date.

2. Due Date: Annually (Budget Period) Beginning: Budget Start Date Ending: Budget End Date, due Quarter End Date after 90 days of reporting period.

The grantee must submit an annual Federal Financial Report (FFR). The report should reflect cumulative reporting within the project period and must be submitted using the Electronic Handbooks (EHBs). The FFR due dates have been aligned with the Payment Management System quarterly report due dates, and will be due 90, 120, or 150 days after the budget period end date. Please refer to the chart below for the specific due date for your FFR:

- Budget Period ends August – October: FFR due January 30
- Budget Period ends November – January: FFR due April 30
- Budget Period ends February – April: FFR due July 30
- Budget Period ends May – July: FFR due October 30

3. Due Date: Within 60 Days of Budget Start Date

Submit a Ryan White HIV/AIDS Program Allocation Report, within 60 days after the start of the budget period.

4. Due Date: 03/25/2019

Submit the Ryan White Services Report (RSR) which consists of recipient, service provider, and patient level reports for the calendar year via the EHBs by 6:00 PM ET on the last Monday in March. See <https://hab.hrsa.gov/program-grants-management/data-reporting-requirements-and-technical-assistance> for additional information.

Failure to comply with these reporting requirements will result in deferral or additional restrictions of future funding decisions.

Contact(s)

NoA Email Address(es):

Name	Role	Email
Nancy Miertschin	Authorizing Official, Program Director, Point of Contact	nancy.miertschin@harrishealth.org
Denny L Anderson	Business Official	denny.anderson@harrishealth.org



Non-Competing Continuation Progress Report

- Purpose: To evaluate the recipient's programmatic performance and enable them to continue and carry out their approved scope as submitted within their competitive application or any approved revision.
- Eligibility of funding recipient is dependent on:
 - Availability of appropriations
 - Compliance with terms and conditions
 - Progress and performance (progress reports are required annually as part of the NCC process)



Grant Cycle: Post-Award & Monitoring

- Program Official
 - Monitors performance
 - Provides technical assistance
 - Makes recommendations on prior approval requests
- Grants Management
 - Review and render decisions on prior approval requests (in consultation with Program)
 - Monitors account financial status
 - Reviews financial reports
 - Monitors response to conditions
- Recipient
 - Manages award activities
 - Responds to conditions and reporting requirements
 - Monitors grant account
 - Assesses potential project changes for prior approval requirements

Collaborates with HRSA



Post-Award Process

- Recipient
 - Responsible for the oversight of the operations of the Federal award-supported activities
 - Must monitor its activities under Federal awards to assure compliance with applicable Federal requirements and performance expectations are being achieved
 - Responses to conditions and reporting requirements, as well as submission of Prior Approval requests, are a significant part of this requirement
- PO and GMS
 - Post award monitoring is a joint effort
 - Names and contact information are on the Notice of Award



It's All About Partnership

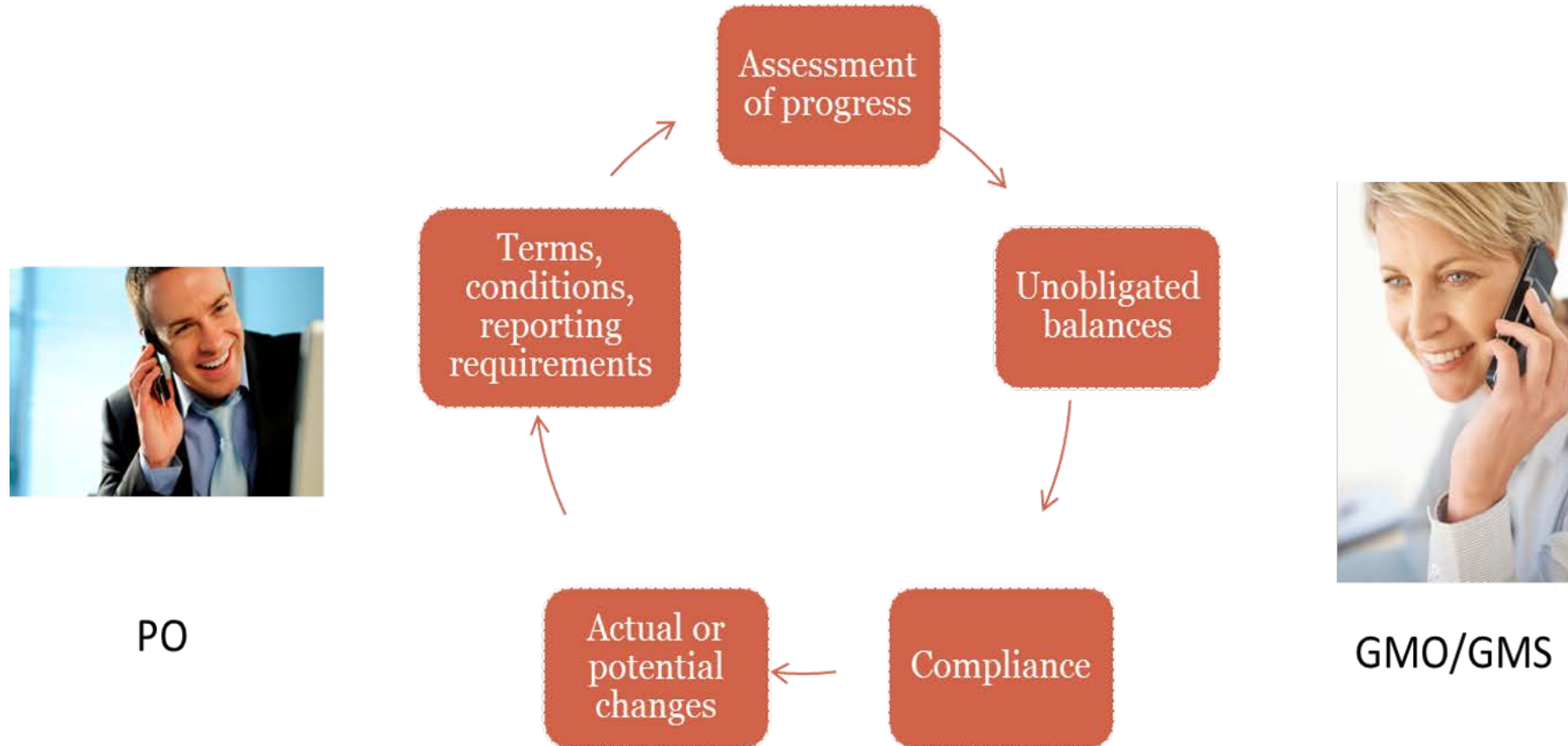
Recipient's Business
Officials
Program Director



Grants Management
Specialist
Project Officer
Branch Chief

Program Oversight and Monitoring

Joint Responsibility Between PO and GMS



PO and GMS Roles

PO

- First point of contact on programmatic matters and provides technical advice
- Monitors the recipient's compliance with program requirements
- Monitors progress toward expected outcomes

GMS

- First point of contact on business and financial issues, including:
 - Federal awards
 - Post-award actions
 - Federal Financial Reports (FFRs)
 - Payment Management System (PMS)
 - Prior approval requests



Post Award Submissions: Prior Approval Requests

- HRSA approval is required when recipient has a change to certain aspects of the approved application
 - Recipient submits request via EHBs
 - Approval of the request is provided in the form of a revised NoA
- **Examples:**
 - **Key Personnel Changes**
 - **Work Scope Changes**
 - **Budget Revisions**
 - **Carryover Requests**
 - **No-cost Extension**
 - **Change in Recipient**
 - **Relinquishment**



Post Award Submission: Budget Modification

Budget Revisions Requiring Prior Approval

1. Re-budgeting $>25\%$ of the approved budget or $>\$250,000$ (whichever is less)
2. Budget change involves moving funding into a budget category that did not previously include funding
3. Budget change involves completely eliminating funding from a budget category



Post Award Submissions: Carryover Requests

- Unobligated balance may be carried over to the subsequent budget period
- Must submit budget documents for carryover funding only
- Use the same level of detail as is required in any other budget
- Must indicate intention to carryover funds in the FFR
- Must submit request within 30 days of FFR submission
- Request should include:
 - Cover Letter requesting approval and the reason for the unobligated funds
 - SF-424A
 - Budget and Narrative Justification (specific items of cost)



Post Award Submission: No-Cost Extension

- Extension of project period to complete approved activities
- Extension requests can be for up to 12 months
- Submit 60 days prior to end of project period; must be submitted prior to the end of the project period
- Cannot be used merely for the purpose of using unobligated balances



Grant Cycle: Closeout

- Program Official
 - Reviews **final report and other reporting requirements** to ensure originally awarded purposes were accomplished
- Grants Management
 - Reviews final reports to ensure originally awarded purposes were accomplished and for adherence to requirements and terms of award
 - Rectifies final costs
 - Determines final disposition amounts resulting in closing grant account
- Recipient
 - Submits final **report and other reporting requirements**
 - Accounts for all expenditures



Closeout

- Purpose: To protect the Federal Government's financial interests
- Closeout procedures ensure that:
 - Final reports are received and evaluated
 - Allowable costs are determined
 - Amounts either due to the agency or the recipient are determined
 - Payment arrangements are made
- Two Types
 - **Document closeout:** End of a competitive segment of a federal award
 - **Grant closeout:** Recipient performance is completed or terminated



Components of a Grant Closeout

- Final Federal Financial Report
 - Unliquidated obligations (costs incurred but not yet paid) should not be included in the final FFR
 - An extension of the report for 90 days must be requested by grantee if unable to liquidate valid obligations
- Final Progress or Performance Report
 - Due 90 days after grant period end date
 - Recipients that do not submit by the deadline can have awards held up in other program offices/bureaus or imposed as high risk
- Property Accountability
 - Recipients who purchased equipment greater than \$5K or have residual supplies must submit final inventory to HRSA



Closeout Process

- Notify recipient 60 days out
- Receive and approve Progress Report
- Reconcile financial records
- All final reports in grant file
- Pay allowable costs remaining
- Determine continuing obligations
- Resolve audit findings
- Issue revised NoA
- Transmit closeout NoA



Teamwork Makes the Dream Work!

REMEMBER:

PO and **GMS** work in partnership to effectively provide assistance to **you, the recipient,** and ultimately, the **people** we serve



Contact Information

Gail Glasser

Senior Project Officer

Jessica Fox and Ijeamaka Okoye

Project Officers

HIV/AIDS Bureau (HAB)

Health Resources and Services Administration (HRSA)

Email: gglasser@hrsa.gov

Phone: 301 443 1214

Web: hab.hrsa.gov





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