



# OFAM Recipient Technical Assistance Call III

**Office of Federal Assistance Management (OFAM)  
Health Resources and Services Administration (HRSA)**

**Vision: Healthy Communities, Healthy People**



# Welcome

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- Listen-only Mode
- HRSA Topics
- Questions and Answers



# Agenda

- Reminders
- Prior Approval Requests
- Federal Financial Report (FFR)
- Unique Entity Identifier (UEI)
- Q&A



# Presentation Location

← → ↻ hrsa.gov/grants/manage-your-grant/training

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Health Resources & Services Administration

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## Training

We provide multiple training options so you understand how to manage your HRSA grant.

**i** **Recent Webcasts and Presentations**

October Grantee Conference Call Recordings

**October 2019 Conference Call**  
Toll-Free: 800-839-4838 | No Passcode  
Download: [October 2019 Conference Call Slides](#) (PPT - 2.3 MB)

**October 2019 Pacific Basin Conference Call**  
Toll-Free: 800-944-3294 | Toll: 402-220-4884 | No Passcode  
Download: [October 2019 Pacific Basin Conference Call Slides](#) (PPT - 2.3 MB)

### Contact Us

[Email us](#) (include your 10-digit grant number)

### Announcements

[Get the latest grants' announcements](#)

### Electronic Handbooks (EHBs)

[Log In](#)



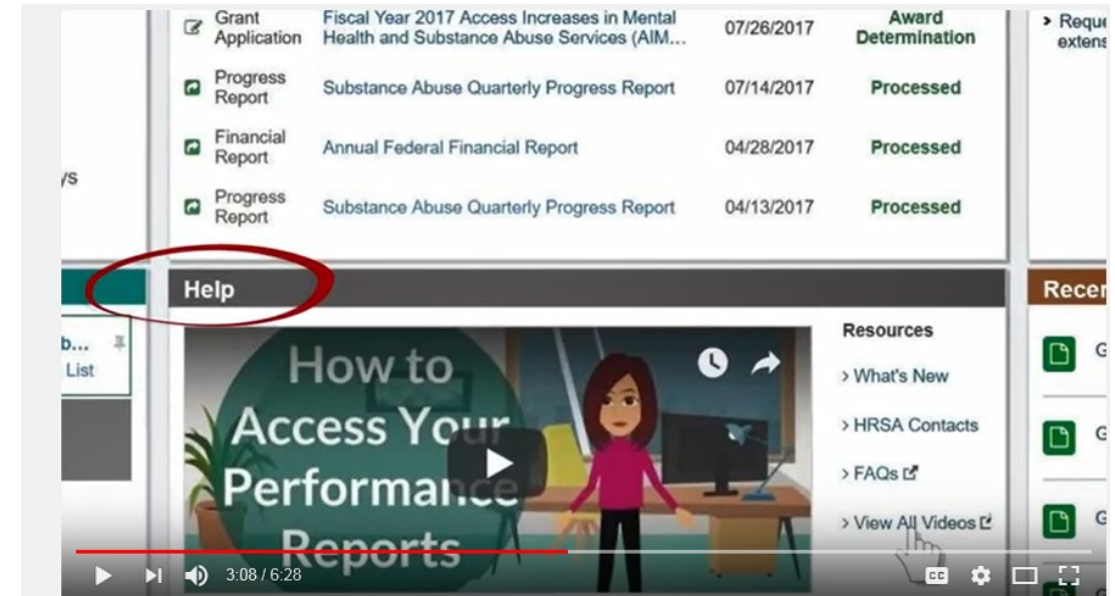
# Contact and Technical Assistance Information

- HRSA Contact Center number: (877) 464-4772
- Visit EHBs Help and Ticketing System  
<http://www.hrsa.gov/about/contact/ehbhelp.aspx>
- Visit Payment Management Services (PMS):  
877-614-5533 or <https://pms.psc.gov/>
- Visit Bureau of Primary Health Care:  
1-877-974-2742 or  
<http://www.hrsa.gov/about/contact/bphc.aspx>



# Electronic Handbook Help and Knowledge Base

- See Additional Resources:  
<http://www.hrsa.gov/grants/manage/index.html>
- Visit HRSA Grants TA webpage:  
<http://www.hrsa.gov/grants/apply/>



# Updating and Managing EHBs Contact Information

- **Managing Profile Information:**

<https://help.hrsa.gov/display/public/EHBSKBFG/User+Profile+Management+FAQs>

- **See Interactive Videos:**

<https://help.hrsa.gov/display/public/EHBSKBFG/Interactive+Videos>





# SAM.gov and Grants.gov

- [Update SAM.gov](https://sam.gov) and [update Grants.gov](https://grants.gov) registrations.
- SAM.gov and Grants.gov are free
- Expired registrations will not receive HRSA funding







# Prior Approval Requests

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# What is a Prior Approval Request?

**Recipient change to an aspect of the approved application after the award is issued**

- Requires submission in Electronic Handbooks (EHBs) Prior Approval (PA) Module
- Requires a 30-day response from HRSA

**Recipients may not move forward until HRSA approval is received, via either Notice of Award (NoA) or EHB email notification**



# Common Prior Approval Request Types

- Change in Key Personnel
- Rebudgeting
- Change in Scope
- Carryover of Unobligated Balance
- Extension with /without Funds (No-cost Extension)
- Property Disposition
- Organizational Name Change or Address change
- Change of Recipient
- Relinquishment

**PRIOR  
APPROVAL  
REQUIRED**

# Carryover Requests

## Request to use unobligated balance in a subsequent budget period

- Recommended to be submitted no later than 30 days after the acceptance of the Federal Financial Report

## Expanded Authority

- Waives certain prior approval requirements for some actions
  - ✓ **Carryovers**
    - Carry over up to 25% of the total award amount of the budget period from which you will transfer the unobligated funds into the consecutive budget period for allowable costs within the original scope of the project.
  - ✓ **Extension without Funds or No Cost Extension (NCE)**
    - A one-time, no-cost extension of the budget and project period end date up to 12 months.
    - As allowed by the program



# Carryover Requests: What to Include...

## Recipients should provide the following in EHB:

- Identification of the funding to be carried forward
  - ✓ Explain how funds will be utilized in the current budget period
- Explanation of why the unobligated balance (UoB) exists
- Indication of how the unobligated funds will be used
- Budget and budget justification narrative for the amount requested
  - ✓ In whole dollars only



# Changes in Organization

## Key Personnel Changes

- Defined in the HHS Grants Policy statement “PD/PI, and other individuals who contribute to the programmatic development or execution of a project or program in a measurable way”
  - ✓ Must provide a resume or Curriculum Vitae (CV) so HRSA staff can verify the person is qualified for the position
  - ✓ Provide justification, reasoning, and effective date of the change
- Consider if the change will have any budget implications

**PRIOR  
APPROVAL  
REQUIRED**

## Organizational Name Changes

- Submit under Other, then Name Change
- Make sure you update in SAM.gov too!

## Change in Recipient

- Successor-in-Interest: Two organizations merge or one organization takes over another by assuming all assets and liabilities



# Extension without Funds (No Cost Extension)

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## Request for more time to complete a project

- not to exceed 12 months
- Sole purpose cannot be to spend unobligated balance of funds

**NCE requested for the purpose of finishing the project  
(45 CFR 75.308d(2))**



# Other Prior Approval Requests

## Property Disposition

- Approval to transfer or sell equipment or transfer, sell, or mortgage real property (See 45 CFR Parts 75.318-75.321)

## Re-budgeting

- Significant Re-budgeting- cumulative changes over 25% of the originally-approved budget (Category re-budgeting)
- Purchase of real/tangible property, including equipment

## Relinquishment

- Recipient decides it is unable or unwilling to carry out the approved project and has chosen to give up the award
  - ✓ Full award or part of an award

## Scope of Work Change

- Any major change to the originally-approved scope of work





# Federal Financial Report (FFR)

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# Financial Reporting Migration to PMS Highlights

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**Financial reporting for HHS grant recipients consolidated through the Payment Management System (PMS)**

- Effective October 2020

**The EHBs no longer accepts FFRs**

- FFRs read-only format once approved/processed

**Recipients are notified when FFRs are available in PMS**



# Updating Permissions or Requesting Access

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## Visit new user access request

<https://pms.psc.gov/grant-recipients/access-newuser.html>

## Update permissions access request

<https://pms.psc.gov/grant-recipients/access-changes.html>

**It can take up to 3 days to process a User Access Request**



# Navigating to the FFR

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[Log into the Payment Management System \(PMS\) website \(https://pms.psc.gov/\)](https://pms.psc.gov/)

## From the Navigation Menu

- Select “Federal Financial Reporting,” then
- Select “Federal Financial Report”



# FFR Search Page

- Inquiry
- Payment
- Disbursement
- [View PSC272 Reports](#)
- [FFR Cash Transaction Report](#)
- [FFR Interest Income](#)
- [Federal Financial Report](#)
- [FFR File Transfer](#)
- My User Info
- Account Maintenance

## Federal Financial Report - Search

To search for a Financial Status Report for a specific PAN or Federal Grant ID, enter the specific value. Both fields can be searched for partial matches by using an asterisk (\*). Select other optional fields to refine your search.

Reporting Period: 
 Report Status:

Delinquent Reports:

Search Results (11)										Group Actions	
<input type="checkbox"/>	Payee	Federal Grant ID	Agency ID	Frequency	Report End Date	Report Due Date	Report Submit Date	Report Status	Delinquent	Actions	
<input type="checkbox"/>	0000P	16ABCDEF GH	FHHAG99	Annual	2016-09-30	2016-12-29	2017-01-19	Report Available to be Complete		<a href="#">Review</a>	
<input type="checkbox"/>	0000P	16ABCDEF GH	FHHAG99	Final	2017-09-30	2017-12-29	2018-06-28	Regional Awarding Agency Approval		<a href="#">Review</a>	
<input type="checkbox"/>	0000P	16ABCDEF GH	FHHAG99	Annual	2016-09-30	2016-12-29	2017-01-19	HQ Awarding Agency Approval		<a href="#">Review</a>	
<input type="checkbox"/>	0000P	16ABCDEF GH	FHHAG99	Final	2017-09-30	2017-12-29	2018-06-28	Regional Awarding Agency Approval		<a href="#">Review</a>	
<input type="checkbox"/>	0000P	16ABCDEF GH	FHHAG99	Annual	2017-09-30	2017-12-29	2017-12-13	Regional Awarding Agency Approval		<a href="#">Review</a>	
<input type="checkbox"/>	0000P	16ABCDEF GH	FHHAG99	Final	2018-09-30	2019-01-30	2018-12-14	Regional Awarding Agency Review Rejection		<a href="#">Review</a>	
<input type="checkbox"/>	0000P	16ABCDEF GH	FHHAG99	Annual	2017-09-30	2017-12-29	2017-12-13	Regional Awarding Agency Approval		<a href="#">Review</a>	
<input type="checkbox"/>	0000P	16ABCDEF GH	FHHAG99	Final	2018-09-30	2019-01-30	2018-12-14	Regional Awarding Agency Approval		<a href="#">Review</a>	
<input type="checkbox"/>	0000P	16ABCDEF GH	FHHAG99	Semi-Annual	2018-03-31	2018-04-30	2018-04-06	HQ Awarding Agency Approval		<a href="#">Review</a>	
<input type="checkbox"/>	0000P	16ABCDEF GH	FHHAG99	Final	2018-09-29	2019-01-30	2018-12-14	Report Certified/Pending Agency Approval		<a href="#">Review</a>	



# FFR Search Page (Continued)

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Recipients will be able to search for FFRs based on different criteria (e.g., Payee Account; Document Number)

From the FFR search results under **“Actions,”** select **“Review”** to display the FFR

Note that the Federal Grant ID **is** the Document Number





# Prepopulated FFR Fields: Editable vs Non-Editable

Federal Financial Report Line	Annual	Final
Federal Agency Name (1)	Non-Editable	Non-Editable
Federal Grant/Subaccount (2)	Non-Editable	Non-Editable
Recipient Organization Name/Address (3)	Non-Editable	Non-Editable
DUNS Number (4a) and EIN (4b)	Non-Editable	Non-Editable
Recipient Account Number (5)	Editable	Editable
Report Type (6)	Non-Editable	Non-Editable
Project/Grant Type (8)	Non-Editable	Non-Editable
Reporting Period End Date (9)	Non-Editable	Non-Editable
Cash Receipts (10a)	Editable	Non-Editable
Cash Disbursements (10b)	Editable	Non-Editable
Authorizations (10d)	Non-Editable	Non-Editable
Total Recipient Share Required (10i)	Editable	Editable



# Discontinuation of Federal Cash Transaction Report

**Effective April 2022**, Recipients will no longer complete lines 10a through 10c of the SF-425 Federal Financial Report (FFR) within PMS.

- **New functionality will prepopulate information thus reducing recipient burden and redundancy of reported information**
  - ✓ 10a (cash receipts) and 10b (cash disbursements) will be populated based on funds drawn

**FFR reporting requirements/due dates may be impacted by this change.**



# FFR Remarks

12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:

\*Prepared by:

Phone No.:

+1 (888) 777-6666

Email Address:

email.address@mail.com

Date Report Prepared:

02/28/2019



# FFR Remarks (Continued)

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**The FFR Remarks should be used to provide further details and explanations regarding the report**

- If a change is necessary to prior year expenditures, recipients must specify the:
  - ✓ Value of change
  - ✓ Budget Period being changed
  - ✓ Reason for the change

**FFR Remarks should also be used to explain excess cash on hand; expanded authority being used; and any other information the organization needs to communicate**



# Requesting a Carryover

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**Intent to carryover funds (including Expanded Authority) should be stated in the FFR Remarks**

**Prior Approval requests to carryover unobligated balances will still be submitted to HRSA through the EHBs**

**Prior approval requests should be submitted within 30 days of submitting the FFR**



# Final FFR Special Considerations

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## Based on live data within PMS

- Not editable

## Cash Receipts (10a) = Cash Disbursements (10b) = Expenditures (10e) on Final FFRs

- If do not reconcile will not be able to submit

## No unliquidated obligations (10f) on Final FFRs

- Request an extension of the FFR due date to liquidate funds



# Requesting a Due Date Extension

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## Internal HRSA process requiring GMS approval

### Recipient must provide

- Grant Document Number
- New due date





# Revising Federal Financial Reports (FFRs)

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**FFR cannot be edited during agency review**

**Revising approved FFRs (detailed explanation required)**

- Update cumulative expenditures on current FFR available
- Remarks must specify the:
  - ✓ Value being changed;
  - ✓ Budget Period being changed; and
  - ✓ Reason for the change

**Recipients have 15 months after PPED to submit revision**



# Recipient Resource: Who to Contact

## PMS:

### Help Desk Self Service Portal

- FFR Access issues
- FFR Submission issues
- Locating the FFR in PMS
- Calculated Field Issues
- 10a/10b (prepopulated)

## GMS:

### Listed on the Notice of Award

- Header Information Issues
  - ✓ e.g., org. name, EIN, report type, etc.
- Lines 10d – 10o Issues
  - ✓ e.g., Authorizations, etc.
- FFR Data Entry Questions
  - ✓ e.g., recipient share, indirect expenses, expenditures, etc.





# Unique Entity Identifier (UEI) Entity Validation

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# UEI and Validation Background

- On April 4<sup>th</sup> of 2022, the Unique Entity Identifier (UEI) replaced the Data Universal Numbering System (DUNS) for new and existing organizations
- **All** organizations must now complete a **new validation** in SAM.gov, even if registration is active
  - Requested information is similar to when the organization initially registered with Dun & Bradstreet to apply for a DUNS number



# Organization Validation

- Validation involves several steps after you submit the requested information:
  - IRS validates your TIN and Taxpayer Name (approx. 2 days)
  - CAGE Code validation (approx. 2-10 days)
  - SAM.gov notifies the POC at each step and when validation is completed
- **Important!** Enter your organization's information **exactly** as it was entered on the original registration
  - Differences in information may result in a new UEI
- If you receive a new UEI during validation
  - Create a **Federal Service Desk ticket** with SAM.gov to reactivate your old UEI
  - **Notify** your Grants Management Specialist (GMS) immediately **and provide the ticket number**



# Organization Validation Continued

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- If your organization information (ex: name or address) has changed
  - Update SAM.gov with new organization details
  - Need assistance?
    - ✓ Create a **Federal Service Desk ticket** with SAM.gov
    - ✓ **Notify** your Grants Management Specialist (GMS) immediately and provide the ticket number



# What does this mean for my organization?

- If your registration has **expired**, complete the validation process **immediately**
- If your registration is **active**, complete the validation process **before it expires**
- After SAM.gov validation, if registration remains active you **should not** need to complete full validation again
- At this time, HRSA **does not** anticipate this validation process will affect awards





# UEI and Validation References

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- Refer to [SAM.gov help pages](#) on Renewing, Updating, and Validating Organization Information:
  - <https://sam.gov/content/help>
- Refer to the [GSA website](#) for information on the UEI transition:
  - <https://gsa.gov/entityid>

# Questions and Answers

- Please have your grant number ready
- If we cannot answer your question, we will take your contact information and get back to you



# Survey



# Topic Ideas

- Do you have a topic you would like to see presented during an upcoming TA call?
- Email us your ideas: [HRSAPostAwards@hrsa.gov](mailto:HRSAPostAwards@hrsa.gov)



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[www.HRSA.gov](http://www.HRSA.gov)



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