

PBHCI Grant Reporting Requirements (as of 1/4/17)

**Please note that all due dates and submission criteria are subject to change.*

QUARTERLY REPORTS – narrative (include CLAS attachment & staffing profile) due to GPO, PBHCI@samhsa.hhs.gov and to DGMPROGRESSREPORTS@SAMHSA.HHS.GOV - 3 emails

*Per OMB requirements, quarterly progress reports are due 30 days after the reporting period. Please send to your GPO and to DGMPROGRESSREPORTS@SAMHSA.HHS.GOV. Please include the SM# in the subject line of the email, otherwise DGM cannot file your report as part of your official grant file. Please remember to **LABEL** your report correctly. The report title should be saved as “SM# - Name of Org – FFY# – Qtr#.doc or pdf.”*

Dates of the Quarter	Grantee Due Date	GPO Review and Approval Due Date
1 st quarter – Oct 1 through Dec 31	Jan 31	Feb 28
2 nd quarter – Jan 1 through March 30	April 30	May 31
3 rd quarter – April 1 through June 30	July 31	August 30
4 th quarter – July 1 through Sept 30	Oct 31	Nov 30

NOMS and Section H Data – please enter NOMS and Section H data ASAP during the quarter into TRAC

Dates of the Quarter	Grantee Due Date	TRAC LOCK OUT DATE (tentative)
1 st quarter – Oct 1 through Dec 31	Jan 31	March 1
2 nd quarter – Jan 1 through March 30	April 30	June 1
3 rd quarter – April 1 through June 30	July 31	Sept 1
4 th quarter – July 1 through Sept 30	Oct 31	Dec 1

IPP RESULTS – please enter quarterly IPP results into TRAC

Dates of the Quarter	Grantee Due Date	GPO Review and Approval Due Date	Grantee Deadline to Revise Results & GPO re-approves	TRAC LOCK OUT DATE (tentative)
1 st quarter – Oct 1 through Dec 31	Jan 31	March 31	March 31	April 1
2 nd quarter – Jan 1 through March 30	April 30	June 30	June 30	July 1
3 rd quarter – April 1 through June 30	July 31	Sept 30	Sept 30	Oct 1
4 th quarter – July 1 through Sept 30	Oct 31	Dec 31	Dec 31	Jan 1

PBHCI Evaluation – requirements (*cohorts 8, 9 & beyond) – Electronic Records System Data Submission

This data should be uploaded quarterly (at the same time as your IPP indicators) into the secure website hosted by Mathematica. The link is <https://www.pbhcieval.com/Grantee/SitePages/Home.aspx> . If you need support or assistance with setting up the data collection process or questions about the evaluation, please email pbhcieval@mathematica-mpr.com

Dates of the Quarter	Grantee Due Date	Key Information
1 st quarter – Oct 1 through Dec 31	Jan 31	For more information, please go to http://www.integration.samhsa.gov/pbhci-learning-community/PBHCI_Evaluation_FAQ_for_CIHS_Website.pdf
2 nd quarter – Jan 1 through March 30	April 30	
3 rd quarter – April 1 through June 30	July 31	
4 th quarter – July 1 through Sept 30	Oct 31	

The following are requirements that need to be submitted **ONCE A YEAR**:

Annual Goals and Budget (AGB) – please enter your ANNUAL PROJECTIONS on the number of clients served each year and by the end of the 4 years, all 8 IPP projections per year, and the budget across all 4 years into TRAC

AGB is open in TRAC	Grantee Due Date	GPO Review and Approval Due Date	TRAC LOCK OUT DATE (tentative)
Oct 1 through Nov 30	Dec 31	March 31	April 1

Behavioral Health Integration Capacity Assessment Tool (BHICA) & Integrated Practice Assessment Tool (IPAT) 1st year grantees fill out both assessments and submit to their CIHS coordinator and GPO. All other grantees, the BHICA is due every other year and the IPAT is due the last year of the grant.

ASSESSMENT TOOL	Grantee Due Date	Key Information
Integrated Practice Assessment Tool (IPAT)	Around November/December every year	The IPAT places practices on the level of collaboration/integration defined by the standard framework. It uses a decision tree model rather than a metric model to more accurately mirror the issue brief tables and avoid the need to weigh responses to questions, which may result in an in-between assessment score (e.g., a 3.75 co-location). The decision tree model uses a series of yes/no questions that cascade to a specific level of integrated healthcare determination.

		http://www.integration.samhsa.gov/operations-administration/assessment-tools
Behavioral Health Integration Capacity Assessment Tool (BHICA)	Around November/December every year	BHICA helps behavioral health organizations evaluate their processes related to three approaches to integrated care: coordinated care, co-located care, and in-house primary care capacity. It also allows organizations to assess their existing operational and cultural infrastructure to support greater integration. http://www.integration.samhsa.gov/operations-administration/assessment-tools

PROGRAM & GRANT FISCAL REQUIREMENT: Special Condition of Award – Disparity Impact Statement (DIS).

Please submit your DIS to your GPO, GMS, PBHCl@samhsa.hhs.gov; and

DGMPProgressReports@samhsa.hhs.gov.

This disparity impact statement (DIS) is a requirement that all newly awarded grantees must submit to the GPO and grants management specialist (GMS). The DIS is a requirement located in the Notice of Award (NoA), under Terms and Conditions. This condition must be satisfied for the grantee to continue to receive funding. Please refer to FY 2015 Appendix G of Part II of the FOA/RFA for the framework and definitions of behavioral health disparity and subpopulations.

Behavioral Health Disparity Impact	60 days after the start of your grant, usually	You can find resources about behavioral health disparities and how to implement services and provide information to various
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Statement (DIS)	<u>November 30</u>	subpopulations by going to: http://www.integration.samhsa.gov/clinical_practice/healthdisparities For information on the CLAS, please go to www.thinkculturalhealth.gov
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GRANT FISCAL REQUIREMENTS – send to DGM/GMS Sal Ortiz and copy GPO

FEDERAL FINANCIAL REPORT (FFR) – send to DGM/GMS Sal Ortiz and CMHSFFR@samhsa.hhs.gov.

Reporting Period	Grantee Due Date	Key Information
Cohorts 7, 8 and 9 – start date is 9/30 through 9/29 end date	December 31	Validates availability of unobligated funds. An annual FFR must be submitted before a potential carryover request may be considered by SAMHSA Please fill out the FFR and email it to CMHSFFR@samhsa.hhs.gov . For more information, please go to http://www.samhsa.gov/grants/grants-management/reporting-requirements
Cohort 6 – start date is 7/1 through 6/30	September 30 (extended to October 31)	Need a completed FFR in order for DGM to review your potential <u>Carryover</u> requests, <u>Continuation</u> applications, & <u>No</u>

		<p><u>Cost Extension</u></p> <p>Please fill out the FFR and email it to CMHSFFR@samhsa.hhs.gov. For more information, please go to http://www.samhsa.gov/grants/grants-management/reporting-requirements</p>
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Annual FFR: ALL recipients must submit an **annual FFR** directly to SAMHSA (CMHSFFR@samhsa.hhs.gov). The recipient may copy the GPO.

Quarterly FCTR (see below): ALL recipients must submit a **quarterly FCTR** online via their PMS account (not submitted to SAMHSA).

Semi-Annual FFR: Recipients awarded as **Multi-Year**, are required to submit a **semi-annual FFR**, in addition to the above two requirements. If you are a Multi-Year recipient, it'll be stated in your original Notice of Award (NoA). If any questions, please contact DGM.

- Semi-Annual reporting period of 9/30/2016 – 3/31/2017 Due April 30, 2017

Regarding the quarterly FCTR, please also add the following.

QUARTERLY FEDERAL CASH TRANSACTION REPORT (FCTR) – submitted online via the recipient’s Payment Management System (PMS) account

All recipients must submit a quarterly FCTR online via their PMS account. It is available within your PMS account the day after the quarter ends. Be sure to submit your Federal Cash Transaction Report (FCTR) on time. If PMS does not receive your report by the due date, funds may not be released until the report is completed.

For disbursement activity during the months of:	Due on:
October 1 through December 31, 2016 - 1st Qtr.	January 30, 2017
January 1 through March 31, 2017 - 2nd Qtr.	April 30, 2017
April 1 through June 30, 2017 - 3rd Qtr.	July 30, 2017
July 1 through September 30, 2017 - 4th Qtr.	October 30, 2017
October 1 through December 31, 2017 - 1st Qtr. (FY2016)	January 30, 2018

CARRYOVER REQUEST – send to DGM/GMS Sal Ortiz and CMHSFTR@samhsa.hhs.gov

You may request to carry over prior year unobligated funds into the current budget period, if needed to cover an unmet need (pending availability of funds). A formal Carryover Request must be submitted for review and

approval by SAMHSA, if you have unobligated funds leftover from your current grant year that is more than 10% of your annual budget. Amounts under 10% please see the SAMHSA grants website for information.

Reporting Period	Grantee Due Date	Key Information
Cohort 6 – start date is 7/1 through 6/30 – in final year, not applicable		
Cohorts 7 and 8 – start date is 9/30 through 9/29 end date	December 30, 2016	Please check http://www.samhsa.gov/grants/grants-management/post-award-changes/carryover-requests
Cohort 9 – in first year, not applicable		

CONTINUATION APPLICATION – Complete and send through GRANTS.GOV. You must submit this through Grants.gov. SAMHSA cannot accept mailed copies. Also recommend that you email Sal Ortiz and your GPO that you submitted the continuation application

Continuation applications are required for single-year funded grantees. Please check your original Notice of Award. You will also receive a letter from DGM stating that a continuation application will be needed to be submitted (usually around November).

Reporting Period	Grantee Due Date	DGM and GPO Reviews	Notice of Award Date	Key Information
Cohorts 7, 8 and 9	<u>January 23</u>	Usually	June or July	Continuation applications are submitted in

– start date is 9/30 through 9/29 end date		completed by June		order for grantees to receive approval to spend the upcoming year’s grant funds. http://www.samhsa.gov/grants/continuation-grants
Cohort 6 – start date is 7/1 through 6/30 – in final year, not applicable				

NO COST EXTENSION – Due 60 days before the end of your grant (end of 4 years) email Sal Ortiz and your GPO

Grantees should be working on accomplishing their goals during the agreed upon four year grant period. However, a no cost extension (NCE) can be requested if you need additional time to fulfill unmet goals. There is no guarantee that a NCE will be granted and the approval is at the discretion of the GPO and GMS.

Reporting Period	Grantee Due Date	Notice of Award Date	Key Information
Cohort 6 – start date is 7/1 through 6/30	April 30	June	No cost extensions are granted on a case to case basis. Please read the information on the website below carefully. http://www.samhsa.gov/grants/grants-management/post-award-changes/no-cost-extension
Cohorts 7, 8 and 9 –	July 31	September	No cost extensions are granted on a case to case basis.

<p>start date is 9/30 through 9/29 end date</p> <p>*No cost extension does not apply to any of you since you are not in your final year</p>			<p>Please read the information on the website below carefully.</p> <p>http://www.samhsa.gov/grants/grants-management/post-award-changes/no-cost-extension</p>
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ADDITIONAL REQUIRED GRANT INFORMATION:

SUSTAINABILITY PLAN – Grantees in Year 2 are *required* to submit a sustainability plan to your GPO (this is in your RFA/FOA. Grantees in Year 4 are encouraged to submit a sustainability plan. Please check with your GPO for the most recent sustainability plan template.

Grantee Due Date
November 30

FINAL REPORT – Due 90 days after the end of your grant or no cost extension and send to Grant.Closeout@samhsa.hhs.gov with a copy to your GPO

Please check with your GPO regarding the most current final report template.

Reporting Period	Grantee Due Date	Key Information
All 4 Years of the Grant	90 days after the end of the grant or 90 days after the end of the no cost extension	<p>Your final report is part of your official grant file. If you do not submit this, it will count against you as not being compliant with the grant requirements.</p> <p>The following link addresses the required closeout reports:</p> <p>http://www.samhsa.gov/sites/default/files/grants/standard-terms-conditions-closeout-fy2015.pdf</p>