



GMO Structure Optimization Toolkit

User Guide



CONFIDENTIAL

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Goals and Objectives

The Association of State and Territorial Health Officials (ASTHO), with support from the Centers for Disease Control and Prevention (CDC), developed the **GMO Structure Optimization Toolkit** to guide Health Departments in implementing and sustaining a more **centralized Grants Management Office (GMO)** to **maximize federal funding outcomes**.

The goal is to **centralize key functions** guided by a comprehensive grants management system overseen by specialized and trained staff in close communication with Program staff. The purpose of this toolkit includes **defining the cost of transitioning** to this structure and **allocating the costs** of a centralized GMO across multiple Programs.

This toolkit is not designed to provide a complete cost allocation plan of all direct and indirect costs associated with the Programs. The focus of this toolkit is to capture once a year the **operational** and **administrative costs** of an **optimal GMO structure** based on the effort and support provided to both simple and complex Programs.

The toolkit was developed in the context of the Puerto Rico Department of Health (PRDOH), but it is flexible enough to accommodate extrapolating to other health agencies in the U.S. territories that are interested in adopting a centralized grants management model in their jurisdiction.



Expected Benefits

The centralized grants management office will **improve transparency, accountability, and reporting**, as well as **streamline management of grants and financial reports** across health agencies.

The GMO Structure Optimization Toolkit will allow departments to:

- Improve the capacity to fulfill the agency's mission through the **efficient management of federal funds** and **effective coordination across Programs**.
- Establish and sustain a **centralized or hybrid GMO** to **improve grant oversight, compliance, and transparency**, and to **provide technical assistance to Programs**.
- **Maximize the utilization of federal grant funds**.
- **Administer an electronic grants management system**, including data entry, quality control, reconciliation, tracking of spending and drawdown, planning for key tasks that need to occur (closeout, carryforward, etc.), issuing reports to Program staff and leadership.



Overview

The **GMO Structure Optimization Toolkit** includes a set of electronic tools designed to conduct an **annual self-assessment**, recommend the best structure to manage grants and allocate costs. The self-assessment will guide the department into understanding the workload demand currently being managed or projected to be managed and understanding how Programs are being managed, to reveal the staffing needs and opportunities at the Grant Management Office (GMO) and how to allocate those efforts across funded Programs.



How to complete self-assessment

Complete self-assessment by inputting Grant and Program management data in **7 forms** following the guidelines of this User Guide:

1. User Form
2. Grants Form
3. Programs Form
4. Grants Management Activities Form
5. GMO Roles Form
6. Cost Form - grant management expenses
7. Cost Distribution Pre-Work Form



Results of self-assessment

Once all forms are completed, the user will have access to a **Power BI Dashboard** that will serve to understand the opportunities and the resources needed to better manage the projected grants workload for the upcoming year.

1. Current Workload
2. Opportunities by Program
3. Opportunities Detail
4. Recommended Structure
5. Cost Distribution
6. Data Tables



List of data needed to complete assessment

- List of active or projected HHS grant awards by
 - Active or projected funding
 - Program
 - Additional Caps on administrative costs (Indirect costs); in addition to approved Cap negotiated with Federal Government
- List of funded Programs with these specifics
 - Number of Employees (*including contractors*)
 - Number of accounts created
 - Number of financial transactions per year
 - Number of drawdown requests per year
 - Number of requisitions (supplies, equipment and services)
 - Knowledge of audit findings in past year, if any
 - Knowledge of Program restrictions, if any
 - Grant management activities pursued at the GMO level or Program level
 - Number of FTEs fulfilling grant management tasks at Programs per function (Strategic, Compliance, Operational and Financial)
- Active roles at the GMO
 - Number of Employees per role
 - Functions per role
 - Salary
 - Fringe benefits
 - Identify if salaries and wages can be charged to direct costs
- Annual expenses
 - Electronic Grants Management System license for passive users
 - Electronic Grants Management System license for active users
 - GMO insurance
 - Supplies
 - Shared services
 - GMO per person overhead cost rate
 - Travel
 - Contract vendors and professional services
 - Equipment



List of activities to complete assessment

Each program will need to identify **the level** where the grant management activities per function is performed: **GMO, Program, Both or Neither**. Activities are grouped into **four types of functions**: Strategic, Compliance, Operational and Financial.

Strategic	1	Identify potential funding sources and grant opportunities
Strategic	2	Analyze grant opportunities & funding
Strategic	3	Assess strategic alignment of proposals with public policy
Strategic	4	Review and provide guidance for proposal development
Strategic	5	Communicate directly with federal agencies
Compliance	6	Analyze program proposal according to federal regulations
Compliance	7	Provide training of grant management policies and guidelines to program staff and support offices
Compliance	8	Ensure ongoing fiscal monitoring of federal funds in accordance with federal and local laws and regulations
Compliance	9	Understand grant terms and conditions of awards
Compliance	10	Review and resolve audit findings
Compliance	11	Facilitate the external monitoring process and follow up on the correction of findings
Operational	12	Maintain and draft report related to the management of movable property acquired with federal funds
Operational	13	Identify process and policy improvement opportunities with the design, planning and writing of federal proposals
Operational	14	Submit non cost extension to federal agencies
Operational	15	Provide and coordinate technical assistance to other departments or agencies
Operational	16	Draft monthly, quarterly and period reports for each project per NoA stipulations
Operational	17	Submit Performance Progress and Monitoring Report (PPMR) in accordance with program guidance and award terms and conditions
Operational	18	Request of supplemental funds
Operational	19	Serve as direct liaison with federal agencies and provide technical assistance (federal regulation interpretations)
Operational	20	Provide on-going implementation support to programs

Operational	21	Submit grant proposals to awarding agencies
Operational	22	Record management of proposals submitted, active and close-out grants
Operational	23	Analyze NoA (Notice of Award) and identify key dates, conditions and reporting requirements
Financial	24	Track award actual vs budget (spend rate)
Financial	25	Responsible for budget allocations and breakdowns
Financial	26	Responsible for maintenance and account extensions
Financial	27	Review budget adjustments
Financial	28	Request fund carry-overs
Financial	29	Responsible for reviewing fiscal documents (payment vouchers), as well as determining its correctness and accuracy
Financial	30	Submit account transfers in accounting system
Financial	31	Support cash management activities
Financial	32	Draft reporting of year-end financial information
Financial	33	Submit report of year-end financial information
Financial	34	Submit annual Federal Financial Report (FFR) to federal agencies
Financial	35	Complete the financial close out of active grants
Financial	36	Submit final grant Federal Financial Report (FFR) to federal agencies
Financial	37	Provide oversight of grant spent performance
Financial	38	Approval of disbursements, or request additional documentation
Financial	39	Review and submit proposal single audits
Financial	40	Analyze expense certification with account reconciliations
Financial	41	Monitor income and expenses for reconciliation of funds
Financial	42	Analyze proposal budget and ensure alignment with Finance Department
Financial	43	Draft budgets for proposals



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To return to this **User Guide Table of Contents**. Click to follow link

To access **Input** and **Output** Chapters Table of Contents, Click to follow link.

User Form | Grants Form | Programs Form

Select Program to assess funding data:

How many grants are funding this program?

Select Active Grants:

Grant ID	Does the Grant Imp Additional caps on Ad
U3REP150507	Yes
U3REP190598	No
NU90TP922115	No
Z01MC30736	No

Name: John Doe
Email: johndoe@email.com
Jurisdiction: Alabama Department of Pul

Next

* Required fields to be completed for Next Step

1- User form

User Form | Grants Form | Programs Form

Select Program to assess funding data:

How many grants are funding this program?

Select Active Grants:

Grant ID	Does the Grant Imp Additional caps on Ad
U3REP150507	Yes
U3REP190598	No
NU90TP922115	No
Z01MC30736	No

Back

2- Grants form

User Form | Grants Form | Programs Form

Program Contact: Jane Doe

Programs	Funding	Quantity of Grants
Workforce Program	1200000	1
Health Disparities	600000	1
EPIDEMIOLOGY	2000000	1
Total:	\$38,000,000	3

Submit Program Data & Continue

3- Programs form

Grant Management Activities

Program: MEDICAL ASSISTANCE PROGRAM

Strategic

- Identify potential funding sources and grant opportunities.
- Analyze grant opportunities & funding.
- Assess strategic alignment of proposals with program goals.
- Review and provide guidance for proposal development.
- Communicate directly with federal agencies.

Operational

- Maintain and draft report related to the management of movable property acquired with federal funds.

Compliance

- Analyze program proposal according to federal regulations.
- Provide training of grant management policies/guidelines to program staff and support offices.
- Ensure ongoing fiscal monitoring of federal fund expenditures with federal and local laws and regulations.
- Understand grant terms and conditions of award.
- Facilitate the external monitoring process.
- Review and monitor resolution of audit findings.

Financial

- Track award actual vs budget (spend rate).
- Responsible for budget allocations and breakdowns.
- Responsible for maintenance and account extensions.
- Request fund carry-overs.
- Responsible for reviewing fiscal documents (payment vouchers), as well as determining its correctness and accuracy.
- Submit account transfers in accounting system.
- Support cash management activities.
- Draft reporting of year-end financial information.
- Submit report of year-end financial information.

Administrative

- Submit annual Federal Financial Report (FFR) to federal agencies.
- Complete the financial close out of active grants.
- Submit final grant Federal Financial Report (FFR) to federal agencies.
- Provide oversight of grant spent performance.
- Approval of disbursements, or request of additional documentation.
- Review and submit proposal single audits.
- Analyze expense certification with account reconciliations.
- Monitor income and expenses for reconciliations of funds.
- Draft budgets for proposals.
- Analyze proposal budget and ensure alignment with Finance Department.

How many FFRs in this program still the status marked with an asterisk (*)? 2

4-Grant Management form

To access User Guide chapters, Click to follow link

User Form | Grants Form | Programs Form

Select GMO's current active roles:

Budget Accountant

* Salary: 45000
* Number of Employees and Contractors per Role: 1

Fringe Benefits: 2000

* What type of role is this? Financial

Back Submit Data

5-GMO roles form

User Form | Grants Form | Programs Form

Electronic Grants management System License Cost (Active Users): 2000

Shared services: \$ 3000

Electronic Grants Management System License Cost (Passive Users): 3000

Supplies: \$ 5000

Per person overhead cost rate (includes occupancy rent and utilities): 4000

Travel: \$ 3000

Contract vendors & Professional Services: 20000

Equipment: \$ 5500

Back

6-Cost form

Cost Distribution Pre-Work

Submitted Programs List:

- Workforce Program
- Health Disparities
- EPIDEMIOLOGY
- MEDICAL ASSISTANCE PROGRAM

Program Validation

Guided by the list, select each Program and click on Next Program

Choose Program to estimate cost distribution: MEDICAL ASSISTANCE

Administrative Costs to be assigned before caps: \$ 305,103

Next Program

Cost Allocation based on Workload

Program	Workload Cost (\$)
Workforce Program	100000
Health Disparities	200000
EPIDEMIOLOGY	350000

Back Finalize Assessment

7-Cost Distribution Pre-Work Form

Toolkit Input Forms Tracker

Toolkit tracker will guide user with self-assessment progress thru the 7 forms

Click information icon to go to the integrated Toolkit User Guide

User Form | **Grants Form** | Programs Form | Grant Management Form | GMO Roles Form | Cost Forms

Select Program to assess funding data: **MEDICAL ASSISTANCE PROGRAM**

How many grants are funding this program? **4** Finished entering all programs? [Go to Programs Summary](#)

Select Active Grant(s):	Does the Grant Impose any Additional caps on Admin. Costs?	Grant Yearly Funding Amount	Grant Start Date	Grant End Date	What is the Cap (%)?
1 U3REP150507	Yes	\$ 1000000	2/8/2023	2/1/2024	% 2
2 U3REP190598	No	\$ 25450754	2/8/2023	2/22/2024	
3 NU90TP922115	No	\$ 200000	2/8/2023	2/29/2024	
4 Z01MC30736	No	\$ 300000	2/8/2023	2/29/2024	

[Back](#) [Next Form](#)

User Form | **Grants Form** | **Programs Form** | Grant Management Form | GMO Roles Form | Cost Forms

Program Contact:

Programs	Funding	QuantityOfGrants
Workforce Program	12000000	1
Health Disparities	6000000	1
EPIDEMIOLOGY	20000000	1
Total:	38,000,000	3

[Back](#) [Submit Program Data & Continue](#)

User Form | Grants Form | Programs Form | Grant Management Form | GMO Roles Form | Cost Forms |

* Name:

* Email:

* Jurisdiction:

Program Assessments completed:

-
- Workforce Program
- Health Disparities
- EPIDEMIOLOGY

** Required fields to be completed for Next Step*

The **Next** button will become available once the required fields have been completed

If user partially completed assessment, the Programs completed will be listed in this window

example for illustration purposes only

Important: the assessment of Programs **can't be duplicated**, or it will create errors in the calculations, carefully assess which Programs have been completed **before starting new Program assessment**

How to step by step

1. Input your name
2. Input your email address
3. Select from dropdown list the health jurisdiction you manage or collaborate with
4. Click **Next** to start assessment or continue completing previous inputs

Definitions and objective of information request

This initial form captures the user contact information and provides a snapshot of the progress in completing the toolkit. It includes a list of the Programs that have already been assessed.

Name & Email
Capture contact information for the person that will complete the toolkit forms. It is recommended that the user have overall knowledge of all the grants being managed by the health department and have the required data available to complete the forms.

Jurisdiction
State and U.S. territories Health departments that receive federal grants from Human Health Services

Comment box: If the program interviewee highlights any peculiarities in their organizational structure or funding, please make a note for further consideration when analyzing recommendations.

Program data input process

Self-assessment for each Program consist of 4 steps:

1 Grants form

2 Programs form

3 Grant Management activities form (Strategic, Compliance & Operational)

4 Grant Management activities form (Financial)

Select Active Grants:	Does the Grant involve any Additional caps on Admin. Cost?	Grant Yearly Funding Amount	Grant Start Date	Grant End Date	What is the Cap (NP)
1 USREP150507	Yes	1000000	2/8/2023	2/1/2024	2
2 USREP190598	No	25450754	2/8/2023	2/2/2024	
3 NU90TP922115	No	200000	2/8/2023	2/29/2024	
4 201MC30736	No	300000	2/8/2023	2/29/2024	

Programs	Funding	Quantity of Grants
Workforce Program	12000000	1
Health Disparities	6000000	1
EPIDEMIOLOGY	20000000	1
Total:	3	3

Once all Programs have been assessed, Click on Go to Programs Summary

After completing step 4, repeat for each Program

! Data can only be saved in the output excel spreadsheet when these 4 steps are completed. The list of Program assessment completed will be recorded in the User Form.

Click to go to the User Guide

Click only when all Programs are completed to view Program Summary

The screenshot shows the 'Grants Form' interface. At the top, there are navigation tabs: 'User Form', 'Grants Form', 'Programs Form', 'GMO Roles Form', and 'Cost Forms'. The 'astho' logo is in the top right. A callout points to an information icon on the left. Below the tabs, there's a dropdown menu for 'Select Program to assess funding data:' with 'MEDICAL ASSISTANCE PROGRAM' selected. Below that, a question 'How many grants are funding this program?' has a dropdown with '4' selected. To the right, there's a 'Finished entering all programs?' checkbox and a 'Go to Programs Summary' button. A callout points to this button. Below this is a table with columns: 'Select Active Grant(s)', 'Does the Grant Impose any Additional caps on Admin. Costs?', 'Grant Yearly Funding Amount', 'Grant Start Date', 'Grant End Date', and 'What is the Cap (%)?'. The table contains four rows of grant data. At the bottom, there are two buttons: 'Back' and 'Next Form'. A callout points to the 'Back' button, and another callout points to the 'Next Form' button.

Click to return to User Form

Click after completing selection of the Active Grants and Funding of the selected Program



How to step by step

1. Select **Program** from dropdown
2. Select amount of grants funding the Program
3. Select active grants from dropdown list
4. If grant doesn't have any **additional** restrictive cap on administrative cost, select no.
5. If the grant has any additional restrictive cap on administrative costs, select yes and include cap percent
6. Input current or projected grant funding
7. Input start and end date for each grant, including Non-Cost Extension if applicable (Year, Month and Day)
8. After all grants data has been completed for the selected Program, click **Next Form**
9. Only when **all Programs** have been assessed through the Grants form + Programs form + Grant Management forms, click **Go to Program Summary**



Definitions and objective of information request

Program funded - refers to Program that received grant awards
Active or projected grants - refers to the awards approved or planned to be requested to federal agencies
Caps for Administrative costs- refers to **any additional restrictions** established per award regarding administrative expenses or *indirect costs*. It does not refer to the typical approved Indirect Cost Rate negotiated with Federal Government. This will be used when allocating GMO costs across Programs to ensure allocated costs don't surpass any caps.

Cap % - **specific additional Cap percentage** as established in Notice of Award or proposal. (Note: This is not the Indirect Cost Rate)
Grant funding - refers to the amount to be managed in the current year
Grant start and end date - refers to the period of performance in the federal award (including any Non-Cost Extension)

Programs Form

User F
Program
MO Roles Form
Cost Forms

Program Contact:

Programs	Funding	QuantityOfGrants
Workforce Program	12000000	1
Health Disparities	6000000	1
EPIDEMIOLOGY	20000000	1
Total:	\$38,000,000	3

Number of Projects/Strategies:

Number of Grants:

Total Number of Requisitions:

Simple Requisitions: % Complex Requisitions: %

Program Maturity: Continuation

Does the program have restrictions?: No

Has the program had audit findings in the past year?: No

Back
Submit Program Data & Continue

Definitions and objective of information request



Fields in this form are designed to measure the size and complexity to manage each Program.

- Program Contact-** Program Director/Principal Investigator (PD/PI) The individual(s) designated to have the appropriate level of authority and responsibility to direct the project or program supported by the award.
- Number of Projects/Strategies-** will provide visibility of the scale of the Program. The number should consider all strategies/projects included in all the approved proposals.
- Number of Emploess (including contractors) -** Will provide visibility of the scale of the Program. This number should consider both employee and contractors.
- Number of Requisitions and % of Complexity of requisitions-** The number of requisitions that are processed, and its level of complexity indicates the required support as complex requisitions will require more effort.
- Program maturity -** Whether a Program is new or a continuation from prior years indicates setup complexity. New Programs are assumed to require more effort to manage than a continuing Program.
- Number of Accounts created, and Number of Financial transactions completed-** (payroll, invoice payments, account transfers) determines the level of support from financial and accounting personnel required.
- Number of Drawdowns -** All indicate the scale and complexity of the finances required for each Program.
- Restrictions and Audit findings -** Whether a Program has restrictions or audit findings indicate areas of opportunities in the management of that Program. For Programs that have either or both things flagged, resources that are performing any grant management function at the Program level, will automatically be centralized at the GMO.

Program selected in previous form

List of Programs that user has completed assessment

Summary of Programs, funding, and quantity of grants assessed

Click after completing this form to continue with grant management activities forms

Click to return to Grants Form

example for illustration purposes only

Grant Management Activities Forms

Calculate FTEs performing **Strategic** grant management activities at the Program level where an * appears next to the task

Program selected in previous form

Grant Management Activities i

Program: MEDICAL ASSISTANCE PROGRAM

Strategic

1. Identify potential funding sources and grant opportunities. * Programs
2. Analyze grant opportunities & funding. GMO
3. Assess strategic alignment of proposals with public policy. GMO
4. Review and provide guidance for proposal development. Programs
5. Communicate directly with federal agencies. GMO

How many FTEs in the program fulfill the task(s) marked with an asterisk (*)?

Compliance

6. Analyze program proposal according to federal regulations. GMO
7. Provide training of grant management policies and guidelines to program staff and support offices. * Programs
8. Ensure ongoing fiscal monitoring of federal funds in accordance with federal and local laws and regulations. GMO
9. Understand grant terms and conditions of awards. * Both
10. Facilitate the external monitoring process. GMO
11. Review and monitor resolution of audit findings. GMO

How many FTEs in the program fulfill the task(s) marked with an asterisk (*)?

Operational

12. Maintain and draft report related to the management of movable property acquired with federal funds. GMO
13. Identify process and policy improvement opportunities with the design, planning and writing of federal proposals. Programs
14. Submit non cost extension to federal agencies. * Programs
15. Provide and coordinate technical assistance to other departments or agencies. GMO
16. Draft monthly, quarterly and period reports for each project per NoA stipulations. GMO
17. Submit Performance Progress and Monitoring Report (PPMR) in accordance with program guidance and award terms and conditions. GMO
18. Request of supplemental funds. * Programs
19. Serve as direct liaison with federal agencies and provide technical assistance (federal regulation interpretations). GMO
20. Provide on-going implementation support. * Programs
21. Submit grant proposals to awarding agencies. GMO
22. Record management of proposals submitted, active and close-out grants. GMO
23. Analyze NoA (Notice of Award) and identify key dates, conditions and reporting requirements. * Programs

How many FTEs in the program fulfill the task(s) marked with an asterisk (*)?

Back

Continue grant management activities

example for illustration purposes only

Calculate FTEs performing **Compliance** grant management activities at the Program level where an * appears next to the task

Calculate FTEs performing **Operational** grant management activities at the Program level where an * appears next to the task.

Click to **continue** with grant management for financial activities

How to go step by step

1. Select from the list at which level the management activities of the program are carried out:
 - GMO
 - Program
 - Both
 - Neither
2. Enter the number of FTEs (Full-Time Equivalent Staff perform the selected program-level grant management activities for each role.) Go to FTE Example by Clicking the User Guide button.
3. Activities to consider will display an asterisk * next to the drop-down box.
4. Click on **Continue grant management activities** to complete the evaluation of financial activities in the form below

Definitions and objective of information request

Fields in the Grant activities form (2 pages) are designed to measure who is performing the grant management activities per function for each Program. Activities are grouped into **four types of functions**:

- **Strategic** functions ensure grant opportunities are maximized and federal funds are strategically aligned with public policy
- **Compliance** functions ensure that the Programs are complying with all requirements of the grant and federal and local regulations
- **Operational** functions ensure that grants are effectively and efficiently managed and monitored

Grant Management Activities Form (Continuation)

Grant Management Activities (Continuation)

Program: **MEDICAL ASSISTANCE PROGRAM**

Financial		
24. Track award actual vs budget (spend rate).	* Programs	34. Submit annual Federal Financial Report (FFR) to federal agencies.
25. Responsible for budget allocations and breakdowns.	GMO	35. Complete the financial close out of active grants.
26. Responsible for maintenance and account extensions.	GMO	36. Submit final grant Federal Financial Report (FFR) to federal agencies.
27. Review budget adjustments.	* Both	37. Provide oversight of grant spent performance.
28. Request fund carry-overs.	GMO	38. Approval of disbursements, or request of additional documentation.
29. Responsible for reviewing fiscal documents (payment vouchers), as well as determining its correctness and accuracy.	GMO	39. Review and submit proposal single audits.
30. Submit account transfers in accounting system.	Neither	40. Analyze expense certification with account reconciliations.
31. Support cash management activities.	* Programs	41. Monitor income and expenses for reconciliations of funds.
32. Draft reporting of year-end financial information.	GMO	42. Draft budgets for proposals.
33. Submit report of year-end financial information.	GMO	43. Analyze proposal budget and ensure alignment with Finance Department.

How many FTEs in the program fulfill the task(s) marked with an asterisk (*)?

Back
Next Program

example for illustration purposes only

Calculate FTEs performing **Financial** grant management activities at the Program level where an * appears next to the task.

Click to **continue** assessment with other Programs



How to go step by step

1. Select from the list at which level the management activities of the program are carried out
 - *GMO*
 - *Program*
 - *Both*
 - *Neither*
2. Enter the number of FTEs performing the selected program-level grant management activities for each function. Activities to consider will display an asterisk * next to the drop-down box.
3. Click **Next Program** to complete the self-assessment of other programs
4. This activity-based evaluation must be completed for each program administered by the Department of Health.



Definitions and objective of information request

Fields in the Grant activities form (2 pages) are designed to measure who is performing the grant management activities per function for each Program. Activities are grouped into **four types of functions (cont.)**

- **Financial** functions ensure adequate oversight and management of all financial transactions in order to optimize spend performance.

Example of a step-by-step FTE calculation

1	2	3	4
Role	Time per week	Calculation	FTE
Person 1	0.5 days	$0.5 / 5$	0.1
Person 2	3 days	$3 / 5$	0.6
Person 3	5 days	$5 / 5$	1.0
Totals	8.5 days	$8.5 / 5$	1.7

- 1 First, think about how many people are involved in executing an activity for which you are estimating the number of FTEs. In this example, the activity is performed by 3 different people
- 2 Then, estimate the amount of time each person dedicates to the activity in that time period. Make sure you utilize the same measure (e.g., days) for each person. Select the time period, for example per week.
- 3 Divide the duration of time dedicated by the total available time in the period. Ensure both the numerator and denominator are in the same unit. For example, if you estimated the time dedicated during a week period in days (numerator), you must divide by the number of available days in a week period.
- 4 Add up the calculations for each of the people involved in the activity and input the number in the tool. In this case, the number to be input is 1.7 FTEs.

Program Summary

Programs	Funding \$	Quantity of Gra...	Employees	Financial Transa...	Drawdowns
Workforce Program	19678685	1	142	33	33
Health Disparities	10162773	1	53	20	20
EPIDEMIOLOGY	373020793	1	1341	2500	480
MATERNAL AND CHILD HEALTH	18846884	7	254	1000	168
BIOSECURITY & PUBLIC HEALTH RESPON...	9123144	2	90	3600	120
CHILDHOOD LEAD POISONING	350000	1	6	70	24
BIRTH DEFECTS AND DEVELOPMENTAL D...	6849508	3	221	720	120

	Funding \$	Quantity of Grants	Employees	Financial Transactions	Drawdowns
Total:	7	\$438,031,787	16	2107	7943

Back
Accept Data and Continue

How to step by step

1. Review Program Summary list and verify all the current or projected workload is being considered
2. If information is missing or Incorrect go to previous forms and delete data input
3. If all Programs and grants have been included, click **Accept Data and Continue**

Click to **continue** with GMO Roles Form

example for illustration purposes only

Important: the assessment of Programs **can't be duplicated**, or it will create errors in the calculations. Carefully assess which Programs have been completed **before starting new Program assessment**

User Form
Grants Form
Programs Form
Grant Management Form
GMO Roles Form
Cost Forms

Select GMO's current active roles:

Budget Accountant ▼

*** Salary**

\$

*** Number of Employees and Contractors per Role**

Fringe Benefits

\$

*** What type of role is this?**

Financial ▼

* Required fields to be completed for Next Step

Back
Submit Data
Next Form

Roles and Responsibilities

Roles	OtherRole	TypeOfRole	Salary	Fringe
Grant Coord...		Operational	99000	10890
Other	Project Coordinator	Operational	68400	7524
Compliance ...		Compliance	63000	6930
Grant Mana...		Financial	48000	10080
Grant Mana...		Financial	43200	9072
Compliance ...		Compliance	40000	2000



How to step by step

1. Select from dropdown list the active roles collaborating at the GMO
2. Input salary and wages for selected role
3. Input fringe benefits for selected role
4. Input number of employees and contractors currently fulfilling the selected role
5. If current roles are not included in the dropdown list, select other and input role
6. Select from dropdown list the main function this role is performing
 - Strategic
 - Compliance
 - Operational
 - Financial
7. Click **Submit Data** to select and input information for next role
8. After all roles have been included, click **Next Form** to move to the next form



Definitions and objective of information request

Fields in this form are designed to capture the current structure of the GMO and the personnel costs associated with managing the federal funded grants.

Salary & Fringe Benefits - include salary and fringe benefits for each employee or equivalent if service is provided by professional service contract

Functions - Each role should be categorized under the appropriate type of function it performs: Strategic, Compliance, Operational or Financial

example for illustration purposes only

Click after completing each role's assessment

Click after completing all the GMO roles to move to next Cost form

User Form | Grants Form | Programs Form | Grant Management Form | GMO Roles Form | **Cost Forms** | astho

Electronic Grants Management System License Cost (Passive Users) \$ 2000

Shared services \$ 3000

Salaries & Fringe \$ 455,096

Electronic Grants Management System License Cost (Active Users) \$ 3000

Supplies \$ 5000

Per person overhead cost rate (includes occupancy rent and utilities) \$ 4000

Travel \$ 3000

Contract vendors & Professional Services \$ 20000

Equipment \$ 5500

[Back](#) [Save Costs Data](#) [Next Form](#)

example for illustration purposes only

Important, must click **Save Cost Data** before clicking Next Form to save data

Click **after** Save Costs Data



How to step by step

1. Input estimated annual expenses for Electronic Grants Management System License for total passive users
2. Input estimated annual expenses for Electronic Grants Management System License for total active users
3. Input GMO insurance expenses
4. Input Supply expenses of GMO
5. Input expenses for Health Department's shared services for federal Programs
6. Input per person overhead cost rate for GMO FTEs
7. Input travel expenses for GMO
8. Input expenses of vendors and professional services providing services to the GMO
9. Input expenses for equipment purchased for GMO operation
10. Click Save Costs Data after all inputs have been completed
11. Click **Next Form** to pass to cost distribution pre-work screen

User Form
Grants Form
Programs Form
Grant Management Form
GMO Roles Form
Cost Forms
astho

i

Electronic Grants Management System License Cost (Passive Users) <input style="width: 100%;" type="text" value="2000"/>	Shared services <input style="width: 100%;" type="text" value="3000"/>	Salaries & Fringe <input style="width: 100%;" type="text" value="\$455,096"/>
Electronic Grants Management System License Cost (Active Users) <input style="width: 100%;" type="text" value="3000"/>	Supplies <input style="width: 100%;" type="text" value="5000"/>	
Per person overhead cost rate (includes occupancy rent and utilities) <input style="width: 100%;" type="text" value="4000"/>	Travel <input style="width: 100%;" type="text" value="3000"/>	
Contract vendors & Professional Services <input style="width: 100%;" type="text" value="20000"/>	Equipment <input style="width: 100%;" type="text" value="5500"/>	

Back
Save Costs Data
Next Form

example for illustration purposes only

i Definitions and objective of information request

Fields in this form are designed to capture current costs being incurred at the **GMO**.

Electronic Grant Management System - Cost of licenses for Passive and Active users.

- One (1) **Passive user** license will be assigned to each of the Programs in order to have visibility of the grants related to their Programs
- **Active users'** licenses will be assigned to the Strategic and Financial roles in the GMO

Supplies - Includes costs related to office supplies and materials utilized by the GMO staff in their day-to-day operations

Shared Services - Include costs associated with Shared Services that provide support to the GMO staff, including Human Resources, Accounting, Contracting, Legal, Communications and others

Per person overhead cost rate - Input a per person cost rate of the overhead cost associated with the GMO office, including rent and utilities of the office space.

Travel - Include travel costs incurred by the GMO staff for official business in carrying out Program management

Salaries and Fringe - This field will be pre-populated with the total of Salaries and Benefits from the Roles and Responsibilities form

Contract vendors & professional services - Include the cost of contract with vendors and professional services providing third party organization-wide support. These may be software vendors, individuals hired to perform a particular service, legal fees, consulting contracts, etc.

Equipment - GMO equipment purchases such as computers and photocopiers which are excluded from operational costs

Cost Distribution Pre-Work

Cost Distribution Pre-Work

i

Submitted Programs List:

Workforce Program
Health Disparities
EPIDEMIOLOGY
MEDICAL ASSISTANCE PROGRAM

Program Validation

Guided by the list, select each Program *Click on Next*

Choose Program to estimate cost distribution:

Administrative Costs to be assigned before caps:
\$ \$305,103

Next Program

Cost Allocation based on Workload

Program	Workload Cost (\$)
Workforce Program	100000
Health Disparities	200000
EPIDEMIOLOGY	350000

Back

Finalize Assessment

Guide of submitted Programs completed

After selecting Program, Click **Next Program** for each Program included

Programs selected by user and included in **cost distribution output**

When all Programs have been included, click on **Finalize Assessment** to complete self-assessment and access results output

example for illustration purposes only



How to step by step

1. Guided by the **Submitted Program List** on the left side, choose each Program from the dropdown menu labeled **Choose Program to Estimate Cost Distribution** on the right side under **Program Validation**
2. Click on **Next Program** to record the Program in the Cost Allocation based on Workload table.
3. Repeat this sequence of steps for each Program from the Program List until all programs appear in the right bottom table.
4. Once completed, click on the **Finalize Assessment** button



Definitions and objective of information request

The objective of this **Cost Distribution Pre-Work** is to ensure that all Programs and their allocated costs based on workloads are captured and exported to the output forms in Excel. This is a manual operation that is required to ensure a correct transfer of data.

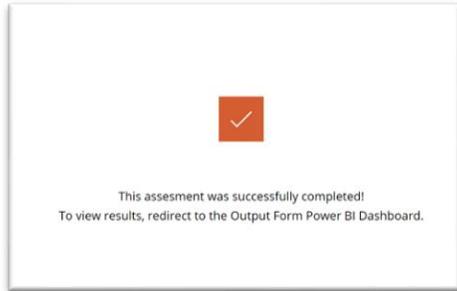
Submitted Program List - Is included for reference to provide the user with a simple checkbox systems to ensure that all Programs are included

Cost Allocation based on Workload - To validate and ensure that all Programs are captured in this table



Important: the assessment of Programs **can't be duplicated**, or it will create errors in the calculations

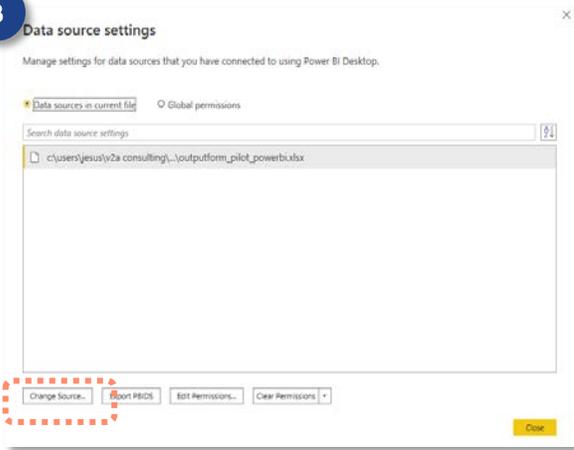
1 Success screen



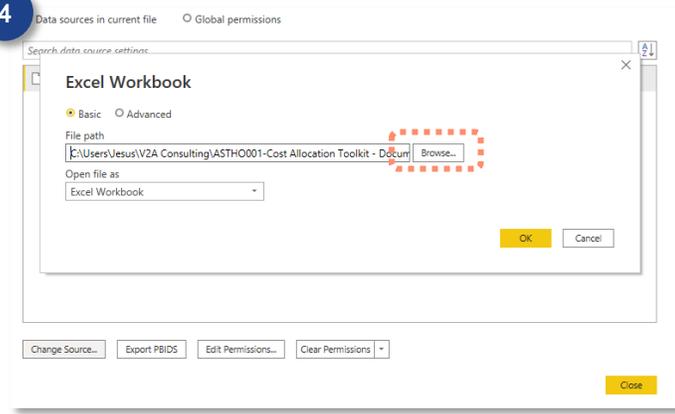
2



3 Data source settings



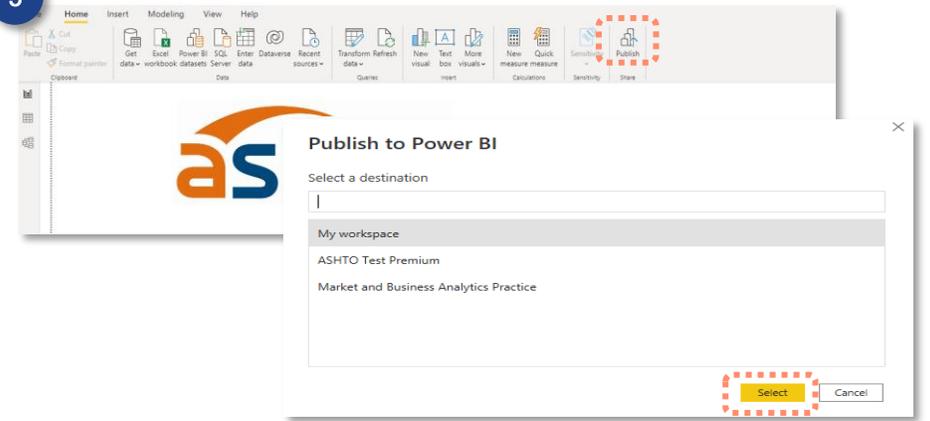
4



How to access the Output Form in PowerBI

1. When finished with the Input Forms, PowerApps will show the user a success screen.
2. Open **Output_Form_Dashboard** (PowerBI File), go to **“Transform Data”** on the top menu and click on **“Data Source settings”**.
3. On **“Data sources in current file”**, in the bottom left click **“Change Source..”**.
4. Click on **“Browse”** and go to the Package Folder with the Excel Documents and Open the **“Output_Form_Data”** (Excel File).
5. On the Home menu click on **“Publish”**, choose the Workspace that was created and click **“Select”**.

5



 For the results to be accessed, **Power BI** must be installed in the user’s computer. It can be downloaded from the Microsoft Store.

Output Forms Overview



Self Assessment Results

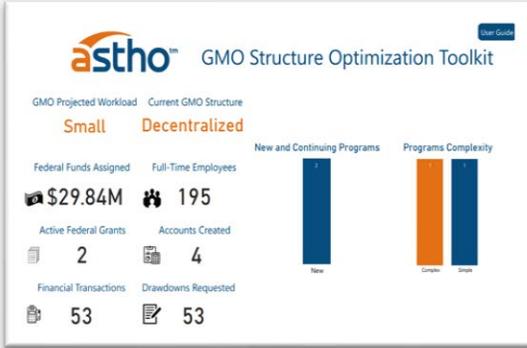
- Current Workload**- presents current GMO Structure and Workload based on all input data, including number of programs, funds assigned, grants and number of financial transactions. Also, it shows the level of complexity of each of the programs.
- Opportunities by Program**- shows programs with centralized GMO tasks and those with opportunities to centralize GMO tasks. Also, presents a breakdown of all the opportunities by programs.
- Opportunities Detail**- a table of all programs showing activities by functions that have opportunities of the following types:
 - Centralize
 - Centralize due to restrictions
 - Duplicity
 - Missing
 - Appropriate Level
- Recommended Structure**-includes the staffing configuration of the GMO divided by the 4 functions (Strategic, Compliance, Operational and Financial) as follows:
 - **Minimum Employees** - A minimum configuration of roles for the GMO will be recommended based on the model.
 - **Additional Recommended Employees** - This base configuration of the GMO will be augmented in order to absorb the activities to be centralized from the Programs
 - **Minimum and Additional Recommended Employees** will then be compared to the **Current Employees** configuration and the **Employee GAP**, or difference will be identified
- Cost Distribution**- the cost of the recommended structure is distributed among programs and the costs as a percentage of each program funding is shown. The percent distribution allows the user to easily reference how the GMO costs are being allocated across Programs based on program complexity.
- Data Tables**- the raw data can be accessed and downloaded from the following tables:
 - Summary of Program Data
 - Recommended Structure
 - Cost Distribution Table
 - Summary of Opportunities



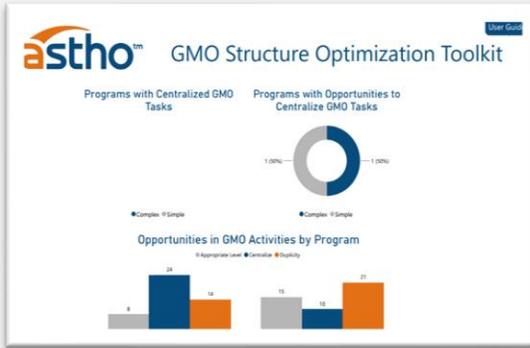
Results of self-assessment will serve to understand the opportunities and the resources needed to better manage the projected grants workload in the upcoming year.

To access Power BI User Guide tabs, Click to follow link [User Guide](#)

1- Current Workload



2 -Opportunities by Program



3-Opportunities Detail

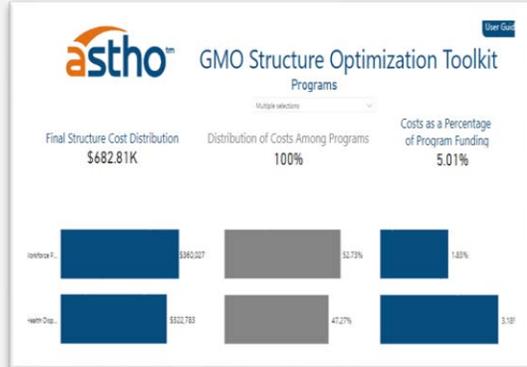
astho™ GMO Structure Optimization Toolkit

Programs	Functions	Opportunity	Description
Health Disparities	Financial	Centralize	Analyze proposal budget and ensure alignment with Finance Department
Health Disparities	Financial	Centralize	Approval of disbursements, or request additional documentation
Health Disparities	Financial	Centralize	Complete the financial close out of active grants
Health Disparities	Operational	Centralize	Draft monthly, quarterly and annual reports for each project per York stipulations
Health Disparities	Operational	Centralize	Draft reporting of year-end financial information
Health Disparities	Financial	Centralize	Monitor income and expenses for reconciliation of funds
Health Disparities	Financial	Centralize	Provide overview of grant spent performance
Health Disparities	Operational	Centralize	Request of supplemental funds
Health Disparities	Financial	Centralize	Responsible for maintenance and account extensions
Health Disparities	Financial	Centralize	Responsible for reviewing final documents (equipment vouchers), as well as determining its correctness and accuracy
Health Disparities	Financial	Centralize	Review and submit proposal single audits
Health Disparities	Operational	Centralize	Review budget adjustments
Health Disparities	Operational	Centralize	Serve as direct liaison with federal agencies and provide technical assistance (federal regulation interpretation)
Health Disparities	Financial	Centralize	Submit account transfers in accounting system
Health Disparities	Financial	Centralize	Submit final grant federal Financial Report (FFR) to federal agencies
Health Disparities	Operational	Centralize	Submit grant proposals to awarding agencies
Health Disparities	Operational	Centralize	Submit Performance Progress and Monitoring Report (PPMR) in accordance with program guidance and award terms and conditions

4- Recommended Structure



5-Cost Distribution



6-Data Tables

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Summary of Program Data (Workload)

Programs	Funding	Full Time Employees	Active Grants	Accounts Created	Financial Transactions	Drawdowns	Program Maturity	Program Complexity
Health Disparities	\$19,162,753	37	1	1	20	22	New	Simple
Healthcare Program	\$16,678,085	142	1	3	33	33	New	Complex

Recommended Structure

Program	Minimum Employees	Additional Required	Current Employees	Employee Gap
Operational	2	1.85	8.00	-4.15
Compliance	2	1.00	0.00	1.00
Strategic	1	0.80	3.00	-1.20

Summary of Opportunities

Programs	Number of Activities	Complexity	Opportunity
Healthcare Program	13	Complex	Appropriate Level
Healthcare Program	28	Complex	Centralize
Healthcare Program	21	Complex	Duplicity
Health Disparities	8	Simple	Appropriate Level
Health Disparities	14	Simple	Centralize
Health Disparities	14	Simple	Duplicity

7- User Guide Page 1

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CURRENT WORKLOAD

GMO Projected Workload
In order to determine the Projected Workload, the following parameters will be used:
- **Small** Workload managed - < \$1 billion
- < 20 Programs
- < 50 grants
- **Large** Workload managed - > \$1 billion
- > 20 Programs
- > 50 grants

ORGANIZATION

Structure
The total number of Programs with Centralized GMO Tasks and with Opportunities to Centralize GMO Tasks is tallied to determine the Department's staffing configuration.
- **Centralized** - if less than 50% of Programs are on Track
- **Hybrid** - if 50% to 80% of Programs are on Track
- **Decentralized** - if more than 80% of Programs are on Track

Program Complexity
Programs are categorized into Simple or Complex.
The table below shows the parameters that are taken into consideration to give each program a complexity score. Out of a total of 62.5 points:
- Programs with 31 points or less are considered **Simple**.
- Programs with more than 31 points are considered **Complex**.

8- User Guide Page 2

astho™ GMO Structure Optimization Toolkit

OPPORTUNITY

Opportunities Description
- **Centralize** - Activity is being performed at the Program level when it is most efficient to be performed at the GMO.
- **Duplicity** - Activity is duplicated at both the GMO and Program.
- **Appropriate Level** - Activity is being performed at the appropriate location.

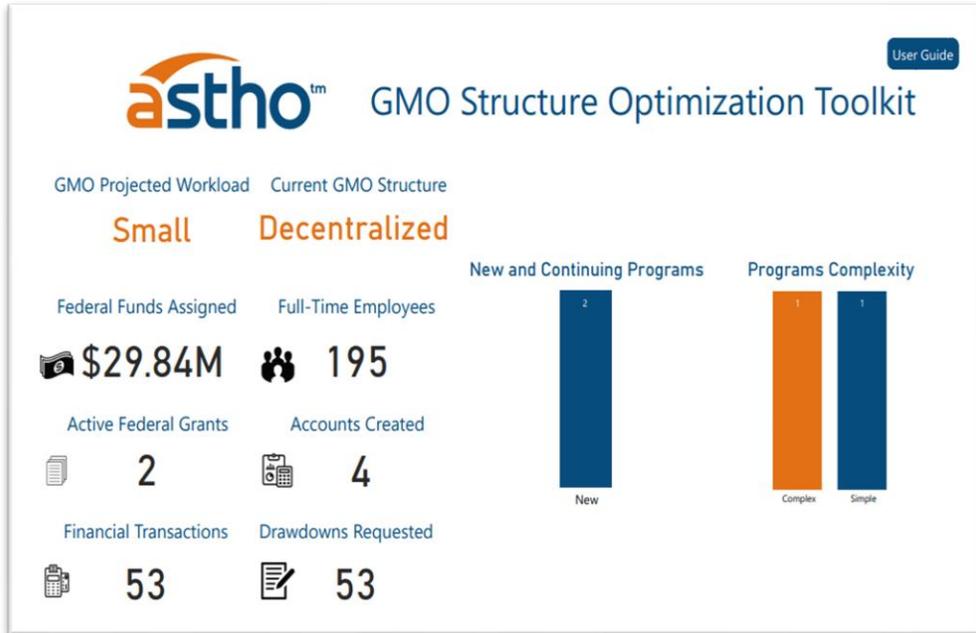
Program Opportunities
If 80% or more activities are classified as Appropriate Level, the Program is deemed to be with Centralized GMO Tasks. Otherwise, the Program is classified as having Opportunities to Centralize GMO Tasks.

COST DISTRIBUTION

Final Structure Cost Distribution
- Total dollar amount of GMO costs distributed to the programs after considering grant caps.
- **Distribution of Costs Among Programs** - Percentage distribution of GMO costs by program based on program complexity.
- **Costs as a Percentage of Program Funding** - A percentage showing the amount of costs distributed in comparison to program available funding.

DATA TABLES

Tables
- **Data Presented** - Each table contains the raw data input by the user and presented in the different graphs in this Output Form. The Recommended Structure and Summary of Opportunities tables contain filters to select more specific data.
- **Data Download** - Data can be downloaded from each table by pressing the three dots symbol on the top right corner and selecting the "Export data" option. It will save the data as a comma separated value (csv) file in the selected folder. The file can be opened in Excel.



example for illustration purposes only



Current Workload

The self-assessment will determine two main variables:

1. **GMO Projected Workload** - If the workload to be managed is deemed to be **Small** or **Large**
2. **Current GMO Structure** - If the current GMO structure is deemed to be **Decentralized**, **Hybrid** or **Centralized**

GMO Projected Workload

In order to determine the Projected Workload, the following parameters will be used :

- **Small** Workload managed
 - < \$1 billion
 - < 20 Programs
 - < 50 grants
- **Large** Workload managed
 - => \$1 billion
 - => 20 Programs
 - => 50 grants
- Programs are categorized into **Simple** or **Complex**. The following Program complexity parameters are taken into consideration to give each Program a complexity score:

Projected Funding	Projected Grants		Projects or Strategies		FTEs Per Program		Supplies Requisitions		Equipment Requisitions		Cont. or New	Accounts Created		Fin. Transactions		Drawdowns	Value		
	Value	Value	Value	Value	Value	Value	Value	Value	Value	Value		Value	Value	Value	Value				
\$0-749,999	1	1	1	1	1	0-50	1	0-25	0.5	0-25	1	Continuation	1	0-5	1	0-5	1	0-20	1
\$750,000-5,000,000	5	2-3	2	2-5	2	51-100	2	26-50	1	26-50	2	New	5	6-20	2	6-20	2	21-50	2
\$5,000,001-10,000,000	10	4-5	3	6-10	3	101-250	3	51-100	1.5	51-100	3			21-50	3	21-50	3	51-100	3
\$10,000,001-20,000,000	15	6-7	4	11-19	4	251-500	4	101-250	2	101-250	4			51-75	4	51-75	4	101-250	4
\$20,000,001+	20	8+	5	20+	5	501+	5	251+	2.5	251+	5			76+	5	76+	5	251+	5

- Out of a total of 62.5 available points, Out of a total of 62.5 points:
 - Programs with 31 points or less are considered Simple.
 - Programs with more than 31 points are considered Complex.
- A snapshot of other variables that determine projected workload for the Department is also included. These variables include total federal funds managed, total number of grants, new vs. continuous Programs, employees, number of requisitions, accounts created, financial transactions managed, and drawdowns requested

Output - Current Workload and Opportunities

Program Management

- In order to determine if a Department is currently **Decentralized, Hybrid or Centralized**, grant management activities need to be evaluated.
- Recall, user identified for each Program and each function whether the activity was being executed at the GMO, Program, Both or Neither level. These assessments are compared to an ideal configuration of where grant management activities should be conducted for Simple and Complex Programs (See **Table 1 *Ideal Grant Management Activity configuration***)
- The comparison of these activities result in one of the following opportunities:
 - **Centralize** - Activity is being performed at the Program level when it is most efficient to be performed at the GMO
 - **Centralize due to restrictions** - Activity is being performed at the Program level and the Program has restrictions tied to audit findings that should be performed at the GMO level to correct
 - **Duplicity** - Activity is duplicated at both the GMO and Program
 - **Missing** - Activity is not being performed at all
 - **Appropriate Level**- Activity is being performed at the appropriate location
- If 80% or more activities are classified as Appropriate Level, the Program is deemed to be a **Program with Centralized GMO Tasks**. Otherwise, the Program is classified as a **Program with Opportunities to centralize GMO Tasks**.
 - **Programs with Centralized GMO Tasks** are typically:
 - Simple Programs where activities are conducted at the GMO
 - Complex Programs without restriction where activities are done at the Program level
 - Complex Programs with restrictions where activities are conducted at the GMO
 - **Programs with Opportunities to centralize GMO Tasks** are typically:
 - Simple Programs where activities are conducted at the Program level
 - Complex Programs with restrictions where activities are conducted at the Program
 - Activities that are missing, or not conducted at either the Program or GMO
 - Activities that are duplicated at the GMO and Program level
- Finally, the total number of **Programs with Centralized GMO Tasks** and **Programs with Opportunities to Centralize GMO Tasks** is tallied to determine the Department's staffing configuration
 - **Decentralized** - if less than 50% of Programs are on Track
 - **Hybrid** - if 50% to 80% of Programs are on Track
 - **Centralized** - if more than 80% of Programs are on Track

Table 1- Ideal Grant Management Activity configuration

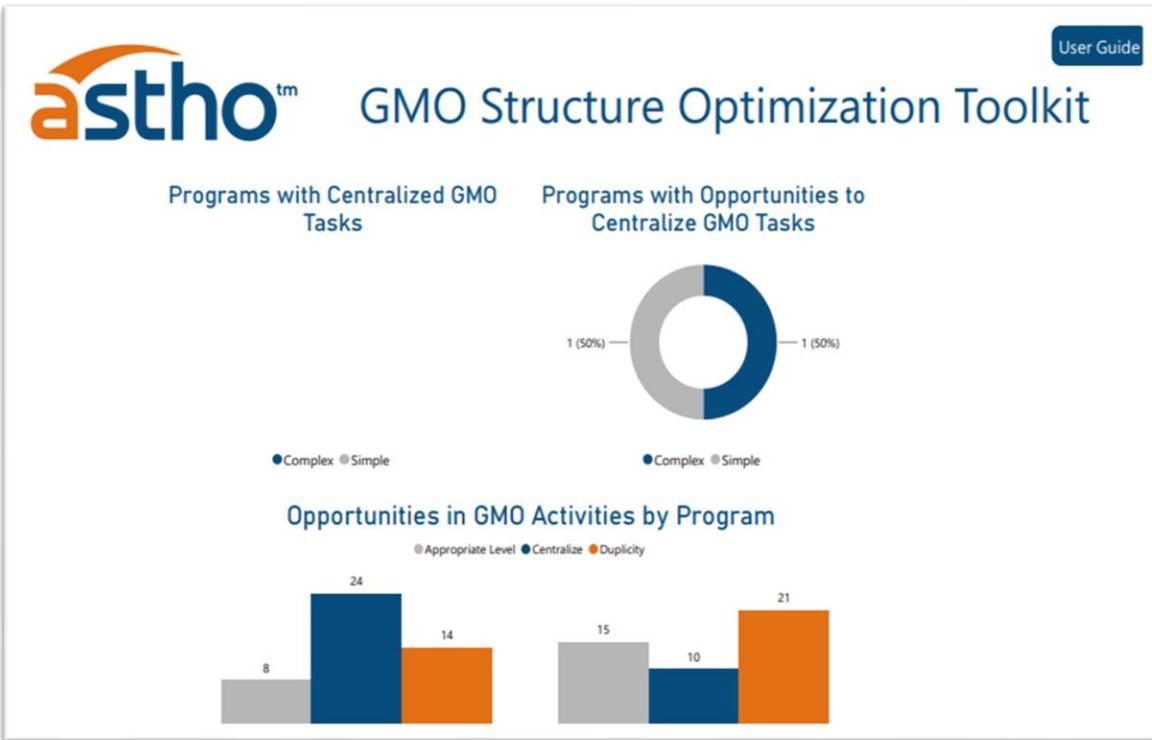
Functions	Act	GMO support	Simple Programs	Complex Programs
Strategic	1	Identify potential funding sources and grant opportunities	GMO	GMO
Strategic	2	Analyze grant opportunities & funding	GMO	GMO
Strategic	3	Assess strategic alignment of proposals with public policy	GMO	Program
Strategic	4	Review and provide guidance for proposal development	GMO	Program
Strategic	5	Communicate directly with federal agencies	Program	Program
Compliance	6	Analyze program proposal according to federal regulations	GMO	Program
Compliance	7	Provide training of grant management policies and guidelines to program staff and support offices	GMO	GMO
Compliance	8	Ensure ongoing fiscal monitoring of federal funds in accordance with federal and local laws and regulations	GMO	GMO
Compliance	9	Understand grant terms and conditions of awards	GMO	GMO
Compliance	10	Facilitate the external monitoring process	Both	GMO
Compliance	11	Review and monitor resolution of audit findings	GMO	GMO
Operational	12	Maintain and draft report related to the management of movable property acquired with federal funds	Program	Program
Operational	13	Identify process and policy improvement opportunities with the design, planning and writing of federal proposals	GMO	Program
Operational	14	Submit non cost extension to federal agencies	GMO	GMO
Operational	15	Provide and coordinate technical assistance to other departments or agencies	GMO	Program
Operational	16	Draft monthly, quarterly and period reports for each project per NoA stipulations	GMO	GMO
Operational	17	Submit Performance Progress and Monitoring Report (PPMR) in accordance with program guidance and award terms and conditions	GMO	Both
Operational	18	Request of supplemental funds	GMO	GMO
Operational	19	Serve as direct liaison with federal agencies and provide technical assistance (federal regulation interpretations)	Both	Both
Operational	20	Provide on-going implementation support to programs	GMO	GMO

Table 1- Ideal Grant Management Activity configuration

Table 1- Ideal Grant Management Activity configuration (cont.)

Functions	Act	GMO support	Simple Programs	Complex Programs
Operational	21	Submit grant proposals to awarding agencies	Both	Program
Operational	22	Record management of proposals submitted, active and close-out grants	GMO	Both
Operational	23	Analyze NoA (Notice of Award) and identify key dates, conditions and reporting requirements	Both	Both
Financial	24	Track award actual vs budget (spend rate)	GMO	GMO
Financial	25	Responsible for budget allocations and breakdowns	GMO	Program
Financial	26	Responsible for maintenance and account extensions	GMO	GMO
Financial	27	Review budget adjustments	GMO	GMO
Financial	28	Request fund carry-overs	GMO	GMO
Financial	29	Responsible for reviewing fiscal documents (payment vouchers), as well as determining its correctness and accuracy	GMO	GMO
Financial	30	Submit account transfers in accounting system	GMO	GMO
Financial	31	Support cash management activities	GMO	GMO
Financial	32	Draft reporting of year-end financial information	GMO	GMO
Financial	33	Submit report of year-end financial information	GMO	GMO
Financial	34	Submit annual Federal Financial Report (FFR) to federal agencies	GMO	GMO
Financial	35	Complete the financial close out of active grants	GMO	GMO
Financial	36	Submit final grant Federal Financial Report (FFR) to federal agencies	GMO	GMO
Financial	37	Provide oversight of grant spent performance	GMO	GMO
Financial	38	Approval of disbursements, or request additional documentation	GMO	GMO
Financial	39	Review and submit proposal single audits	GMO	GMO
Financial	40	Analyze expense certification with account reconciliations	GMO	GMO
Financial	41	Monitor income and expenses for reconciliation of funds	GMO	GMO
Financial	42	Draft budgets for proposals	GMO	GMO
Financial	43	Analyze proposal budget and ensure alignment with Finance Department	GMO	GMO

Table 1- Ideal Grant Management Activity configuration cont.



examples for illustration purposes only



Opportunities by Program

- **Programs with Centralized GMO Tasks** - shows the number and percentage of Complex and Simple programs with Centralized GMO Tasks
- **Programs with Opportunities to Centralize GMO Tasks** - shows the number and percentage of Complex and Simple programs with opportunities to centralize GMO tasks.
- **Opportunities in GMO Activities by Program**- For each Program, the number of activities categorized per type of opportunity is included in the graph. Particular attention should be paid to those activities that are Missing, have Duplicities or could be Centralized in order to enhance the GMO staffing configuration as will be detailed in the following Output.
- Opportunities are classified in the graph as follows:
 - **Centralize** - Activity is being performed at the Program level when it is most efficient to be performed at the GMO
 - **Centralize due to restrictions** - Activity is being performed at the Program level and the Program has restrictions tied to audit findings that should be performed at the GMO level to correct
 - **Duplicity** - Activity is duplicated at both the GMO and Program
 - **Missing** - Activity is not being performed at all
 - **Appropriate Level**- Activity is being performed at the appropriate location

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Programs: Health Disparities | Functions: Multiple selections | Opportunity: Centralize

Programs	Functions	Opportunity	Description
Health Disparities	Financial	Centralize	Analyze proposal budget and ensure alignment with Finance Department
Health Disparities	Financial	Centralize	Approval of disbursements, or request additional documentation
Health Disparities	Financial	Centralize	Complete the financial close out of active grants
Health Disparities	Operational	Centralize	Draft monthly, quarterly and period reports for each project per NoA stipulations
Health Disparities	Financial	Centralize	Draft reporting of year-end financial information
Health Disparities	Financial	Centralize	Monitor income and expenses for reconciliation of funds
Health Disparities	Financial	Centralize	Provide oversight of grant spent performance
Health Disparities	Operational	Centralize	Request of supplemental funds
Health Disparities	Financial	Centralize	Responsible for maintenance and account extensions
Health Disparities	Financial	Centralize	Responsible for reviewing fiscal documents (payment vouchers), as well as determining its correctness and accuracy
Health Disparities	Financial	Centralize	Review and submit proposal single audits
Health Disparities	Financial	Centralize	Review budget adjustments
Health Disparities	Operational	Centralize	Serve as direct liaison with federal agencies and provide technical assistance (federal regulation interpretations)
Health Disparities	Financial	Centralize	Submit account transfers in accounting system
Health Disparities	Financial	Centralize	Submit final grant Federal Financial Report (FFR) to federal agencies
Health Disparities	Operational	Centralize	Submit grant proposals to awarding agencies
Health Disparities	Operational	Centralize	Submit Performance Progress and Monitoring Report (PPMR) in accordance with program guidance and award terms and conditions



Opportunities Detail by programs and functions

- This table includes a detailed list of all activities for each **Program**, categorized by **Function** (Strategic, Compliance, Operational and Financial) and the type of **Opportunity** (Centralize, Centralize due to Restrictions, Duplicity, Missing, and Appropriate Level).
- The user can filter the list of activities by **Programs, Functions and Opportunity** to perform a series of analyses.
- This will help to better visualize the Opportunities that exist in optimizing the GMO staffing configuration to become a more centralized organization.
- Particular attention should be paid to those activities that are Missing, have Duplicities or could be Centralized in order to **enhance** the GMO staffing configuration.
- This table can be **downloaded** as a **csv file** for further use.

example for illustration purposes only



Recommended GMO Structure

Given the Current Workload and the Opportunities identified in Staffing Configuration, the tool will recommend a choice of Organizational Structures. The user has the option to select whether to migrate to a **Hybrid** or **Centralized** GMO structure.

Once this selection is made, the **Current Employee** configuration and cost is compared to the **Recommended Structure** and cost, and the **Employee Gap** is calculated. The structure is divided into the 4 functions (Strategic, Compliance, Operational and Financial).

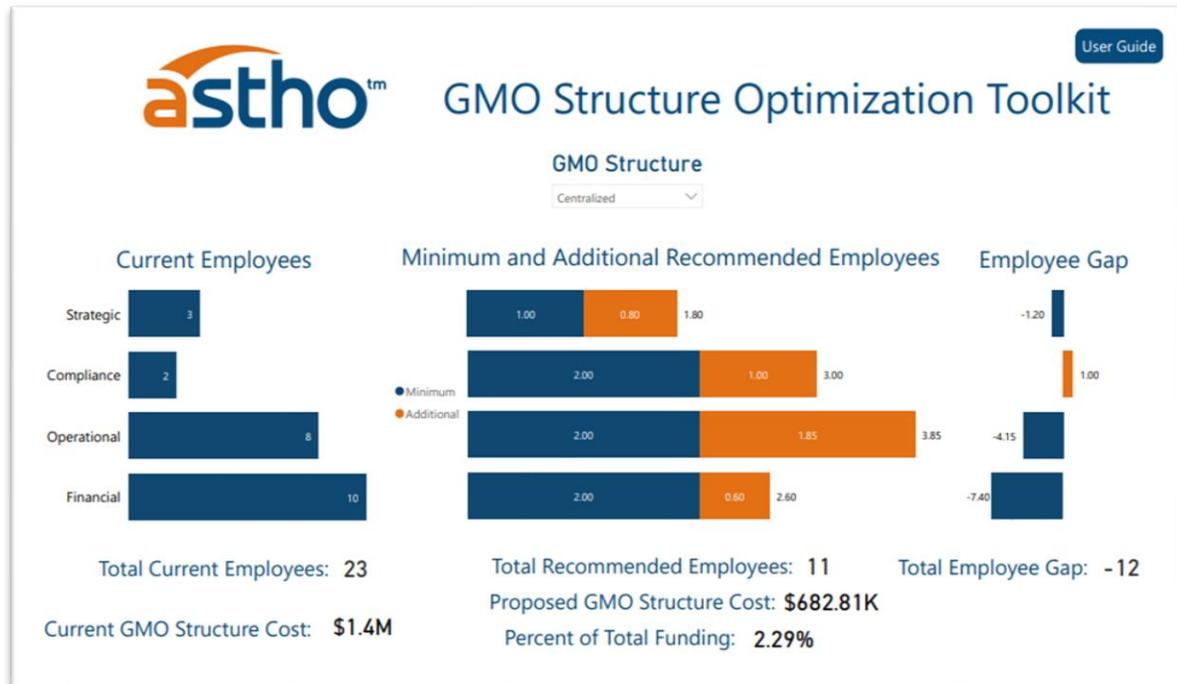
The **Recommended Structure** is depicted as follows:

- **Minimum Employees** - A minimum configuration of roles for the GMO will be recommended based on the model shown in **Table 2**
- **Additional Recommended Employees** - This base configuration of the GMO will be augmented in order to absorb the activities to be centralized from the Programs as follows:
 - For each of the 4 functions, the number of roles currently executed at Program level that should be centralized will be totaled for all Programs
 - This total number of roles at the Program level will be adjusted by a factor of 5 in order to be centralized. This assumes that for every functional role, one centralized resource can manage 5 Programs.
 - If the suggested structure is **Hybrid**, the minimum roles that will be centralized are those from Compliance and Financial functions. These two functions include those activities that are most critical to ensure an effective oversight of grants.
 - If the suggested structure is **Centralized**, roles from all 4 functions (Strategic, Compliance, Operational and Financial) will be centralized.

• **Minimum and Additional Recommended Employees** will then be compared to the **Current Employees** configuration in order to get the **Employee GAP**.

• The **Proposed GMO Structure Cost** is calculated based on the recommended configuration and the average salary of the GMO's current employees.

• Finally, the **Proposed GMO Structure Cost** is divided by the total funding being managed by the department to get the **Percent of Total Funding**.



examples for illustration purposes only

Table 2 - Minimum Employees for each Recommended Structure

Function	Small Hybrid	Large Hybrid	Small Centralized	Large Centralized
Strategic	1	1	1	1
Compliance	1	2	2	3
Operational	1	1	2	3
Financial	2	3	2	2
Total	5	7	7	9



Recommended Structure

When deciding whether to migrate to a Hybrid or Centralized structure, the following factors should be taken into consideration:

- **Decentralized** - If existing is considered **decentralized** structure, recommendation is to transition to a **hybrid** structure as a next step with the recommended roles and their responsibilities
 - Decentralized structures are recommended to revise the activities and functions being performed at Program and GMO level to avoid duplicity and/or ensuring important responsibilities are performed by the appropriate stakeholder
 - Moving away from a Decentralized model will foster greater strategic alignment between Programs and public policy of the Health Department
 - Transitioning to a hybrid model would require more oversight and engagement from the GMO in all phases of grant management, specifically pre-award activities related to budget and grant proposal review and alignment
- **Hybrid** - If existing is considered **hybrid** structure, recommendation is to transition to a **centralized** structure as a next step with the recommended roles and their responsibilities
 - Hybrid structures should review the specific Programs that require more oversight in the functions highlighted in the activities assessment
- **Centralized** - If existing is considered **centralized** structure, recommendation is to review the roles and responsibilities according to current workload and performance

See the Attributes of each possible Recommend Structure for further perspective when defining final organizational structure

Attributes of each Organizational Structure

Decentralized

- Accounting and basic grant information is not easily accessible to all stakeholders
- GMO mostly fulfills administrative support to the Programs
- Inadequate written procedures and centralized oversight
- Risk of non-compliance with grant provisions
- Programs are not required to submit proposals to the GMO for review
- Lack of clear protocols for communication with federal agencies
- Grants might not be spent and completed in a timely matter

Hybrid

- GMO meets constantly with Programs and other offices like finance and accounting that are involved in the grant management
- Solid authority on reporting, approving proposals and oversight but the Programs and finance department take equal or more amounts of the tasks/authority
- Multiple channels of communication and departments involved in grant processes
- Compliance and fiscal support is centralized, but programmatic roles are not
- GMO provides some technical support related to federal regulations and interpretations to Programs

Centralized

- Programs are required to submit proposals and reports to the office for review
- Proposals are aligned with public policy and coordinated with budget office
- Office communicates directly with federal agencies with little to no middlemen
- All technical support related to federal regulations and interpretations are channeled thru GMO
- Strategic, Compliance, Operational and Financial roles are all supplied at GMO



The following are typical Roles and Responsibilities that exist within each of the four functions:

Strategic



- Grant Administrator Liaison with Federal agencies and Programs; ensure public policies are aligned with programmatic objectives

Compliance



- Grant Manager Managing and supporting the grants requirements and implementation, budget planning and monitoring
- Coordinator officer Ensure workplan and programmatic requirements are being followed
- Internal Auditor Compliance support and auditing functions

Operational

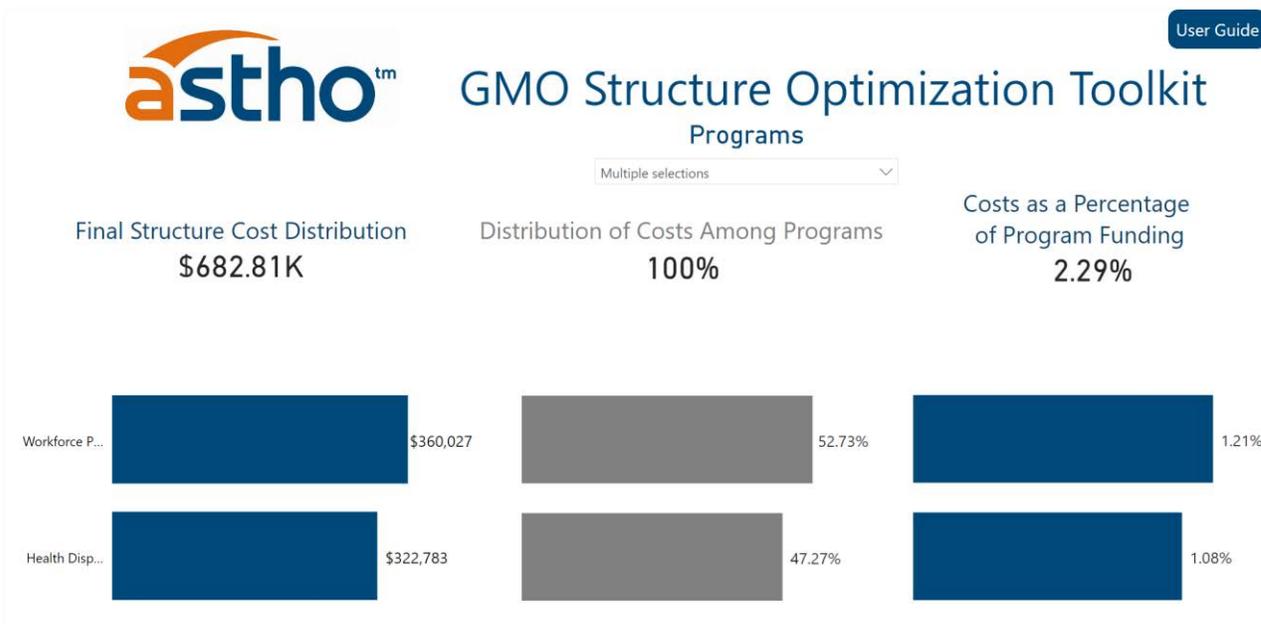


- Project Investigator PI Primary individual responsible for the preparation and administration of grants in accordance with compliance and policy regulations
- Program Manager Liaison between Program and Budget Analyst at Finance Department, implements programmatic requirements and reporting to PI
- Specialist Recording and reporting of programmatic requirements
- Coordinator officer Coordinates efforts within the department in communication with the GMO

Financial



- Budget Officer Budgeting and financial record-keeping, post-award support for grants and financial reporting
- Budget Analyst Expenditure of Programs, pre-encumbrance reports, budget modification requests
- Budget Specialist Liaison between Payment Management System (PMS) and Program accounting
- Accounting officer In charge of accounting side of the office and leadership role within the office
- Accountants Keeping books updated and making sure the financial information is correct



Cost Distribution

Once the ideal Organizational Framework has been defined; and salaries, fringe benefits and allowable Administrative Costs for the GMO have been totaled, these costs are distributed among Programs as follows:

- The total GMO cost is multiplied by the allocation percentage per Program, defined in proportion to the complexity of managing each Program
- For grants that have restrictions on allowable Administrative costs, the cost allocations is capped at the maximum allowed
- The balance of unallocated costs resulting from these restrictions is then re-distributed among the Programs without grant restrictions
- **Final Structure Cost Distribution** shows the allocation of the recommended GMO structure among each program based on their complexity level.
- **Distribution of Costs Among Programs** shows the percentage distribution of Final Structure Cost for each program.
- **Costs as a Percentage of Program Funding** is calculated by dividing the cost allocated to each program by the program's available funding.
- The results of this toolkit and its analysis should facilitate a discussion with funding agencies to ensure administrative costs related to optimizing a GMO structure are considered in the funds authorized and in the Health Department budget.

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User Guide

GMO Structure Optimization Toolkit

Summary of Program Data (Workload)

Programs	Funding	Full-Time Employees	Active Grants	Accounts Created	Financial Transactions	Drawdowns	Program Maturity	Program Complexity
Health Disparities	\$10,162,773	53	1	1	20	20	New	Simple
Workforce Program	\$19,678,685	142	1	3	33	33	New	Complex

Cost Distribution

Program	Final Structure Cost Distribution	Distribution of Costs Among Programs	Costs as Percentage of Funding
Workforce Program	\$360,027.09	52.73%	1.83%
Health Disparities	\$322,782.91	47.27%	3.18%

Recommended Structure

Structure Centralized

Role	Minimum Employees	Additional Required	Current Employees	Employee Gap
Financial	2	0.60	10.00	-7.40
Operational	2	1.85	8.00	-4.15
Compliance	2	1.00	2.00	1.00
Strategic	1	0.80	3.00	-1.20

Summary of Opportunities

Programs All

Programs	Number of Activities	Complexity	Opportunity
Workforce Program	15	Complex	Appropriate Level
Workforce Program	10	Complex	Centralize
Workforce Program	21	Complex	Duplicity
Health Disparities	8	Simple	Appropriate Level
Health Disparities	24	Simple	Centralize
Health Disparities	14	Simple	Duplicity

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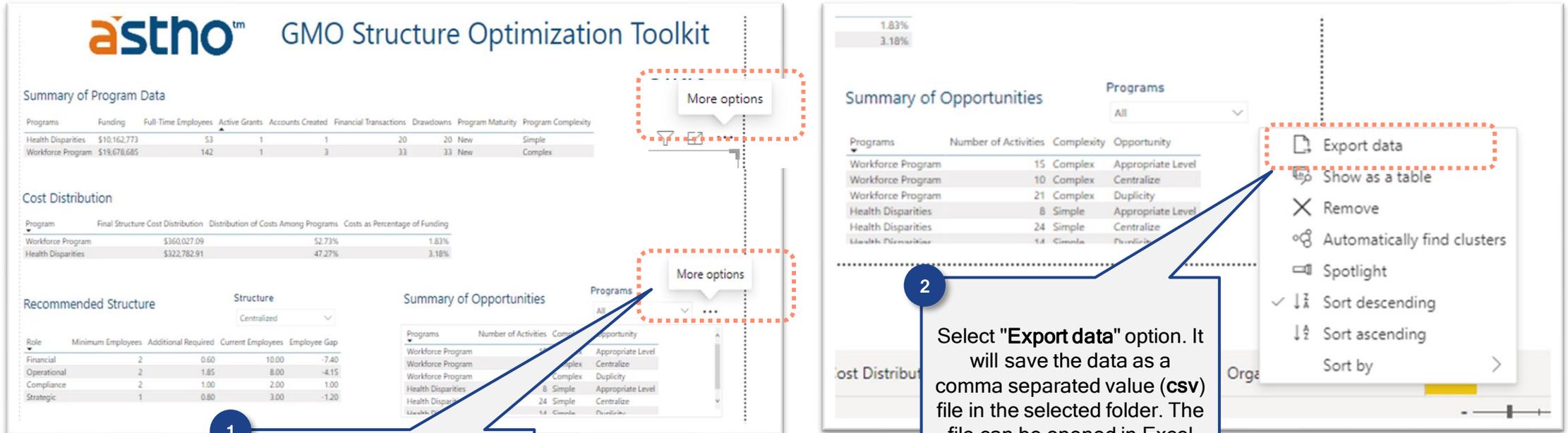


Data Tables

This final output includes a series of tables containing the raw data input by the user and presented graphically in the Output Forms.

- **Summary of Program Data (Workload) Table:** shows all data captured in the Current Workload Input Form, including total federal funds managed, total number of grants, new vs. continuous Programs, FTEs, accounts created, financial transactions managed, drawdowns requested and programs' complexity level.
- **Cost Distribution Table:** shows final GMO Structure Cost Distribution by programs, percent distribution of costs among programs and the costs as percentage of funding .
- **Recommended Structure Table:** shows the staffing configuration of the recommended GMO structure divided by the 4 functions (Strategic, Compliance, Operational and Financial) comparing it with the current employee configuration and existing gap.
- **Summary of Opportunities Table:** shows all programs, their complexity level, and number of activities with each type of opportunity

 **Data Download-** Data can be downloaded from each table by pressing the three dots symbol on the top right corner and selecting the "Export data" option. It will save the data as a comma separated value (csv) file in the selected folder. The file can be opened in Excel.



The screenshot displays the 'astho™ GMO Structure Optimization Toolkit' interface. It features several data tables: 'Summary of Program Data', 'Cost Distribution', 'Recommended Structure', and 'Summary of Opportunities'. Each table has a 'More options' menu icon in its top right corner. A callout box labeled '1' points to these icons, stating: 'Hold the mouse cursor on the upper right-hand corner of each table until the three dots appear. Click "More options"'. A second callout box labeled '2' points to the 'Export data' option in the dropdown menu of the 'Summary of Opportunities' table, stating: 'Select "Export data" option. It will save the data as a comma separated value (csv) file in the selected folder. The file can be opened in Excel'. The 'Summary of Opportunities' table is expanded to show a dropdown menu with options: 'Export data', 'Show as a table', 'Remove', 'Automatically find clusters', 'Spotlight', 'Sort descending', 'Sort ascending', and 'Sort by'. The 'Export data' option is highlighted with a red dashed box.

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