

**Rehabilitation Services Administration  
State Monitoring and Program  
Improvement Division/Fiscal Unit**

**Accessing and Initiating Changes to  
Formula Grant Award Notifications**

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## **I. Introduction**

The following process can ONLY be used to request changes when the rights and obligations of the grantee are not affected. They may NOT be used if there is a transfer of the legal or administrative responsibility for the grant from one legal entity to another due to a redesignation by the Governor, or any other action by the Governor or State legislature. For example, the following process would not apply if a Vocational Rehabilitation (VR) agency is being transferred to another designated State agency (DSA) or becomes an independent agency, or if a Client Assistance Program (CAP) grant is being redesignated to an external grantee or a new grantee agency. If the change involves a transfer of legal or administrative responsibilities, the grantee must contact the Rehabilitation Services Administration (RSA) Financial Management Specialist assigned to the agency for further instructions prior to any decisions being made in relation to the award(s). Transferring grant awards from one legal entity to another is a complicated process; therefore, it is important that agencies work with RSA to ensure all the necessary requirements are met. VR agencies should refer to TAC-13-02, Reorganization of the Designated State Agency and the Designated State Unit for the Vocational Rehabilitation Program” for additional guidance.

The Department of Education’s Grants Management System (G5) is the primary system of record for formula grant awards administered by RSA. The G5 system generates the Grant Award Notifications (GANs) that provide the official notice to grantees that an award has been made. The information on the GAN is the Department’s official record of the grantee agency, the individual primarily responsible for administration of the award, grantee DUNs number, etc.

The Recipient State Director (RSD), listed in box 3 on the GAN, has primary responsibility for achieving the purposes of the grant, while also complying with the financial and administrative policies and regulations associated with the award. Although the RSD may have administrative staff to assist them with the management of grant funds, the ultimate responsibility for the management of the award rests with the RSD. This is the same for all formula awards administered through the RSA State Monitoring and Program Improvement Division (SMPID).

As the individual responsible for the overall administration of the grant award, the RSD is solely responsible for accessing and distributing GANs to agency personnel and initiating requests for any changes to the GAN, in accordance with the processes described in this document. This process identifies the supporting documentation required in order for RSA to make administrative (admin) changes to a GAN.

In order to accomplish the tasks associated with being the RSD, the individual is required to have access to G5.

To establish a G5 user account, the RSD must follow the steps identified below.

1. Go to **www.g5.gov**
2. Click on the “Non ED employee Sign Up” link on the left of the page.
3. Enter all requested information and click on “submit.” It is important that the user name and email address match exactly what is listed for the RSD on the GAN. Once this step is completed, an automatic email is sent to the user’s account with additional instructions.
4. Open the email and click on the link to G5 to complete the account activation process.
5. RSDs must select the “Project Director” role from the list of “available types” to complete the steps for account activation in G5.

Any questions regarding this process should be directed to the G5 hotline at (888) 336-8930. Financial Management Specialists do not have G5 access to create or modify user profiles.

## **I. Accessing GANs Via G5**

Each time an electronic signature (e-signature) GAN is processed, an email with a link to view the GAN will automatically be sent to the RSD. The RSD is responsible for logging on to G5, accessing the required GAN(s), and forwarding copies of the GAN(s) to grantee staff members as needed. RSA staff members will not send copies of any e-signature GAN to agency staff via email, postal mail or fax.

### **Frequently Asked Questions:**

In response to a number of questions received by RSA related to implementation of the e-signature GAN, RSA developed the frequently asked question list, with responses, below.

Q. Why does the e-signature on the GAN show "Validity Unknown"?

A. If this message appears on the GAN signature line, it is likely that the Adobe Reader software on the computer being used to view the GAN has not yet been configured to accept e-signatures from the Department of Education. You will need to follow the steps below to allow Adobe Reader to accept e-signatures. You should only have to do this once. The steps identified below may vary for newer versions of the software.

1. Open Adobe Reader or Adobe Acrobat.
2. Go to the "Edit" menu.
3. Select "Preferences".
4. Select "Security".
5. Click on "Advanced Preferences".
6. Select the "Windows Integration" tab.
7. Ensure all checkboxes are checked.
  - o "Enable searching the Windows Certificate Store for certificates other than yours"
  - o Trust ALL root certificates in the Windows Certificate Store for the following operations: "Validating Signatures" and "Validating Certified Documents."

If this does not resolve the issue, please contact the G5 hotline at (888) 336-8930 for additional assistance.

Q. The RSD listed in Box 3 on the GAN has set up an account in G5; however, there are no GANs listed. Where are the GANs?

A. The e-signature function was implemented in G5 on November 19, 2012; therefore, only GANs signed electronically and issued after that date will be available in G5. To request copies of GANs for awards not signed electronically or in a closed status, please contact the Financial Management Specialist assigned to your agency.

Q. Are the e-signature GANs in an accessible format?

A. Yes, the Department conducted testing prior to implementation of the e-signature option to ensure the GANs are accessible. If you have any difficulty accessing the GANs, please contact the G5 hotline at 1-888-336-8930.

Q. Is the RSD listed in Box 3 on the GAN the only individual that will be able to access the electronic GAN?

A. Yes, the RSD is the ONLY individual that will receive a direct email link to the electronic GAN. No additional recipients will be added. To help ensure agency staff are informed of when the electronic GANs are available, RSA will send an email announcement through the Fiscal Listserv once issuance of the electronic GANs for a particular award or supplement are complete. Staff members can sign up for RSA's Fiscal Listserv by following the instructions at: [RSA Listserv](#).

Q. If the name of the RSD is changed, will the new RSD have access to all the previous GANs?

A. No, once a change is made to the RSD, the new RSD will ONLY be able to view the GANs in which their name is listed in Box 3. As a result, it is important that agencies ensure copies of all GANs are maintained in an accessible place for agency staff members who may need access to them at a later date.

## II. DUNS Number Changes

The Data Universal Numbering System (DUNS) number is a unique nine-character number that identifies your organization. The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated. Grantees are required to establish and maintain a current DUNS number. The DUNS number listed in Box 8 on the GAN indicates the primary grant recipient. This DUNS number is associated with the entity responsible for obligating the grant funds. RSA will not make admin changes to awards in a "closed" or "liquidation" status in G5.

To initiate a DUNS number change, follow the steps below.

1. Contact the G5 hotline at (888) 336-8930 to ensure that the new DUNS number and required banking information are listed in G5. If not, the information must be entered into G5 before the GAN can be changed. The G5 hotline staff will be able to provide

instructions for completing this process. RSA staff members are not able to enter this information into G5.

2. Once step one has been completed, the RSD must log in to G5 and initiate an Admin Action Request. Use the help function in G5 to obtain specific instructions for how to complete an Admin Action Request. When selecting the Action Type, select the option to make an admin change to the DUNs number. A separate Admin Action Request must be initiated for each grant award number (e.g., H126A1400XX) for which the DUNS number is to be changed.

After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA Financial Management Specialist assigned to the award who will initiate the change to the GAN. Once the admin change is complete, the RSD will receive, via email, a link to the new GAN that reflects the admin change.

### **III. GAN Changes to Address and Contact Information Only** (e.g., grantee address and contact information or RSD contact information)

For changes to the grantee or RSD name, please refer to the process for the respective awards included below.

To initiate a change to only the address and contact information included on the GAN, the RSD must log in to G5 and initiate an Admin Action Request. A separate Admin Action Request must be initiated for each grant award number for which the change is being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA Financial Management Specialist assigned to the award who will initiate the change to the GAN. Once the admin change is complete, the RSD will receive, via email, a link to the new GAN that reflects the admin change.

Note: RSA will not make admin changes to awards in a “closed” or “liquidation” status in G5.

### **IV. Recipient State Director Name Change**

The following procedures describe how to initiate a change to the RSD Name listed in Box 3 of the GAN. As was mentioned in the Introduction, the RSD has primary responsibility for achieving the purposes of the grant, while also complying with the financial and admin policies and regulations associated with the award. The table below shows who can be listed as the RSD for RSA formula awards.

<b>Grant Award</b>	<b>Recipient State Director</b>
VR, SE, IL-OIB (VR State Plan Authority Not Delegated)	Director of DSA – Required to sign the VR State Plan
VR, SE, IL-OIB (VR State Plan Authority Delegated to DSU)	Director of DSU – Required to sign the VR State Plan
State Independent Living Services (SILS)	Director of DSU – Required to sign the State Plan for Independent Living Services
Client Assistance Program (CAP) – Internal	Director of DSA or DSU*
CAP – External Grantee	Executive Director of Grantee Agency
CAP-Internal or external agency contracting CAP services to another organization	Director or Executive Director of designated agency
Protection and Advocacy of Individual Rights (PAIR)	Executive Director of Grantee Agency
Protection and Advocacy for Assistive Technology (PAAT)	Executive Director of Grantee Agency
State Grant for Assistive Technology (SGAT)	Executive Director or Program Director of the lead agency or implementing entity

\*As designated by the Governor.

In the event that an individual serving as the RSD will be vacating that position, the current RSD is responsible for initiating a change to the RSD’s name prior to exiting the position. The new or interim State Recipient Director must have the same authority as the previous RSD with regard to administering the awards and signing the State Plans, if required. If the current RSD does not initiate the transfer to the new RSD, in G5, prior to leaving the position, the procedures in step 5 below must be followed.

Note: RSA will not make admin changes to awards in a “closed” or “liquidation” status in G5.

### **1. VR, SE, and IL-OIB Awards Only**

Regulations state that the designated State agency (DSA) is the entity responsible for submitting and administering the VR State Plan. In accordance with 34 CFR 361.10, the DSA must submit the VR State Plan. Additionally, 34 CFR 361.13 states that the “State plan must designate a State agency as the sole State agency to administer the State plan...” Therefore, unless the DSA has officially delegated responsibility for submitting and signing the State Plan to the designated State unit (DSU), the Director of the DSA must be the RSD listed on the GAN.

To initiate a change to the RSD name, the RSD must log on to G5 and initiate an Admin Action Request. A separate Admin Action Request must be initiated for each grant award number for which the change is being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA Financial Management Specialist assigned to the award.

If the DSA is requesting the Director of the DSU be listed as the RSD, the DSA must complete the actions above and also provide the RSA State Liaison a copy of the official

document that delegates responsibility for completing and submitting the VR State Plan to the DSU.

Once the admin change is complete, the new RSD will receive, via email, a link to the new GAN that reflects the admin change. In order to receive the email notification, the new RSD must have established a user account in the Department's G5 Grants Management System to access the GAN.

## **2. SILS Awards Only**

The RSD is the individual responsible for administering the grant program and signing the State Plan for Independent Living. Therefore, the Director of the DSU must be the individual listed on the GAN as the RSD.

To initiate a change to the RSD name, the RSD must log on to G5 and initiate an Admin Action Request. A separate Admin Action Request must be initiated for each grant award number for which the change is being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA Financial Management Specialist assigned to the award.

Once the admin change is complete, the new RSD will receive, via email, a link to the new GAN that reflects the admin change. In order to receive the email notification, the new RSD must have established a user account in the Department's G5 Grants Management System to access the GAN.

## **3. CAP Awards Only**

The RSD is the individual responsible for administering the grant program and must be the Director of the DSA or DSU for all internal CAPs. The Executive Director is the RSD for all external CAPs of the designated agency. Therefore, the Director or Executive Director must be the individual listed on the GAN as the RSD.

To initiate a change to the RSD name, the RSD must log on to G5 and initiate an Admin Action Request. A separate Admin Action Request must be initiated for each grant award number for which the change is being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the Program Officer assigned to the award.

Once the admin change is complete, the new RSD will receive, via email, a link to the new GAN that reflects the admin change. In order to receive the email notification, the new RSD must have established a user account in the Department's G5 Grants Management System to access the GAN.

#### **4. PAAT and PAIR Awards Only**

The RSD is the individual responsible for administering the grant program and must be the Executive Director of the designated agency. Therefore, the Executive Director must be the individual listed on the GAN as the RSD.

To initiate a change to the RSD name, the RSD must log on to G5 and initiate an Admin Action Request. A separate Admin Action Request must be initiated for each grant award number for which the change is being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA Financial Management Specialist assigned to the award.

Once the admin change is complete, the new RSD will receive, via email, a link to the new GAN that reflects the admin change. In order to receive the email notification, the new RSD must have established a user account in the Department's G5 Grants Management System to access the GAN.

#### **5. SGAT Awards Only**

The RSD is the individual responsible for administering the State Grant for AT program and must be the Executive Director or Program Director of the lead agency or implementing entity. Therefore, the Executive Director or Program Director must be the individual listed on the GAN as the RSD.

To initiate a change to the RSD name, the RSD must log on to G5 and initiate an Admin Action Request. A separate Admin Action Request must be initiated for each grant award number for which the change is being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA staff assigned to the award.

Once the admin change is complete, the new RSD will receive, via email, a link to the new GAN that reflects the admin change. In order to receive the email notification, the new RSD must have established a user account in the Department's G5 Grants Management System to access the GAN.

#### **6. Assigning New Recipient State Director Without Using G5 Admin Change Process**

The individual that supervises the RSD's position must submit a formal written request to the RSA Financial Management Specialist assigned to the agency to initiate a change to the RSD listed in G5 for the award(s). For external CAP, PAAT and PAIR agencies, the request for change may be signed by the Chairperson of the Board that oversees the functioning of the grantee organization. All written requests must:

- a. be written on official letterhead of the grantee organization;
- b. be signed by an individual with the legal authority to make the request (see above);
- c. include the new RSD's legal name, mailing address, email address, phone and fax numbers; and

- d. list all the grant awards the change should be applied to.

Note: Requests that do not contain the required information will be returned to the grantee for revision.

**V. Recipient Name Changes**

The Recipient Name will be the legal name of the RSD’s primary organization responsible for administration of the grant award. The following process describes how to initiate a change to the Recipient Name listed in Box 1 of a GAN. The following process can ONLY be used to request changes when the rights and obligations of the grantee are not affected. They may NOT be used if there is a transfer of the legal or admin responsibility for the grant from one legal entity to another due to a redesignation or reorganization by the Governor or any other action by the Governor or State legislature. See Section I, Introduction, for additional details.

The table below lists the SMPID formula grant programs and the associated Recipient Name that will be listed on the GAN.

<b>Grant Award</b>	<b>Recipient Name</b>
VR, SE, IL-OIB (VR State Plan Authority Not Delegated)	DSA
VR, SE, IL-OIB (VR State Plan Authority Delegated to DSU)	DSU
State Independent Living Services (SILS)	DSU
Client Assistance Program (CAP) – Internal	DSA or DSU*
CAP – External Grantee	Grantee
Protection and Advocacy of Individual Rights (PAIR)	Grantee
Protection and Advocacy for Assistive Technology (PAAT)	Grantee

\*As designated by the Governor.

Note: RSA will not make admin changes to awards in a “closed” or “liquidation” status in G5

**1. VR, SE and IL-OIB Awards Only**

Regulations state that the designated State agency (DSA) is the entity responsible for submitting and administering the VR State Plan. In accordance with 34 CFR 361.10, the DSA must submit the VR State Plan. Additionally, 34 CFR 361.13 indicates that the “State plan must designate a State agency as the sole State agency to administer the State plan...” Therefore, unless the DSA has officially delegated responsibility for submitting and signing the State Plan to the designated State unit (DSU), the DSA must be the Recipient Name listed on the GAN.

- A. To initiate a change in the Recipient Name when the DSA is currently listed as the Recipient Name, the RSD must complete the steps below.
  - i. Log on to G5 and initiate an Admin Action Request. A separate Admin Action Request must be initiated for each grant award number for which the change is

being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA Financial Management Specialist assigned to the award.

- ii. Submit a copy of the legal instrument which affected the name change to the RSA State Liaison assigned to the agency.

Once the steps above have been completed, the RSA Financial Management Specialist will initiate the change to the GAN. Once the admin change is complete, the RSD will receive, via email, a link to the new GAN that reflects the admin change.

- B. If the DSA wishes to change the Recipient Name to the DSU and, therefore, assign responsibility to the DSU for signing the VR State Plan, the RSD for the DSA must complete the steps below.

- i. Log on to G5 and initiate an Admin Action Request to change the Recipient Name. An Admin Action Request should also be initiated to change the RSD name to the Director of the DSU. A separate Admin Action Request must be initiated for each grant award number for which the change is being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA Financial Management Specialist assigned to the award.
- ii. Submit a copy of the official instrument to the RSA State Liaison, signed by the DSA, that delegates responsibility for completing and submitting the VR State Plan to the DSU.

Once the steps above have been completed, the RSA Financial Management Specialist will initiate the change to the GAN. Once the admin change is complete, the RSD will receive, via email, a link to the new GAN that reflects the admin change

- C. To initiate a change in the Recipient Name when the DSU is currently listed as the Recipient Name, the RSD must complete the steps below.

- i. Log on to G5 and initiate an Admin Action Request to change the Recipient Name. A separate Admin Action Request must be initiated for each grant award number for which the change is being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA Financial Management Specialist assigned to the award.
- ii. Submit to the RSA State Liaison a copy of the official instrument, signed by the DSA, that delegates responsibility for completing and submitting the State Plan to the DSU, and a copy of the legal instrument which affected the name change.

Once the steps above have been completed, the RSA Financial Management Specialist will initiate the change to the GAN. Once the admin change is complete, the RSD will receive, via email, a link to the new GAN that reflects the admin change.

## **2. SILS Awards Only**

Regulations state that the DSU is the entity responsible for submitting and administering the State Plan for Independent Living. To initiate a change in the Recipient Name the RSD must complete the steps below.

- A. Log on to G5 and initiate an Admin Action Request. A separate Admin Action Request must be initiated for each grant award number for which the change is being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA Financial Management Specialist assigned to the award.
- B. Submit a copy of the legal instrument which affected the name change to the RSA State Liaison assigned to the agency.

Once the steps above have been completed, the RSA Financial Management Specialist will initiate the change to the GAN. Once the admin change is complete, the RSD will receive, via email, a link to the new GAN that reflects the admin change.

## **3. CAP, PAIR and PAAT Awards Only**

The designated agency is the entity responsible for administering the CAP grant. To initiate a change in the Recipient Name, the RSD must complete the steps below.

- A. Log on to G5 and initiate an Admin Action Request. A separate Admin Action Request must be initiated for each grant award number for which the change is being requested. After the Admin Action Request is submitted in G5, a notification is automatically sent to the RSA Program Officer assigned to the award.
- B. Submit a copy of the legal instrument which affected the name change to the RSA State Liaison assigned to the agency.

Once the steps above have been completed, the RSA Financial Management Specialist will initiate the change to the GAN. Once the admin change is complete, the RSD will receive, via email, a link to the new GAN that reflects the admin change.