OVC TFMC

Building Organizational Financial Management Capacity

OVC Tribal Financial Management Center

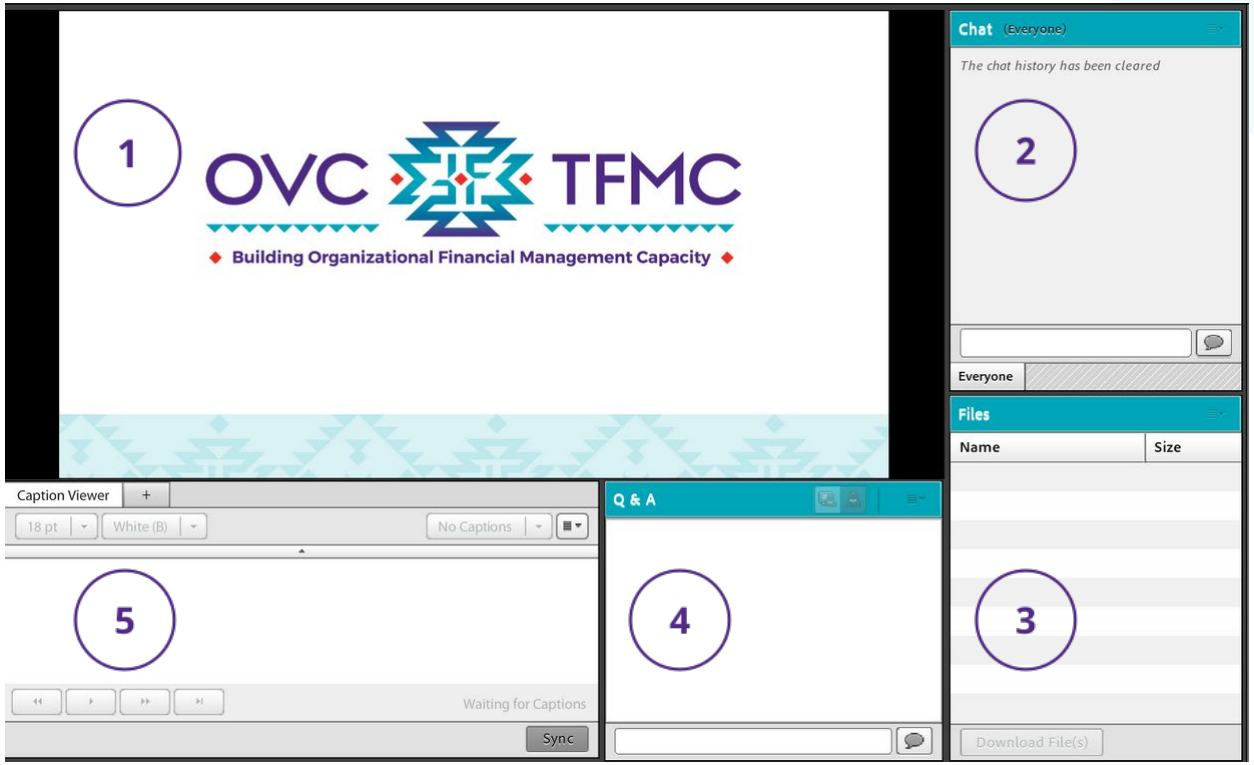
Post-Award Grant Management

Webinar I

Presenters:
Sheree L. Hukill, JD, TFMC Project Director
Tamara Fulwyler, MPH (Chickasaw), Financial Management Specialist

JUSTICE FOR VICTIMS
JUSTICE FOR ALL

Office for Victims of Crime
OVC



Using Adobe Connect

1. Presentation
2. Chat
3. Handouts
4. Q&A
5. Closed Captioning

Webinar Speakers

- Tamara Fulwyler, MPH (Chickasaw)
- Financial Management Specialist
- Puyallup, WA

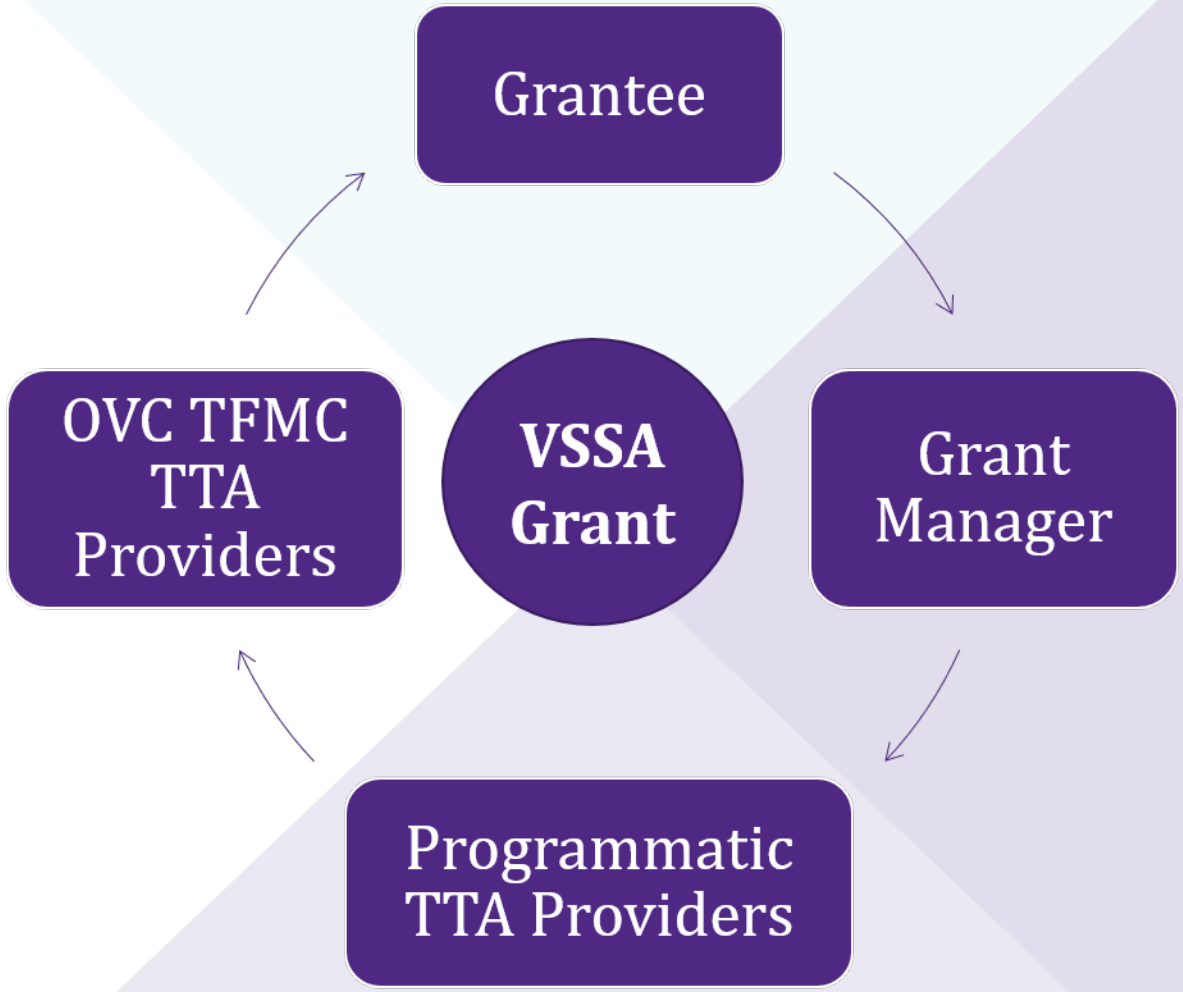
- Sheree L. Hukill, JD
- TFMC Project Director
- Skiatook, OK

Congratulations!

OVC Tribal Financial Management Center (OVC TFMC)

- **NEW** resource for OVC Tribal Grantees
- Launched in the fall of 2018 to provide training/technical assistance (TTA) and resources to OVC Tribal grantees for the FY 2018 and 2019 Victim Services Set-Aside and CTAS (Purpose Areas 6 and 7)
- OVC TFMC provides financial management TTA and resources to support American Indian and Alaska Native (AI/AN) communities at no cost to them, as they develop and maintain the capacity to successfully manage the financial aspects of their federal awards
- A strong financial foundation will support each community's service to crime victims while enhancing the consistency and sustainability of tribal victim service programs.

Grant Management Team



Training and Technical Assistance (TTA) Approach

- Individualized virtual and onsite TTA sessions
- Virtual Support Center consults
- Webinars
- Peer-sharing web forums
- Regional workshops
- Learning circles
- Needs assessments

Our Promise: Cultural Humility

- We begin with a commitment to develop an understanding of the community cultures, practices, and traditions of each tribal entity and a respect for community traditions, stories, and practices
- When working with tribal communities, we recognize not all tribal communities are alike, that we are working with sovereign nations, and the importance of honoring the indigenous ways of knowing
- We understand trust is required before successfully working with tribal communities and building trust takes time

OVC TFMC Virtual Support Center (VSC)

- **Mailbox**: TFMC@ovctfmc.org
- **Phone Number:** *703.462.6900*
- **VSC Hours**:

  Monday – Friday

  12:00 PM – 7:00 PM Eastern

  11:00 AM – 6:00 PM Central

  10:00 AM – 5:00 PM Mountain

  9:00 AM – 4:00 PM Pacific

  8:00 AM – 3:00 PM Alaska

- Provides OVC tribal grantees with financial grant management support and information
- OVC tribal grantees may submit questions and/or requests for technical assistance to the TFMC VSC

Learning Objectives

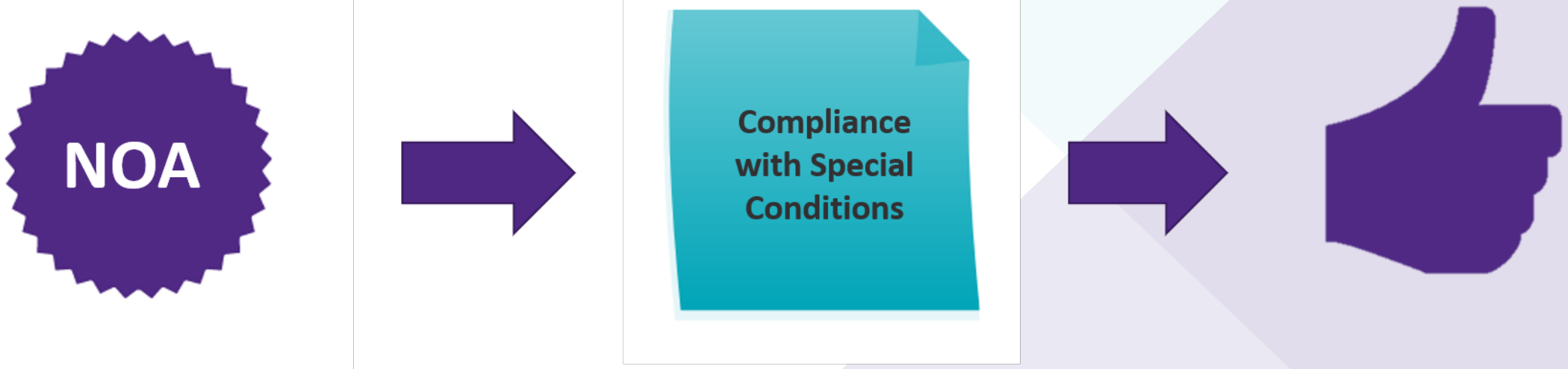
Upon completion of this webinar, you should be able to –

- Identify three key documents to determine grantee responsibilities
- List six ways to ensure compliance with grant agreement
- Explain the process for receiving and distributing funds
- Describe the process for submitting budget changes
- Recall frequent causes of non-compliance

3 Key Documents to help you understand your responsibilities:

1. Your funding application
2. Cooperative Agreement or Grant Agreement
3. Award package

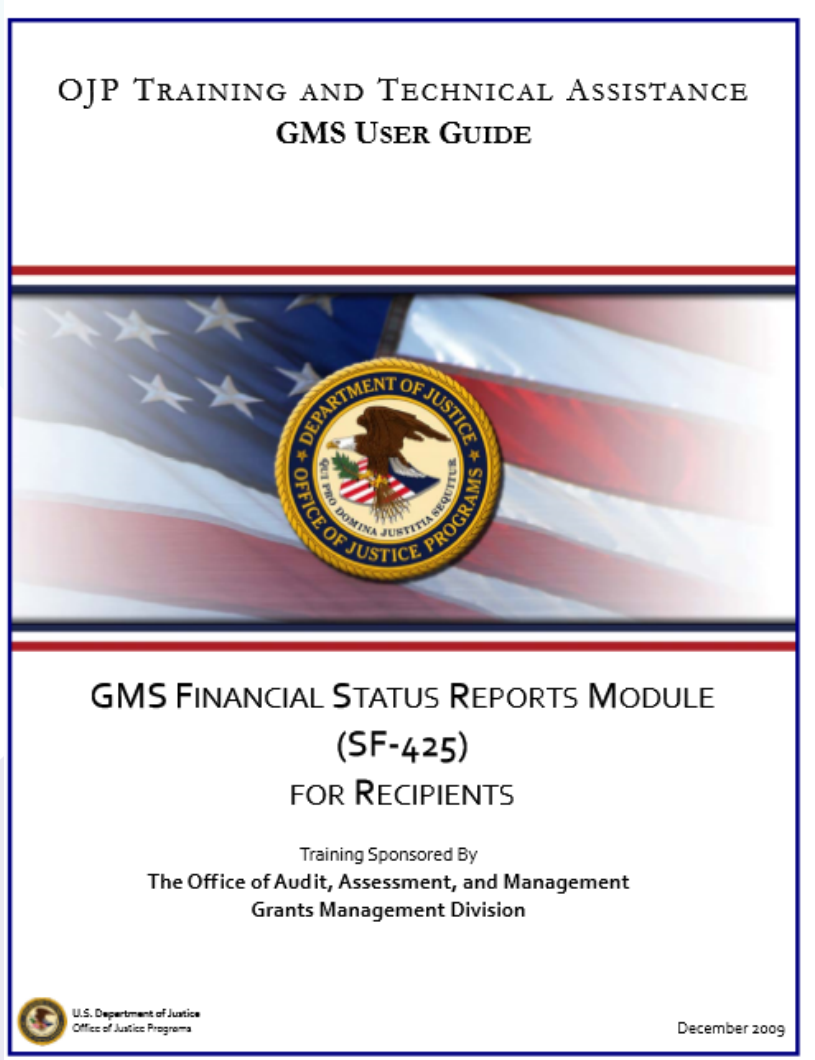
What is the Process for Receiving your Federal Grant Funds?



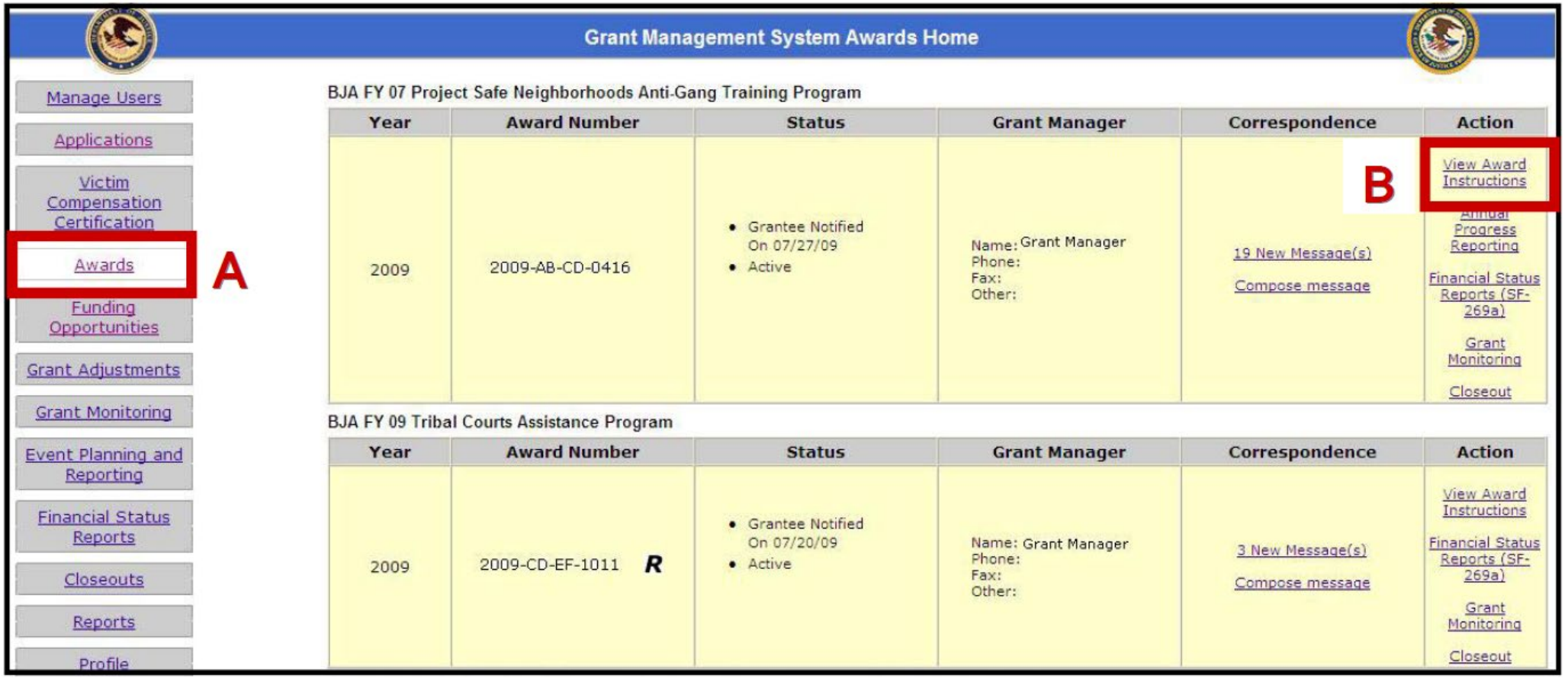
FPOC

Instructions for registering the Financial Point of Contact (FPOC) are in the GMS User Guide

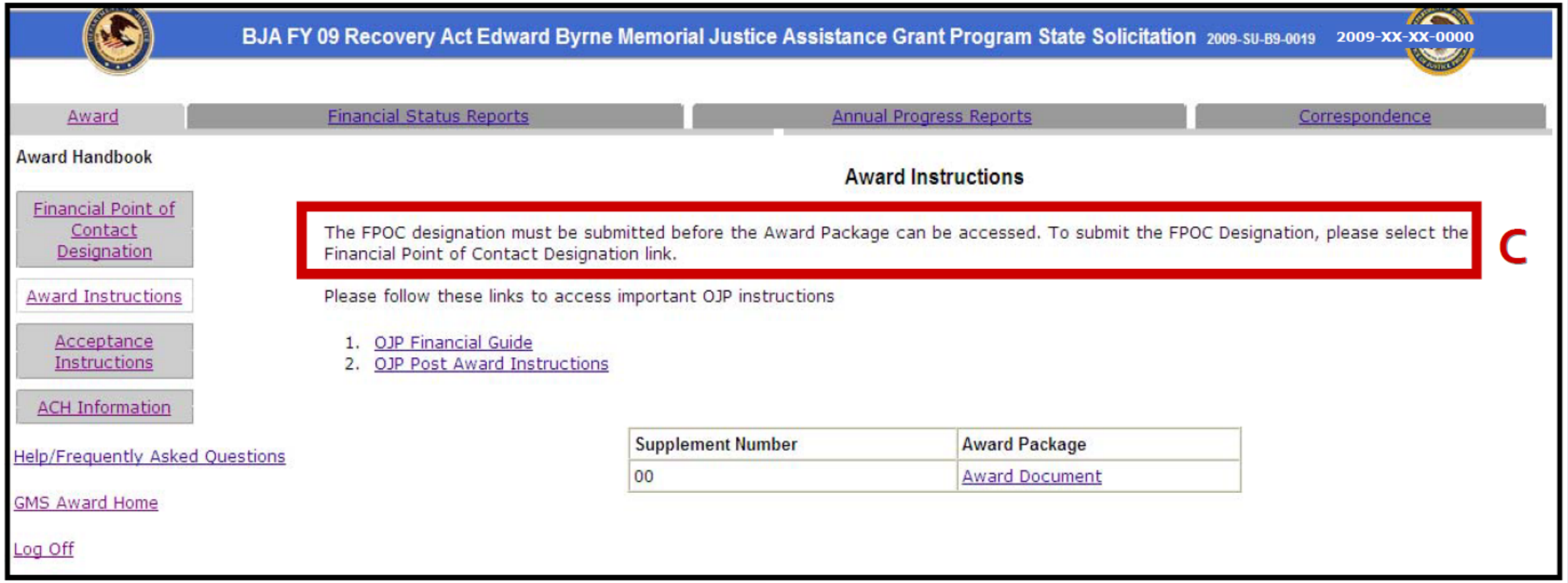
https://ojp.gov/training/pdfs/gms_userguide.pdf



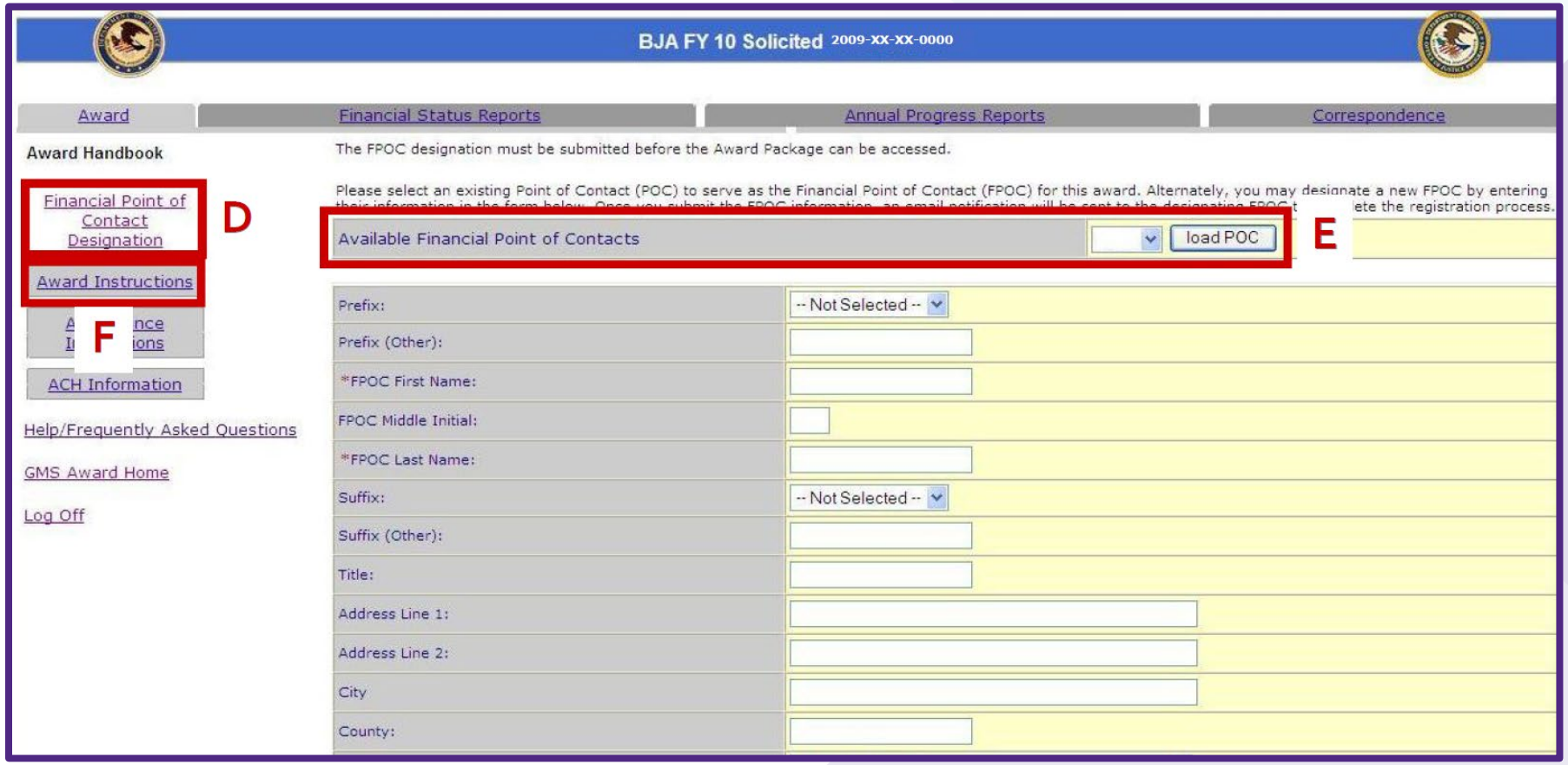
GMS Awards Home



Award Instructions



Financial Point of Contact Designation



Chat Question #1 – FPOC

- Do you know who is or will be designated as the Financial Point of Contact (FPOC)?

  (Yes or No)

Department of Justice Office of Justice Programs <OJP Program Office>	Grant	PAGE 1 OF 2
1. RECIPIENT NAME AND ADDRESS (Including Zip Code) <Grantee County> <Grantee Address> <City, State, Zip>	4. AWARD NUMBER: 2005- XX -XX -1234	
	5. PROJECT PERIOD: FROM mm/dd/yyyy TO mm/dd/yyyy BUDGET PERIOD: FROM mm/dd/yyyy TO mm/dd/yyyy	
	6. AWARD DATE mm/dd/yyyy	7. ACTION Initial
1A. GRANTEE IRS/VENDOR NO. xxxxxxxxx	8. SUPPLEMENT NUMBER	
	9. PREVIOUS AWARD AMOUNT $ 0	
3. PROJECT TITLE <Project Title>	10. AMOUNT OF THIS AWARD $ xxx	
	11. TOTAL AWARD $ xxx	
12. SPECIAL CONDITIONS THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).		
13. STATUTORY AUTHORITY FOR		
15. METHOD OF PAYMENT PAPRS		
[redacted] AGENCY APPROVAL [redacted]	[redacted] GRANTEE ACCEPTANCE [redacted]	
16. TYPED NAME AND TITLE OF APPROVING OFFICIAL Assistant Attorney General	18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL Chief Administrative Officer	

Sample

Department of Justice Office of Justice Programs <OJP Program Office>	AWARD CONTINUATION SHEET Grant	PAGE 2 OF 2

PROJECT NUMBER 2005-__-__-____ AWARD DATE mm/dd/yyyy

SPECIAL CONDITIONS

1. The recipient agrees to comply with the financial and administrative requirements set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide.

2. The recipient acknowledges that failure to submit an acceptable Equal Employment Opportunity Plan (if recipient is required to submit one pursuant to 28 C.F.R. Section 42.302), that is approved by the Office for Civil Rights, is a violation of its Certified Assurances and may result in suspension or termination of funding, until such time as the recipient is in compliance.

3. The recipient agrees to comply with the organizational audit requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, as further described in the current edition of the OJP Financial Guide, Chapter 19.

4. Recipient unders t of the enactment, repea ithout the express prior wri

5. The recipient fur ed by OJP or its designee. F onal category of perso acked.

Sample

6. The recipient agrees to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this project.

7. The applicant budget is pending review or approval. The recipient may not obligate, expend or draw down any grant funds until the Office of the Comptroller, Office of Justice Programs has issued clearance of the application budget and budget narrative, and a Grant Adjustment Notice has been issued removing this special condition.

8. Recipient may not obligate, expend or drawdown funds until the Office of Justice Programs (OJP) has reviewed

To Request and Receive Federal Grant Funds:

- Make sure you have a registered FPOC
- Complete and file Automated Clearing House (ACH) form
- Access financial drawdowns through GPRS

ACH Form

https://ojp.gov/funding/Apply/Resources/ACHVendor.pdf

Office of Justice Programs
810 Seventh Street, NW
Attn: Control Desk, Fifth Floor
Washington, DC 20001

ACH VENDOR/MISCELLANEOUS PAYMENT ENROLLMENT FORM

OMB No. 1510-0056

This form is used for Automated Clearinghouse (ACH) payments with an addendum record that contains payment-related information processed through the Vendor Express Program. Recipients of these payments should bring this information to the attention of their financial institution when presenting this for completion.

PRIVACY ACT STATEMENT

The following information is provided to comply with the Privacy Act of 1974 (P.L. 93–579). All information collected on this form is required under the provisions of 31 U.S.C. 3322 and 31 CFR 210. This information will be used by the U.S. Department of the Treasury to transmit payment data, by electronic means to vendor's financial institution. Failure to provide the requested information may delay or prevent the receipt of payments through the Automated Clearinghouse Payment System.

AGENCY INFORMATION

FEDERAL PROGRAM AGENCY: OFFICE OF JUSTICE PROGRAMS

Grantee Employer/Taxpayer Identification Number:

AGENCY IDENTIFIER: OJP

AGENCY LOCATION CODE (ALC): 15-04-0001

ADDRESS: 810 Seventh Street, NW., Attn: Office of the Chief Financial Officer Control Desk

Washington, D.C. 20531

AGENCY CONTACT: Office of the Chief Financial Officer - Customer Service Center

TELEPHONE NUMBER: 1-800-458-0786

PAYEE/COMPANY INFORMATION

OJP Vendor Number:

NAME:

ADDRESS:

E-MAIL ADDRESS:

CONTACT PERSON NAME:

TELEPHONE NUMBER: ( )

TO BE COMPLETED BY FINANCIAL INSTITUTION

NAME:

ADDRESS:

NAME OF BANK OFFICIAL OR ACH COORDINATOR:

TELEPHONE NUMBER: ( )

NINE-DIGIT ROUTING TRANSIT NUMBER:

DEPOSITOR ACCOUNT TITLE:

DEPOSITOR ACCOUNT NUMBER:

LOCKBOX NUMBER:

TYPE OF ACCOUNT: ☐ CHECKING ☐ SAVINGS ☐ LOCKBOX

SIGNATURE AND TITLE OF AUTHORIZED BANK OFFICIAL OR ACH COORDINATOR:

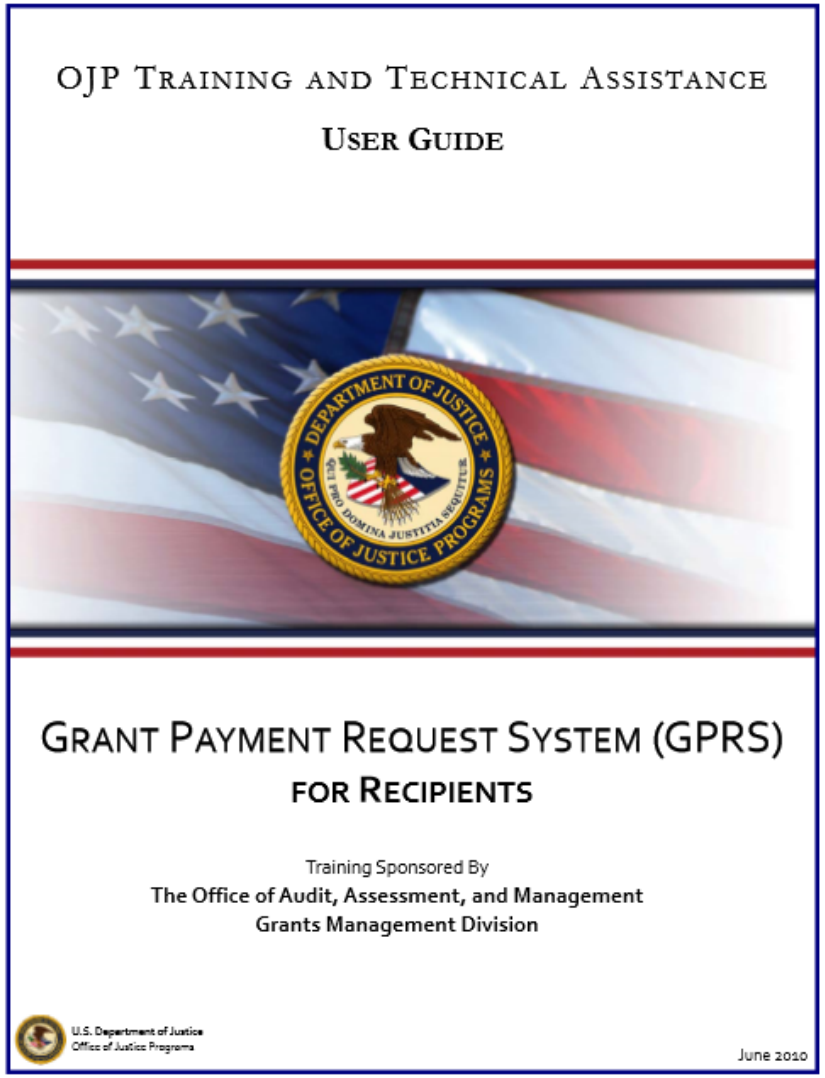
DATE:

Prescribed by Department of Treasury

GPRS and Drawdowns

Instructions for requesting payment of award funds are in the OJP Training and Technical Assistance User Guide

https://ojp.gov/about/pdfs/gprsuserguide.pdf

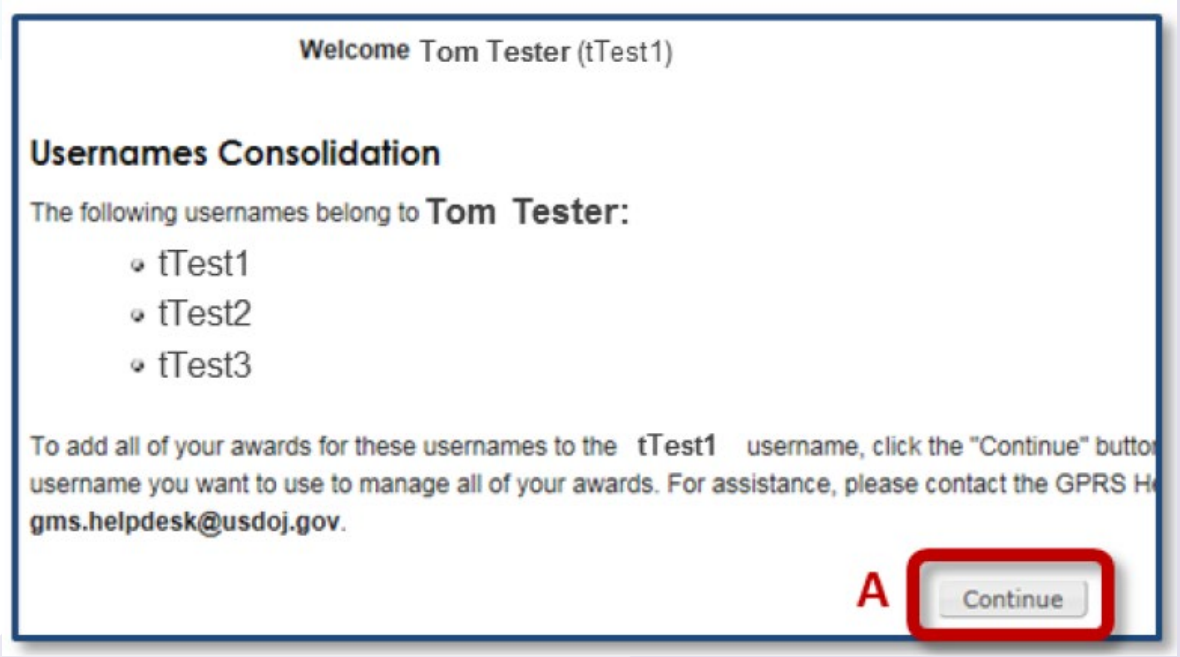


Checklist to Access Drawdowns

- ❑ FPOC designated
- ❑ ACH form received/verified
- ❑ FPOC requests login to GPRS
- ❑ FPOC registration is approved
- ❑ Draw down funds
- ❑ Electronic deposit of funds

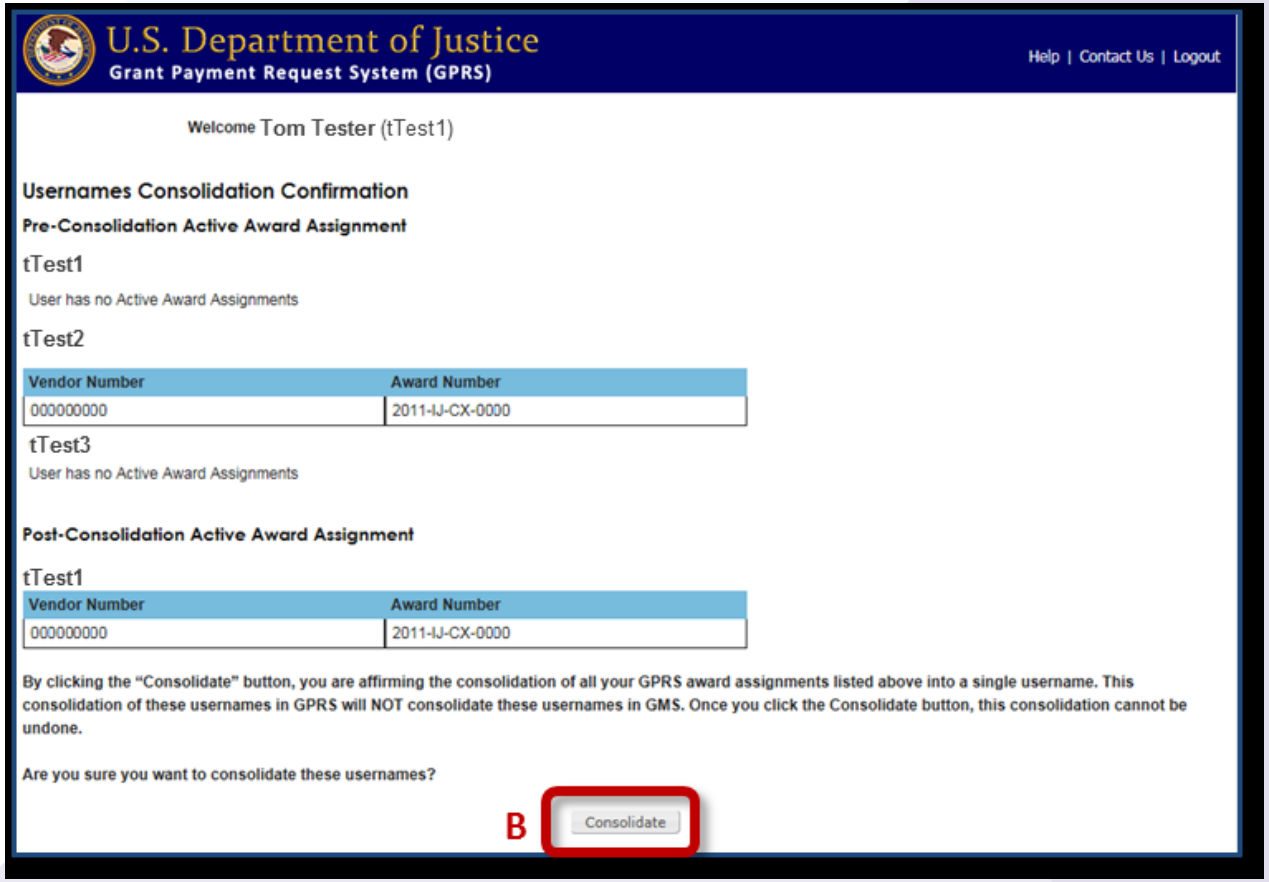
Mandatory GPRS Username Consolidation

1. Access GPRS at https://grants.ojp.usdoj.gov/gprs and select the **GPRS Login** link
2. Enter the GPRS **Username** and **Password** you wish to retain
3. Read the notification and select **Continue**
4. Review your list of usernames in GPRS for the same grantee organization
   a. To consolidate into a username other than the one you are currently logged in with, select **Logout** and re-access GPRS with the other username information
   b. When you are ready to move on, select **Continue** (**A**)

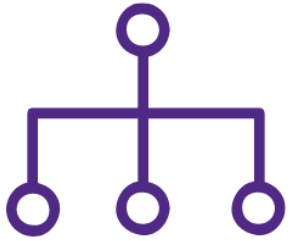


Mandatory GPRS Username Consolidation (cont.)

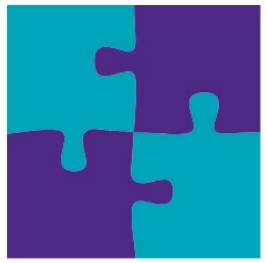
5. Review the lists of active awards assigned to each username
   a. If any information is incorrect or missing, note the missing information and select **Logout** and then contact the GMS Helpdesk at 1-888-549-9901 (option 3) or gms.helpdesk@usdoj.gov
   b. When you are ready to finalize the consolidation process, select **Consolidate** (**B**)



How Do We Ensure Compliance With the Grant Agreement?



Organizational Structure



Standard Procedures

Communication

Monitor Expenditures

SF-424 A & C

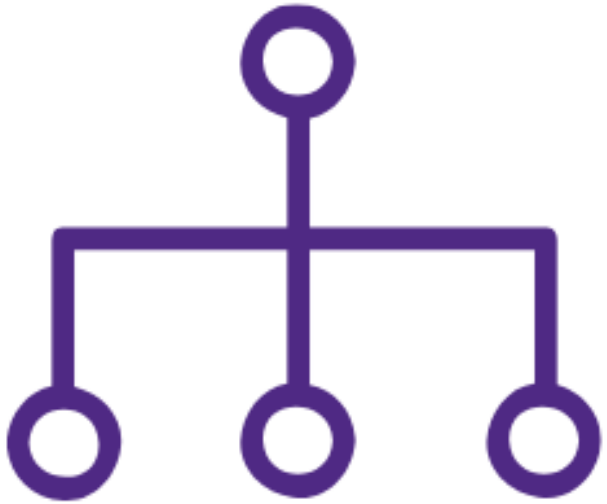
Timely Report Submission

Poll #1 – Tools

Which of these tools are you familiar with?

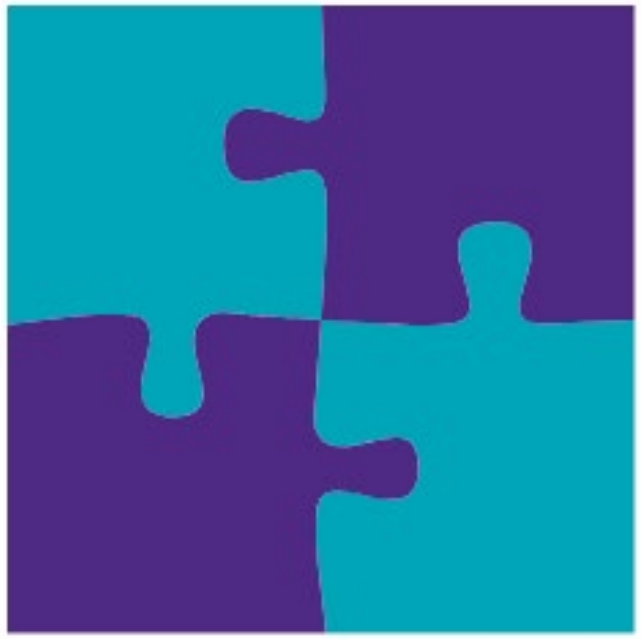
- Policies and procedures
- Open communication
- Monitoring expenditures
- Timely report submission
- Budget development worksheet

Organizational Structure



- Set up and maintain an organizational structure for managing your grant, which includes having written policies and procedures to guide financial aspects of the grant activities

Standard Procedures



- Create standard procedures for managing grant documents and tasks and assign responsibilities for the financial, program, administrative, and governance team members involved with grant planning, implementation, and oversight

Communication

- Communicate regularly and often with grant partners, including having a startup meeting to review program and financial components of the project being funded
- Communicate regularly with your grant manager and be responsive to all inquiries and notices

Chat Question #2 – Communication

- How often do you communicate with grant partners?
- Do you meet in person or communicate another way?

Monitor Expenditures

- Routinely monitor expenditures and provide technical assistance to project staff about compliance with fiscal regulations and internal controls

Budget Categories

Budget Summary

Note: Any errors detected on this page should be fixed on the corresponding Budget Detail tab.

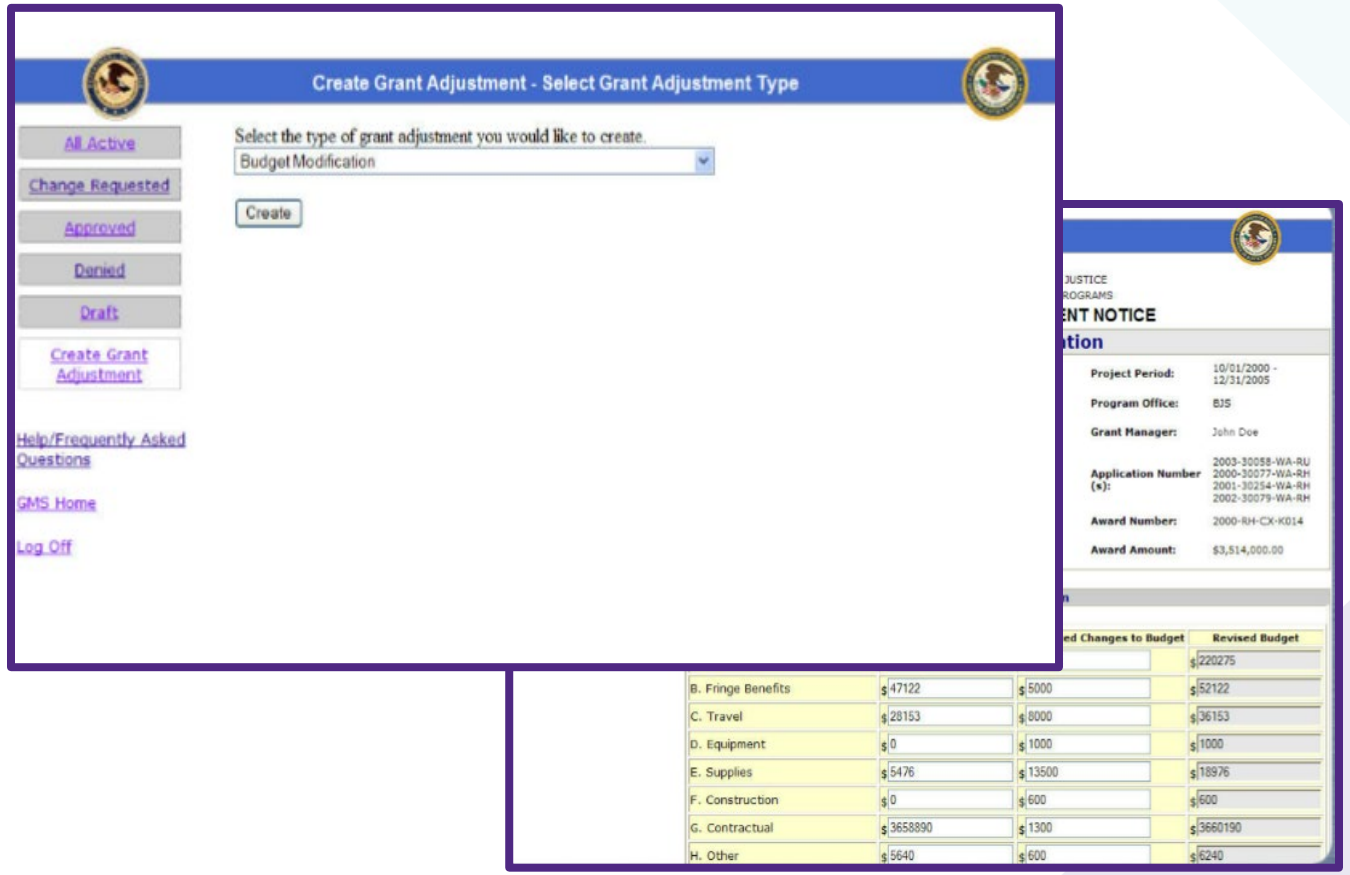
	Year 1		Year 2 (if needed)		Year 3 (if needed)		Year 4 (if needed)		Year 5 (if needed)		
Budget Category	Federal Request	Non-Federal Request	Federal Request	Non-Federal Request	Federal Request	Non-Federal Request	Federal Request	Non-Federal Request	Federal Request	Non-Federal Request	Total(s)
A. Personnel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
B. Fringe Benefits	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C. Travel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Equipment	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Supplies	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
F. Construction	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
G. Subawards (Subgrants)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
H. Procurement Contracts	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
I. Other	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Total Direct Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
J. Indirect Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Total Project Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Does this budget contain conference costs which is defined broadly to include meetings, retreats, seminars, symposia, and training activities? - Y/N										No	

- Expenditures align with these categories: personnel, fringe benefits, travel, equipment, supplies, contractual, and other

What is the Process for Budget Changes?

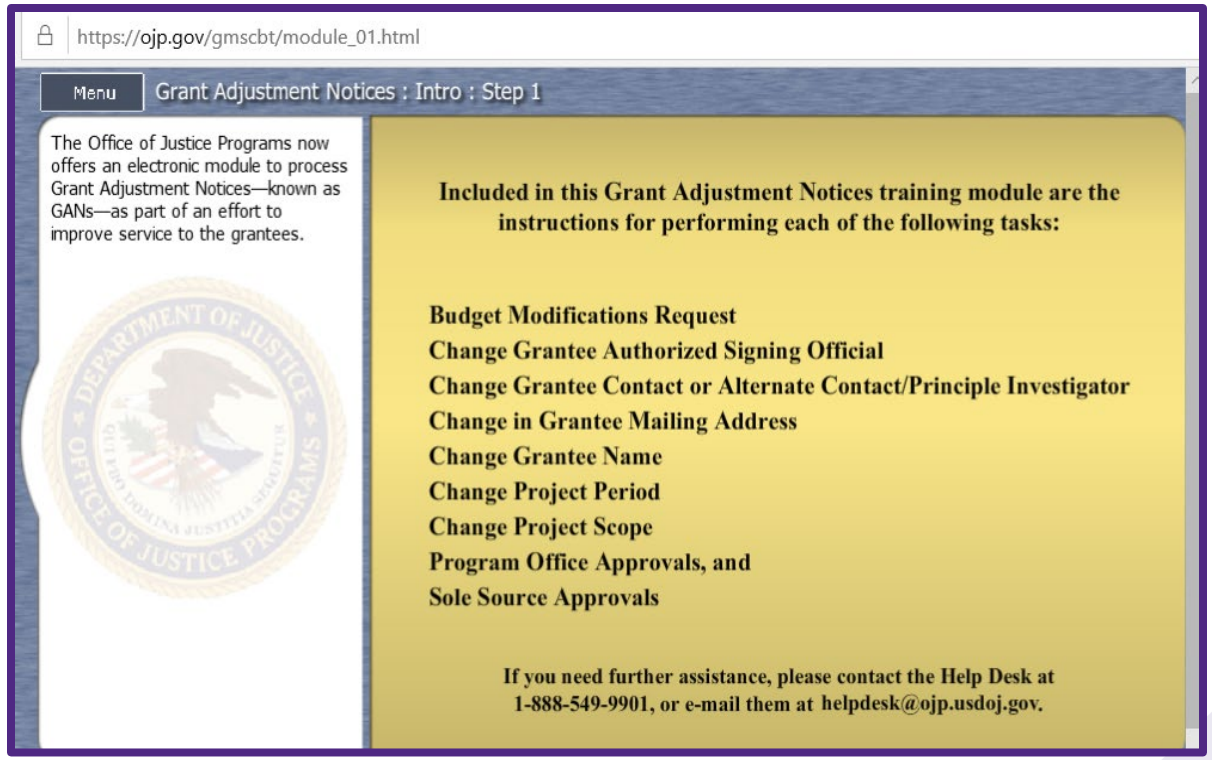
- A grantee may be required to submit a budget modification in GMS if they are changing their budget.
- A grantee may also be required to submit a change in scope Grant Adjustment Notice (GAN) through the GMS, if the budget change modified the project's goals and activities.

Guide Sheet



- A guide sheet on creating and submitting a GAN will be available soon
- Your TFMC financial specialists are available to assist you with the GAN process

Online Training



- Online training on the GAN is available at: **https://ojp.gov/gmscbt/**

Poll Question #2 – Budget Changes

- Have you ever used the GAN process in GMS?

Timely Report Submission

- Ensure program reports are collected and submitted on time

What are the Reporting Requirements?

- Administrative/Programmatic
- Financial
- Audit

Quarterly Reporting Requirements

Quarterly Performance Management Tool Reports (PMT)	
Reporting Period	**Due By *(no later than 30 days after the end of the reporting period)***
January 1 - March 31	April 30
April 1 - June 30	July 30
July 1 - September 30	October 30
October 1 – December 31	January 30

OVC PMT Help Desk Phone Number: 844-884-2503

OVC PMT Helpdesk Email: ovcpmt@usdoj.gov

OVC PMT Website: https://ojpsso.ojp.gov/ using your email and password

PMT Fact Sheet: https://www.ovc.gov/VOCA-Administrators/Performance-Management-Tool-Fact-Sheet.pdf

Quarterly Reporting Requirements

Federal Financial Reports (SF-425)	
Reporting Period	**Due By *(no later than 30 days after the end of the reporting period)***
January 1 - March 31	April 30
April 1 - June 30	July 30
July 1 - September 30	October 30
October 1 – December 31	January 30

SF-425 reports are due even if you have not expended funds; just report that you have expended $0.

Semi-Annual Reporting Requirements

GMS Semiannual Progress Reports	
Reporting Period	**Due By *(no later than 30 days after the end of the reporting period)***
January 1 – June 30	July 30
July 1 – December 31	January 30

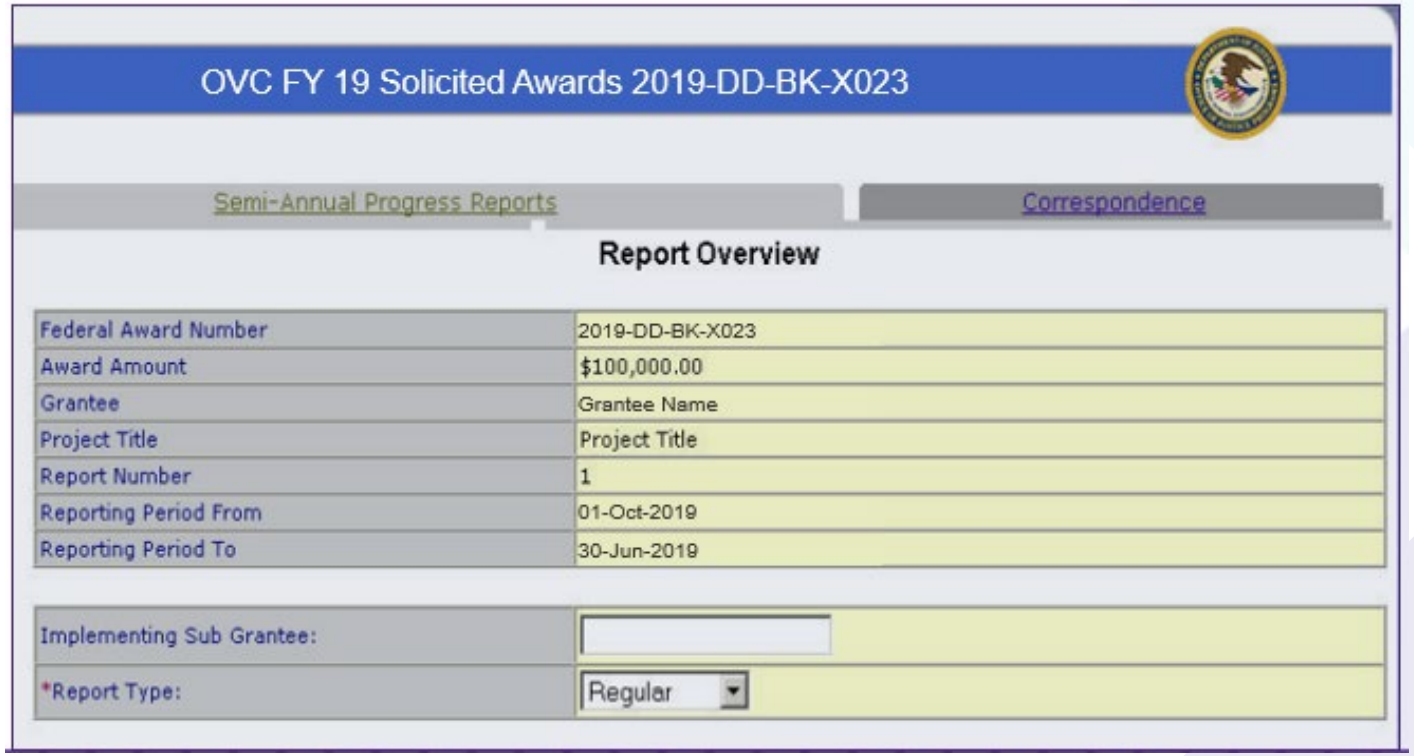
GMS Help Desk: 888–549–9901

GMS Email: GMS.HelpDesk@usdoj.gov

Log into GMS: https://grants.ojp.usdoj.gov/gmsexternal

Program Providers: Fox Valley Technical College and Unified Solutions

Administrative



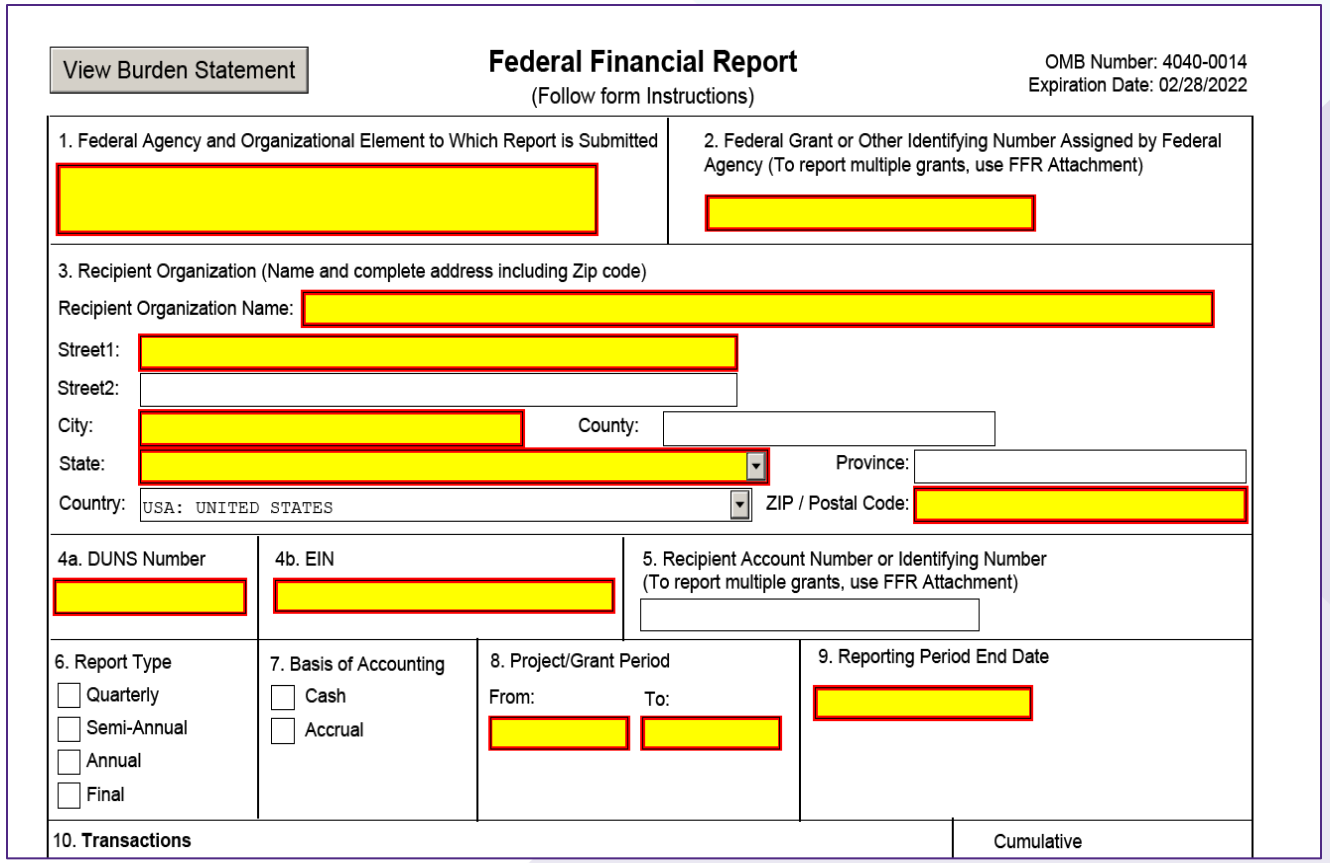
OVC FY 19 Solicited Awards 2019-DD-BK-X023

Semi-Annual Progress Reports | Correspondence

Report Overview

Federal Award Number	2019-DD-BK-X023
Award Amount	$100,000.00
Grantee	Grantee Name
Project Title	Project Title
Report Number	1
Reporting Period From	01-Oct-2019
Reporting Period To	30-Jun-2019
Implementing Sub Grantee:	
*Report Type:	Regular

Financial SF-425/FFR



View Burden Statement

Federal Financial Report
(Follow form Instructions)

OMB Number: 4040-0014
Expiration Date: 02/28/2022

1. Federal Agency and Organizational Element to Which Report is Submitted

2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)

3. Recipient Organization (Name and complete address including Zip code)

Recipient Organization Name:

Street1:

Street2:

City:

County:

State:

Province:

Country: USA: UNITED STATES

ZIP / Postal Code:

4a. DUNS Number

4b. EIN

5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)

6. Report Type
- Quarterly
- Semi-Annual
- Annual
- Final

7. Basis of Accounting
- Cash
- Accrual

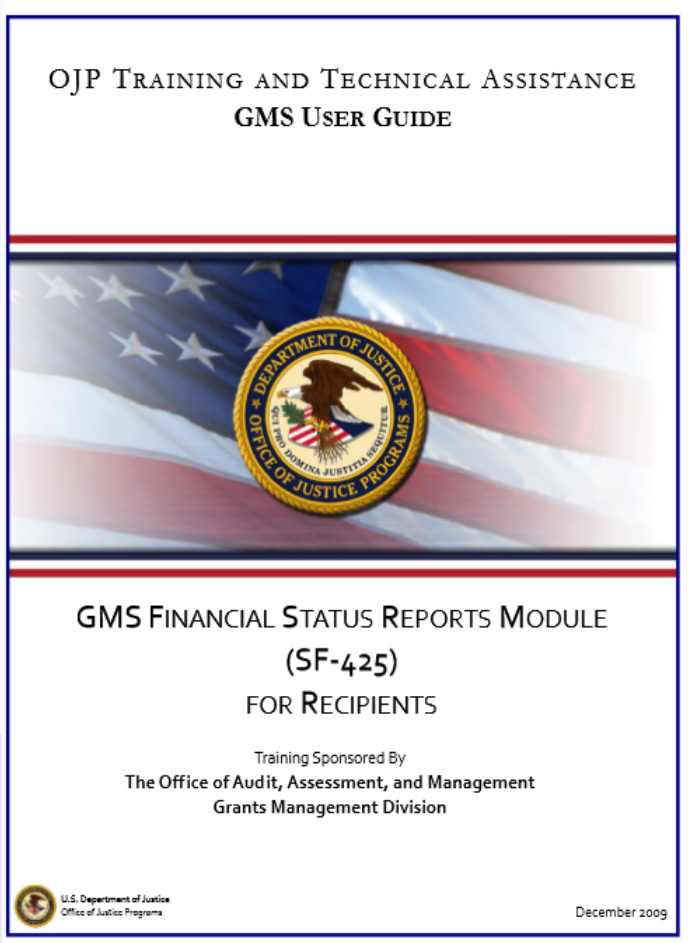
8. Project/Grant Period
From: To:

9. Reporting Period End Date

10. **Transactions** | Cumulative

SF-425 User Guide

https://ojp.gov/training/pdfs/gms_userguide.pdf



Audit

Fiscal years beginning ***on or after***
Dec. 26, 2014 - $750,000 or more

Fiscal years beginning ***before***
Dec. 26, 2014 - $500,000 or more

Federal Audit Clearinghouse

https://harvester.census.gov/facides/InstructionsDocuments.aspx

What Areas are the Most Important to Focus on to Stay in Compliance with Federal Grant Requirements?

1. Activities (allowed or unallowed)
2. Allowable Costs and Cost Principles
3. Cash Management
4. Eligibility
5. Equipment and Real Property Management

What Areas are the Most Important to Focus on to Stay in Compliance with Federal Grant Requirements?

6. Matching, Level of Effort, Supplanting
7. Period of Performance of Federal Funds
8. Procurement, Suspension, Debarment and Excluded Parties List
9. Program Income
10. Reporting
11. Subrecipient Monitoring

Poll #3 – Federal Grant Compliance

- Which areas are you already strong in?

1. Activities (allowed or unallowed)
2. Allowable Costs and Cost Principles
3. Cash Management
4. Eligibility
5. Equipment and Real Property Management
6. Matching, Level of Effort, Supplanting
7. Period of Performance of Federal Funds
8. Procurement, Suspension, Debarment and Excluded Parties List
9. Program Income
10. Reporting
11. Subrecipient Monitoring

What are the Remedies/Penalties for Noncompliance?

- Temporarily withhold cash payments
- Disallow all or part of the cost of the activity or action
- Wholly or partly suspend or terminate the Federal award
- Initiate suspension or debarment proceedings
- Withhold further Federal awards for the project or program
- Take other remedies that may be legally available

Poll #4 – Federal Grant Compliance

- In which areas might you need additional support?

1. Activities (allowed or unallowed)
2. Allowable Costs and Cost Principles
3. Cash Management
4. Eligibility
5. Equipment and Real Property Management
6. Matching, Level of Effort, Supplanting
7. Period of Performance of Federal Funds
8. Procurement, Suspension, Debarment and Excluded Parties List
9. Program Income
10. Reporting
11. Subrecipient Monitoring

Learning Objectives

Now that you have attended this webinar, you should be able to –

- Use three key documents to understand grantee responsibilities
- List six ways to ensure compliance with grant agreement
- Explain the process for receiving and distributing funds
- Describe the process for budget changes
- Recall frequent causes of non-compliance

Questions and Answers

Submit your questions via the Q&A Pod on the screen

OVC TFMC Webinars coming in 2020:

- Overview of the Fiscal Management System
- The Federal Financial Form SF-425
- Budgets
- Direct and Indirect Costs
- Purchasing Procedures

Resources and References

- ACH Information: https://ojp.gov/funding/Apply/Resources/ACHVendor.pdf
- Federal Audit Clearing House: https://harvester.census.gov/facides/InstructionsDocuments.aspx
- GMS User Guide: https://ojp.gov/training/pdfs/gms_userguide.pdf
- GMS Online Training: https://ojp.gov/training/gmstraining.htm#Progress
- GPRS User Guide: https://ojp.gov/about/pdfs/gprsuserguide.pdf
- GPRS Job Aid: https://ojp.gov/about/pdfs/gprsjobaid.pdf
- Grant Adjustment Notice - OJP GMS Computer Based Training: https://ojp.gov/gmscbt/
- OMB Circular A-122: https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A122/a122_2004.pdf

Resources and References

- Debarment and Suspension - 2 CFR part 180: https://www.law.cornell.edu/cfr/text/2/part-180
- Specific Conditions - 2 CFR part 207: https://www.law.cornell.edu/cfr/text/2/200.207
- Cost Principles - 2 CFR part 215.27: https://www.govinfo.gov/app/details/CFR-2010-title2-vol1/CFR-2010-title2-vol1-sec215-27
- Allowability of Costs - 2 CFR part 230: https://www.govinfo.gov/app/details/CFR-2012-title2-vol1/CFR-2012-title2-vol1-part230
- Remedies for Noncompliance – 2 CFR part 200.338: https://www.govinfo.gov/app/details/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-338