

# Grants Management: Financial and Programmatic Oversight, Reporting and Compliance

April 7, 2016  
10:00am to 12:00pm





# Post-Award Requirements Next Steps



# Post Award Activities

- Notice of Award
- Accepting the Award
- Compliance Terms
- Federal Point of Contact
- Federal Payment Process
- Reporting Process
- Partners
- Subrecipients

# Notice of Award

- Federal agency may announce awards publicly prior to issuing them
- The award notice is NOT the award “obligating document”
- The NOFO and/or Notice of Award should indicate how you will receive the Award Letter
- You may need to log into the Federal Agency’s grant management system to retrieve the award
- You may not get a paper copy

# Accepting the Award

- Award package will include:
  - Introduction/Instructions
  - Agreement Articles
  - Obligating Document
    - Award ID#
    - Amount
    - Period of Performance
    - Other identifying information
- The appropriate authorization official must accept (or authorize you to accept) the award
- Send the signed award back as instructed
- Save the fully signed copy and start your grant award file.
  - NOFO
  - Application
  - Award

# Compliance Terms

## ■ Grant Notice of Funding Opportunity (NOFO)

- Award Administration Information

## ■ Grant Application Certifications (SF-424)

## ■ Award Package

- Awarding Agency General Terms
- Grant-Specific Terms
- Amount
- Period of Performance

## ■ General Federal Terms

## ■ 2CFR200 Uniform Administrative Requirements

# Federal Point of Contact

- You need to know your Federal agency point of contact
  - Program
  - Financial
- Federal agency point of contact can answer questions, authorize changes, provide guidance, and may monitor or review your progress
- Keep them in the loop and maintain contact

# Federal Payment Process

- The NOFO should outline payment process
- Federal POC can explain or answer questions
- Federal agency may have a specialized payment system that you will need to use
  - Examples:
    - FEMA uses PARS
    - HHS uses SMARTLINK
- Direct Deposit form - SF1199A



# Reporting Process

- The NOFO and/or Award should indicate the required financial and programmatic reports and schedule
- Confirm form and content/expectations with Federal POCs
- Some reporting may require access to / training in specialized systems
- Close-out may require additional final reports - find out what these requirements are up-front.

# Partners

- Notify program partners of the award
- Schedule a kick-off or walk-through
- Set expectations clearly
  - Purpose of the program
  - How the outcome will be achieved / work plan
  - What will be measured / delivered
  - Your organization's responsibilities as grant recipient
  - Partner responsibilities
  - How decisions will be made
  - How costs will be authorized
  - How costs will be paid

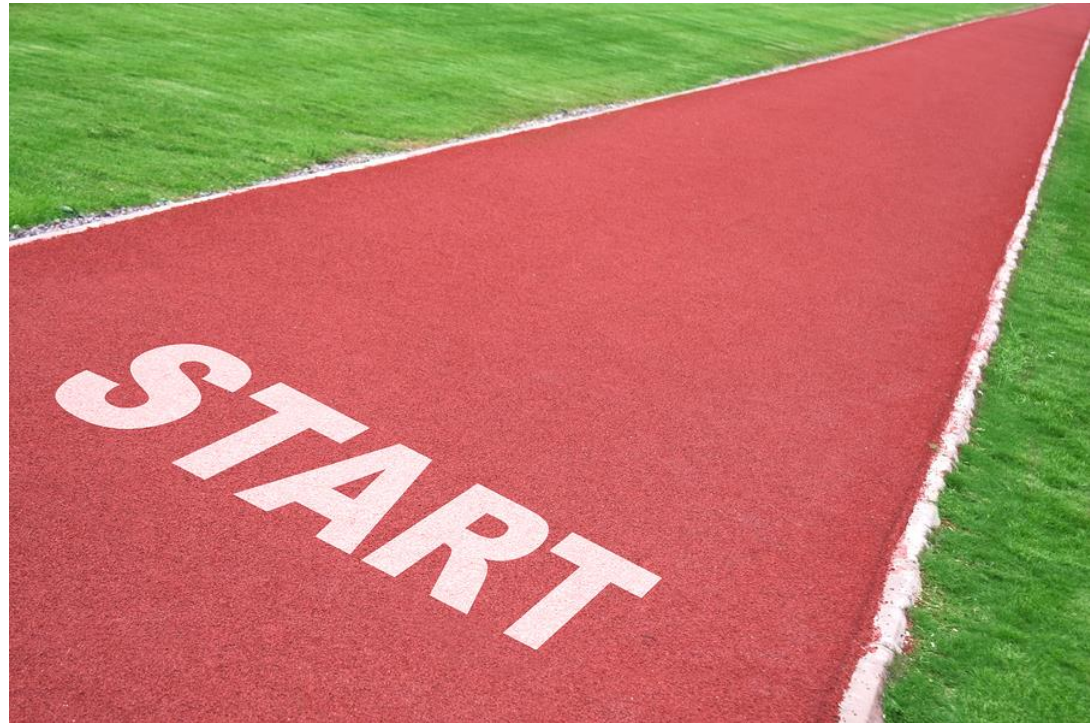
# Subrecipients

- If your organization will “pass through” funds or make sub-awards
- Pass-through entity has specific requirements (2CFR200)
  - Subaward form and content
  - Monitoring
- Sub-Awardee entity needs to understand expectations and requirements
  - Hold kick-off sessions for subrecipients
  - Set up reporting/monitoring process

# Resources

- Council on Financial Assistance Reform
  - <https://cfo.gov/cofar/>
- 2CFR200 - Uniform Administrative Requirements
  - [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)
  - <https://www.gpo.gov/fdsys/pkg/CFR-2014-title2-vol1/pdf/CFR-2014-title2-vol1-part200.pdf>
- GAO Auditing Standards
  - <http://www.gao.gov/govaud/ybk01.htm>
- OMB
  - [https://www.whitehouse.gov/omb/grants\\_default](https://www.whitehouse.gov/omb/grants_default)
- Grants.gov
  - <http://www.grants.gov/web/grants/learn-grants/grant-policies.html>

# Questions



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D.C. HSEMA  
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Washington, DC 20032  
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[charles.madden@dc.gov](mailto:charles.madden@dc.gov)  
[www.hsema.dc.gov](http://www.hsema.dc.gov)

# Office of Victim Services and Justice Grants

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
Executive Office of the Mayor



# Grant Manager's Role

- Ensure compliance of all the terms and conditions of the grant award as outlined in the award agreement and special conditions
- Provide technical assistance to the subgrantee
- Track pace and nature of expenditures
- Ensure that sub-grantee adheres to the approved project goals and budget

# Sub-grantee's Role

- Comply with the financial terms and conditions of the grant award as outlined in the award agreement and special conditions
- Notify Grant Manager of any issues relating to grant
- Submit a Grant Adjustment Notice (GAN)
- Provide timely financial reports
- Submit program performance reports



# Program Reports



document as it would look  
ge.



## GOALS AND OBJECTIVES

**Goal #1:** Reduce the negative impact of crime-related trauma and loss (*e.g.*, PTSD, depression, anxiety, anger, impaired coping/life functioning, retaliation, other adverse behavioral outcomes) for those affected by crime-related trauma through **trauma-focused mental health services**.

OBJECTIVE	ACTIVITY	1Q	2Q	3Q	4Q	YTD
Alleviate distress and increase coping skills in <b>520</b> clients impacted by crime, including homicide, domestic violence, sexual assault, physical violence and child physical and sexual abuse through trauma-focused, evidence-based individual, family and/or group counseling services.	<ul style="list-style-type: none"> <li>Hire two VAF dedicated, licensed mental health clinicians (one bilingual).</li> <li>Clinical Director, Program Operations Director and NW and SE Coordinators will oversee all aspects of the HOPES Program's individual, family and/or group counseling services provided at each office.</li> <li>Co-locate a Clinician at the NW Domestic Violence Intake Center 8 hours/week to provide individual counseling of 5-8 sessions, serving approximately 45 clients/ year.</li> <li>Clinical Director and NW and SE Coordinators hire and train a diverse clinical staff and provide ongoing supervision.</li> <li>Counseling Coordinators will recruit and</li> </ul>	175				175

# Outcome Measures - Sample

1. Number of unique primary victims served by OVS funding each quarter
2. Number of unique primary victims served: New vs. Continuing
3. Unique new primary victims served, by victim's stated gender
4. Unique new primary victims served, by victim's stated race or ethnicity

# Financial Management Tools



File Home Insert Page Layout Formulas Data Review View Add-Ins

Clipboard: Cut, Copy, Paste, Format Painter

Font: Calibri, 18, Bold, Italic, Underline, Text Color, Background Color, Merge & Center

Alignment: Wrap Text, Merge & Center

Number: General, \$, %, .00, .00

Styles: Conditional Formatting, Format as Table, Cell Styles

Cells: Insert, Delete, Format

REIMBURSEMENT REQUEST WORKSHEET						
1	REIMBURSEMENT REQUEST WORKSHEET					
2						
3		SUB-GRANTEE:				
4		GRANT NUMBER:				
5		REIMBURSEMENT REQUEST PERIOD: From: 10/1/2015		To: 10/31/2015		
6						
7		Grantees should fill in gray sections and list all expenses.				
8						
9	PERSONNEL: List each position by title and name of employee, show payroll earnings for the period of reimbursement and % of time devoted to the project.					
10	Name	Position	Percentage of Time	Payroll Earnings	Cost	Manual C
11	Employees:					
12					\$0.00	
13					\$0.00	
14					\$0.00	
15					\$0.00	
16					\$0.00	
17					\$0.00	
18	Total				\$0.00	
19						
20						
21	COMMENTS:					
22						
23						

Copy of Financial Workbook063013.xls [Compatibility Mode] - Microsoft Excel

File

Home

Insert

Page Layout

Formulas

Data

Review

View

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Styles

Cells

Editing

A7										
	A	B	C	D	E	F	G	H	I	J
1		GOVERNMENT			EXECUTIVE OFFICE OF THE MAYOR					
2		OF THE			JUSTICE GRANTS ADMINISTRATION					
3		DISTRICT OF			OFFICE OF VICTIM SERVICES					
4		COLUMBIA			1350 PENNSYLVANIA AVE, NW SUITE 407 WASHINGTON, DC 20004					
5										
6										
7				PROJECT EXPENDITURE REPORT						
8						Pg. 2 of 2				
9	SUBGRANTEE:	ABC, Inc				PROJECT TITLE: Enforcing Underage Drinking Laws				
10	SUB GRANT NUMBER:	2001-EUDL-09				FEDERAL GRANT NUMBER:		2013-AG-FX-5717		
11	AWARD PERIOD:	10/1/2011 - 9/30/2013				REPORT PERIOD:		From: 10/01/2011	To: 10/31/2011	
12	FINAL REPORT:	YES	NO							
13										
14	Description	Approved Award Budget	Previously Approved Expenditures	Current Period Expenditures	Balance on Grant	Expensed to-date				
15	Personnel Services	\$20,000.00	\$0.00	#REF!	#REF!	#REF!				
16	Fringe Benefits	\$4,550.00	\$0.00	#REF!	#REF!	#REF!				
17	Travel	\$1,925.00	\$0.00	#REF!	#REF!	#REF!				

Instructions for Data Entry


Instructions for FSR

Instructions for Remb Req

FSR E

Ready

100%

Copy of Financial Workbook063013.xls [Compatibility Mode] - Microsoft Excel										
File Home Insert Page Layout Formulas Data Review View										
Clipboard Font Alignment Number Styles Cells Editing										
D16										
	A	B	C	D	E	F	G	H	I	J
1		 <b>GOVERNMENT OF THE DISTRICT OF COLUMBIA</b>		<b>EXECUTIVE OFFICE OF THE MAYOR JUSTICE GRANTS ADMINISTRATION OFFICE OF VICTIM SERVICES 1350 PENNSYLVANIA AVE, NW SUITE 407 WASHINGTON, DC 20004</b>						
2										
3										
4										
5										
6										
7	<b>GRANTEE REIMBURSEMENT REQUEST</b>									
8	Pg. 1 of 2									
9	<b>SUBGRANTEE:</b>	ABC, Inc			<b>PROJECT TITLE:</b> Enforcing Underage Drinking Laws					
10	<b>SUB GRANT NUMBER:</b>	2011-EUDL-09			<b>FEDERAL GRANT NUMBER:</b>			2013-AG-FX-5717		
11	<b>AWARD PERIOD:</b>	10/1/2011 - 9/30/2013			<b>REPORT PERIOD:</b>		From: 10/01/2011 To: 10/31/2011			
12	<b>FINAL REPORT:</b>	YES	NO		<b>DATE OF REQUEST:</b>		12/6/2011			
13										
14	<b>PROJECT DATA</b>									
15	<b>APPROVED EXPENDITURES TO DATE:</b>	\$ -								
16	<b>CURRENT REIMBURSEMENT REQUEST:</b>	#REF!								
	<b>GRANT AWARD AMOUNT:</b>	\$ 12,174.00								

Ready
Instructions for Data Entry | Instructions for FSR | Instructions for Reimb Req | FSR E
100%

# Disbursement Timetable

Task	Timeline	Assigned To
Sub-grantee submits financial workbook	January 15 April 15 October 15 July 15	Sub-grantee Financial Contact
Initial Review/Approval	1-8 business days	Grants Manager
Accounts Payable processing	1-5 business days	Accounts Payable
Sub-grantee payment	30 business days	Office of the Chief Financial Officer (OCFO)

Failure to submit program reports may delay payment processing



# Financial and Program Report Schedule

<u>Reporting Period</u>	<u>Due Date</u>
1 <sup>st</sup> Quarter: October 1 – December 31	January 15
2 <sup>nd</sup> Quarter: January 1 – March 31	April 15
3 <sup>rd</sup> Quarter: April 1 – June 30	July 15
4 <sup>th</sup> Quarter: July 1 – September 30	October 15
Annual : October 1-September 30	December

If due date falls on a weekend or holiday,  
follow administrator instruction

Grant Adjustment Notice?



- To change project goals
- To change project budget
- To change Authorized Officials

☐ Ruler  
☐ Gridlines  
☐ Navigation Pane Show

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☐ One Page  
☐ Two Pages  
☐ Page Width

New Window  
 Arrange All  
 Split

☐ View Side by Side  
☐ Synchronous Scrolling  
☐ Reset Window Position Window

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GOVERNMENT OF THE DISTRICT OF COLUMBIA  
EXECUTIVE OFFICE OF THE MAYOR  
OFFICE OF VICTIM SERVICES

### GRANT ADJUSTMENT REQUEST/NOTICE

SUB-GRANTEE:		PROJECT TITLE:	
CONTACT NAME/PHONE: <small>(PERSON COMPLETING THIS FORM)</small>		NATURE OF ADJUSTMENT: <input type="checkbox"/> Budget Reallocation <input type="checkbox"/> Change Project Personnel <input type="checkbox"/> Goals & Objectives <input type="checkbox"/> Other	
SUB-GRANT NUMBER:		LOCAL <input type="checkbox"/> VOCA <input type="checkbox"/> VAWA <input type="checkbox"/> Other <input type="checkbox"/>	
BUDGET CATEGORY	ORIGINAL BUDGET	REQUESTED BUDGET	CHANGE REQUESTED (+/-)
Personnel			
Fringe			
Travel			
Contractual			
Supplies			
Equipment			
Operating Expenses			
Training			
TOTAL			
<b>PERSONNEL CHANGES</b>			
Change Project Director or Fiscal Officer:			
From:		To:	
Change Project Dates:			
From:		To:	
<b>EXPLANATION AND JUSTIFICATION FOR REQUESTED MODIFICATION:</b> (ATTACH REQUIRED FORMS, i.e., Project Budget, Project Work plan, resumes, etc.)			
<div></div>			
Sub-Grantee Authorized Official (Signature & Date):			
Grant Administrator (Signature & Date):			
Approval Effective: _____			

# Monitoring Methods

- Meet and Greet
- Desk Review
  - Project review
  - Financial review
- On-site Visit/ Audit
  - Administrative review
  - Corrective Action



- Communicate with program and financial staff in your organization
- Organize and store support documents for all data reported (financial and program)
- Read grant award and agreement
- Communicate with your Grant Manager



# Allowable Costs

## **OMB Circular A-122**

Cost Principles for Non-Profit Organizations

[http://www.whitehouse.gov/omb/circulars\\_default](http://www.whitehouse.gov/omb/circulars_default)

Office of Victim Services and Justice Grants  
One Judiciary Square  
441 4th Street, NW, Suite 727N,  
Washington, DC 20001  
Phone: (202) 727-0605  
Fax: (202) 727-6332  
Email: [ovsjg@dc.gov](mailto:ovsjg@dc.gov)  
Web: [ovsjg.dc.gov](http://ovsjg.dc.gov)







# **Grants Management: Financial and Programmatic Oversight, Reporting and Compliance**

The Criminal Justice Coordinating Council's  
2015-2016 Grant Writing and Management Training Series

April 7, 2016

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The Office of Victim Services and Justice Grants (OVSJG) mission is to coordinate and fund programs in the District that serve crime victims, prevent crime, and improve the administration of justice for victims and offenders. OVSJG also provides policy making expertise, advise, and counsel to the Executive on the role of victims and offenders in the criminal justice system, and evidence-based practices to respond to, intervene in, and prevent violence. OVSJG is also responsible for overseeing the programmatic strategies and coordinating grant-making efforts for victim service and justice grants programs as well as the Access Justice Initiative in order to ensure the coordinated programmatic and grant-making efforts of those offices.

**Michelle M. Garcia**  
**Director**  
**[michelle.garcia@dc.gov](mailto:michelle.garcia@dc.gov)**  
**202-724-7216**

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# **COMMUNICATING YOUR SUCCESS: ADVOCATING FOR CONTINUATION FUNDING**

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Planning for Communicating Your Success

Data

Crafting Your Message

# Overview

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## Why?

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- Many funders already require it
- Need to convey to others the effect of your work
- Evaluate the efficacy of your work → adapt as needed

## How?

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- Develop a conceptual model of the project and identify key evaluation points
- Create evaluation questions and define measurable outcomes
  - short-term and long-term
    - immediate number of people affected by the project vs. overall changes that might not occur until after the project's completion
- Develop an appropriate evaluation design
- Collect data
- Analyze data and present to interested audiences

# Building Documentation/Evaluation into Your Application

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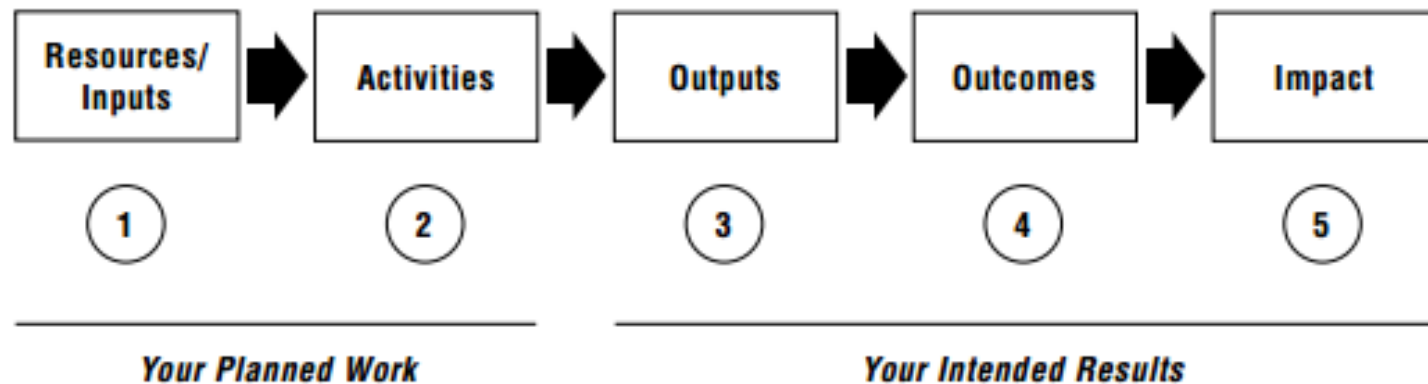


Figure 1. The Basic Logic Model.

A systematic and visual way to present and share your understanding of the relationships among the resources you have to operate your program, the activities you plan, and the changes or results you hope to achieve.

# Logic Models



## Quantitative

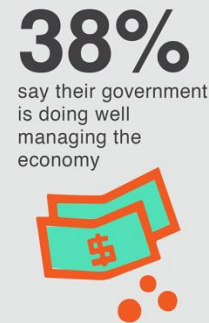
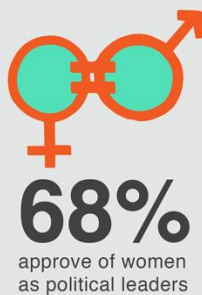
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- Numerical data
  - Number
  - Percentage

## Qualitative

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- Descriptive data
  - open-ended questionnaires
  - client narratives
  - unstructured interviews
  - unstructured observations



# Data

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## **Performance**

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- Number of clients served
- Number of clients not served
- Dollars spent/saved
- Percentage increase/decrease over time

## **Outcome**

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- Increased knowledge, skill, capacity
- Decreased risk or harm
- Benefit to
  - the person receiving the service
  - the community
  - the organization

# **Types of Measures**

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## Performance

- Provide haircuts to 100 individuals
- Offer shaves to 25% of the individuals who receive haircuts
- Ensure that the floor is swept 80% of the time



## Outcome

- 85% of individuals receiving haircuts are satisfied with their haircut
- 50% of individuals receiving haircuts return for services
- Less than 10% of individuals receiving shaves experience razor burn
- Agency passes annual licensure inspection
- Customers believe A Cut Above to be a clean, well run agency

# A Cut Above

How do we measure this?



Who is Your Audience?

What is Your Goal?

What is the Medium?

# Crafting Your Message

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# **EXERCISE**

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- Measuring Outcomes - Strengthening Nonprofits: A Capacity Builder's Resource Library -  
<http://strengtheningnonprofits.org/resources/guidebooks/MeasuringOutcomes.pdf>
- National Science Foundation's Handbook for Project Evaluation -  
<http://www.nsf.gov/pubs/2002/nsf02057/start.htm>
- Using Logic Models to Bring Together Planning, Evaluation, and Action Logic Model Development Guide – W.K. Kellogg Foundation -  
<http://www.smartgivers.org/uploads/logicmodelguidepdf.pdf>

# Resources

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- Piktochart - <http://piktochart.com/>
- Canva - <https://www.canva.com/create/infographics/>
- Infogr.am - <https://infogr.am/>
- Wordle - <http://www.wordle.net/>
- Wordclouds - <http://www.wordclouds.com/>
- Tagul - <https://tagul.com/>

# Resources

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# Q & A





# Thank You For Attending

