



Fiscal Compliance

HIV/AIDS, Hepatitis, STD and TB Administration

Presented by

Financial Management & Administrative Services Division

September 19, 2019

“WHEN MONEY REALIZES THAT IT IS IN GOOD HANDS, IT WANTS TO STAY AND MULTIPLY IN THOSE HANDS” – IDOWU KOYENIKAN

Panelists:

- Janice A Walker, Supervisory Grants Management Specialist (SGMS)
- Rony Mohram, Grants Management Specialist
- April Richardson, Grants Management Specialist
- Carroll L. Ward, Grants Management Specialist

WHAT WE DO

HAHSTA Financial Management Division is responsible for compliance with all federal and DC government laws, regulations, and mandates for receiving funds, spending them appropriately, and adhering to standards for delivering services.

FINANCIAL MANAGEMENT

TOPICS TO BE DISCUSSED

- Obligating Instruments
- Invoice Process
- Budget Modifications
- Internal Controls
- Reporting
- Monitoring
- Assurances and Certifications



FINANCIAL MANAGEMENT

OBLIGATING INSTRUMENTS

HAHSTA uses a variety of obligating instruments in order to support its program objectives. The most widely used tools are Contracts, Human Care Agreements, and Grant Awards. **Be advised that all obligating instruments are subject to the terms and conditions of the uniform standards and cost accounting principles in CFR 200.** Here are some of the key differences and similarities between the three types of agreements:

Contracts	Human Care Agreements	Grant Awards
Purchase order is required	Purchase order is required	Purchase order is required
Instrument can be modified based on change in scope, time, or amount	Instrument can be modified based on change in scope, time, or amount	Instrument can be modified based on change in scope, time, or amount
Used to obligate funds for both goods and services	Used only to obligate funds for services	Used to obligate funds for both goods and services
Governed by DCMR 27 and the Public Procurement Regulations Act (PPRA) of 2010	Governed by DCMR 27 and the Public Procurement Regulations Act (PPRA) of 2010	Governed by 2 CFR 200 (effective December 26, 2014)
Competitive award based on District laws	Less restrictive but can be awarded based on minimum set of qualifications	Can be awarded competitively or sole source with justification

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INVOICE PROCESSING

- Enterprise Grants Management System (EGMS)
- DC Vendor Portal PASS E-Invoicing System (E-Invoicing)

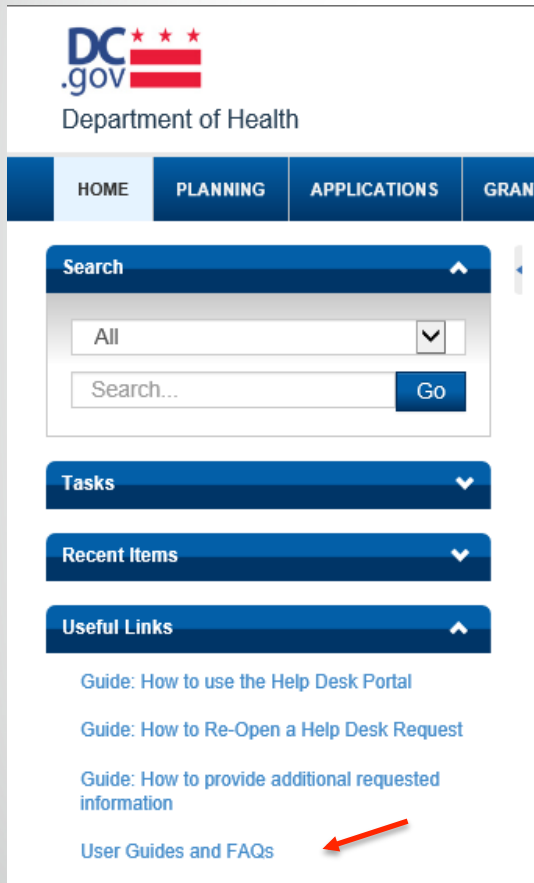
FINANCIAL MANAGEMENT

ENTERPRISE GRANTS MANAGEMENT SYSTEM (EGMS)

- EGMS is an enterprise-level grants management system designed to enhanced coordination, increased standardization, and the ability to holistically manage risk across grant programs
- The cloud-based automated system enables users to get real-time access to grant records and follow up on their task lists using on any electronic device, which radically changes the timeliness and accuracy of data inputs

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EGMS QUICK GUIDES



Quick Guides are located on the left under **Useful Links**

Useful Topics

- Reimbursement Requests – Quick Guide #7
- Submitting a Change Request – Budget Modification – Quick Guide #9

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SUBMITTING A PAYMENT REQUEST

Payment Requests may be accessed in two ways

- Click on the **Grants** tab and select a grant. In the **Grants Overview** screen, click on the **Payment Requests** tab. Select the task for a given **billing period**.
- Clicking the [Start](#) link for the related **Pending Task** that is created. A pending task will be created at the end of the reporting period.

Pending Tasks (Assigned To Me) Quick Search Text

Pending Action items assigned to you, the user. Each item has an ID and a type. Key dates as well as which user created the task are also displayed. To start a task click the [Start](#) link. To review the task click the ID link.

Action	DOH Grant ID	Task Type	Role	Created By	Due Date
Start	REL-HAHS1	Submit Reimbursement Request		DOH Admin	10/10/2017
Start	HAH	Submit Progress Report		DOH Admin	10/10/2017
Start	HAH	Submit Progress Report		DOH Admin	10/10/2017

Please refer to the EGMS Quick Guide #7

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SUBMITTING A PAYMENT REQUEST (CONT)

1. In the **Expense Profile** tab, select “I Agree”. Click the **Save** button.

The screenshot displays the 'Expense Profile' tab in the DC Health Financial Management system. The 'Expenditure Report' section contains various fields for organization details, budget dates, and grant information. The 'Terms & Agreement' section includes a certification statement and a dropdown menu for selecting terms. A red arrow points to the 'I Agree' option in the dropdown. Another red arrow points to the 'Save' button at the bottom right of the form.

Expense Profile | Attachments

Expenditure Report

Organization Name	The [redacted]	Total Awarded Budget	\$ 324,859
Organization Address	[redacted]	Amount Requested	\$ 0
DUNS Number	[redacted]	Approved Check Amount	\$ 0
EIN	[redacted]	PASS Check Amount	\$
Type	Reimbursement	Check Number	
Invoice Number	[redacted]	Due Date	11/8/2017
Budget Period Start Date	9/1/2017	Status	In Progress
Budget Period End Date	8/31/2018	*Created By	Xiaowei Zheng
Grant Period	9/1/2016 to 8/31/2018	DOH Grant ID	18B604
Grant	HA/ [redacted]		
Billing Period	9/1/2017 to 9/30/2017		

Terms & Agreement

Certification: I certify that the amounts claimed are true and are fully supported by the detailed accounting records of my organization, which are available for examination and/or audits.

*Terms & Agreement [dropdown menu]

AllowableCost [checkbox]

Receipts Uploaded [checkbox]

Review Supporting Documents available on Site. [checkbox]

Save **Cancel** **Grant View**

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SUBMITTING A PAYMENT REQUEST (CONT)

2. In the **Expense Details** tab, click the Edit icon for a service area.

Expense Profile | **Expense Details** | Vendor Invoice Details | Attachments

Payment Request Service Area - Reimbursement

Quick Search Text

The Requested Amount will not be deducted from the Remaining Budget Amount until the Reimbursement Request has been approved by the Program Manager.

Action	Total Awarded Budget	YTD Spent	Remaining Budget
                       			

FINANCIAL MANAGEMENT

SUBMITTING A PAYMENT REQUEST (CONT)

4. The user may enter in **Invoice Details**, which should match the total requested reimbursement amount, by clicking the (+) icon to populate the fields. The user may also upload additional documents in the **Attachments** tab. Click **Save** to continue

Expense Profile | Expense Details | **Invoice Details** | Attachments | Approval History

Enter the appropriate invoice number and amount, and click **SAVE**. Invoice Amount entered below must match the total requested reimbursement amount.

Payment Vendor Invoices Save

Payment Vendor Invoices + Edit Delete

Grant View Submit For Approval Edit

5. Click **Submit for Approval** to submit the payment request. The status of the request can be viewed in the **Approval History** tab.

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SUBMITTING A CHANGE REQUEST – BUDGET MODIFICATION

1. Click on the **Grants** tab. Locate the grant on which the modifications are to be made and click the link in the **Grant ID** column.

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GRANTS

MONITORING

Grants

Quick Search Text

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The following table contains a list of all Active Grants.
To **View** or **Edit** a specific grant, select the **Grant ID** link for the grant you would like to access.

Grant ID	DOH Grant Id	Project Name	Project Period Start Date	Project Period End Date	Budget Year	Program Manager	Organization Name
HAHSTA			09/01/2016	08/31/2018	2		The ... r the...
			08/01/2016	07/31/2018	2		The ...
			09/01/2016	08/31/2018	1		The ...

Please refer to the EGMS Quick Guide #9

FINANCIAL MANAGEMENT

SUBMITTING A CHANGE REQUEST – BUDGET MODIFICATION (CONT)

2. Click on the **Change Requests** tab and then click on the **Initiate Change Request** button to begin.

GRANT: HA [REDACTED]

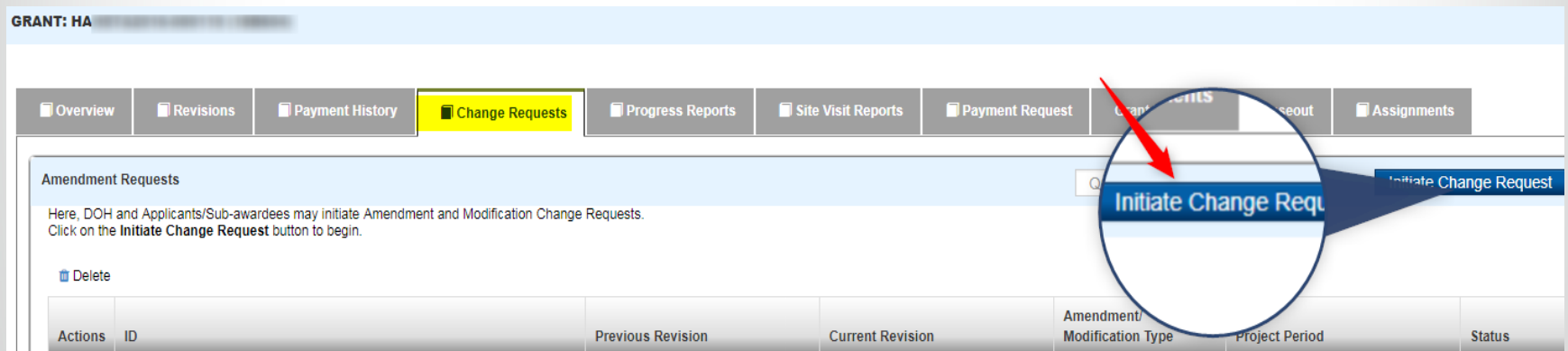
Overview Revisions Payment History **Change Requests** Progress Reports Site Visit Reports Payment Request Grant Reports Outreach Assignments

Amendment Requests

Here, DOH and Applicants/Sub-awardees may initiate Amendment and Modification Change Requests. Click on the **Initiate Change Request** button to begin.

Delete

Actions	ID	Previous Revision	Current Revision	Amendment/Modification Type	Project Period	Status
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A screenshot of the DC Health Financial Management system interface. The top navigation bar shows several tabs: Overview, Revisions, Payment History, Change Requests (highlighted in yellow), Progress Reports, Site Visit Reports, Payment Request, Grant Reports, Outreach, and Assignments. Below the tabs, there is a section titled 'Amendment Requests' with a brief instruction: 'Here, DOH and Applicants/Sub-awardees may initiate Amendment and Modification Change Requests. Click on the Initiate Change Request button to begin.' A red arrow points to a blue button labeled 'Initiate Change Request' which is circled. Below this section is a table with columns: Actions, ID, Previous Revision, Current Revision, Amendment/Modification Type, Project Period, and Status.

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SUBMITTING A CHANGE REQUEST – BUDGET MODIFICATION (CONT)

3. Complete the details for the proposed Change Request:

- Select the Amendment/Modification type (for details, see Section 6, page 56 in the full External User Guide)
- Enter details regarding the proposed request in the Description block. Click **Save** to continue.

The screenshot displays a web form for submitting a change request. At the top, there is a tab labeled 'Overview'. Below it, a message states: 'Below is an overview of the Change Request for this Grant.' The main section is titled 'Details' and contains two tabs: 'Revision' and 'Description'. The 'Revision' tab is active, showing a dropdown menu for 'Amendment/Modification Type'. The dropdown menu is open, displaying a list of options: '--None--', 'None', 'Cost-Extension', 'No Cost-Extension', 'Award Increase/Decrease', 'Budget Revision', 'Project Modification', and 'Personnel Change'. A red arrow points to the 'Save' button at the bottom right of the form. The 'Save' button is highlighted with a red circle. Below the 'Save' button are two smaller buttons: 'Cancel' and 'Save'.

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SUBMITTING A CHANGE REQUEST – BUDGET MODIFICATION (CONT)

- ⚠ **NOTE:** For a Budget Revision and Cost Extension, the adjusted amount will be entered in by the grantee. This adjustment will be discussed and agreed upon with DOH outside of the EGMS System.
- ⚠ **New Functionality:** If a Budget Revision is selected, an additional field will populate, which will allow the user to either modify the current Budget Period or the Previous Budget Period.

The screenshot displays the EGMS System interface for submitting a change request. The 'Amendment/Modification Type' is set to 'Budget Revision'. The 'Budget Period' dropdown menu is open, showing options for 'Current Budget Period' and 'Previous Budget Period'. A circular callout highlights these options, indicating the new functionality for selecting the budget period to be modified.

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HOW TO SUBMIT A BUDGET MODIFICATION

-  **Note:** Prior approval may be needed by the DOH Grant Monitor for a Budget Modification
-  **Note:** Grantees may have the right to reprogram up to 20% of their funding in to different categories, but a Budget Modification must be submitted in EGMS to reflect the change prior to submitting any payment requests
-  **Note:** In order to avoid discrepancies within the grant budget, the EGMS does not allow a Budget Modification and a payment request to be processed and/or submitted at the same time.

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HOW TO SUBMIT A BUDGET MODIFICATION (CONT)

Budget Revision: the Sub-Awardee will be directed to Change Request Overview page. Click on the **Categorical Budget** tab. Select the Edit icon next the Service Area to make adjustments to the itemized budget. The **Attachments** tab will allow the user to upload any additional or requested documents. Click **Save** once complete.

Overview **Categorical Budget** Attachments

Summary Budget by Service Area

View Edit

Actions	Service Area	Awarded Amount	Adjustment	Proposed Amount
View Edit	SA4	\$11,000.00	\$0.00	\$11,000

Total records: 1 Edit icon

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HOW TO SUBMIT A BUDGET MODIFICATION (CONT)

Edit

CATEGORIZED BUDGET

Save

Row Number	Category Name	Actual Remaining Budget	Awarded Amount	Adjustment	Adjustment Rate	Total
1	Salaries	1000.00	\$ 1000.00	\$ 0.00	0%	\$ 1,000.00
2	Fringe Benefits	500.00	\$ 500.00	\$ 0.00	0%	\$ 500.00
3	Consultants	500.00	\$ 500.00	\$ 0.00	0%	\$ 500.00

FINANCIAL MANAGEMENT

HOW TO SUBMIT A BUDGET MODIFICATION (CONT)

Overview

Attachments

Below is an overview of the Change Request for this Grant.

Details

Grant	HAHSTA2016-000005
Revision	HAHSTA2016-000005-003
External Organization	Sandbox.org
Amendment/Modification Type	Personnel Change
Maximum Award	\$500,000
Description	
Project Period	3/1/2016 To 8/31/2020
Budget Period	3/1/2016 To 8/31/2017
Status	Initiated

Sub-Awardee Response

Project Manager Profile

First Name	Arif	Phone	999-999-0000
Last Name	wadood	Email	test@gmail.com

Project Description/Title

Proposal Description	saxcascasc
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Submit

SubmitEditDelete

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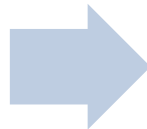
E-INVOICING IMPLEMENTATION

Is the Process the Same for All Invoices?

No

Invoices for Contracts and Human Care Agreements will be uploaded by the vendor into the DC Vendor Portal PASS E-Invoicing System prior to final approval by the Contract Administrator

Vendor submits invoice into E-Invoicing



Contract Administrator approves invoice for payment

Invoices for Grants will be pre-approved in EGMS. Once the invoice is authorized, the vendor will upload the invoice into the DC Vendor Portal PASS E-Invoicing System. Please **NOTE** this is a two-step process.

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E-INVOICING

- Payment request and supporting documentation must be submitted by the provider into EGMS for grants by the **10th business day** of every month.
- EGMS will generate an payment authorization notice (PAN). The PAN will be emailed to the primary user.
- The provider has three (3) business days to submit the **approved** invoice and PAN in the DC Vendor Portal PASS E-Invoicing System.
- Providers with Human Care Agreements must upload invoice and supporting documentation directly into E-invoicing.
- Accounts Payable will process payment of the invoice

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INTERNAL CONTROLS

Key Considerations Include:

- Are there written policies and procedures around financial controls? If so, do we operate under them and train staff accordingly?
- If auditors have made recommendations for Internal Control improvements, have they been implemented?
- Are Internal Controls in place to safeguard assets?

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INTERNAL CONTROLS

Some Key Considerations Include:

- Is your IT infrastructure secure and supports the various reporting platforms and mechanisms?
- Are significant variances investigated and documented on a monthly basis?
- Has computer security and back up been reviewed? Are there contingencies for continuity of operations?

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BUDGET MODIFICATION

Grants	Contracts / Human Care Agreements
Modifications: <i>Should</i> be limited to three (quarterly) throughout the grant year, with 4 th quarter modifications allowed on a case by case basis; up to 25% of the award can be moved between approved line items without grantor approval;	Contract adjustments <i>should</i> be considered once factors are known which will impact final expected expenditures; it could take the form of either a budget change or exercising an option
Reprogramming: justification must be requested in writing and approved by the program officer and grants monitor	The request, along with a justification is sent to OCFO for action; grant reprogramming can take 5 to 7 business days; local funds reprogramming can be 30 to 45 days
Personnel Amendment: are required when there is a change in personnel paid with grant funds. Requests should be emailed to the PO and/or GM.	
Budget Authority is sought from OCFO when the NoA amount changes or a new grant period begins; for establishment of a new grant this must go through City Council – this process could take 30 to 60 days	

FINANCIAL MANAGEMENT

REPORTING

Reporting Instruments:

- Monthly Invoice
- Monthly Progress Report
- Close-out Progress Report
- Consolidated Annual Performance & Evaluation Report (CAPER)-HOPWA
- CareWare
- REDcap
- Agency Self Assessment (ASA)

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MONITORING

Types of Monitoring:

- Annual Site Visit
- Monthly Fiscal Review
- Human Care Agreement (HCA) Quarterly Audits
- Single Audit/ Audited Financial Statement Review
- Corrective Action /Remediation Plans

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PURPOSE OF SITE VISITS

- Keep informed on a sub grantee's progress and problems. (When necessary develop a remediation plan and provide documentation of the follow up of compliance)
- Better understand the sub grantee's business management systems. Is the agency operating under the policies and procedures in place?
- Provide an opportunity to counsel the sub grantee in ways to remedy deficiencies and/or provide technical assistance
- Inform the sub grantee of other services available, such as, technical support
- Verify information received in reports
- Determine compliance or noncompliance with the terms and conditions of the grant award

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SITE VISIT REPORT

- After the site visit, the grant monitor will complete site visit report utilizing the grants management site visit format
- The final version, including recommendations and/or expectations for corrective action, is reviewed and signed by the Division Chief or Deputy and then sent to the recipient within 45 days after the completion of the site visit
- If corrective action is required, a timetable for a response is set forth in the report
- The sub grantee is expected to respond, in writing, with corrective action plans, schedules and documentation of completed corrective actions

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CLOSEOUT REPORTS

- A final close out report should be submitted by the sub-grantee to the grant monitor within **30 days** after the end of the period of performance
- The report shall contain a narrative section that describes, for each objective and/or task, actual accomplishments, problems encountered and corrective actions taken

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CLOSEOUT REPORTS

The financial section shall provide:

- A tabular summary of all costs of work performed under the grant agreement
- An inventory of all nonexpendable property purchased with grant funds that costs \$5,000 or more per unit
- A copy of the most recent Single or Independent audit is due to the Federal Audit Clearinghouse 90 days after the close of the grant

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ASSURANCES AND CERTIFICATIONS

Types of Assurances and Certifications:

- System for Awards Management (SAM) www.sam.gov
- DC Clean Hands Designation from the Office of Tax and Revenue
- Current List of Board of Directors on Organization's Letterhead-
Certified by a board official other than the Executive Director
- Business License or Certificate of Licensure
- Proof of Liability Insurance
- Certificate of Occupancy
- Single Audit uploaded to the Federal Audit Clearinghouse

FINANCIAL MANAGEMENT

RESOURCES

- HAHSTA: 202-671-4900 or www.dchealth.dc.gov
- DC Vendor Support for E-invoicing: 202-741-5200 or dcvendor.help@dc.gov
- EGMS Help Desk: egms.support@REISYSTEMS.COM
- EGMS Grantee Update & FAQ: EGMS Quick Guide
- SAM Help Desk: www.fsd.gov
- [Uniform Administrative Requirements, Costs Principles and Audit Requirements for Federal Awards](#) (CFR.200)

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GRANTS MANAGEMENT TEAM

Grants

- Monique Brown
- Colleen Green
- Cassandra Lewis-Battle
- Rony Mohram
- April Richardson
- Donovan Walcott
- Carroll Ward
- Janice Walker, SGMS
- Anthony Young, ASM

THE FINANCIAL MANAGEMENT & ADMINISTRATIVE SERVICES DIVISION WORK AS A TEAM.

ANY MEMBER CAN ASSIST OR ANSWER QUESTIONS IF YOUR GRANT MANAGEMENT SPECIALISTS S NOT AVAILABLE. WE ARE HERE TO SERVE.

Contracts and HCA

- Mark Hill (Care)
- Charis Ferguson (Prevention)
- Jason Edmonds (ADAP)



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DISCUSSION AND QUESTIONS



DC | **HEALTH**

*Thank
You*