



Completing the SF-425 Federal Financial Report for Your Assets for Independence Grant Webinar

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Gretchen Lehman: Okay. Once again, this is Gretchen Lehman. I am the Assets for Independence Program Manager. Welcome to today's webinar. We're going to be talking about Reporting for AFI grantees. Particularly focusing on the Federal Financial Report Instructions for AFI Grantees, the SF-425. Before we get started there's going to be a little bit of housekeeping so I'll turn it over to Chris to cover that.

Chris Bernal: Thanks so much Gretchen. Thank you everyone for joining us. If you're having any trouble dialing with your phone, you can also listen to this webinar listening through your computer. You just need to connect your speakers or a headset for best sound quality and set the audio setting accordingly on the control panel, on the right side of your screen. You can see an image on your screen there.

The other thing to keep in mind is that if you're having any kind of technical difficulties, just use the menu on the right and send me a question by typing it in. There's a screenshot of the interface on your screen. You can also use this box to enter questions for the presenters and we'll ask them at the end of the webinar, just be sure that we get to any issues you might have. And if for whatever reason those options don't work, send me an email at cbernal@cfed.org The address is on your screen and let me know if you have any tech problems.

The other thing is that please keep in mind that this webinar is being recorded so we've muted all of you to ensure sound quality. Any questions will be typed in through the box. We'll also make a recording and a transcript of this presentation available on the AFI resource center website, the address is on your screen, at a later date.

So this webinar will last for approximately 90 minutes with some time for Q&A at the end. Feel free to type any questions or any issues or questions you might have. Thanks!

Gretchen: Thanks Chris! So here you have the main objectives for this webinar. We're going to be spending the majority of our time on the second objective as we're going to be going over line by line instructions for the SF-425 form, used for AFI Federal Financial Report. But before we get started, we want to get a sense of who you are and what your role is, particularly with regards to the Federal

Financial Report. So we're going to do a quick interactive poll, to see who all is in the audience and what your role is with this. Chris?

Chris: Thanks Gretchen. So everyone should see on their screens appear a quick poll. Be sure to select the option that applies. Ok... just one more second for any last minute voters and then we'll display the results...

So on your screens you should see the results of our poll: 17% of you are program staff, 31% of you are program managers or directors, 4% are authorizing officials or executive directors, 33% are financial managers and 15% of you are "other".

Gretchen: That's great. It's good to see a lot of the financial staff have joined us. We have a second poll...

Chris: On your screens everyone there's a second question: Are you responsible for submitting the Federal Financial Report(s) for your AFI grant(s)?

5 more seconds for anyone who hasn't voted...

And here are the results! 73% of you said "Yes", you are responsible for submitting the financial reports, 21% of you said "No", and 6% of you are unsure.

Gretchen: Great! So, for those of you who aren't the ones that submit the reports, we are going to talk about a couple of other topics and hope you'll also be able to pass it on if the staff for your agency who does submit the Federal Financial Report is not on today's webinar. And as Chris mentioned, we're recording it, so if those responsible for the Federal Financial Report weren't able to make it today, we'll create a link to this information so that they can see it later.

Alright, so we're going to start with a really brief refresher on GrantSolutions. There are a lot of references to GrantSolutions as we'll go through the reporting process. GrantSolutions is a web-based system of records for all AFI Grants. In order to view the current notice of award for an AFI grant, you have to look in GrantSolutions. And the notice of award is the official document that gives you all the information about your grant. Use GrantSolutions to track key events across the life of each grant including grant amendments and important correspondence. As we'll discuss today, it also plays a key role in reporting.

Here is information about how to access GrantSolutions. You have to contact your Grants Management Specialist in order to set up a GrantSolutions account that is appropriately linked to your AFI grant.

The GrantSolutions helpdesk can create user accounts, but they're read-only accounts, and they are not necessarily connected to your grants appropriately. And they can't provide access for you to submit your required grant reports. Only your Grants Management Specialist can get you set up appropriately for that.

And only authorizing officials and Principal Investigator/Project Director on the Notice of the Award are able to have full access accounts and submit reports. There are other people who can view the account details but you have to be named on the notice of the award in order to have a full access account.

Right! So now we're going to talk about the Federal Financial Report or the SF-425: Its Purpose and how it should be submitted via GrantSolutions.

So, for AFI Grants, the Federal Financial Report is due every six months, it's a semiannual report. You have standard report deadlines as of last year. It doesn't matter what day your grant started; all of your grant reports are now due in April and in October for the SF-425. The standard semiannual report is due 30 days after the end of the 6 month period. So the reporting end date is March 31st, due date is April 30th. The fall end date is September 31st, the due date is October 30th. Additionally the final SF-425 is due 90 days after the end of the complete end of your grant, after the project period has ended.

I'd also note that you have to do one SF-425 for each grant that you have. Specifically if you have more than one AFI grant, or if you have more than one grant from ACF. Some of our Native Asset Building Initiative Grantees would have an ANA grant as well as an AFI grant. Each has to be reported on separated SF-425s. Specifically for AFI grants, if you have other Federal grants, other ACF grants that use the Payments Management System,

You may have heard of the Quarterly Federal Cash Transaction Reports that is required for other types of grants. AFI grants do not have this requirement. AFI grants are a type B account in the PMS system which does not have a Quarterly Federal Cash Transaction Report. If the payment management systems personnel contacts you about a Quarterly Federal Cash Transaction Report, make sure that your grant is set up appropriately and the type is a B account. And if you have problems with that, notify your program specialist or your grants specialist to work through that. You should not be getting notices about any Quarterly Federal Cash Transactions for your AFI grants. Other grants I can't speak to.

Ok, so the SF-425 is a critical report. It helps us in ACF to understand how our funds are being spent. One of our key responsibilities is to be stewards of federal funds and to ensure that they're being used responsibly and appropriately. It's also important to note that the SF-425 is a federal government standard form issued by the Office of Management and Budget. Many Federal Grants programs use the form and the form is designed to be used by various programs, not for AFI specifically. As we go through this, and as you may have noticed before, some of the fields in the SF-425 don't actually apply to AFI grants. In order to improve the quality of SF-425 reporting, and to make it easier for all of our grantees, the Office of Community Services, which administers the AFI program, and the Office of Grants Management (OGM) worked out instructions for AFI grantees to clarify how the general SF-425 instructions specifically apply to AFI grants. This slide has links to those instructions at the top, as well as the links from the AFI resource center.

We're going to be over those instructions in detail during this webinar, so before we do I want to make sure you know how to find them on your own after this webinar. This is a screenshot of the AFI resource center page that has the new instructions we've developed. There is general information at the top of the screen and some new instructions a table at the bottom. Since 2013, OGM and OCS have expected all AFI grantees to complete their SF-425 directly in GrantSolutions. When you do that, GrantSolutions will complete much of those fields for you. However GrantSolutions access to the SF-425 closes 90 days after the reporting period end date, 60 dates after the report is due. So reports that are more than two months overdue must be completed using the SF-425 PDF form instead of in GrantSolutions. Since the PDF form doesn't pre-fill or auto-calculate, we have slightly different instructions for you if you're completing a late report. Additionally there are certain things that you need to be aware of in the final SF-425, there are specific instructions for that as well. All of these instructions are a lot of information so we've tried to make it easier for you all with this table that you see here at the bottom.

When you click on the appropriate situation that you're in, only those specific instructions appear. This screenshot shows what it looks like when viewing the on-time instructions for a final report. In this webinar we will be displaying the instructions for completing a semi-annual SF-425 in GrantSolutions. That is expected to be the most common scenario. I will point out a few areas where there might be another instruction in another scenario.

Ok now that you know where to find the instructions let's move on to actually completing the SF-425. In order to access the SF-425 in GrantSolutions after you log-in, selected the reports menu drop-down, then select the Federal Financial Report submenu. The system will generate a list of all active grants to which you have access. To see the list of reports, just click the plus sign on the left. This slide shows the extended list and the green arrow points to where the plus sign would be to expand the list. It's turned to a minus sign now that you can click to unexpand the list. Federal Financial Reports List shows a summary of past, current and future reporting periods. Each grant will display the key data columns, including the report period, due date, type, status, workflow status and action. For each reporting period there's both a status and a workflow status. These are often very similar, and I cannot say fully what the difference is between them but it's important to see each one of them.

Under status you see Due, Pending, Not Reported, Submitted and Accepted. Under workflow status you can see Report Not Started, Work in Progress, Submitted, Withdrawn, Rejected, or Accepted. The idea is that the grantee starts a report and submits it when ready. Grants Management staff reviews the SF-425 and they can either reject it if there's a problem, or accept it if everything's acceptable. Before starting a new report, it's a good idea to review your prior report. As you can see on the screen here, around where the red arrow is, you can see the prior reports that have been submitted, one accepted and one submitted, and then another report that is due. So when you go into the system you can see the latest report submitted, and refresh your memory on what that was. At this time grants solutions doesn't carry over any information from the previous report, so you'll have to view that report to see what was submitted previously. For AFI grants, all financial information is cumulative over the life of the grant, so we expect the numbers to go up over time. A report that shows a lower amount of expenditures from the previous report would be a red flag for OGM when they review your report. You can access the previous report from the screen and clicking "View PDF".

When you're ready to start working on your new SF-425 click on Start right by the red arrow.

Here are the instructions for items 1-9 on the SF-425. As you can see most of this content is pre-populated by GrantSolutions from the Notice of the Award, from the grant that the report is for, including number and the name of your organization information. Item 5 is an optional field which you can complete if you like. Note you do have to select Cash for item 7, as the basis of accounting.

Here's what the top of the SF-425 actually looks like in GrantSolutions. As you can see the fields 1,2,3,4 all those are not editable at all since they're prepopulated for you by the system.

Item 10 is the real substance of the SF-425 and is divided into four sections as you see here. We're going to go over each one in detail. Before we do, here's a quick look of how this looks in Grants Solutions. As you can see, there are certain fields that are not editable. Fields that have either been pre-populated by GrantSolutions or will be populated as you complete other numbers.

Ok, digging into the line-by-line instructions. Federal cash includes items 10A, 10B and 10C. 10A is Cash Receipt, this is the total amount of federal funds for this grant that have been withdrawn through the Payment Management System as of the reporting period end date. 10B is cash disbursements. This is the total amount of federal funds that the grantee has actually expended for this AFI grant as of the reporting period end date. This includes disbursements from federal funds towards assets purchases, as well as administrative expenditures. These figures are not reported separately for this form. Expenditures of non-federal project funds, or any interest earned, should not be included in this figure. This is only for federal funds that are expended to this date.

Item 10C is cash on hand. This is a field that is auto-populated by GrantSolutions. If you were filling this out on the PDF form you would subtract line B from Line A to get Line C.

The second section under item 10 is federal expenditures and unobligated balance. This includes items 10D, 10E, 10F, 10G, and H. 10D is the total federal funds authorized, auto-populated by GrantSolutions from your notice of award. This is another field that you'll have to complete on the PDF form. It should be exactly the same as on your notice of award. 10E is the federal share of expenditures. This needs to be the same amount as item 10B. For the purposes of AFI grants, there is no difference between expenditures and disbursements. So item 10B are cash disbursements, 10E are federal share of expenditures, both of those are the amount of federal funds that have actually been expended from the grant as of your reporting period end date. 10F is a little more complicated so I've broken that down on the next slide, 10G and 10H are both calculated by GrantSolutions.

Here's the detail on 10F, the Federal share of Unliquidated Obligations. Here, simply enter the amount of unliquidated obligations from the federal funds. So what does that mean? Unliquidated obligations are obligations of federal funds which are incurred, but that have not been expended as of the end of the reporting period. For example, for AFI grantees, a primary case of this would be the obligation of matching funds for participants who have not yet completed their assets purchase, or the amount of federal grant set aside for the participants. Grantees may have additional unliquidated obligations, such as contracts or accounts payable, which should also be included in this figure. Note that this figure may

be the same as 10C, but is not necessarily the same, as AFI grantees may have cash on hand that is not yet obligated. Do not include any amount in Line 10F that has already been reported in 10E as expended. This is a good spot to notice the difference between a semi-annual report and a final report: on the final report, this figure must be 0. There are no outstanding obligations allowed after the end of the grant.

Alright, the third section under item 10 is the recipient share. This item includes items 10I, 10J and 10K. 10i is the total recipient share required. This is the required amount of non-federal cash you have to have for your AFI grant. It's listed on box 17 of your notice of award. It is the exactly equal to your AFI grant award. So it must be equal to item 10D, due to the AFI act requirements. If you happen to have non-federal cash above and beyond what is required. If your grant is \$100,000 and you happen to have \$150,000 of non-federal match available to you for your project: that's fantastic, but you only need to report \$100,000 on your form. That is the amount that is actually required as non-federal match for your project.

10J is the recipient share of expenditures, this is a cumulative amount of the required non-federal funds that have actually been expended for this grant as of the reporting period end date. This would include disbursements to match participant's savings and asset purchases as well as disbursements for administrative costs and program support. These individual figures again are not reported on this form. You may not include the value of any in-kind contributions to this project because the AFI act requires that the non-federal match must be cash. Additionally, as I mentioned a moment ago, expenditures of funds that are above and beyond the amount of federal funds that you have must not be included either. So again, if you happen to have more non-federal funds that are required, do not report this anywhere. Also, any expenditures of interest earned should not be included in this figure.

10K is line I minus J and that is calculated by Grants Solutions when you're doing it in the system.

The final section for item 10 is Program Income. This includes items 10L, 10M, 10N, and 10O. 10L is the total federal share of program interest earned. So this would be the total amount of program income earned as of the reporting period end date, if any. Program income would include interest generated by the federal grants funds, but does not include interest generated by the required non-federal funds. Some program have other program income, if they have an application fee or any kind of participant fees that would also be program income to be reported. Item 10M is not applicable to AFI grantees. You would need to leave blank or enter 0.

10N is the program income expended in accordance with the addition alternative. This is the amount of program income that has been expended to further eligible project or program activities as of the reporting period end date. For example, interest generated by the federal matching contributions for participants that has been expended for an asset purchase as required by the AFI act.

10O is the unexpended program income and that is calculated by GrantSolutions for you.

SF-425 item 11: indirect expenses. AFI grantees are not allowed to enter any indirect expenses for their AFI project so this section should all be left blank.

Ok, Item 12. This is a new special instruction that has not been previously given, so probably the biggest change for these new instructions. It's the remarks section. We want you to enter the total amount of the required non-federal funds for this grant that have been received as of the reporting period end-date. So, this includes both the non-federal funds on-hand, whatever has been deposited in your reserve fund, is in parallel accounts or IDAs as matching contributions, as well as any of the required non-federal funds that've been expended as of the reporting period end date. But does not include funds that have been committed, but have not yet been received. For example, if you've received 20,000 dollars annually from your non-federal funder, reports in your first year would list 20,000, reports in your second year would list 40,000, in your third year 60,000 and so on. Note that this number must be at least as much as 10A, the amount drawn down from the federal grant and AFI grantees should draw down more Federal Funds than the amount of required non-federal funds that they have received. Additionally, item 12 remarks section is where if you have other information that you would like to include in your report you can, optional information, but the only thing that is required of AFI grantees now, is to enter the amount of non-federal funds that has been received as of the reporting period end date.

Ok, the last section of the SF-425 is item 13: certification. When the form is submitted through GrantSolutions, there is no physical signature. To ensure that the form is submitted by an individual with the proper authority, the system will only allow you to submit by users with the appropriate role, authorized by official to submit the report. Obviously if you're doing this by PDF you'll have to print it out, have your authorizing official sign it and scan it in order to submit it.

Here is what items 11 through 13 look like in GrantSolutions. When the report is ready to be submitted, you would scroll down to the bottom of the screen and check the verification box where the arrow is. You can also see in the middle of the screen, there's a save button as well as the submit and close buttons. You can come into the system and being working on the report after the reporting end date passes and save it without submitting it. Should you need to then open it, start working on it one day, and come back another day and continue to work on it, it will remain in a work-in-progress state while you do that. Some organizations may have a staff member fill the report but is not the authorized official to submit the report. That person would save the report and then have the authorized official log in to the system, review, certify, and submit the report to ACF.

It is important to note that the SF-425 cannot be submitted, or even worked on, until the reporting period end date has passed. The report needs to be submitted by the due date, 30 days later. There is a brief grace period after the due date where the report will continue to be available, but all grantees should strive to maintain internal processes that will ensure that you will routinely meet the grant report deadline 30 days after the report period end date. April 30 and October 30.

If you have past due SF-425s that you need to submit and that can no longer be submitted through GrantSolutions, contact your grants management specialist to find out how to submit the report. As i mentioned before, if you need access to your grant in GrantSolutions your grants management specialist can assist you with that as well. As you can see on the screen, grants management specialists are assigned by state. So you would find the state that you're located in and the grants management

specialist that you're assigned to, their email would be on this slide. Also, on the AFI resource center website, there's an OGM staff directory under the Managing your AFI grant button.

Before we move on to questions, I'm going to briefly go over the Performance Progress Report requirements and process for AFI grants. We are not going to go over this report in nearly as much detail as the instructions haven't changed. But this report is also due April 30 so I wanted to provide a reminder.

AFI currently requires grantees to complete the SF-PPR semi-annually. Similarly to the SF-425, the SF-PPR is a standard form from the Office of Management and Budget performance progress report. The SF-PPR is for the progress of your project. Currently it's due on the same schedule as the SF-425. It's also submitted through GrantSolutions, it's submitted as a grant note and that process is different, so we will go through that process now. I also just want to note that any Native Asset Building Initiative Grantees that are on the webinar, currently NABI grantees are only submitting the OPR in place of the SF-PPR.

Here are the first steps in the process of completing and submitting the SF-PPR. First you would need to download the PDF form, the fillable form, using the link on the slide. And then you can fill in the SF-PPR according to the instructions included in the form. You would then have to print out the completed form and have your authorizing official sign it, scan it, and save it to your computer. Again, I would make sure that the authorizing official that is listed on your notice of award is actually the one who signs the PPR. And then you would log in to GrantSolutions, go to the My Grants List page, find the appropriate grant for the PPR and click on the Grant Notes link located on the right side of the page. We'll have a screenshot shortly. And then you would create a new grant note by clicking add.

Once you click add, the form will pop up for you to create a new grant note and you will complete the grant note form with this information. So one thing you'll see in bright red font in the middle of the slide, the naming convention for your PPR is important. It's PPR, parenthesis, Month, Period, Day, Period, Year, end parenthesis. This might seem really minor, but this I know our grantees get really frustrated when program specialists call them and say that they can't find their PPR and grantees say "I submitted the report, I uploaded it to GrantSolutions" it can be very hard to find specific grant notes, especially when they're not named or categorized correctly. So using this naming convention to make sure people can quickly find your report through GrantSolutions is important. Another key point for that is actually selecting PPR in the category type is actually important to be able to sort and find the report. So then you fill out all that information, you attach the file to the note, and you make sure everything looks right, and then you click on submit.

Here is the screenshot showing you how to access the grants note section in GrantSolutions.

Ok before we close, a few points that I want to make: As we mentioned during the line by line instructions, there are a lot of pieces of requirements for the AFI act that are not actually recorded on this form. But you must maintain internal records for them. For example, the percentage of your grant that is being spent on participant match, as opposed to administrative cost. All of those things are critical to you being able that you're in compliance with the AFI act, but they're not pieces of information required for this form. Your internal records must be able to demonstrate that.

Additionally, as I mentioned in the start, each grant requires a separate report. There is only 1 report per grant semi-annually. So if you have 3 active AFI grants, you have 6 reports that are due April 30th, 3 financial reports, SF-425, and 3 performance progress reports, SF-PPRs. And again, it's important to remember that for the SF-425 and really for the SF-PPR as well, the information that you're recording is cumulative from the beginning of your grant, through the end of the reporting period end date that is indicated in item 9 of that report. So each time that the reporting period is due, it's essentially the amount of time that's being added to what has been recorded before.

Here again are the objectives that we had for this webinar: we had a quick refresher on GrantSolutions, we went over the SF-425 requirements and instructions in detail, and we closed with a brief review of the Performance Progress Reporting.

Now it's time for your questions! As Chris said at the beginning, please type your question in the box on the right hand side and Chris will read them to us. I forgot to mention that we do have Britney Hanneyan from OGM, also on the webinar to assist with questions. She is in a loud area so she is going to be typing to me and I'll be incorporating her responses into my responses to your questions.

Q&A

Chris: Thank you Gretchen. Questions are coming in so why don't we get started with some.

So the first question that we got: If your grant project director is no longer with the agency. Who and how do we reach out to get access to another staff member?

Gretchen: That is a great question. That is going to require a grant amendment to have that person lifted from the notice of award as a principal investigator / program director. So you would need to send a letter to your AFI program specialist, signed by the authorized official, that says this is the new project director for this grant, and the program specialist will begin a grant amendment through this process that will then go through to the grants management specialist. The grants management specialist is the one that makes sure that the role is set accordingly in GrantSolutions. If the notice of award has already changed then the notice of award is correct, then all you need to do is correct the account in GrantSolutions, then all you need to do is reach out to your grants management specialist and tell them that you need them to correct the access on GrantSolutions. But if the notice of award is not updated then a notice of amendment must be processed. When you send the letter to your AFI program specialist, copy your grants management specialist to let them be aware that it's coming. Thanks Brittny.

Chris: Excellent, thank you both. As a bit of a follow-up: Can a project director who is not an authorized official, can that individual submit the report, or must it be someone else?

Gretchen: Brittney says they should be able to. So, I guess either role, as long as you're one of the two people listed on the notice of the award, you should be able to actually submit the report.

Chris: Great. So, for past reports not submitted online, will they be available online?

Gretchen: I'm not sure I understand the question. Be available online?

Chris: For people to view reports that they've submitted before, will they be available if they have not submitted them online?

Gretchen: So, it depends on how the past reports have been submitted. They're not going to show up on the list that we showed you earlier, as far as the SF-425 reporting list is. If it was submitted as PDF on a grant note, then you would have to go to the grant notes and look there for an older SF-425. I think that's what the question is. And if you're not sure what has already been submitted, or what would be missing, you can always contact your grants management specialist at OGM and see if they can help you assess what's on there or if you're current on your report. Hopefully I will say, in terms of internal recording keeping processes, you should be keeping copies of reports that have been submitted so that you have those if someone comes back to you and can't find something. We realize that the life of an AFI grant can often be 6 years so it's not easy for people to keep track of these things, but having people keeping procedures to have copies of reports submitted in the past, and I would print out copies of reports submitted now through the system to make sure that you have records of what you're submitting now.

Chris: Great, as a follow-up to that or in a similar vein, is it possible to enter financial reports for past periods, and if so how would they do it?

Gretchen: At this time it is not possible to enter it through the online system, they would have to download the PDF form for the SF-425 and complete it and contact their grants management specialist about how to submit that report.

Chris: Another question: does the narrative need to be included in the report 90 days after the reporting period?

Gretchen: So I think that this narrative is probably referring to the SF-PPR because there's no narrative for the financial. So I think that the question is: is there a requirement for the final SF-PPR. There is a requirement that in the 90 days, the final PPR is due 90 days after the project period ends.

Chris: Is it possible to pass in reports before the due date? So for example, could one submit everything on April 24th?

Gretchen: I believe so. My understanding is that you can't enter it on March 15th because the reporting period doesn't end until March 31st, but you can go in on April 1st, complete the report, and submit it. It's just that April 30th is the deadline. Yep, Brittney supports that: anytime between April 1st and April 31st.

Chris: A question specific to item 12: When people are filling it out, do they need to include how much participants have saved so far, or is it only participant match provided?

Gretchen: That is specifically the non-federal match that's required for your grant that you have received so far. The purpose of us adding that (item 12) is specifically so that we can see how you are progressing against the requirements for having that non-federal cash. Because in the body of the SF-425, really the only number that you are reporting is the amount of non-federal cash that you are expending. So this number is the amount you're supposed to have, since it corresponds to your federal match. So this number is the amount that you need to have because so much of the time in an AFI grant, the money is on hand but it's tied up in the matching contributions and obligations to the savers, you haven't expended it yet but you have that money. We want to make a place on the form for us to see: "Oh, they have \$100,000 in the grant, they've already received 80,000 of that non-federal cash that's required, but they may have only spent 10,000 of that cash so far, but then we know that you have 80,000 of the 100,000 that's required. It's just the non-federal cash that you're required to have for the AFI grant that you need to report in section 12.

Chris: Great, thank you. Another question about submitting the last semiannual report on GrantSolutions, for example: if you grant ends on the last day of March, how do you submit a report after the end date, before the final report due 90 days in.

Gretchen: We were having a vigorous discussion about this within my staff yesterday. I checked with OGM to check that this is correct. There is in fact not a semiannual report that is due 30 days. If you grant ends March 31st, the next report is that final SF-425 90 days later. You don't have to do one 30

days and one 90 days after. And of all the ones that I've reviewed on GrantSolutions, that is the way that the system is set-up.

Chris: Great. Specific question on the 425. If you check the box that says that you are certifying but the submit button stays gray, who do you contact or what do you do?

Gretchen: That to me says that your account does not have the appropriate access to actually submit that report. If you are an authorized official or a program director that's named on the notice of award, you would need to contact your grants manager that you're set up correctly and have the appropriate access. If you're not one of the people who is named on the notice of the award, then you're not supposed to submit the report. You'll need to ask someone who is named on the report to go in and submit the report. You can fill in the information but you can't actually submit it.

Chris: In relation to that, can other staff be authorized to submit the report if they weren't named on the notice of the award?

Gretchen: At this time, that is not the policy of ICF. Brittney just wrote: "Nooo".

Chris: You mentioned a grace period after the due date. When would that grace period end?

Gretchen: Currently the GrantSolutions people tell me that there is another 60 days after the 30 day due-date. So taking the example that we have right now, March 31st is the end of the reporting period, the reports are actually due April 30, but the system does not lock down until June. However, I would emphasize that your report is due April 30. When the system locks down, it locks down for everyone, including OGM. The reason for that grace period being in there, is that you have time to submit your report and OGM has time to correct and contact you if there are any needed changes and you can work through any issues before the system locks it down. So, it is important, though there are sometimes things that are unavoidable, something comes up and you're a day or two late, but it's very important to have internal processes to make sure you are consistently meeting your reporting deadlines. It should not be that hard to work out some internal process or timeline to make sure that happens. You don't want to be routinely running into problems with that deadline.

Chris: Let me take a moment to remind everyone that a recording and a transcript of this webinar will be available, so if you feel like you missed something and want to go back it'll be available in a couple of days. Can you clarify that the only time one has to print, scan, and sign the SF-425 is when you are late submitting and using a PDF?

Gretchen: Yes. If you are submitting your report on time, you should not be printing anything out and scanning it in. You should be going into GrantSolutions and filling it in the system and submitting it that way. It would only be if you have to do a 2013 report that was never submitted. That would be the only time that you would be signing a physical copy of the SF-425 at this time.

Chris: Is there a special consideration to have when there is obligated funds to participants, but they are not given yet, or the IDA is not yet closed.

Gretchen: So that is exactly what the word obligation means. So, AFI Act requires people, once they've opened their IDA and are making their deposit, grantees are required to match those deposits no less than every 3 months. Those matching contributions, which we recommend people put into a parallel account or the legislation also allows for it to be put directly into the IDA, those matching contributions are being made quarterly, held there for specific participants as matched savings, but they have not been expended for an asset purchase yet, that is an obligation. Unliquidated obligation of your funds. Both your federal and non-federal funds, since the requirement is to have both federal and non-federal funds, right. That's exactly what we're talking about when we're talking about item 10F, the federal share of unliquidated obligations. And the once a participant actually makes an asset purchase, they complete their full asset purchase and then those funds have been expended and they can be reported as part of the expenditures and they would no longer be unliquidated obligations.

Chris: Another technical question: How do you attach additional documents to the PPR?

Gretchen: To the PPR? Is that what is says?

Chris: Yep, the PPR.

Gretchen: So when you're uploading something as a grant note, you can upload more than one file. So you can have the PPR and well, also the PPR you print out and scan it so you can scan more than one

thing if you want to do it that way. Or you can scan the PPR and attach to the grant note, and then you can attach another file if you have some word document that you want to attach or spreadsheet, whatever it is. You can attach more than one file. Or at least you should be able to attach more than one file to a grant note.

Chris: Another clarification question: Do you need to print and scan and save the PPR portion and attach it with a grants note? Is that correct?

Gretchen: That is correct. That is the current way for submitting your PPR.

Chris: Great. So the next question is about data management for the PPR. Is there a system of a program that you would recommend people use in order to have all their data in order for the report?

Gretchen: Can you say that again, I'm sorry.

Chris: Is there a program or procedure that you recommend for participants to record their data in order to have it ready for the PPR?

Gretchen: There is no particular data program that I would recommend. There is some information on the AFI resource center about data management, and there are a variety of different data management systems out there, and different considerations the grantees would need about what they can afford and what works for them. Some grantees are already operating other programs and may have a system in place that the AFI program is just a part of. Other grantees may only be running an AFI program and need something that only works for the AFI program. Quite frankly, some people might be able to do it with just a spreadsheet, but we don't have any particular data system that we'd recommend at this time that we have made available. There is some information on the AFI resource center if you're trying to decide about that.

Chris: A question that might take a little bit longer: Can you review the information regarding AFI data report on the PMS?

Gretchen: There is no such thing as an AFI quarterly report on the PMS. So, many federal grants that are administered through the Payment Management System do require quarterly federal cash transaction reports, it depends on how the account is set up in PMS. AFI accounts are B accounts, B as in Boy, and they do not require the quarterly cash transaction report. So, for the AFI grant, you should not be getting requests to submit quarterly cash transaction reports. If by chance PMS contacts you about that, you should confirm with them that your account is in fact a B account. I've had to remind them that quarterly reports are not required for B accounts. If for some reason your account for AFI is not set up as a B account, bring that up to your Program Specialist's attention, or your Grants Management Specialist to try and get that fixed. But you should not be asked about or have correspondence from PMS about quarterly cash transaction reports for your AFI grants.

Chris: Another clarifying question: If a person listed on our notice of award is no longer with our organization, and we have a different certifying official on GrantSolutions, will the revised certifying official be able to submit the report?

Gretchen: Can you read that to me again, Chris?

Chris: If the person listed on our notice of award is no longer with our organization, but we have revised the certifying official on GrantSolutions, will he or she be able to submit the report?

Gretchen: So my instinct is to say yes, however I'm a little unclear on a part of the question. Through the life of the grant your notice of award can be amended, and that's what should happen when you may have been awarded a grant in 2013 and when that notice of award was sent out, Jane Doe was listed as the authorizing official while in 2014 Jane Doe left and Bob Smith came in as the authorizing official. And if you submit that request, that information change appropriately to ACF, we will actually amend the notice of award to now reflect the fact that Bob Smith is the authorizing official. So your current authorizing official would have that correct authorizing official. The original one is no longer the most recent one, and the recent one would reflect that change. That's what we talked about when we talked about a grant amendment. Any AO change or PIPD change needs an amendment to change that information. If that happened, if an amendment then that means the AO on the notice of award is now the correct one, and that hopefully is also reflect by the way the user account is set up in GrantSolutions and that person should be able to certify the report and submit it. Brittney says that GrantSolutions assigns per grantee request, but they are not the AO or PIPD until OGM says that. So that's why it's important to contact your Grants Management Specialist about that to ensure that it's assigned to the right grant and the right role. And the other thing I was going to say is that you should be able to log in to GrantSolutions and view the most recent notice of award. So if you submitted an AO change or some

other kind of grant amendment, a no cost extension, you can go in and see what your most recent notice of award is to see if it has been changed or not. I don't log in as a grantee so I'm not positive you can see this, but you should be able to see all the versions as well. There should be something you can click on that allows you to see all the versions, including the most recent one. Focus on the most recent one to make sure that you have the right name and that all the changes have been made accordingly.

Chris: As a follow-up, how long does it take to have the notice of award amended in the case of a change in staff that was listed in the notice of the award, and will it be held against grantees if they are unable to submit by the April 30th deadline because of it?

Gretchen: The timing can vary. I will say that there is no standard answer on how long a change like that takes. If you're currently a grantee that is trying to process a change and has not had that changed and you cannot meet the reporting deadline, contact your AFI program specialist right now, send them an email and say "Hey I'm worried about meeting this reporting deadline, can you check on where things are at with this process?" The other thing I will say is there should be two people, the AO and PIPD that should be able to submit the report. So, if you have one change, hopefully the other one is still there. If that person doesn't have their account set up, you should contact your Grants Management Specialist right away to get it set up correctly. Brittney is telling me that if you're in that situation where the paperwork has been submitted but the amendment hasn't been completely processed, your grants Management specialist can go ahead and make changes to the role in GrantSolutions so you can get that report submitted while the amendment is still being processed. And with the GrantSolutions user account, when the role is changed, that occurs immediately. Making a grant amendment, that goes through many different people, many different steps, so that process take a while. If you contact your Grants Management Specialist about your user account, once they do that, that happens immediately.

Chris: So we have another question, this one related to the interest. Have some programs chosen to NOT grow interest on accounts due to the extra tracking and reporting? And is that something they can do?

Gretchen: I'm certainly aware that some grantees chose not to have an interest bearing account because of the reporting and requirements about tracking that. I'm not aware of any prohibition against doing that.

Chris: Could you please quickly review section O of the expenditure section?

Gretchen: Section O.... Oh, section O is calculated by GrantSolutions so I'm not sure if that's actually what they meant... 10-O is simply L minus N. And that would be calculated by GrantSolutions if you're doing it in the system. If you're not then you would manually subtract N from L, for O. I'm wondering if there was more to their question than that...

Chris: It seems like they... actually if you could start with H and then just go down to O. Just to make sure that we're all on the same page.

Gretchen: So just to start again from item 10, there are 4 sections. First, federal cash. Here are the instructions for cash receipt, cash disbursements is the total amount of federal funds that you have actually expended so far, and cash on hand is basically A minus B. And then this is your Federal Expenditures and Unobligated Balance. 10-D is how much your grant actually is, auto-filled from your notice of award, federal share of expenditures is the same as the disbursements in 10-B. Federal share of unliquidated obligations is the one that we were just discussing where the funds that have been obligated to savers but have not yet been expended, and any other obligations that you have incurred but have not yet expended would be here, just the federal share, not the non-federal share. 10-G and H are auto-calculated. G is E plus F and H is D minus G. And then this is the part of the recipient share. Where you enter 10-I would be equal to your grant amount, this is the amount of non-federal cash that you're required to have. 10-J is how much of that cash you've expended by the time of the reporting period end date. And then K is just I minus J. And then the program income section is where you would report interest on the federal funds or any program income that has been generated by the project. That's what you would put, how much of that has been earned to date, by the end of the reporting period end date, in L. M you leave blank and N is how much of that income you've actually spent. And then 10-O would be L minus N.

Chris: Great. So we have one last question for now: If an organization has already contacted their grants management specialist, to let them know that the person listed as the AO is no longer with them, but was not asked to complete any paperwork to complete.

Gretchen: You may not have to. When I say paperwork, there are certain documentation requirements that are required for the authorized official. If that person's no longer there, then a letter from the board or something like that, to document officially who the new AO is. But there is not a form that OGM sends. I use paperwork as a general term. There's nothing that OGM would send you, you complete and send back. If you contacted the grants management specialist about that change and you already sent a letter with that, there may not be additional paperwork needed. Also if it's within 30 days of the award, your specialist may not need additional documentation. So sometimes things change

between the time when an application was submitted and an award was made and if it's immediately following the award issuance, your grants management specialist may not require you to submit additional documentation. In addition to a letter from the board, you will need to submit a revised SF-424, which is part of what's submitted with the application, when there is an AO change. So if you have contacted your grants management specialist about an AO change, and you didn't send them anything, or if you did but didn't hear anything back, then I would contact them again and copy your AFI program specialist (you should always sort of copy them both), and ask where things are at with the AO change. And if it's been a while and you haven't heard anything you can contact me as well. And when I say a while I would say 2 months.

Chris: How do we go about with signature from an authorizing certifying official if we do it online?

Gretchen: So the system, that's the sort of online certification. There's not actually... do I have a screenshot of this? Yeah, so it doesn't show what it looks like, but essentially by signing in with a user account that has the appropriate access and was set up by a Grants Management Specialist accordingly, that user account is endowed with the authority of the authorizing official or the PIPD and things submitted by that user makes the certification by clicking the box and clicking submit. When you look at the PDF later it will say something like "electronically submitted by GrantSolutions". The system is like an e-signature. We generally don't sign our taxes anymore these days either, so it's your user account and those privileges of that user account, and your certification and submission act as your signature submitting it in the system.

Chris: We have some final questions coming in. In the remarks box, to report all non-federal contributions or just what we listed for one-to-one match?

Gretchen: So, it would be the one-to-one match. So we want to know whether or not you have available to you received your required non-federal match. The language on this is a little bit tricky. I use the word received, some grantees provide that non-federal match themselves so it's not like they received it. You are moving from your general fund into your project reserve fund at the beginning of your grant. If you move that full amount of cash to your reserve fund and start operating from there, put that in the report in the remarks box: "we've essentially provided the full non-federal cash match." Other grantees are receiving that from funders, so they need to wait from funders before they can put it in their reserve fund and move from there. Some of those folks may only have part of their non-federal match at different times. Some of them may also receive it at the beginning. Once you're received that, if you received that in the first 6 months, by the time of your biannual report you may be able to put in the full amount that you've received. But the key part is it's not your commitments, it's what you've actually

received to run the project. Money that you have available to put in the project reserve fund and then make matching contributions with and expend on asset purchases. It's not just the promised money, it's the actual money.

Chris: It seems like the questions are winding down so maybe you want to give them another minute for any last minute entries but otherwise that would be it.

Gretchen: While people are putting in their last few questions I just want to say I really appreciate everyone joining this webinar. It's great to see that we have over 100 people on this webinar. And questions have been really good. I know that this is a lot of information to take in so I would encourage people to go to the link, the Resource Center, so that you can look at these instructions and review them yourselves. If you're the kind of person that wants to see all the instructions, there is a PDF available that lists all four scenarios with the instructions. And so the link is here [on the screen, slide 12] and you can reach it from the AFI Resource center. The easiest way that I find to get to this is go to the AFI resource center main page and do a search for "Reporting Overview" because I know exactly where that will take me. And that takes me to this bottom link. And from there, there are links to the specific 425 instructions. There are also links to the 425 instructions in the link that we sent out when we were notifying you of this webinar. There's a link on that as well. I would encourage people to sit down with this and share them with other folks in your agency who need to know this information. And if you do have follow-up questions after this webinar that come up, you can certainly contact your Grants Management Specialist, or your AFI program specialist, or the AFI Resource Center help desk. They can help you get connected to those folks as well. Any more questions come in, Chris?

Chris: We'll give everyone another minute to make sure that everyone's had a chance to ask their questions. And otherwise we'll close it off.

Gretchen: So I would just remind folks that it is April 17, so you have not quite half the month, to get in and complete your current bi-annual report, as well your PPR for March, so please do make sure that you get those things submitted on time. If you're having issues accessing GrantSolutions make sure you contact your program Specialist right away and get that resolved.

Chris: Great. It seems like that's it. If there were any outstanding questions we'll email them separately, particularly questions that might have required a slightly longer response. But otherwise, that takes care of all of our questions. Thank you Gretchen.

Gretchen: Thanks everybody, have a wonderful weekend!