RAAMS Users' Guide

Restoration Assistance and Award Management System Gulf Coast Ecosystem Restoration Council

Financial and Performance Progress Reporting Supplement

Version 1.03

1/3/2018

Introduction

RAAMS (The Restoration Assistance and Award Management System) is the Gulf Coast Ecosystem Restoration Council's (GCERC or Council) automated grants management system. The Council is utilizing RAAMS for all stages of the grant and interagency agreement (IAA) lifecycle, including the submission of Funded Priority List (FPL) proposals, FPL project applications, State Expenditure Plans (SEPs), SEP project applications, amendments, financial and performance reports, and final closeout documentation.

This document contains specific instructions for completing financial and performance progress reporting tasks within RAAMS and is intended for all key project personnel affiliated with Council-Selected Restoration Component and/or Spill Impact Component proposals, applications, and awards.

Recipients are required to submit information equivalent to a "Federal Financial Report" (FFR) (Form SF-425 or any successor form, or another format as required by the Council) on a semi-annual basis (2 C.F.R. § 200.327) unless otherwise specified in a special award condition. The FFR should show the actual funds spent (expenditures) and any bills to be paid (unliquidated obligations incurred) at the recipient/subrecipient level, both for the reporting period and cumulatively, for each award. A copy of the SF-425 FFR is available in RAAMS and on the Council's website.

This document does not address the various statutory, regulatory, and programmatic requirements of the Council-Selected Restoration Component or Spill Impact Component. For detailed information regarding these requirements, the reader is referred to the *Recipient Proposal and Award Guide* (*RPAG*).
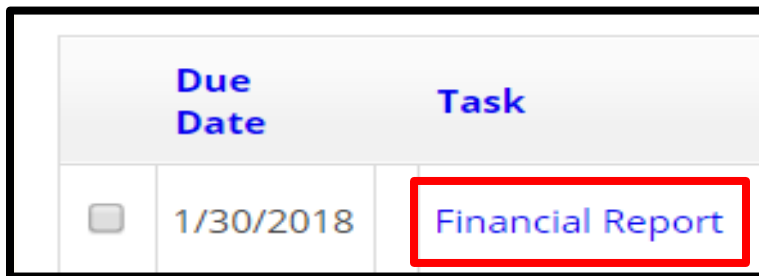
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Financial Reporting

Recipients are required to submit Financial and Performance Progress (Financial) Reports to the GCERC Grants Office on a semiannual basis. In order to facilitate this process, RAAMS incorporates a "Financial Reporting Task" that allows recipients to submit electronically to the Grants Office. The schedule of due dates for financial reports are noted on the recipient's award. Recipients will be reminded of any upcoming due dates 30 days prior, at which point access to the Financial Reporting Task in RAAMS will become available.

Financial Report Access

- o Once logged into the RAAMS system, Financial Reporting tasks assigned to the user will be visible on their Home Page (Figure 1) under the My Tasks tab 30 days prior to the due date.

Figure 1. Financial Report Task visible under the My Tasks tab on user Home Page.

- o Click the Financial Report task (Figure 1) to begin the process of financial reporting. The Financial Report task will include the Start Page, Update Personnel, Update Organizations, Project Information, Reporting Narratives, Subrecipients and Contracts, Update Expenditures, SF 425 Data, Update Cash Drawdown, Update Milestones, Attachments, and Electronic Certification tabs.

Start

- o Users will advance to the "Start" page where the validation summary indicates the status of each page (Figure 2). **Note:** Pages with a complete status include data that pre-populated. This data can be modified if necessary.

Figure 2. Start Page which includes the Validation Summary for the pages of the Financial Report.

Update Personnel

o   Click the Personnel tab (located on the left column under Start) to update personnel who will require RAAMS access (Figure 3). ***Note:** Deleting personnel from this task will delete that user or users from all other concurrent and future tasks associated with this award.

o   If new personnel require access to the Financial Reporting task, click "Add" under "Contacts-Project Personnel" subheading or the "Contacts-Other" subheading (Figure 3). If changes need to be made to existing personnel, click "Edit" under "Contacts-Project Personnel" subheading or the "Contacts-Other" subheading. **Important: <u>Only the Primary Person may complete the Electronic Certification and submit this Financial Report.</u>**

Figure 3. Personnel form to add personnel, if necessary, who will require RAAMS access.

o   Under the "Add or Edit Contacts-Project" subheading, choose the "Role" for personnel to be added or edited and then click "Add New Person" or "Select" to obtain the name of a person currently registered in RAAMS (Figure 4). ***Note:** Always search for existing users in the system. If users without RAAMS accounts need to be added, please request

that those individuals self-register for access. **Important: The "Role" selected for personnel is not task specific and will carry forward to future tasks.**

o The allowance for Public Project File Access will also need to be determined (Figure 4). All individuals anticipated to play an active role in managing an award should be extended Public Project File Access so that they will have access to current award information and the results of previous tasks completed as part of that award. Click "Save" or "Save and Close" after completing (Figure 4). ***Note:** Users with Public Project File Access will be able to view project or program information in the Award File. **Important: "Public Project File Access" is not task specific and will carry forward to future tasks.**

o The permission level for personnel to be added or edited can be selected under the "Permissions" heading. **Important: Permission levels for personnel are set to default to "No Access" and are task specific. Permission levels do not carry forward to future tasks. The Primary Person can change permission levels for personnel necessary to complete this task.** Permission levels include:

- **No Access (default):** Individuals with No Access will not be able to view the reporting task. If an individual has Public Project File Access but is given No Access at the task level, that user will only be able to view information entered as part of a task once that task has been submitted and the results saved within the Award File.

- **Secondary Contact:** Secondary Contacts have full access to the report, with the exception that they cannot electronically sign or submit the report. The Secondary Contact can only be designated by the Primary Contact. The Secondary Contact and Primary Contact are the only individuals who can extend access to other users within their organization.

- **Financial:** Financial users can complete all the sections of the Financial Report with the exception of adding or updating personnel, completing the Electronic Certification, and submitting the finished report.

- **View Only:** Individuals with View Only Access will be able to view the reporting task but will not be able to add or edit information.
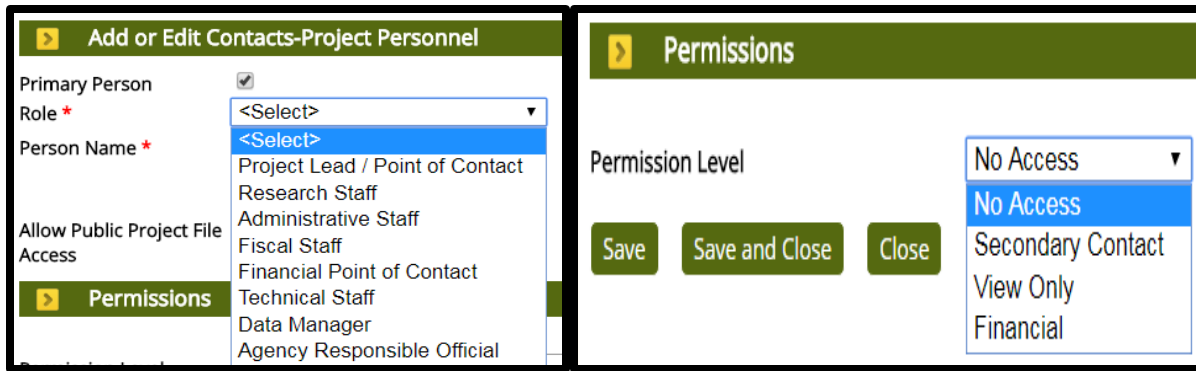
*Figure 4. Add or Edit Contacts-Project Personnel heading to choose project personnel roles, names of the personnel to be added and allowance of public project file access. **Note:** Required information is indicated by a **red asterisk** (*).*

o   Users, who will require access to the Financial Reporting task, but who are not members of the primary organization, should be entered under the "Contacts-Other" heading.

o   Click "Continue" after completing personnel additions and/or edits.

Update Organizations

o   The Update Organization tab (located on the left column under Start) should be clicked to add new organizations affiliated with the project or program. Organizations can include partnering agencies, co-funders, contractors and subreceipients, among others. ***Note:** Any new contracts or subgrants that have been awarded during the period covered by the Financial Report **must** be included on the Update Organizations form.

o   To add an organization, click "Add" under the "Project Organizations" subheading. To edit an organization, click "Edit" under the "Project Organizations" subheading.

o   Under the "Add or Edit Project Organizations" subheading, choose the "Role" for the organization to be added or edited and then click "Select Organization" to choose the Organization. Click "Save" or "Save and Close" after completing (Figure 5).
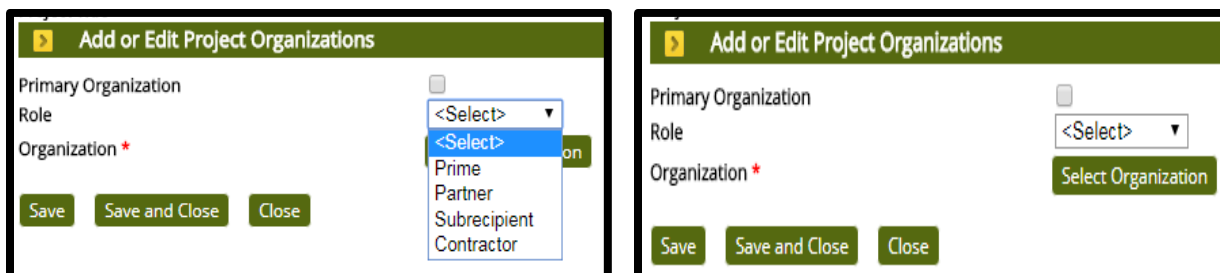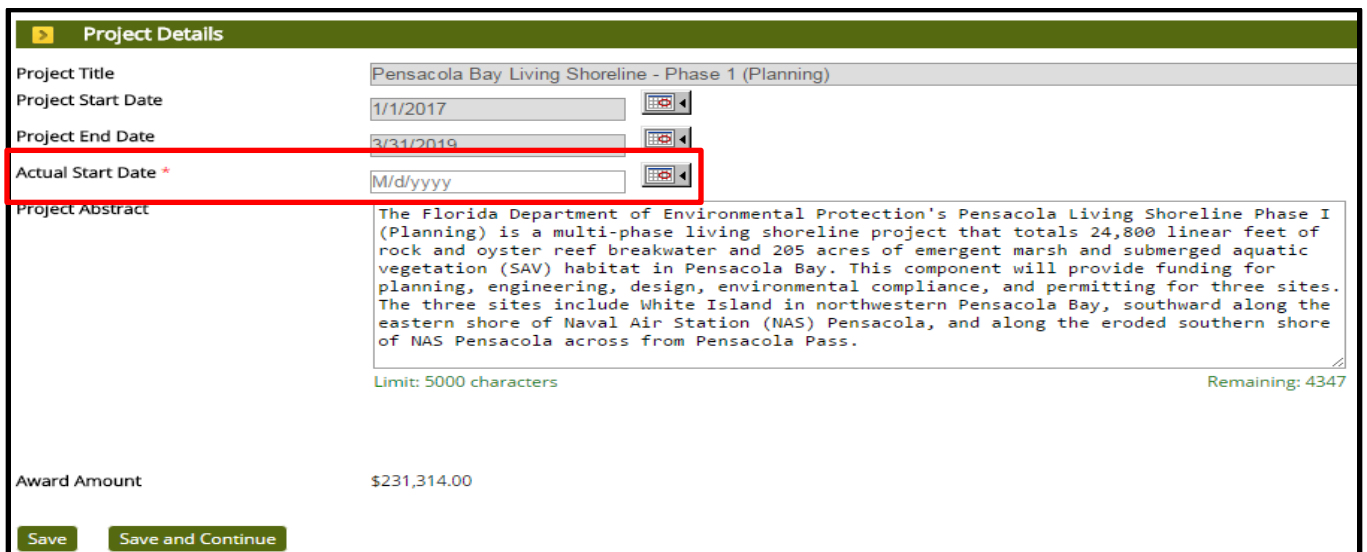
*Figure 5. Add or Edit Project Organizations heading to add or edit organizations associated with the project. **Note:** Required information is indicated by a **red asterisk** (*).*

o   Click "Continue" after completing organizational additions and/or edits.

Project Information

o   Users can click the Project Information tab (located on the left column under the Update Organizations tab) to enter the actual start date for the project or program related to the Financial Report. ***Note:** The date to be entered as the actual start date is when the organization began incurring expenses and may be the same as the project start date provided or may be a later date.

o   Click the calendar icon located under the Project Details subheading to enter the "Actual Start Date" (Figure 6). ***Note:** All remaining fields shown are for informational purposes only and cannot be edited. If a change to the end date of the project is needed, please contact the Council Grants Office.

Figure 6. Project Information form to enter the "Actual Start Date" of the project or program.
*Note: Required information is indicated by a red asterisk (*).

o   Click "Save" or "Save and Continue" after entering project information.

Reporting Narratives

o   A Summary of work performed during the period covered by the Financial Report and a separate summary of oversight activities conducted by the recipient organization **must** be provided in RAAMS. To enter the summary of work and project oversight information, click "Add" under the "Text Area" subheading (Figure 7).

Figure 7. Reporting Narratives form to enter (1) Summary of Work, (2) Project Oversight, (3) Issues Encountered and (4) Personnel and Organizational Changes.

o The Summary of Work should be entered into the "Text Area" on the Text Area Editor form. When finished, click "Save," "Save and Close" or "Close" (Figure 8). ***Note:** The Summary of Work is limited to 4000 characters.

Figure 8. Text Area to enter information related to the Summary of Work.

o Project Oversight during the period covered by the Financial Report should be added to the Project Oversight form by clicking "Add" under the Text Area subheading and then entering all necessary information into the "Text Area" on the Text Area Editor form. When finished, click "Save," "Save and Close" or "Close." ***Note:** The Project Oversight is limited to 4000 characters.

o If issues were encountered during the period covered by the Financial Report, those issues and any mitigation strategies implemented **must** be provided using the Issues Encountered form. If changes to the personnel or any organization was added/deleted, a

short summary **must** be provided using the Personnel and Organizational Changes form. ***Note:** Text Areas are limited to 4000 characters.

o   Click "Continue" after entering all necessary information.

Subrecipients and Contracts

o   Responses should be provided to the questions listed on the Subrecipient and Contracts form (Figure 9). ***Note:** Any question with a **red** asterisk (*****) requires an answer.

*Figure 9. Subrecipients and Contracts form questions. ***Note: Required information is indicated by a red asterisk (*).***

o   Click "Save" or "Save and Continue" when answers have been provided to all of the questions.

Update Expenditures

o   <u>FFR Reporting Elements</u>: FFR reporting summarizes information on expenditures, unliquidated obligations incurred, the money from co-funding, program income, and indirect costs for each semi-annual reporting period. Recipients must also provide detailed expenditure data in RAAMS for each line item on the budget, including line items for co-funding. Recipients should also indicate if they are using a cash- or accrual-based accounting system for reporting.

o   Cumulative expenditures through the end of the reporting period should be provided on the Update Expenditures form. ***Note:** These are known expenditures. While these

expenditures should correspond to expenditures reported in the SF-425 information, they are not limited to those expenditures for which drawdowns have been submitted.

o Spent-to-date values should be provided for each line item in the Expenditures column (Figure 10). To enter expenditure values, click the pencil icon by each line item and update the values in the pop-up windows. ***Note:** As the amount spent for each line item is updated, the Remaining Balance and % Expended columns will auto-update.

*Figure 10. Update Expenditures page to enter updated expenditure values. ***Note:** The values in the Approved Budget column indicate the budget that was approved in the award document and cannot be edited.*

o If new line items need to be added for an approved cost category, those new line items can be added in order to report those expenses. ***Note:** New line items cannot be added for a budget category which does not have an associated cost within the award budget.

o If there are expenditures outside of an approved cost category which is approved or requires other adjustments to be made to the budget, contact the Grants Management Specialist for the award.

o Co-funding expenses that occurred during the reporting period **must** be reported.

o Once expenditures have been updated, click "Continue."

SF 425 Data

o Values for each field listed on the SF 425 Data form must be completed. Co-funding expenditures that occurred during the reporting period are to be entered under the Transactions Recipient Share subheading. ***Note:** For fields that do not apply, users may enter $0.00.

Figure 11. SF 425 Data form to enter (1) report type, (2) basis of accounting, (3) reporting period end date, (4) Transactions: Federal Cash, (5) Transactions: Federal Expenditures and Unobligated Balance, (6) Transactions: Recipient Share and (7) Transactions: Program Income.

- o Due Dates: Semi-annual FFRs are due no later than 30 days following the end of each reporting period. A final FFR is due within 90 days after the expiration of the award period.

- o Reporting Periods: Semi-annual reporting periods will be specified in the award for either the periods ending:

    - ➢ March 31 and September 30, or any portion thereof, or

    - ➢ June 30 and December 31, or any portion thereof.

- o Click "Save" or "Save and Continue" after entering all necessary information.

Update Cash Drawdown

- o The cash drawdown projections should be reviewed and updated. If the Cash Drawdown table lists a start date that does not align with the start date of the award (which is also the Project Start Date on the Project Information form), click "Reset" in order that the start date within the table matches the revised start date (Figure 12). ***Note:** The sum of the cash drawdown projection **must** equal the total amount of the award.

Figure 12. Update Cash Drawdown page to (1) reset (if necessary) the Project Start Date to match the revised start date and (2) reset to provide actual drawdown information for past periods.

o After updating the cash drawdown click "Save" or "Save and Continue."

Update Milestones

o Current values regarding milestone progress **must** be provided for the Financial Report. Click "Edit" under the Milestones subheading to update each milestone (Figure 13).

Figure 13. Update Milestones form to edit and update each milestone listed.

o Updates to the Milestones must be made in the Milestones Editor (Figure 14). The following values must be updated for each milestone:
   - Milestones Status
   - Percent Complete

- Actual Amount (spent-to-date)
- Progress Summary

*Note: If the actual or projected start or end date for a milestone have changed, please update those values as well. If you do modify either date field, you must indicate so within your progress summary for that milestone.

Figure 14. Update Milestones page to enter values for each milestone.

- o After updating, click "Save and Close" or "Close" to return to the Update Milestones form.

- o Click "Continue" to when all elements have been completed.

Attachments

- o To upload Financial Report documentation, choose the corresponding upload type from the dropdown list under the "Uploads" heading (Figure 15). ***Note:** No documentation is required to be uploaded for the financial reporting task.

- o By clicking "Add files…" (Figure 15), the appropriate file can be selected from a local machine. ***Note:** Files uploaded should be named in a manner indicative of their content.

Figure 15. Attachments form that includes the upload types for Financial Report documentation.

- o Once the selection has been made, click "Start" or "Start upload" (Figure 15). *Note: Files can be renamed by clicking the "Edit" button located next to "Uploaded By." Uploaded files can also be removed by clicking the "Delete" button located next to the "Edit" button.

- o Click "Continue" after the upload of Financial Report documentation is complete.

Electronic Certification

- o The box adjacent to "I Agree" must be clicked on the Electronic Certification page. By clicking "*I Agree," you are agreeing that "I certify to the best of my knowledge and belief that this report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)."* ***Note: Only the Primary Person can complete the Electronic Certification.**

- o Click "Save" or "Save and Continue" to advance to the Submit Report form.

Submit Report

- o RAAMS is able to validate certain required components of the Financial Report prior to submission. The status of each page validation listed under the "Validation Status"

heading should be consulted to ensure that all required components for the Financial Report are complete (Figure 16). *Note: The Financial Report task cannot be submitted if the status is incomplete for any of the page validations.

o   To ensure that there are no issues with the Financial Report submission, click "View PDF" under the "View Full Submission" (Figure 16) to view a pdf of the Financial Report. **Note:** Only users with Public Project File Access will be able to generate or view pdf versions of this task. Public Project File access can be modified updating the Personnel form.
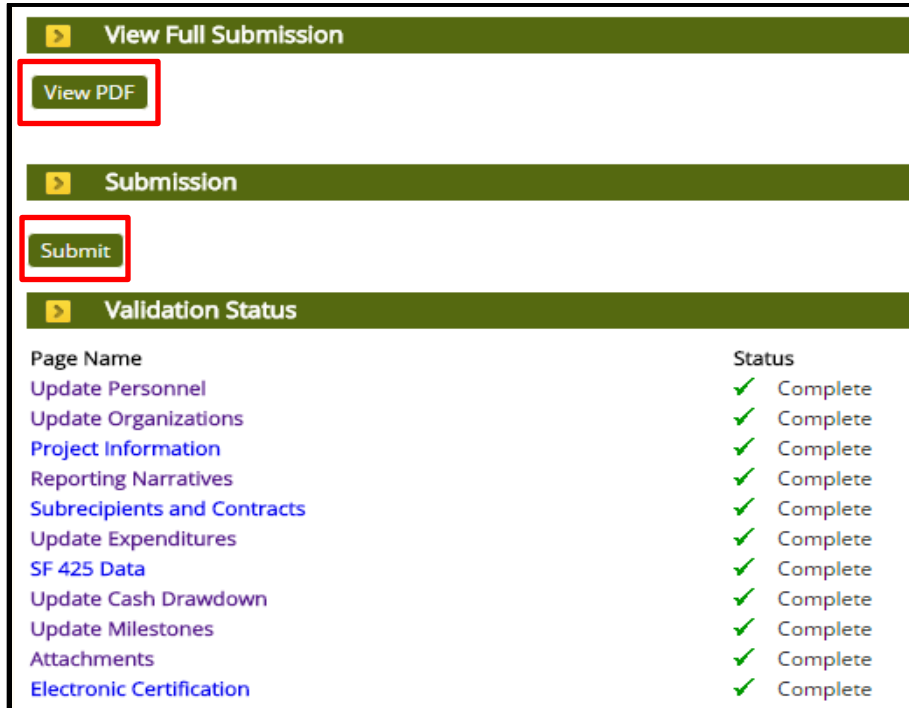

Figure 16. Submit Review form to (1) View PDF, (2) Submit submission and (3) review Validation Status.

o   When all required elements are complete, and after the pdf version of this task has been reviewed for accuracy, click "Submit" under the Submission heading (Figure 16). ***Note:** No additional edits can be made to this task once submitted unless it is returned by Council staff.

o   After clicking "Submit," a prompt to verify the submission of this task will appear at the top of the page (Figure 17). Please click "OK" if you are sure that you are ready to submit this task.
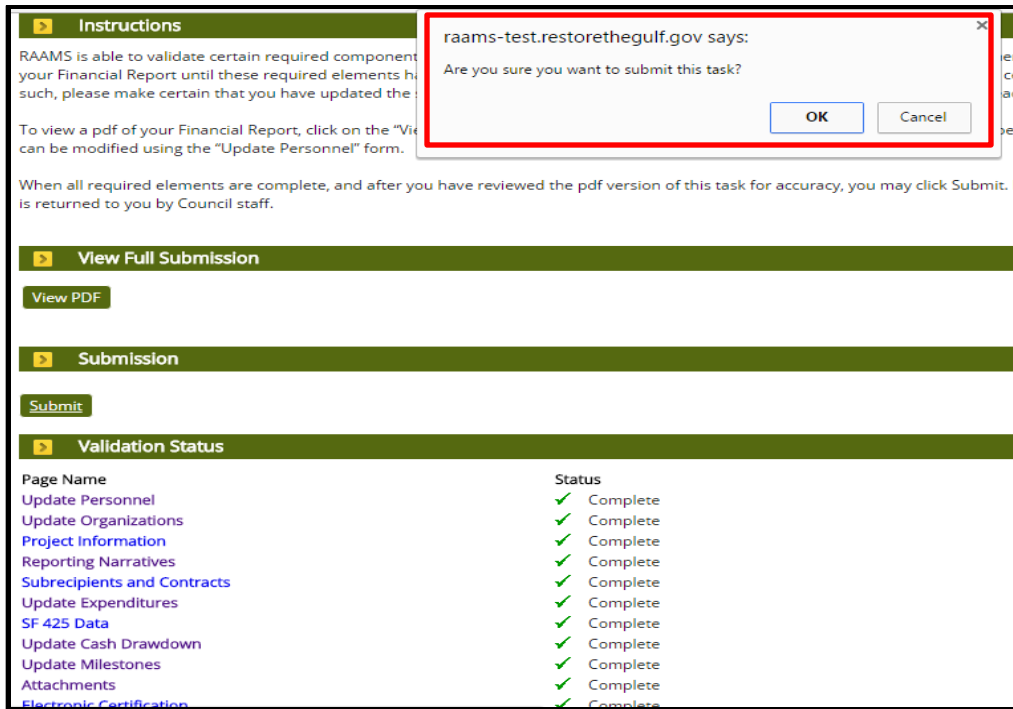
Figure 17. Review and Validate page view to submit the task.

Council Acceptance

o Once the Financial Report submission is completed and certified by the recipient, the Grants Office will review the financial information submitted. The Grants Office will either accept the report or will contact the recipient for additional information, clarification, or resolution of any issues/concerns.