



U.S. Department of Health & Human Services - Indian Health Service
Tribal Self-Governance Program Basics:
Presented by the Office of Tribal Self-Governance
Spokane, WA · Room: 205

AGENDA

Sunday, April 23, 2017

- 10:00 AM** **Office of Tribal Self-Governance Program Welcome & Introductions**
- *Benjamin Smith, Deputy Director for Intergovernmental Affairs*
 - *Jennifer Cooper, Acting Director, Office of Tribal Self-Governance (OTSG)*
- 10:20 A.M.** **Office of Tribal Self-Governance Overview:** Meet OTSG staff and hear about OTSG roles, responsibilities, and key activities.
- *Alexandria Smith, Staff Assistant, OTSG*
- 10:40 A.M.** **Legislative Overview:** Learn about the history of Tribal Self-Governance Program
- *Tamara Clay, Policy Analyst, OTSG*
- 11:00 AM** **Tribal Self-Governance Eligibility:** Find out what it takes to be eligible to participate in the Tribal Self-Governance Program.
- *Roxanne Houston, Program Analyst, OTSG*
- 11:20 A.M.** **Tribal Self-Governance Program Cooperative Agreement Overview:** Learn about the resources that are available to help with the costs associated with the mandatory planning phase and the negotiations process.
- *Anna Johnson, Program Analyst, OTSG*
- 11:40 A.M.** **Tribal Management Grants Overview:** Learn about the resources that are available to help with assuming all or part of an existing IHS Program, Function, Service and Activity, and further develop and improve health management capabilities.
- *Marvin Kee, Program Analyst, Office of Direct Service & Contracting Tribes*
- 12:00 P.M.** **The Negotiations Process:** Review the steps associated with negotiations from planning to Tribal operation.
- *Aaron Lane, Program Analyst, OTSG*
- 12:20 P.M.** **OTSG Financial Management System Overview:** Learn how to utilize this tool that tracks payments and amendments.
- *Carla Mayo, Financial Analyst, OTSG*
 - *Steve Plummer, Financial Analyst, OTSG*
- 1:00 P.M.** **Adjourn**

Overview of the Office of Tribal Self-Governance (OTSG)

2017 Tribal Self-Governance Annual Consultation Conference
Spokane Convention Center
Spokane, WA
April 23 – 27, 2017

Alexandria Smith
Staff Assistant
Office of Tribal Self Governance
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IHS Office of Tribal Self-Governance



Jennifer Cooper
Acting Director



Chris Manydeeds
Program Analyst



Anna Johnson
Program Analyst



Rosanne Houston
Program Analyst



Jeremy Marshall
Policy Analyst



Aaron Lane
Program Analyst



Tamara Clay
Policy Analyst



Carla Mayo
Financial Analyst



Debra Gould
Financial Analyst



Steven Plumer
Financial Analyst



Mary Beardsley
Secretary



Alexandria Smith
Staff Assistant



Ashley Parkinson
Staff Assistant



Staff Members



***Office of Tribal Self-Governance:
Successful Connections - Lasting Partnerships***

- Serves as the primary liaison and advocate for Tribes participating in the Tribal Self-Governance Program (TSGP)
- Oversees the implementation of Tribal Self-Governance legislation and authorities within the IHS under Title V of the Indian Self-Determination and Education Assistance Act



OTSG Key Activities

- Review **eligibility requirements for Tribes** to participate in the TSGP and applications for **TSGP Planning and Negotiation Cooperative Agreements**.
- Participate in **Nation-to-Nation negotiations** of ISDEAA Title V Compacts and Funding Agreements and provide oversight of the Agency Lead Negotiators (ALNs).
- Provide resources and technical assistance to Tribes and Tribal Organizations for the implementation of Tribal Self-Governance.



OTSG Key Activities

- Coordinate Self-Governance **Tribal Delegation Meetings** for the US Department of Health and Human Services (HHS), IHS Headquarters, and Area senior officials.
 - Purpose: TDMs provide an opportunity for Tribes to meet with the IHS Director or Senior Staff to address health related projects and issues
 - Respect the Nation-to-Nation relationship: Strengthen and improve Tribal Partnerships by the government to government relationship

Contact:

- Anna Johnson, Program Analyst, OTSG Anna.Johnson2@ihs.gov
- Roxanne Houston, Program Analyst, OTSG Roxanne.Houston@ihs.gov



OTSG Key Activities

- Develop and recommend policies, administrative procedures, and guidelines for the IHS TSGP and advise the IHS Director on TSGP actions and activities.
- Collaborate with Tribal and Federal partners to address crosscutting issues and processes.
- Partner with SGCE to provide national, regional and individual trainings on the IHS Tribal Self-Governance Program.



Roles of OTSG—Staff Support

301-443-7821

- Point of contact: Questions, information, etc.
- Assists with the database and website.
- Process payments to the Self-Governance Tribes through the Area Office.
- Process compacts and funding agreements for final IHS Director signature.



Roles of OTSG—Policy Analysts

- Works on a wide range of national issues
- Administer OTSG Cooperative Agreements
- Maintain and update OTSG Policy Manuals
- Review HHS Agency policy and regulations
- Compose responses to Congressional inquiries
- Prepare briefing materials for OTSG and the IHS Director
- Conduct research and analysis
- OTSG Policy Analysts
 - Jeremy Marshall – Portland Area
 - Tammy Clay – Alaska Area



Roles of OTSG—Program Analysts

- Administer and Facilitate Self-Governance Negotiation process
- Analyze and evaluate the PSFAs being considered for Self-Governance.
- Process completed Compacts and Funding Agreements
- Provide support and technical assistance on Self-Governance issues



PROGRAM ANALYST CONTACTS BY AREA

CHRIS MANYDEEDS	ANNA JOHNSON	ROXANNE HOUSTON	AARON LANE	JEREMY MARSHALL
BEMIDJI	OKLAHOMA	ALBUQUERQUE	ALASKA	PORTLAND
BILLINGS		NASHVILLE	CALIFORNIA	
PHOENIX		NAVAJO	GREAT PLAINS	
			TUCSON	



Roles of OTSG—Financial Analysts

- Process payments to the Self-Governance Tribes at the beginning of the funding cycle (Fiscal, Calendar).
- Process payments based on amendments to the funding tables throughout the year.
- Perform Audit Reviews for Self-Governance Eligibility
- OTSG Budget Activities



FINANCIAL ANALYST CONTACTS BY AREA

DEBRA GOULD	CARLA MAYO	STEVE PLUMER
ALBUQUERQUE	CALIFORNIA	BEMIDJI
BILLINGS	GREAT PLAINS	PORTLAND
NASHVILLE	PHOENIX	TUCSON
NAVAJO	ALASKA	
OKLAHOMA		



Upcoming Meetings

TSGAC Quarterly Meeting

3rd Quarter: July 18-20, 2017

4th Quarter: Oct. 24-26, 2017

Washington, DC



Tribal Self-Governance Strategy Session

TBD

Annual Self-Governance Conference

Save-the-Date

April 2018

Albuquerque, NM



Online Resources

For further information about the IHS Tribal Self-Governance Program, please visit these websites:



IHS Office of Tribal Self-Governance
<http://www.ihs.gov/SelfGovernance/>



Self-Governance Communication & Education
<http://www.tribalselfgov.org/>



Thank you!

Office of Tribal Self-Governance:
301-443-7821
<http://www.ihs.gov/selfgovernance>



Overview of the Legislative History of the Indian Self-Determination and Education Act



Tammy Clay, MSW
Policy Analyst
Office of Tribal Self Governance
Indian Health Service
Tamara.Clay@ihs.gov



Indian Health Service (IHS) Authorities – Prior to 1975

- Snyder Act of 1921, Public Law (Pub. L. 67-85) – Authorized appropriations and expenditures for health services and other purposes for AI/ANs.



Indian Health Service (IHS) Authorities – Prior to 1975

- Transfer Act of 1955, (Pub. L. 83-568) – Indian health care moved from the Department of Interior to the Public Health Service, IHS.



Indian Self-Determination and Education Assistance Act (ISDEAA) (Pub. L. 93-638)

- **Signed into law in 1975 - Under ISDEAA, a Tribe can contract with the Indian Health Service (IHS) or the Bureau of Indian Affairs (BIA) to operate any program or portion of a program that these Agencies provide to the Tribe.**



The Indian Health Care Improvement Act (IHCA) of 1976 (Pub. L. 94-437)

- **Implemented the Federal trust responsibility for the care and education of Indian People.**
- **Trust Responsibility and Tribal Self-Governance -**
"The Secretary is prohibited from waiving, modifying, or diminishing in any way the trust responsibility of the United States with respect to Indian Tribes and individual Indians that exists under treaties, Executive orders, other laws, or court decisions."

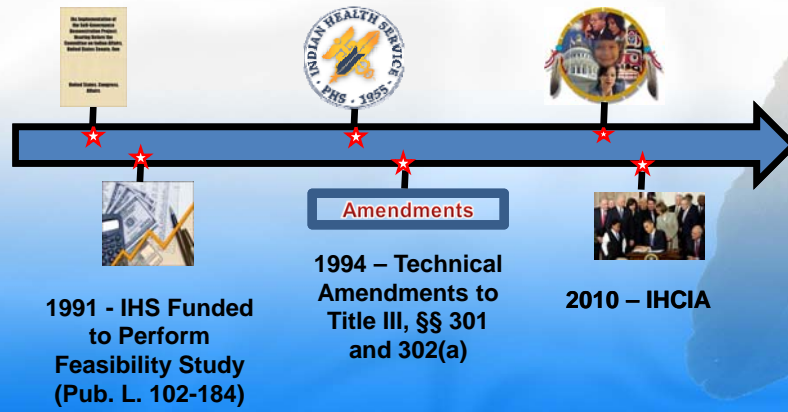


Legislative History of the TSGP

1988 - Tribal Self-Governance Demonstration Project (Pub. L. 100-472)

1992 - Self-Governance Authority Extended to IHS (Pub. L. 102-573)

2000 - ISDEAA Title V Statute;
2002 - ISDEAA Title V Regulations



1988 ISDEAA Amendments (Pub. L. 100-472)

- Authorized the Tribal Self-Governance Demonstration Project within the BIA, by adding Title III to ISDEAA.
- Authorized BIA to negotiate compacts with Tribes; and gave Tribes more flexibility in operation of programs.

Tribal Self-Governance Extended to IHS

- In 1991 - \$500,000 was appropriated to conduct a feasibility study on extending Self-Governance to the IHS (Pub. L. 102-184).
- In 1992 - Self-Governance authority was extended to IHS. This law authorized the IHS to negotiate compacts (Pub. L. 102-573).



IHS Tribal Self-Governance

- In 1994 - Technical Amendments to Title III, Section 301 and Section 302 (a) (P.L. 103-435). This law extended the Self-Governance Demonstration Project to 18 years, and directed the Secretary to select 30 Tribes per fiscal year to participate in the project.



ISDEAA Amendments

- In 2000, Title V (Pub. L. 106-260) was passed, and created a permanent Tribal Self-Governance program for IHS.
- In 2002, Title V [42 Code of Federal Regulations (C.F.R.) Part 137] Tribal Self Governance Regulations were promulgated via a rule-making process, with Tribal and Agency representatives to implement Title V.

<https://www.gpo.gov/fdsys/pkg/CFR-2007-title25-vol1/pdf/CFR-2007-title25-vol1-part900.pdf>



The Patient Protection and Affordable Care Act (ACA) of 2010 (Pub. L. 111-148)

- Amended IHCA, and permanently reauthorized and expanded the IHCA authorities, including new authorities for Tribes participating in Self-Governance.





Thank you!



Eligibility Requirements for Tribal Self-Governance Program (TSGP)



Roxanne Houston
Program Analyst
Office of Tribal Self Governance
Indian Health Service



Three (3) Eligibility Criteria

- Successfully complete a planning phase
- Request participation in Self-Governance
- Demonstrate three fiscal years of financial stability and financial management capability



Planning Phase

- Each Tribe is **required** to complete a planning phase to the satisfaction of the Tribe
- This planning must include **legal** and **budgetary** research and internal Tribal government planning and organizational preparation relating to the administration of health care programs



Planning Phase Continued...

- The planning phase helps Tribes make informed decisions about:
 - ✓ Which Programs Services Functions and Activities (PSFAs) to assume and what organizational changes or modifications are necessary to successfully support those PSFAs.
 - ✓ A thorough planning phase improves timeliness and efficiency of negotiations and ensures that the Tribe is fully prepared to assume the transfer of IHS PSFAs to the Tribal health program
 - ✓ Provides an excellent forum for Tribal Nations and the Office of Tribal Self-Governance (OTSG) to build successful connections and lasting partnerships with the common outcome to improve and deliver health care services



Request Participation in Self-Governance

- Each Tribe to be served must submit a Tribal resolution or other official action by the governing body of the Tribe requesting participation in the TSGP.
- A Tribe may also choose to authorize another Indian Tribe, an inter-Tribal consortium, or a Tribal Organization to participate in the TSGP on its behalf (25 USC, Section(s): 450B (e), 450b(1) and 42 CFR, Section 137.10)



Demonstrate Fiscal Responsibility

- For the three years prior to participation in the TSGP, the Tribe must show evidence that there have been no uncorrected significant and material audit exceptions in the required annual audit of the Tribe's Self-Determination Contracts or Self-Governance Funding Agreements with any Federal agency
- Please see Public Law 106-260 for specific detail



Public Law 102-260 continued

Statute: P.L. 106-260, Section 503 (c) (1) (C), Applicant Pool - “has demonstrated, for 3 fiscal years, financial stability and financial management capability. (2) Criteria for determining financial stability and financial management capacity

For purposes of this subsection, evidence that, during the 3-year period referred to in paragraph 1(C), an Indian tribe had no uncorrected significant and material audit exceptions in the required annual audit of the tribe’s self-determination contracts or self-governance funding agreements with any Federal agency shall be conclusive evidence of the required stability and capability”.



Steps in determining financial eligibility

- ✓ Letter to Office of Tribal Self-Governance Director requesting a formal or informal review of audit
- ✓ Financial Analyst will review 3 prior years of Tribal audits from the Audit Clearing House
- ✓ The financial analyst will then submit a Decision Memo (sample on next three slides)



MEMORANDUM

To: Director, Office of Tribal Self-Governance

From: Financial Analyst, Office of Tribal Self-Governance

Subject: Overall Eligibility Determination for SAMPLE TRIBE

ISSUE

The parties negotiated a Compact and FY 2016 Funding Agreement.

This decision memorandum is needed to document the Tribe's overall eligibility to compact under P.L. 106-260, the Tribal Self-Governance Amendments of 2000.



DISCUSSION

Eligibility Criteria

A) Tribal Resolution:

The attached Tribal Resolution No. 123456-14, adopted July 4, 2014, states, in part, that "Sample Tribe hereby requests participation in Tribal Self-Governance".

B) Planning Statement:

The attached Sample Tribe, Resolution No. 123456-14,, adopted July 4, 2014, also states, in part, that "Sample Tribe has conducted Planning to the satisfaction of the Tribe including legal and budgetary research and internal Tribal government planning and organizational capacity".

**C) Financial management capability and financial stability:**

Attached is the eligibility determination document, dated July 5, 2016, on the Tribe's 2012, 2013 and 2014 audits. There were no uncorrected significant and material audit exceptions in the audits of the Tribal Organization's self-determination contracts/self-governance awards for the three years.

RECOMMENDATION

I recommend that you determine, by initialing below, that the SAMPLE TRIBE *has met* all three eligibility criteria to compact under P.L. 106-260, the Tribal Self-Governance Amendments of 2000.

In the event that the parties do not complete negotiations for a self-governance Compact and Funding Agreement within one year, it may be necessary to review the 2016 audit, which is normally due June 30, 2017.

DECISION

Approve: _____ Disapprove: _____ Date: _____



Criteria for Tribal Self-Governance Program

Successful
Connections
Lasting
Partnerships

Planning



Official Request for
Participation

Fiscal Management



Tribal Self-Governance Program Basics: Planning & Negotiation Cooperative Agreements Overview

2017 Tribal Self-Governance Annual Consultation Conference
Spokane Convention Center
Spokane, WA
April 23, 2017

Anna W. Johnson
Program Analyst
Office of Tribal Self Governance
Indian Health Service



Cooperative Agreements

- Grants vs. Cooperative Agreements
- Grant Authority: §25 U.S.C. 5383(e)
- Who can apply?
 - Tribes that have not received a CA;
 - Tribes that received a CA but chose not to enter the TSGP;
 - Existing Self-Governance Tribes that are planning to assume and/or expand current Programs, Services, Functions and Activities (PSFAs).



Eligibility Requirements

Tribal Self-Governance Program

1. Complete Planning Phase
2. Request Participation
3. Demonstrate 3 years of Financial Stability and Financial Management Capability

Cooperative Agreements

1. Federally Recognized Tribe
2. Submit Tribal Resolution(s)
3. Demonstrate 3 years of Financial Stability and Financial Management Capability

Disclaimer: Meeting the eligibility criteria for a Cooperative Agreement award does not mean that a T/TO is eligible for participation in the IHS TSGP under Title V of the ISDEAA.



Award Information

Planning

\$120k

5 awards

One Year

Negotiation

\$48k

5 awards

One Year



Substantial Involvement – Tribal

Planning

- Research and analyze IHS budget
- Establish process to identify PSFAs that could be incorporated into current Tribal programs
- Determine Tribal shares of each PSFA and evaluate current level of services provided

Negotiation

- Determine PSFAs negotiated into Compact and FA.
- Identify Tribal shares associated with PSFAs to be included in FA
- Develop terms & conditions for the Compact and FA



Substantial Involvement – Federal

- Provide descriptions of PSFAs at all levels
- Provide program information & discuss methods used to manage and deliver health care
- Provide statutes, regulations, and policies for administering IHS programs
- Provide technical assistance on IHS budget, Tribal shares, and other topics as needed



Planning Cooperative Agreements

- Gather information on available PSFAs and related funding
- Improve and enhance the healthcare delivery system to better meet the needs of the Tribal community



Planning Activities (examples)

- Attend meetings (ex: Annual Tribal Self-Governance Consultation Conference)
- Hire consultants to conduct research and gather information
- Conduct internal reviews by evaluating policies & procedures
- Train and educate staff, Tribal Council, Board of Directors
- Research & evaluate PSFAs at all organizational levels



Negotiation Cooperative Agreements

- Identify PSFAs to be negotiated into Compact and Funding Agreement (FA)
- Identify Tribal shares to be included in the FA
- Develop terms and conditions of the FA



Negotiation Activities (examples)

- Attend or conduct trainings and meetings
- Travel
- Hire consultants to develop Compact and Funding Agreement
- Review funding tables



Review Criteria

- Introduction & Need for Assistance

25

- Project Objective(s), Work Plan & Approach

25

- Program Evaluation

25

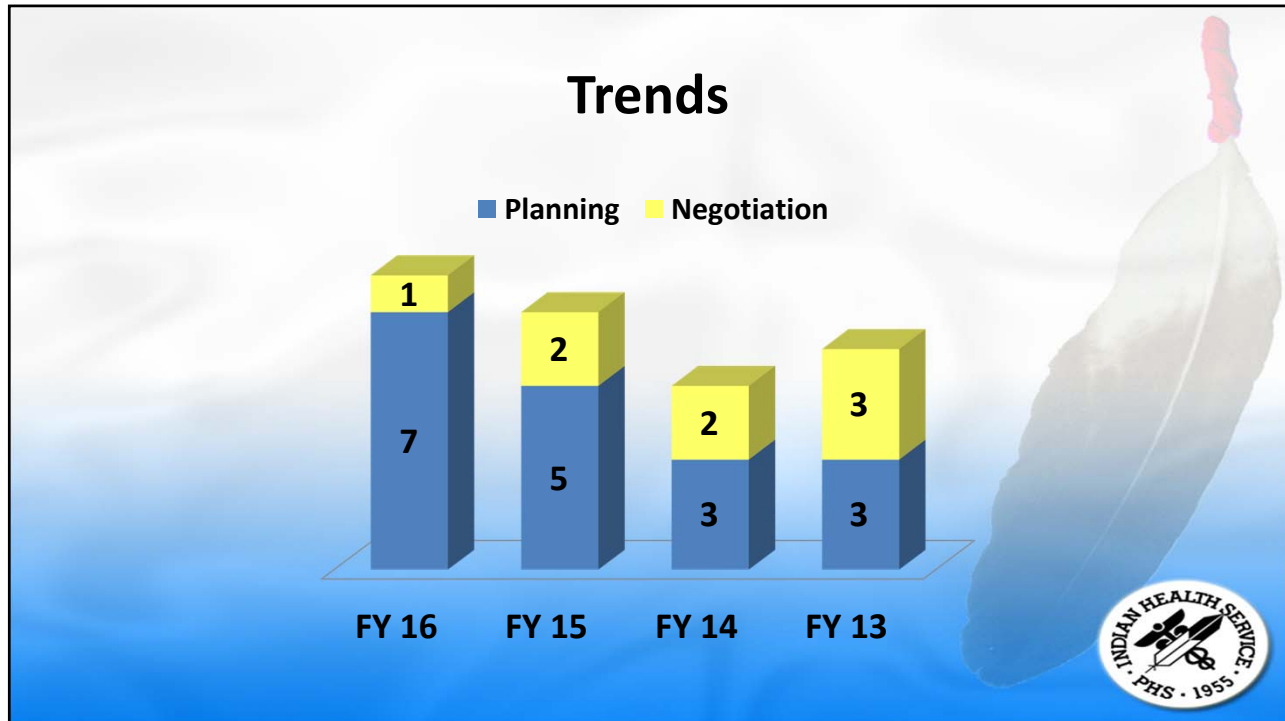
- Organizational Capabilities, Personnel & Qualifications

15

- Categorical Budget & Justification

10





Resources

- Division of Grants Management: www.ihs.gov/dgm
- OTSG: www.ihs.gov/selfgovernance
- Contact:
 - Anna Johnson, Program Officer, OTSG
 - Phone: (301) 443-7821
 - Email: Anna.Johnson2@ihs.gov



Tribal Management Grant Program FY 2017

2017 Tribal Self-Governance Annual Consultation Conference
Spokane Convention Center
Spokane, WA
April 23, 2017

Marvin Kee
Analyst
Office of Direct Service and
Contracting Tribes
Indian Health Service



Purpose

The overall purpose of the TMG program is to assist Federally-recognized Indian Tribes and/or Tribal organizations (T/TO) in assuming all or part of existing IHS programs, services, functions and activities (PSFAs) to further develop and improve their health management capability.



Tribal Management Grant (TMG) Awards Cycle

- April: Announcement in Federal Register
- June: Application Due Date
- Late June: Review
- July: Application Scoring / Rank Listing Prepared
- August: Notification Letters Issued
- September: Notice of Grant Award Issued



Section II Award Information

- Estimated Funds Available: \$2,412,000
- Anticipated Number of Awards: 16-18
- Project Periods: varies 1-3 years
- Estimated Award Amounts: \$50,000 - \$ 100,000/year;
refer to Maximum Funding and Project Periods for more
information
- Eligible Project Types: 4



Section III Eligibility/Project Information

Any federally recognized Indian Tribe or Tribally sanctioned Tribal organization

Tribal organizations that operate mature contracts that are designated by a Tribe to provide technical assistance and/or training.



Eligible Project Types/Maximum Funding and Project Periods

- Feasibility – up to \$70,000 and 1 year
- Planning – up to \$50,000 and 1 year
- Evaluation – up to \$50,000 and 1 year
- Health Management Structure – average \$100,000/year (not to exceed \$300,000 for 3 years)



Priority Levels

The IHS has established the following funding priorities for TMG Awards. There is no set aside for priorities.

- Priority I – Any Indian Tribe that has received Federal recognition within the past 5 years (March 2012)
- Priority II – T/TO with the sole purpose of addressing audit material weaknesses
- Priority III – Eligible Direct Service and Title I T/TO.
- Priority IV – Eligible Title V Self Governance T/TO



Section IV Application and Submission Information

- Application packet may be found at www.Grants.gov
- Project narrative is required and should be a separate Word document
- Budget Narrative is required and must include a line item budget with a narrative justification for all expenditures



Funding Restrictions

- TMGs may not be used to support recurring operational programs or to supplant existing public and private resources. Exception allowed for charging percentage of salaries for staff involved in implementing TMG grant
- Please review Ineligible Activities listed in announcement that render the application ineligible



Electronic Submission Requirements

- www.Grants.gov
- Customer Support:
<http://www.grants.gov/web/grants/support.html>
- DUNS - Dun & Bradstreet Uniform Numbering System (DUNS)
- System Award Management (SAM) replaces (CCR)
<https://www.sam.gov>



Questions

Kenneth Coriz, Program Analyst

301-443-5668

Kenneth.coriz@ihs.gov



Thank you!

Office of Direct Service and Contracting

Tribes:

301-443-1104

<http://www.ihs.gov/odsct>



Title V Negotiations

2017 Tribal Self-Governance Annual Consultation Conference
Spokane Convention Center
Spokane, WA
April 23, 2017

Aaron Lane
Program Analyst
Office of Tribal Self Governance
Indian Health Service



Presentation will address:

- Common features in ISDEAA agreements
- Benefits of compacting
 - What a compact and funding agreement are
- Who negotiates
- Negotiation cycle



Common Features of ISDEAA Agreements:

- Tribes can contract for any IHS program, service, function, or activity (or portion thereof) that is not inherently federal or congressionally restricted (earmarked).
- The funding associated with these PSFAs includes:
 1. Funding the Secretary would have otherwise spent, plus
 2. “Contract support costs” which are an amount for the reasonable costs for activities which must be carried out by the contractor to ensure “compliance with the terms of the contract and prudent management.”



BENEFITS OF COMPACTING

- Participation in the TSGP affords Tribes the most flexibility to set its own health care priorities and tailor health care services to the needs of their communities when assuming IHS PSFAs.
- A Tribe or Tribal Organization may redesign or consolidate PSFAs and reallocate or redirect funding without IHS approval in accordance with the ISDEAA.
- Strong Federal-Tribal partnerships have been critical to the continued success of Title V and the TSGP.
- No routine monitoring is required.
- Tribally-Driven Negotiations



COMPACT AND FUNDING AGREEMENT?

- Both documents are necessary to participate in the IHS Tribal Self-Governance Program
- Compact: Sets forth the general terms of the nation-to-nation relationship between the Tribe and the HHS
- Funding Agreement:
 - Describes the length of the agreement
 - Identifies Programs, Services, Functions or Activities (PSFAs), or portions thereof, that the Tribe will assume and funding associated with those PSFAs.

9/28/2014



WHO NEGOTIATES FOR THE GOVERNMENT?

- IHS negotiation teams are lead by an **Agency Lead Negotiator (ALN)**.
- Supported by Federal negotiation team, including OTSG program and financial analyst and member of the Office of the General Counsel.



WHO NEGOTIATES FOR THE TRIBE/TO?

Who will be your lead negotiator?

Examples: Tribal Chair, member of Tribal Council, Health Director/CEO

Who might be on your negotiation team?

Examples: In-house or outside legal counsel, finance, program directors, consultants, others?



4 STAGES OF THE NEGOTIATION CYCLE

1. Planning
 - Eligibility and mandatory planning phase for new Tribes
 - Program assessment and possible additional assumptions
2. Pre-Negotiation
 - Discuss PSFAs, financial tables, and draft documents
 - Preparation of draft compact and FA
3. Final Negotiations
 - Resolution of remaining issues from pre-negotiation stage
 - Agreement on final documents
4. Post-Negotiations
 - Document processing & payment



PLANNING

- Gathering information on available PSFAs and associated funding
- Review and develop plans to enhance the healthcare delivery system to better meet the needs of community
- Also includes: legal and budgetary research, training and educating staff, Tribal council, and Board of Directors



PLANNING COMPLETION

- 42 C.F.R. Sec. 137.20--The planning phase must be conducted to the satisfaction of the Indian Tribe and must include:
 - a. Legal and budgetary research; and
 - b. Internal Tribal Government planning and organization preparation relating to the administration of health programs.



PRE-NEGOTIATION STAGE

This stage is the most work.

- Drafting or editing the compact & FA
- Active discussion by negotiation teams:
 1. Issues identified from planning
 2. Draft compact, FA, and funding tables
- “Pre-negotiations”: in-person or by phone, both negotiation teams meet to discuss any questions or concerns regarding the documents and tables prior to final negotiations.



FINAL NEGOTIATIONS

- Negotiation teams work together to reach agreement on the final documents.
- OTSG recommends in-person negotiations for Tribes new to the program.
- Once agreement on the final documents has been reached, two final copies are signed by the Tribe and provided to the ALN.



POST NEGOTIATION

- The Tribe/TO signs the final documents and returns them to the ALN.
- The ALN then:
 - Reviews the documents
 - Packages them with the supporting documents,
 - Submits package to HQ for processing and signature by the IHS Director or designee
- Once the compact and Funding Agreement are signed by both parties, they become legally binding and enforceable.



Selected Portions of 25 USC § 5381 Tribal Self-Governance



25 U.S.C § 5381 (A)(4)

INHERENT FEDERAL FUNCTIONS

- The term “inherent Federal functions” means those Federal functions which cannot legally be delegated to Indian tribes.



25 U.S.C § 5381 (A)(8)

TRIBAL SHARE

- The term “tribal share” means an Indian tribe’s portion of all funds and resources that support secretarial programs, services, functions, and activities [PSFA] (or portions thereof) that are not required by the Secretary for performance of inherent Federal functions.



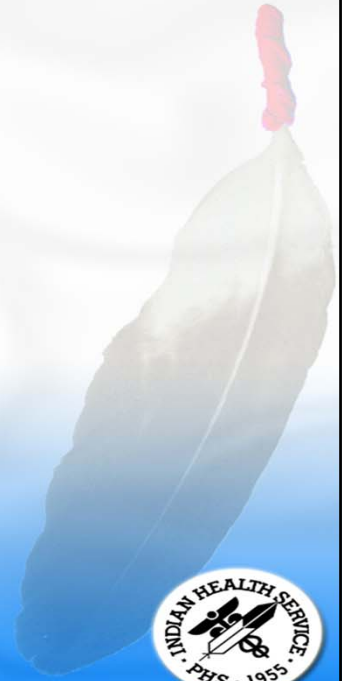
QUESTIONS?

Thank you!

Office of Tribal Self-Governance:

301-443-7821

<http://www.ihs.gov/selfgovernance>





U.S. Department of Health and Human Services

Indian Health Service

IHS Headquarters



**OFFICE OF TRIBAL SELF-GOVERNANCE
FUNDS MANAGEMENT SYSTEM**

REPORTS USER GUIDE

Application URL: <https://www.ihs.gov/OTSGFM/index.cfm>
Document Name: OTSGFM Reports User Guide.doc
Revision Date: April 18, 2017
Written By: Carla Mayo

Note: Revised April 18, 2017

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Introduction

Effective August 5, 2015, the Office of Tribal Self-Governance launched and implemented the OTSG Funds Management (OTSGFM) System. This new system replaces the former OTSG Database, which is no longer active and cannot be accessed. However, all of the information from the former database has been transferred to the new system. Below are specific details on how to register and access the new OTSGFM system, which requires all users to sign up for a new account.

New Features

The new features built into the OTSGFM system enable the program to be more user-friendly, improving the systems resourcefulness and functionality. Specifically, the new OTSGFM system utilizes the standard IHS web account logon system and is integrated with the pre-existing IHS infrastructure. This enables users to have log-in consistency throughout the IHS Internet and Intranet systems. Additional new features include:

- Message/Broadcast Board -this display features important updates on the OTSGFM system login page such as advanced notice of system maintenance.
- Amendment/Payment Numbers Report -this new report clearly tracks Amendment numbers with the associated Payment Number.
- Frequently Asked Questions (FAQs) -this section offers a comprehensive history of the OTSGFM system, how it works and other important answers to questions.

Changes and Updates

While the systems have changed, our process remains the same. The OTSG will continue to send routine amendments and payment documents via email. Additionally, the existing forms remain the same with the following enhancements:

- Identifiers such as the Catalogue of Federal Domestic Assistance (CFDA) Program Number (93.210) and the Data Universal Numbering System (DUNS) Numbers on the Obligation/Disbursement Authorization Form OTSG-870 (9/98).
- Revised column titles on the Cumulative Funding Reports (CFR). The CFR now lists "Area Office Tribal Shares" and "Headquarters Tribal Shares" instead of "Area" and "Headquarters."
- Expanded fields for Object Class Code to enable five digits rather than four digits.
- Enhancing the export feature to generate reports in Microsoft Excel format.

Technical Explanation

The web-based OTSGFM system continues to enable users to access the data from any personal computer connected to the Internet. The application is written in the ColdFusion programming language using cutting edge technologies such as AJAX and JQuery with the SQL Server

relational database as the computer data storage ("back-end") and implements the OTSG Funds Management functional process logic ("business rules").

Federal regulations require the IHS to report Indian Self-Determination and Education Assistance Act (ISDEAA) financial data through the Tracking Accountability in Government Grants System (TAGGS). This updated system has the functionality to report data to TAGGS as required by the Federal Funding Accountability and Transparency Act, as well as, the Digital Accountability and Transparency Act of 2013. The OTSGFM system has the data storage (database) for ISDEAA Title V separated from the one currently shared with the IHS Self-Determination Database (SDDB) application for ISDEAA Title I. The TAGGS submission process reports OTSG data separately from the SDDB.

With the help of the OTSG Database Workgroup, comprised of Tribal and Federal experts, we completed these significant enhancements during this fiscal year. The Workgroup actively reviewed recommendations and offered recommendations for the new OTSGFM system. On behalf of the OTSG, I extend our appreciation to these experts for their contributions to the development of the new OTSGFM system.

If you have any questions about the OTSGFM, please contact Carla Mayo or Steve Plumer at (301) 443-7821 or by email at carla.mayo@ihs.gov or steven.plumer@ihs.gov. Thank you for all that you do in our joint efforts to make the OTSG Database a helpful resource.

1.1 – Access and Getting Started

How to Register and Access the Indian Health Service Office of Tribal Self- Governance Financial Management System

For security purposes, Tribal access for Funding Agreement data in the Indian Health Service (IHS) Office of Tribal Self-Governance Financial Management (OTSGFM) system will be limited to authorized users identified by each Tribe or Tribal organization. There is no cost and no limit of users.

Please provide the following information to the appropriate Tribal users registering for an IHS Web Account to access the OTSGFM System.

Step 1: Registering for an IHS Web Account

https://www.ihs.gov/generalweb/webapps/webprofile/register/indexpop2.cfm?ihs_component=webaccount&newquery=1&rs=https://www.ihs.gov/OTSGFM/index.cfm

- The Tribal user must create his or her own username and password. Please note the former username and password for the OTSG Database is non-transferrable.
- The IHS web account registration page refers to the "website administrator." In this case, the title is synonymous with OTSGFM System Administrators (Carla Mayo & Steve Plumer). After the Tribal user registers for an IHS web account, the Tribal user or Tribal Self-Tribal Governance Coordinator must notify the OTSGFM System Administrators (Carla Mayo & Steve Plumer) that the authorized user has completed the required registration steps.

Step 2: Accessing the OTSGFM System

Please provide the list of Tribal users with their name and email address to one of below the OTSGFM System Administrators.

- For the California, Great Plains, and Phoenix Areas email Carla Mayo at carla.mayo@ihs.gov
- For Bemidji, Portland and Tucson Areas email Steve Plumer at steven.plumer@ihs.gov
- For Albuquerque, Billings, Nashville, Navajo, and Oklahoma City Areas email Debra Gould at debra.gould@ihs.gov
- For Alaska Area email Lanie Fox at lanie.Fox@ihs.gov

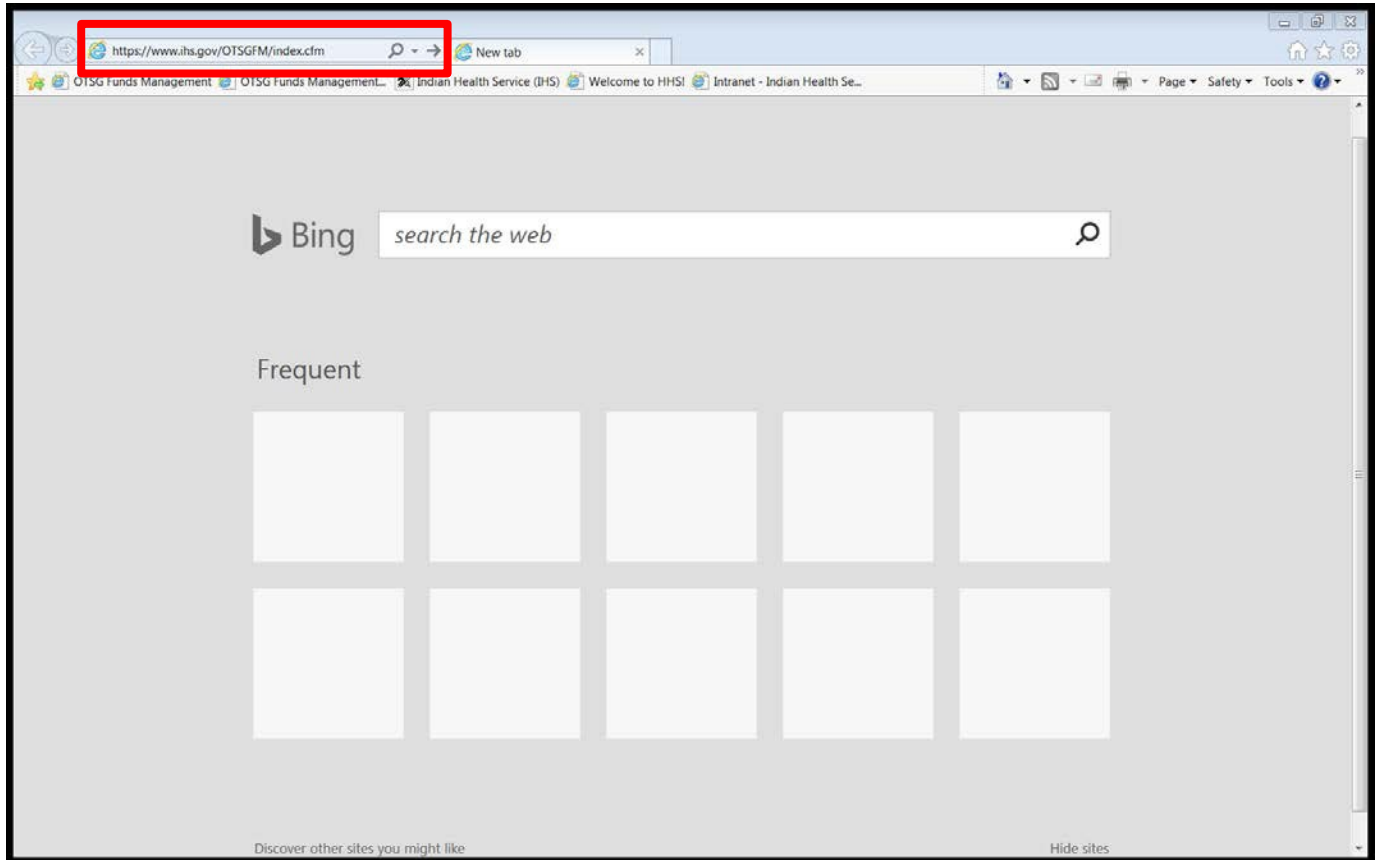
Upon receipt of the Tribal user's verification of the completion of registration for an IHS web account, one of the OTSGFM System Administrators will provide access to the OTSGFM System to the authorized Tribal user.

As an added security measure, passwords will automatically expire after 90 days; this measure limits access to your financial information on the OTSGFM system.

1.1 Getting Started

Open Internet Explorer, and enter the website address, <https://www.ihs.gov/OTSGFM/index.cfm>.

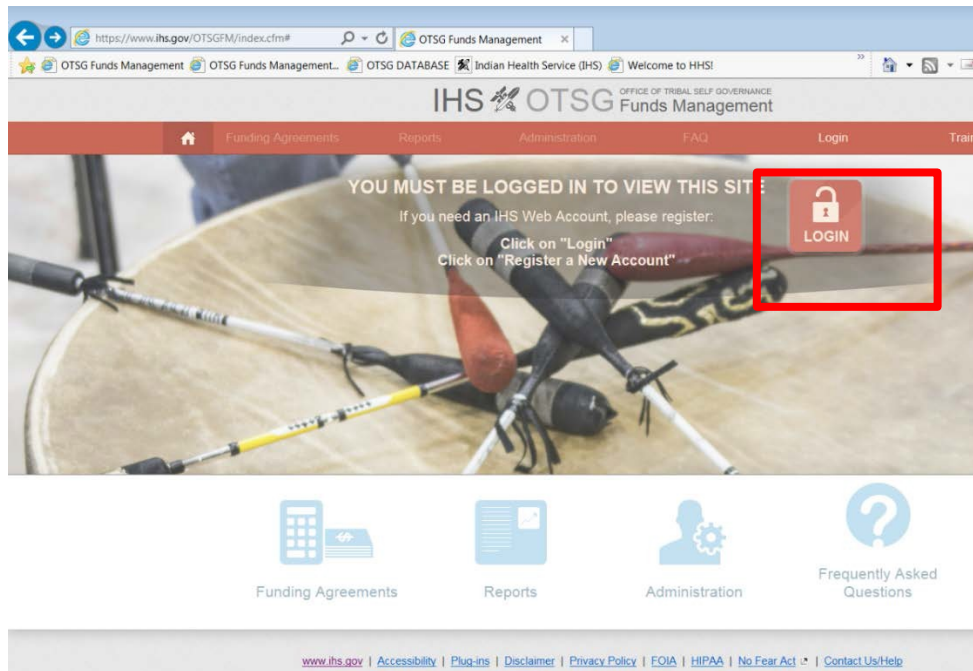
NOTE: If you expect to generate reports frequently, you may want to add the website to your favorites, or create a shortcut.



2.0 – Sign On

After you enter the website address and press Enter, you will be automatically redirected to the secure login page. You can verify that the website is secure by ensuring the website address begins with https://.

Click on the LOGIN Icon.



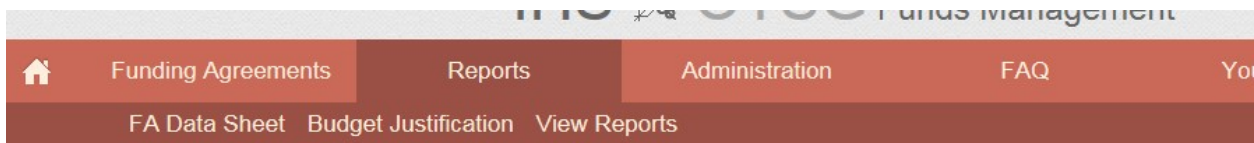
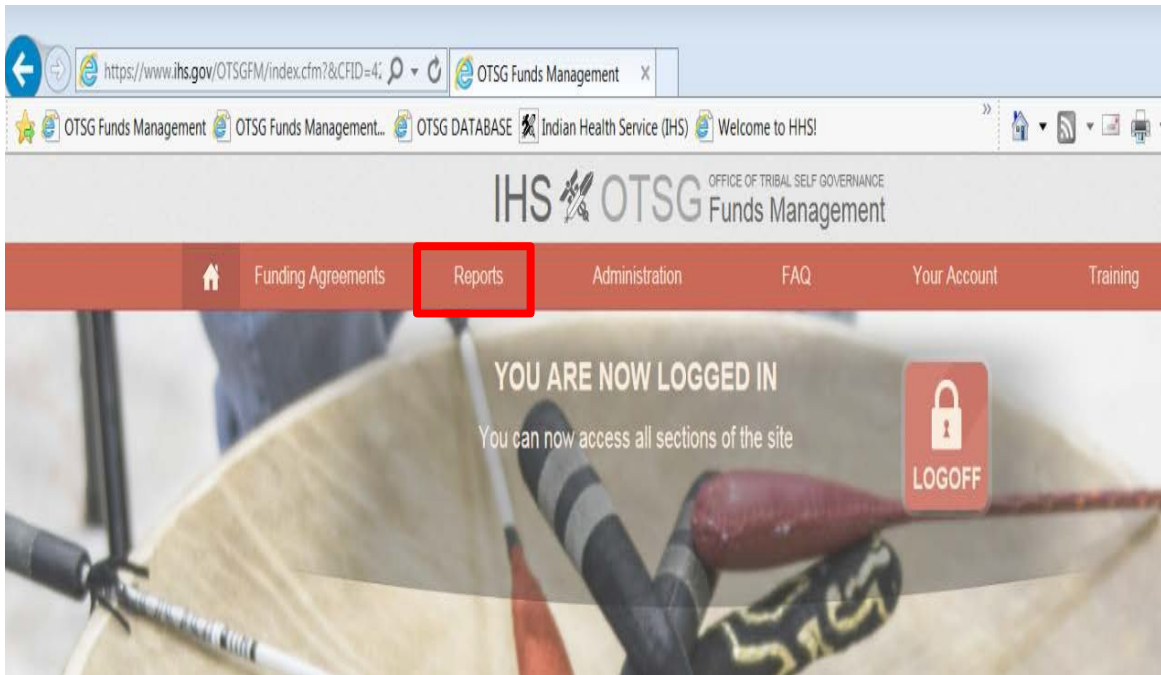
Enter Username and Password > Click on Submit

NOTE: At the bottom of the page, there is a link to change your password.

A screenshot of the login form on the website. The form is titled "Login" and includes a legend: "* Indicates Required Field(s)". There are two input fields: "* Username:" and "* Password:", both highlighted with red boxes. Below the input fields are two buttons: "Submit" and "Reset", with the "Submit" button highlighted by a red box. At the bottom of the form, there are two links: "Register a New Account" and "Forgot Password", with the "Forgot Password" link highlighted by a red box. The top of the form shows a partial view of the website's navigation menu with "Funding Agreements" and "Reports" visible.

3.0 – Main Menu

After you sign on, you will see the Main Menu page. Be sure to read any announcements that appear at the top of the page. To continue, click on Reports > Click on View Reports link



Reports

[View Reports:](#)

View Reports allows the User to view area(s) and tribe(s) reports according to his level of permission.

4.0 – Reports Menu

Congratulations, you have made it to the Reports Menu page! Depending which report you would like to generate, select the appropriate values from the dropdown boxes, and then click on the report link. For example, to generate the Amendment Detail report, select the desired FA Number, Budget Period, and Amendment, and then click the Amendment Detail link.

Amendment/Payment Reports

Select FA Number:	<input type="text" value="64G940009 - Confederated Tribes of..."/>
Select Budget Period:	<input type="text" value="13 - 01/01/2009 - 12/31/2009"/>
Select Amendment:	<input type="text" value="01 - approved: 01/29/2009 - effective: 01/21/2009"/>
Select Payment:	<input type="text" value="02 - approved: 01/29/2009 - effective: 01/21/2009"/>

[Amendment/Payment Numbers](#)

[Amendment Detail](#)

[Amendment Summary](#)

[Retained Services](#)

[Cumulative Funding](#)

[Recurring Funding](#)

[Non-Recurring Funding](#)

Attachments:

[64G940009-Am01-Pay02.pdf](#)

[Payment Detail](#)

[Payment Summary](#)

5.0 – Report Viewer

As soon as the report is generated, it will display in your browser window. It is suggested that you maximize the browser window to see as much of the report as possible. You can use the report viewer to scroll up and down. In the next sections, we will discuss how to save, and print.

AMENDMENT NUMBER 01
to the CY 2009 Funding Agreement
between the
Confederated Tribes of Siletz Indians of Oregon
and the
United States of America
Department of Health and Human Services

[Return to Selection](#)

Export [\[Excel\]](#) [\[PDF\]](#)

The Multi-Year Funding Agreement 64G940009, effective January 1, 2008 through December 31, 2010, between the Confederated Tribes of Siletz Indians of Oregon and the United States of America, Department of Health and Human Services, is hereby amended as follows:

Sub Sub Activity	Previous FA Total	Increase (Decrease)	Amended FA Total
Catastrophic (CHEF)	\$0	\$41,893	\$41,893
EFFECT ON FA AMOUNT/PAYMENTS			

6.0 – Export a Report

To save or print a report, you must first export it by clicking either Excel or PDF links. For example, to export to a PDF file format, click on the PDF link.

***** PLEASE NOTE: *****
Reports print best in Acrobat (PDF) format. While Excel format is available for all reports, it is most helpful in downloading tabular data such as the Amendment Summary and Payment Summary reports.

AMENDMENT NUMBER 01
to the CY 2009 Funding Agreement
between the
Confederated Tribes of Siletz Indians of Oregon
and the
United States of America
Department of Health and Human Services

[Return to Selection](#)

Export [\[Excel\]](#) [\[PDF\]](#)

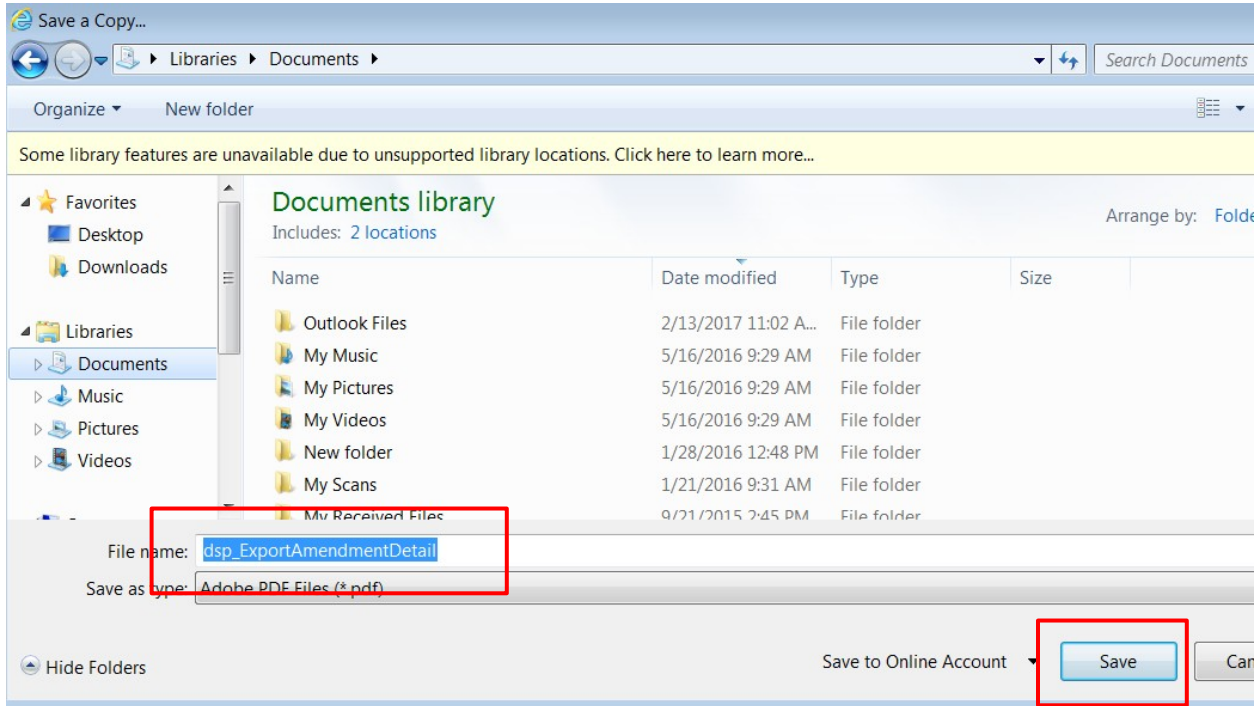
The Multi-Year Funding Agreement 64G940009, effective January 1, 2008 through December 31, 2010, between the Confederated Tribes of Siletz Indians of Oregon and the United States of America, Department of Health and Human Services, is hereby amended as follows:

Sub Sub Activity	Previous FA Total	Increase (Decrease)	Amended FA Total
------------------	----------------------	------------------------	---------------------

Report will open in PDF and with an option to Save or Print the report.

7.0 – Save a Report

To save a report, first export the report as described above, click Save Icon or Ctrl+Shift+S, and you will be prompted for the filename and destination. Enter the desired values and click Save again.



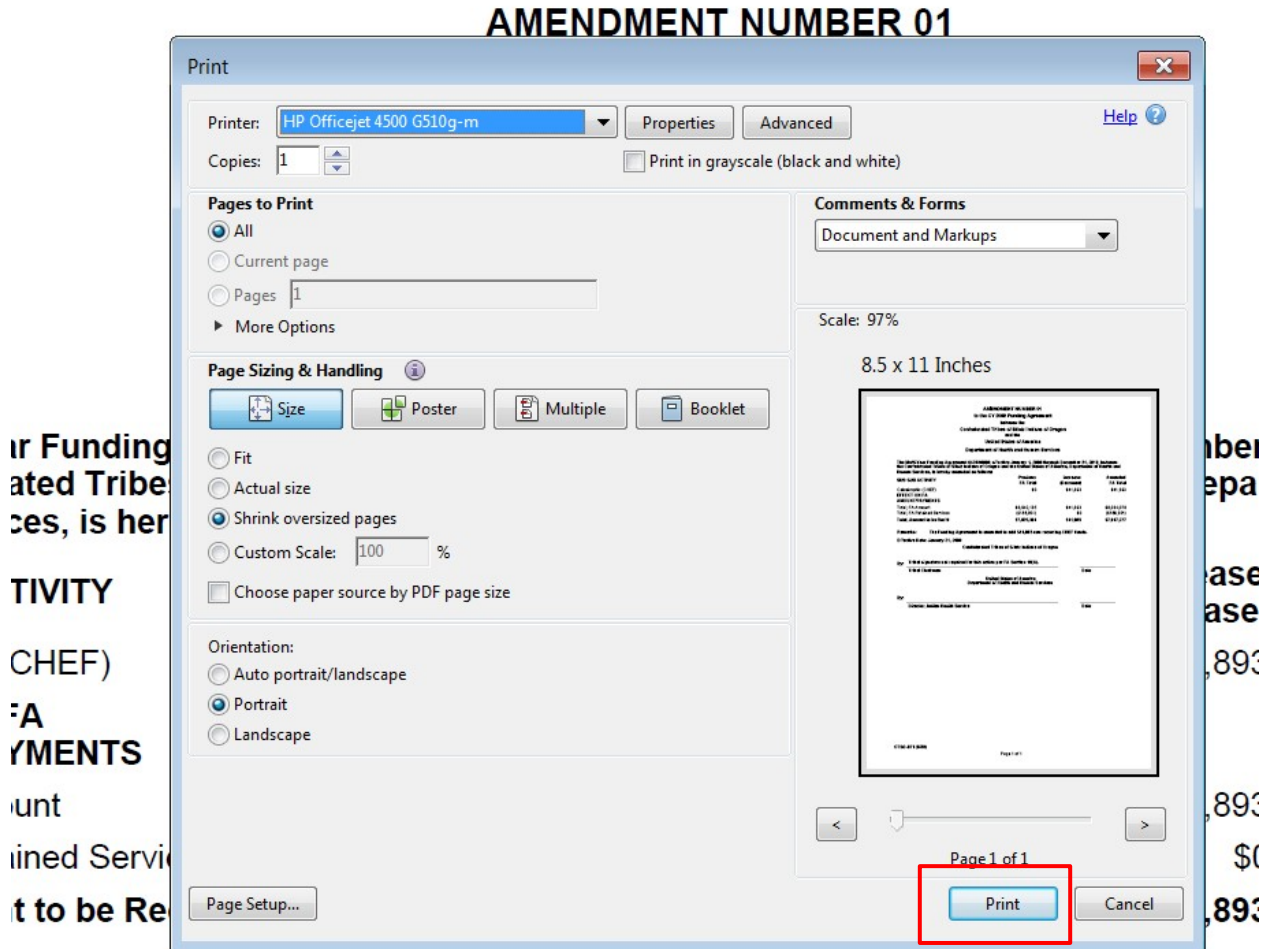
FA Total	
Catastrophic (CHEF)	\$0
EFFECT ON FA AMOUNT/PAYMENTS	
Total, FA Amount	\$8,042,185
Total, FA Retained Services	(\$166,801)
Total, Amount to be Rec'd	\$7,875,384

Remarks: The Funding Agreement is amended to add \$41,893 non-r
Effective Date: January 21, 2009

Confederate Tribes of Siletz Indians of C

8.0 – Print a Report

To print a report, first export the report as described above, then click Printer Icon or Ctrl+P > Click Print again.



The Funding Agreement is amended to add \$41,893 non-recurring CHEF funding for the period of January 21, 2009

Confederated Tribes of Siletz Indians of Oregon

9.0 – Attachments

To view Attachments simply select FA Number, Budget Period, and Amendment from drop down menu > Click on the Attachments link.

Amendment/Payment Reports

Select FA Number:

Select Budget Period:

Select Amendment:

Select Payment:

[Amendment/Payment Numbers](#)

[Amendment Detail](#)

[Amendment Summary](#)

[Retained Services](#)

[Cumulative Funding](#)

[Recurring Funding](#)

[Non-Recurring Funding](#)

Attachments:

[64G940009-Am01-Pay02.pdf](#)

[Payment Detail](#)

[Payment Summary](#)

Click either Open or Save to view or save Attachment

[Cumulative Funding](#)
[Recurring Funding](#)
[Non-Recurring Funding](#)

Attachments:

[64G940009-Am01-Pay02.pdf](#)

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Do you want to open or save **64G940009-Am01-Pay02.pdf** from **ihs.gov**?

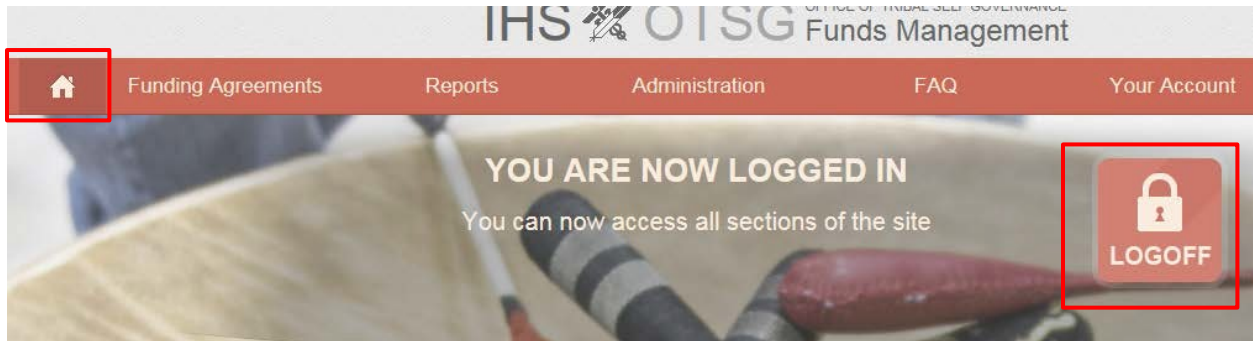
Open

Save

Cancel

10.0 – Sign Off

When you are finished generating reports, remember to sign off by clicking the Home Icon then click the LOGOFF Icon.



Click Yes

Logged in
Current Time

Wednesday 05 April, 2017 1:29 PM
1:37 PM

Are you sure?

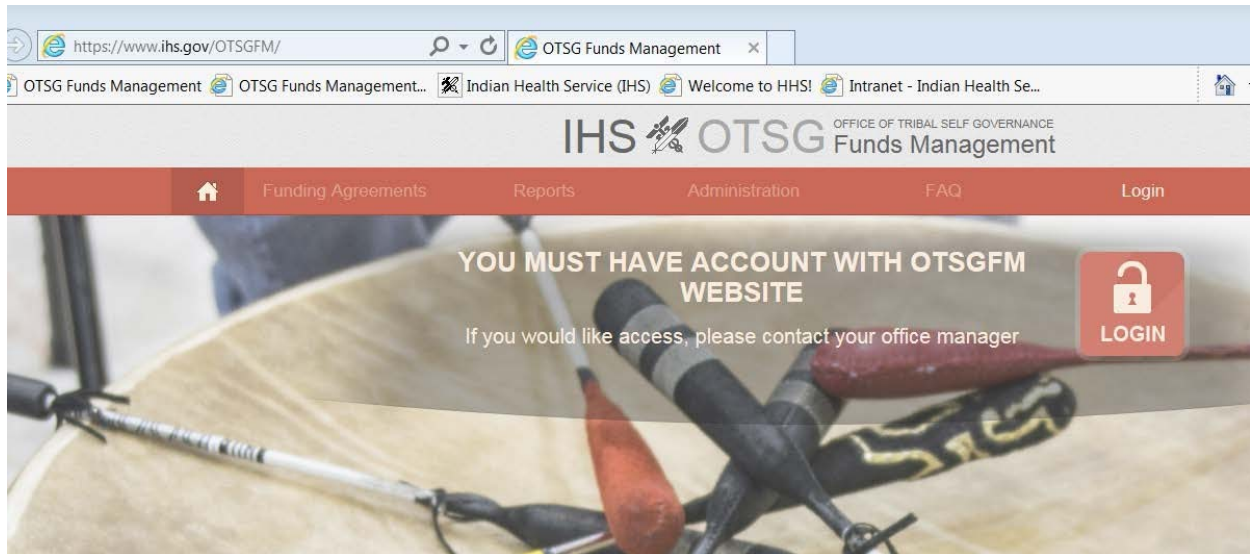
check to delete all IHS cookies

Click Return

Last Login
Current Time

Wednesday 05 April, 2017 1:29 PM
1:39 PM

When your signoff is complete, you will be returned to the signon page. From there, you may close the browser tab or window. Thank you for using the Office of Tribal Self-Governance Funds Management System!



11.0 – Acknowledgements

A special thank you to the Confederated Tribes of Siletz Indians of Oregon for permission to use their report data as an example in this User Guide.