

OFFICE OF POLICY AND MANAGEMENT

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To: The Heads of All State Agencies

Attention: Chief Administrative Officer, Chief Fiscal Officer or Business Manager

Subject: Policy and Procedures for Grant Applications and Allotment of Grant-Related Funds

Date: July 28, 2014

- I. **Purpose** – To provide policy guidance and procedures for federal and private grant applications and allotment of grant-related funds. In an effort to reduce paperwork and streamline workflow, paper processes have been automated, and instructions herein replace and supersede previous guidance on the topic. The automated process will also support compliance with reporting required by Public Act 13-294 (CGS Sec. 4-31d).
- II. **Authority**
 - a. CGS Sec. 3-39a. Funds to be paid state recorded as receivables.
 - b. CGS Sec. 4-31a. Gifts, contributions, trust income placed in General Fund.
 - c. CGS Sec. 4-31d. System to track federal and alternative grant funding. Liaisons. Report.
 - d. CGS Sec. 4-66a. Secretary to advise Governor and General Assembly on matters concerning local government and matters affecting the state. Planning, management and technical assistance for local governments. Federal financial assistance and funds, and financial assistance and aid from private sources.
 - e. CGS Sec. 13a-166. Federal grants recorded as receivables.
- III. **Rescission of Prior Guidance** – Effective August 1, 2014, OSC memorandum 97-51 is rescinded.
- IV. **Applicability**
 - a. This policy guidance is applicable to all discretionary or competitive federal and private grant funds that fall under the State Accounting Manual definition for Fund 12060 – Federal and Other Restricted Activities.
 - b. Exemptions. The following funds are exempt from the procedures in this memorandum, but agencies are reminded that the requirements of General Letter 185 still apply:

- i. Funds for federal entitlements and mandatory programs (e.g., Medicaid, CHIP, SNAP and SNAP Administration, Title IV-E, Title IV-D, Independent Living, Child Support, Promoting Safe and Stable Families, Prevention and Public Health Fund, Vaccines for Children, Child Nutrition);
- ii. Federal block grants (e.g., Temporary Assistance to Needy Families, Child Care and Development Block Grant, Social Services Block Grant, Low Income Home Energy Assistance Program, Substance Abuse Prevention and Treatment Block Grant, Community Mental Health Services Block Grant, Preventive Health and Health Services Block Grant, Community Services Block Grant, Maternal and Child Health Block Grant);
- iii. Federal funds that are formula-based (e.g., Ryan White HIV/AIDS, Child Welfare Services, Refugee Assistance);
- iv. Federal disaster funding;
- v. Federal grants for construction, planning, design, preliminary engineering, or purchase of land in connection with highways and bridges; and
- vi. Funds that do not fall under the State Accounting Manual definition for Fund 12060 – Federal and Other Restricted Activities, including bond funds, higher education operating funds, and fundraising by the constituent units of higher education.

A list of accounts (SIDs) currently coded to Fund 12060 – Federal and Other Restricted Activities that are exempt from the procedures in this memorandum and which will continue to be made available via Allotment of Appropriation Request Form (B-107) is attached. Requests for addition of new SIDs to this list should be directed to the agency's assigned OPM analyst.

- c. Questions about applicability should be directed to the agency's assigned OPM analyst.

V. Procedures

- a. Effective date. Effective August 1, 2014, paper processes will be replaced with an automated system. The following procedures are to be followed by agencies seeking or in receipt of federal and private grants that are subject to this memorandum:
- b. Notification of Intent to Apply for Federal or Private Grant Funds.
 - i. New Grant Applications. No later than five (5) working days prior to application for all federal and private grants, either advance funded or recorded as receivables, and regardless of dollar amount, agencies are required to notify the Office of Policy and Management of their intent to apply for such funds. **On and after August 1, 2014, notification must be provided using the automated system; paper "Notification of Intent" forms will no longer be accepted.** Agencies must complete all applicable elements of the notification and grant award portions of the automated system before funds will be made available.

ii. Existing Grant Applications. For applications prior to August 1, 2014, that have not yet been approved by OPM or by the federal/private funder (“in-process” applications), agencies do not need to take any action at this time. If the application is successful and results in a grant award, however, agencies will need to re-enter the NOI information in the new automated system, even though the NOI has previously been approved by OPM; OPM will work with agencies to expedite approval in such cases. Agencies must also submit a grant award report in the automated system (see below).

c. Grant Award Reports.

i. New Grant Awards. After OPM approval of the Notification of Intent, agencies may submit applications for federal or private grant funding. Upon grant award, agencies must complete the Grant Award Report portion of the system and secure OPM and OSC approval for establishment or adjustment of any receivables. **On and after August 1, 2014, submissions must be made using the automated system; paper “Grant Award Report” forms will no longer be accepted.** The Allotment of Appropriation Request Form (B-107) is not required for funds to be made available, but funds will only be made available upon completion and acceptance by OPM of the required notifications via the automated system. Note that OSC will not accept any requests for establishment of receivables for grants that have not met the OPM notification requirements.

ii. Existing Grant Awards. Existing grant awards and Grant Award Reports that are submitted to OPM prior to August 1, 2014 will continue to be handled as before—agencies do not need to re-enter the information in the new automated system except as noted in paragraph V.b.ii above. Requests to adjust receivables for such grants (increases or decreases) will continue to be made as before (i.e., in paper or electronic mail format). Agencies may elect to use the new automated system to adjust receivables for these grants; this will entail entering NOI information, even though the grant application was previously submitted. (OPM will work with agencies to expedite approval of the NOI in such cases.) Note that all Grant Award Reports submitted on or after August 1, 2014, must be entered into the automated system, and any establishment or adjustment of receivables for such grants must be made in the automated system.

d. Instructions for accessing and using the automated system for grant application notifications and grant award reports are available on the OPM website at:

http://www.ct.gov/opm/cwp/view.asp?a=2965&Q=508082&&opmNav_GID=1793.

VI. **Definitions** – The following definitions are provided for clarification purposes:

a. Advance Funding by the Federal Government – The Federal government advances funds on a monthly, quarterly, annual or other basis to finance grant activities.

- b. Federal Receivables – Receivables established to support grant activities where a Federal grant or contract provides for reimbursement after expenditure or where advance funding procedures are deemed impractical. Sections 3-39a and 13a-166 of the General Statutes provide for the establishment of appropriations prior to receipt of Federal funds.
- c. Other Than Federal Advance Funding – Non-Federal grantor advances funds on a monthly, quarterly, annual or other basis to finance grant activities. This covers gifts, donations, grants, and contracts restricted to a particular purpose other than those related to the Federal government.
- d. Other Than Federal Receivables – Subject to review by OPM and acceptance by the Comptroller, receivables can be established for non-Federal grants in the same manner as for Federal grants.

VII. Other References

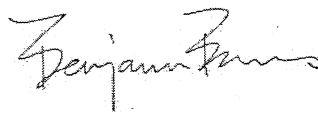
- a. General Letter 185 – Allotments for Non-Budgeted Funds (updated and revised July 28, 2014).
- b. State Accounting Manual – Grants.

VIII. Questions – Direct questions to:

- a. Office of the State Comptroller – Julie Wilson, 860-702-3377, Julie.Wilson@ct.gov.
- b. Office of Policy and Management – assigned analyst.



Kevin Lembo
State Comptroller



Benjamin Barnes
Secretary, Office of Policy and Management

Attachment

Funds Coded to Federal and Other Restricted Activities – Fund 12060 Exempt from Grant Application and Award Reporting Procedures

| Fund | Dept | SID | Title |
|-------|----------|-------|-------------------------------------|
| 12060 | DAG42500 | 20736 | WIC Fresh Produce |
| 12060 | DAG42500 | 20745 | Senior Farmers Market Nutritn |
| 12060 | DOH46900 | 20687 | HUD Emergency Solutions |
| 12060 | DOH46900 | 20691 | SSBG Protect Srvc's Children |
| 12060 | DOH46900 | 20710 | SSBG Indep Transit Living Svcs |
| 12060 | DOH46900 | 20717 | SSBG Housing Services |
| 12060 | DOH46900 | 20808 | Section 8 Moderate Rehab |
| 12060 | DOH46900 | 20813 | HUD Sect. 8 Housing Vouchers |
| 12060 | DOH46900 | 21051 | Housng Opportunit's-Persns/Aids |
| 12060 | DOH46900 | 22269 | HUD Housing for Pers.w/ Disab. |
| 12060 | DOH46900 | 22636 | Single Room Occupancy (SRO) |
| 12060 | AES48000 | 20731 | Mchale 900-249 |
| 12060 | AES48000 | 20737 | Plant Science Mcintire Stennis |
| 12060 | DPH48500 | 20289 | Water Supply Supervision |
| 12060 | DPH48500 | 20377 | Srvy Epidemiology & End Result |
| 12060 | DPH48500 | 20698 | Family Day Care Home Licensing |
| 12060 | DPH48500 | 20833 | Medicine Facilities Certifictn |
| 12060 | DPH48500 | 20892 | Special Supplemental Food WIC |
| 12060 | DPH48500 | 21076 | Drinkng Watr Loan Prg-Set Asid |
| 12060 | DPH48500 | 21081 | Drinkng Water Loan Prog Mngmnt |
| 12060 | DPH48500 | 21085 | DWSRF 2% Tech Assist Set-Aside |
| 12060 | DPH48500 | 21088 | Local Assistnce Set-Aside Acct |
| 12060 | DPH48500 | 21530 | Prev Hlth Hlth Srvc's Blck Grnt |
| 12060 | DPH48500 | 21531 | Maternal/Child Hlth Block Grnt |
| 12060 | DPH48500 | 21915 | Local Agcy Tech Asst Fund |
| 12060 | DPH48500 | 22402 | Matrnl, Infant and Early Child |
| 12060 | DPH48500 | 22467 | DWSRF Construction Subsidy |
| 12060 | DPH48500 | 22627 | Strengthening Public Hlth Infr |
| 12060 | DDS50000 | 20734 | Developmental Disabilities |
| 12060 | MHA53000 | 20661 | Community Mental Health Block Grant |
| 12060 | MHA53000 | 20688 | SSBG Substance Abuse Srvc's |
| 12060 | MHA53000 | 20700 | SSBG Hispanic Case Mngmnt |
| 12060 | MHA53000 | 20709 | SSBG Indpnd & Trans Living |
| 12060 | MHA53000 | 20720 | SSBG Counseling |
| 12060 | DSS60000 | 20394 | Children's Trust Fund Council |

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|-------|----------|-------|--------------------------------|
| 12060 | DSS60000 | 20652 | SSBG Parent Account |
| 12060 | DSS60000 | 20662 | Low Income Home Energy Assist |
| 12060 | DSS60000 | 20677 | CSBG |
| 12060 | DSS60000 | 20685 | Family Violence |
| 12060 | DSS60000 | 20690 | SSBG Prevntn & Intervention |
| 12060 | DSS60000 | 20691 | SSBG Protect Srvc Children |
| 12060 | DSS60000 | 20696 | SSBG Transportation |
| 12060 | DSS60000 | 20697 | SSBG Other Services |
| 12060 | DSS60000 | 20699 | SSBG Day Care |
| 12060 | DSS60000 | 20701 | SSBG Case Management |
| 12060 | DSS60000 | 20702 | SSBG Home Based Services |
| 12060 | DSS60000 | 20710 | SSBG Indep Transit Living Svcs |
| 12060 | DSS60000 | 20713 | SSBG Protective Svcs for Adult |
| 12060 | DSS60000 | 20716 | SSBG Family Planning Services |
| 12060 | DSS60000 | 20719 | SSBG Legal Services |
| 12060 | DSS60000 | 20721 | SSBG Counseling Services |
| 12060 | DSS60000 | 20724 | SSBG Information and Referral |
| 12060 | DSS60000 | 20735 | Food Stamp Emplmnt & Training |
| 12060 | DSS60000 | 20764 | Food Stamp Outreach & Eductn |
| 12060 | DSS60000 | 20769 | Refugee Asst Cash, Med & Admin |
| 12060 | DSS60000 | 20971 | Add Low Inc Medicare Beneficry |
| 12060 | DSS60000 | 20976 | School Basd Child Health Svcs |
| 12060 | DSS60000 | 20982 | Medicare Part B Premiums |
| 12060 | DSS60000 | 21016 | Refugee Social Services |
| 12060 | DSS60000 | 21025 | Temporary Emergency Food |
| 12060 | DSS60000 | 21035 | IV-D Access & Visitation |
| 12060 | DSS60000 | 22462 | SNAP Nutr Ed & Obesity @ 100% |
| 12060 | DSS60000 | 22573 | Hlth Ins Exchg/Integrated Elig |
| 12060 | DSS60000 | 22583 | HIE/HIT Hth In Xchg/Hth In Tec |
| 12060 | DSS60000 | 22584 | ConneCT |
| 12060 | DSS60000 | 22594 | Medicaid Federal Share |
| 12060 | DSS60000 | 22620 | SSBG Day Care Srvc for Adults |
| 12060 | DSS60000 | 29506 | SSBG Hurricane Sandy Funds |
| 12060 | SDA62500 | 20783 | USDA Nutrition |
| 12060 | SDA62500 | 20835 | Title 3 Supportive Services |
| 12060 | SDA62500 | 20841 | Title 3 Congregate Meals |
| 12060 | SDA62500 | 20847 | Title 3 Home Delivered Meals |
| 12060 | SDA62500 | 20857 | Title 3 Preventive Health Care |
| 12060 | SDA62500 | 20862 | Title 3 Fam Caregiver Support |
| 12060 | SDA62500 | 20876 | Title 7 New Ombudsmen Activity |
| 12060 | SDA62500 | 20880 | Title 7 Elder Abuse Prevention |

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|-------|----------|-------|--------------------------------|
| 12060 | SDA62500 | 20904 | Senior Community Srv Employmnt |
| 12060 | SDA62500 | 21073 | Congregte Housng Srvrs-Eastern |
| 12060 | SDA62500 | 21078 | Congregte Housng Srvrs-Western |
| 12060 | SDA62500 | 22625 | MIPPA III Grant |
| 12060 | SDA62500 | 22650 | Nutrition SSBG |
| 12060 | SDR63500 | 20703 | SSBG Community Basd Non-Res |
| 12060 | SDR63500 | 20714 | SSBG Safeguarding |
| 12060 | SDR63500 | 20821 | Disability Determination Svcs |
| 12060 | SDR63500 | 20912 | Supported Employment |
| 12060 | SDR63500 | 20915 | Independent Living Part A |
| 12060 | SDR63500 | 20918 | Voc Rehab In Service Training |
| 12060 | SDR63500 | 20921 | Voc Rehabilitation-Reg Support |
| 12060 | SDR63500 | 20922 | Supportive Employment Grant |
| 12060 | SDR63500 | 20926 | Vocational Rehabilitation |
| 12060 | SDR63500 | 20929 | VR Innovation And Expansion |
| 12060 | SDR63500 | 20930 | Independent Livng ST Grant |
| 12060 | SDR63500 | 20932 | In-Service Training |
| 12060 | SDR63500 | 20946 | Indep Living Older Blind Per |
| 12060 | SDR63500 | 22444 | VR In-Srvc Train Quality Grant |
| 12060 | SDR63500 | 22526 | Assistive Technology |
| 12060 | OEC64800 | 20394 | Children's Trust Fund Council |
| 12060 | DCF91000 | 20728 | SSBG Residentl Treatment |

