

Delaware State Clearinghouse Training



April 2017

Introduction

Name

Your
Department

Have you
worked
with grants
before or
are you
new to your
role?

Agenda

Clearinghouse Overview

Clearinghouse
Website

Clearinghouse Cycle/Timeline

Pre-Award

Office of Management and
Budget's (OMB) Review Process

Federal Aid
Masters (FM)

Additional Information

- Who do you contact
- Questions/Comments

Executive Order 12372

The federal application Standard Form 424 (SF 424) includes the question “Is this application subject to review by State Executive Order 12372 process?”

Executive Order 12372 (E.O. 12372), “Intergovernmental Review of Federal Programs,” structures the federal government’s system of consultation with state and local governments on its decisions involving grants, other forms of financial assistance, and direct development. Under E.O. 12372, states, in consultation with their local governments, design their own review processes and select those federal financial assistance and direct development activities they wish to review.

E.O. 12372 review process for the State of Delaware is the State Clearinghouse for federal grant review in the Office of Management and Budget. Since October 1, 1983, most states, including the State of Delaware, have acted to establish a review and comment system in response to E.O. 12372. In such cases, applicants for grants will need to meet the requirements of the intergovernmental consultation process established by a particular state and its local governments before Federal agencies take action on the application.

Funding Review

- ▶ **Federal Grants:** Federal funds requested by any state agency (all federal funds, regardless of the amount must go through Clearinghouse).
- ▶ **Indirect Grants:** Federal funds requested by any state agency via subgrant or other method from a non-federal organization. These are reviewed by Clearinghouse unless the awarding agency is in Delaware and the grant has already been approved through Clearinghouse.
- ▶ **Private Organization Grants:** Funds requested from private organizations (i.e. Wal-Mart or non-profit organizations) and are more than \$50,000.

Delaware State Clearinghouse Committee

- ▶ **29 Del. C. c. 76:** Established the Delaware State Clearinghouse Committee.
- ▶ **Committee Membership:** Chair and Vice Chairperson of the Joint Finance Committee; Controller General (or designee); Director of the Office of Management and Budget (or designee); Director of the Delaware Economic Development Office (or designee); Secretary of Finance (or designee); and (4) members of the General Assembly.
- ▶ **Purpose:** Establish policy, review and approve or disapprove applications for federal and non-federal grants.

Attendance of Clearinghouse Meetings

▶ Attendance Required by Agency:

- ▶ New grants
- ▶ Grants with new positions
- ▶ Hot topics
- ▶ Change of Scope

▶ Attendance is NOT Required by Agency:

- ▶ Reoccurring or continuous grants, and resubmission for multi-year grants

▶ Open to the Public

- ▶ Meeting time and dates are posted on the statewide calendar and Clearinghouse website
 - ▶ <https://egov.delaware.gov/pmc/>
 - ▶ <http://budget.delaware.gov/clearinghouse/index.shtml>

Clearinghouse Website

- ▶ Private grants, amendments and agencies working outside of FSF will continue to use the OMB issued State Application Identifier (SAI) numbers.

State of Delaware
The Official Website of the First State

Office of Management and Budget
**Budget Development,
Planning and Administration**

Office of Management and Budget / Budget Development, Planning and Administration

- Home
- About Agency
- Sections
- Public Meeting Calendar
- Contact Information
- Employment
- Related Websites

Services +

Information +

Federal Grants Administration and State Clearinghouse

Pursuant to Delaware Code, Title 29, Chapter 76, the Delaware State Clearinghouse Committee was established for federal and nonfederal grant coordination. The Committee consists of the following members (or designees): Chairperson and the Vice Chairperson of the Joint Finance Committee, the Controller General, the Director of the Office of Management and Budget, the Director of the Delaware Economic Development Office, the Secretary of Finance and four appointed members of the General Assembly. [Read More.](#)

News

Fiscal Year 2015 Report of Federal Funds

The [Fiscal Year 2015 Report of Federal Funds](#) has been published. The report represent projects and programs for which the Delaware State Clearinghouse received and reviewed. Programs reviewed may or may not receive the requested amount of funding, or may not receive funding at all. The following tables, charts and agency summaries represent project and programs that have received funding announcements or awards and have established spending authority within the State's financial tracking system. These amounts do not represent expenditures made against the grant. Those figures will be captured and reported in the State's Single Audit - Schedule of Expenditures of Federal Awards (SEFA) report.

* Please note this report only represents State Fiscal Year 2015 (July 1, 2014 - June 30, 2015), and only contains award information for state agencies.

Services and Information

- Agency Grants
- Clearinghouse Meetings
- Committee Members
- Contact Information
- Due Dates**
- Forms
- Private Grants
- Related Links
- SAI Requests**
- Training**

Clearinghouse Website - Due Dates

- ▶ **Grant Packet Due Date =** Everything must be submitted and approved by the agency in Pre-award in FSF.
- ▶ **Workflow Due Date =** Date of Clearinghouse meeting and OMB places approval after the Clearinghouse meeting.
- ▶ **Eight week process:**
 - ▶ Six weeks for review process
 - ▶ Two weeks prior to the Clearinghouse meeting the agenda is distributed

Clearinghouse Due Dates

Workflow Calendar

Grant Packet Due	Workflow Due
December 1, 2016	January 31, 2017
January 1, 2017	February 28, 2017
February 1, 2017	March 28, 2017
March 1, 2017	April 25, 2017
April 1, 2017	May 30, 2017
May 1, 2017	June 27, 2017
June 1, 2017	July 25, 2017
July 1, 2017	August 29, 2017

Clearinghouse Cycle



- An agency inputs grant information into Pre-Award and submits for approval prior to or at the same time of submitting application to federal agency



- Federal Aid Coordinator or Clearinghouse Admin compiles grant packet and reviews.



- Analyst reviews grant packet and completes a preliminary review.



- Director reviews completed grant packet including preliminary review.



- Department of Technology and Information reviews Business Cases of completed grant packets for IT related grants.



- Agenda is prepared and posted on the Clearinghouse website, statewide calendar, and distributed to all grant contacts and Committee members.

Clearinghouse Cycle Cont.

- Delaware State Clearinghouse meeting is held. Required attendance grants are presented to the committee and voted on. Non-required attendance grants are voted on.

- Federal Aid Coordinator approves grants in Pre-Award.

- Clearinghouse admin approves in Workflow. This notification will serve as the agency's final letter and will generate final email notification. Final letters are signed by the Director of OMB and emailed for grants outside of FSF.

- Agency receives grant award notification and finalizes grant in Pre-Award moving to Post-Award.

- Agency sends Federal Aid Master (FM) with attached award notification to OMB FM inbox. Federal Aid Coordinator establishes spending authority in FSF.

Timeline for June Grants



▶ May 1st

- ▶ Proposals must be correctly submitted and approved by the agency in FSF (or sent to the OMB Clearinghouse inbox for grants outside of the system) for June's Clearinghouse meeting by May 1st.
- ▶ Grant packets are created on May 1st and 2nd.

▶ May 2nd - 11th

- ▶ Clearinghouse Coordinator reviews all grant packets and distributes to analysts for their review.

Timeline for June Grants Cont.

▶ May 15th - May 19th

- ▶ Please note this is the week that typically any outstanding grants that are sent back need to be resubmitted and reviewed again before moving to the analyst for review.
- ▶ However, this year for June grants, any that are sent back for corrections/adjustments will need to be resubmitted and approved by May 10th.

▶ May 22nd - May 26th

- ▶ The analyst completes their review/Preliminary Review (PR) and sends back if necessary.
- ▶ Clearinghouse Admin reviews PR for completeness and accuracy compared to grant documentation.

Timeline for June Grants Cont.

- ▶ May 29th - June 12th

- ▶ BDPA Director reviews all PRs and grant documentation.

- ▶ June 13th

- ▶ The agenda is prepared and sent to the Clearinghouse Committee and contacts.

- ▶ June 27th

- ▶ Clearinghouse meeting
- ▶ Clearinghouse Coordinator and Admin approve proposals in FSF.

Pre-Award in FSF

▶ Proposal Tab

- ▶ Ensure FFATA (Federal Funding Accountability and Transparency Act) has been identified in Additional Information (if applicable).
- ▶ Ensure CFDA number is filled out correctly. If this number has changed please indicate so in the Director's Overview and include documentation in the attachments tab. If a CDFA hasn't been assigned by the Federal sponsor use the program not assign default, which can be modified during Post-Award. (example 93.000 or 93.XXX)
- ▶ Proposal title should reflect the federal grant title (no abbreviations and no acronyms) and support the current fiscal year.
- ▶ Multi-year grant allotment titles should identify the year of the allotment (i.e. FYXXXX Grant Title Name - 1st year).
- ▶ Due By feature reflects the date of the scheduled Clearinghouse month.
- ▶ Ensure the Proposal reflects Allow Multiple PI's.
- ▶ Ensure the Proposal reflects the close-out period (if applicable).

Pre-Award in FSF

▶ Budget Tab

- ▶ Ensure matching requirements are properly reflected on the project budget area of the proposal.
- ▶ Audit fees must be budgeted for 0.3% of the total federal funding. A corresponding portion of audit fees must be budgeted for required state match of federal funds.
 - ▶ Ex: If the state match is 25%, audit fees for state funds would be 25% of the 0.3% of the total federal funds.
- ▶ When salaries and fringe benefits are included, indirect costs should be budgeted (if applicable).
- ▶ The budget amount should be the best estimate of the amount that will be awarded.
- ▶ If budget item salaries is used please make sure it's supported with budget item fringe. If one is missing a combo code will not be created.

Multi-year Grant Allotments

- ▶ First Year: When applying for the initial first year of the grant cluster, the organization must submit an application for the entire “x” years of funding to the Clearinghouse Committee for approval.
- ▶ Following Years: With the original grant application having been approved by the Clearinghouse, organizations will only be required to create a proposal for additional years to establish a new contract (SAI) number for the new year of spending authority (this will be completed yearly). Proposal type MUST reflect Resubmission.
- ▶ Additional Clearinghouse approval will not be necessary unless authorization amounts have exceed 30% of the total allotment previously approved through Clearinghouse.

Attachments

- ▶ **SPOC (Single Point Of Contact) form**, which is processed within the system and attached to the proposal.
- ▶ **Director's Overview**, including Director's signature.
- ▶ **Personnel Summary**, which needs to match the SPOC form (required format supported on OMB Website).
 - ▶ **Multi-Year Grant Allotment**
 - ▶ First year reflects only a 1-year summary and must note "one-year" (this will not match the SPOC form).
 - ▶ Please include a note on the Personnel Summary with the total for the multiple years that will match the SPOC form.
- ▶ **SF 424 application.**
- ▶ **Grant Notice of Award or Announcement.**
- ▶ **If an attachment is missing the proposal will be sent back.**



Example of a SPOC Form

STATE OF DELAWARE SINGLE POINT OF CONTACT - SPOC INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS Office of Management and Budget Haslet Building, 3rd Floor, Dover, Delaware 19901 (302) 739-4206							
Please fill out the areas shaded in gray							
1. State Application Identifier:		Proposal Type:		Month	Reviewer	Attendance	
SAI000001704		CNT		April	RR	NR	
2. FFATA:		Sequestration:		Previous SAI Number:			
Yes		No		SAI000001370			
3. Applicant Project Title:		Migrant Education Program Consortium Incentive					
4. Applicant Department:		95000		5. Applicant Division / APU:		950101	
6. Program Contact Person:		Lewis, Elizabeth		7. Program Contact Email:		Elizabeth.Lewis@doe.k12.de.us	
8. Financial Contact Person:		Luke, Valorie		9. Financial Contact Email:		Valorie.Luke@doe.k12.de.us	
10. Federal Grant Department:		DEPT OF EDUCATION					
11. Federal Program Title:		Migrant Education Coordination		12. Federal Catalog No (CFDA):		84.144	
13. Project Description:		Provide additional resources for migrant students.					
14. Grant Period (MM/DD/YYYY):		7/1/2013 to 12/30/2014		15. How many years has this project been funded?		1	
16. If the project was funded last year, how much federal money was awarded?		17. Is there a state match requirement? (Y/N)			N		
120,000 Appr - 40214		If yes, what amount of state money was contributed last year?			0.00		
18. Budget by cost category and source:		Federal Funds		State Funds		Other Funds	TOTAL FUNDS
Salaries & Fringe Benefits		\$0		\$0		\$0	\$0
Personnel or Contractual Services		\$119,640		\$0		\$0	\$119,640
Travel		\$0		\$0		\$0	\$0
Supplies & Materials		\$0		\$0		\$0	\$0
Capital Expenditures		\$0		\$0		\$0	\$0
Audit Fees		\$360		\$0		\$0	\$360
Indirect Costs		\$0		\$0		\$0	\$0
Other		\$0		\$0		\$0	\$0
TOTAL		\$120,000		\$0		\$0	\$120,000

Director's Overview

Narrative

- Objectives of the program through the life of the grant
 - Sub-awards
- Position requests or changes
- Involvement of other state agencies

Measurable Objectives

- Anticipated objectives for the period being reviewed
- Prior budget period objectives
- Were prior objectives met?

Budget Comparison

- Explain any budget changes from the previous year
- Include outlook for future funding

Relationship to State Budget

- Sources of funding (other agencies, departments, private org.)
- Matching Requirements (percentage, set amount, maintenance of effort)

Technology Initiatives

- Business Case number if applicable
- Status of Business Case Review

Director's Signature

- Secretary or Agency Head
- Agency Section Director
- Chief Administrator

Personnel Summary - Example 2

WORKFLOW PERSONNEL SUMMARY EXAMPLE

For FTEs, Salary, and Fringe - only list the portion of the position that will be working on this grant only

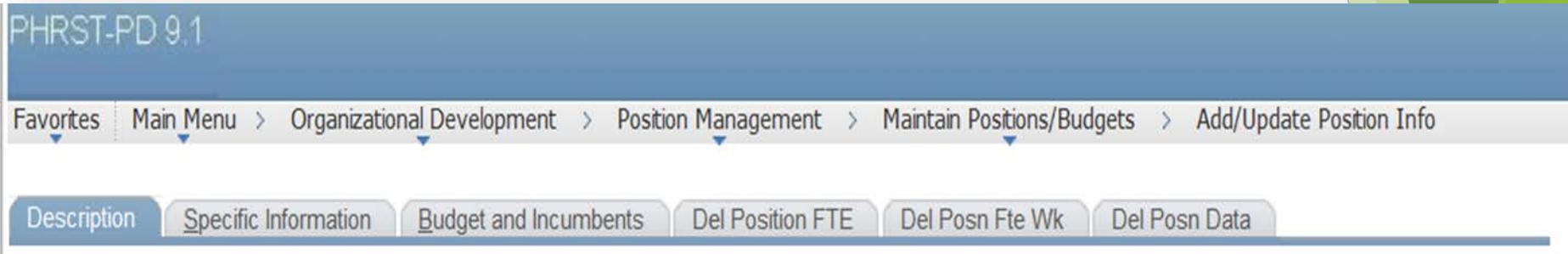
PERSONNEL SUMMARY									
BP NUMBER	POSITION TITLE	PAYGRADE	SALARY	FTEs			SALARY		
				GF	ASF	NSF	GF	ASF	NSF
appropriation number and corresponding department if not applicant							00137	09120/10-03-01	40801
101	Admin II	9	\$ 29,384.00	0.10	0.10	0.80	\$ 2,938.40	\$ 2,938.40	\$ 23,507.20
102	Admin II	9	\$ 29,384.00	0.10		0.10	\$ 2,938.40	\$ -	\$ 2,938.40
103	Manager I	16	\$ 47,184.00	0.10	0.90		\$ 4,718.40	\$ 42,465.60	\$ -
104	Manager I	16	\$ 47,184.00	0.10		0.45	\$ 4,718.40	\$ -	\$ 21,232.80
105	Chemist I	15	\$ 44,094.00	1.00			\$ 44,094.00	\$ -	\$ -
106	Admin Specialist III	11	\$ 33,638.00	1.00			\$ 33,638.00	\$ -	\$ -
107	Engineer II	18	\$ 67,521.00		1.00		\$ -	\$ 67,521.00	\$ -
108	Chemist II	16	\$ 47,184.00	0.10		0.10	\$ 4,718.40	\$ -	\$ 4,718.40
109	Biologist	18	\$ 54,017.00	0.50		0.50	\$ 27,008.50	\$ -	\$ 27,008.50
110	Admin Specialist II	10	\$ 31,440.00			0.30	\$ -	\$ -	\$ 9,432.00
111	Technician II	12	\$ 35,994.00	0.30			\$ 10,798.20	\$ -	\$ -
112	Sr. Accountant	13	\$ 35,994.00		0.30		\$ -	\$ 10,798.20	\$ -
Sub-total Full Time Employees				3.30	2.30	2.25	\$ 135,570.70	\$ 123,723.20	\$ 88,837.30
c/s	Admin II		\$ 29,384.00						\$ 14,692.00
c/s	Chemist I		\$ 44,094.00					\$ 22,047.00	
Sub-total c/s							\$ -	\$ 22,047.00	\$ 14,692.00
Total Fringe							\$ 78,399.67	\$ 65,512.77	\$ 53,756.25
Total positions				3.30	2.30	2.25	\$ 213,970.37	\$ 211,282.97	\$ 157,285.55

OMB's Review of Personnel Summaries

- ▶ Ensure correct BP numbers listed
- ▶ Ensure correct position titles included
- ▶ Ensure correct paygrades included
- ▶ Ensure correct salaries included
- ▶ Ensure FTE complement included
- ▶ Verify ALL positions in PHRST
 - ▶ Are the BP numbers listed for the positions correct?
 - ▶ Are positions budgeted correctly in PHRST?
 - ▶ Are positions being paid by the correct grant?
 - ▶ Is the agency's total budget complement reflective of the authorized budget complement?
 - ▶ Is the agency switch funding the position through the grant?
- ▶ Totals on the Personnel Summary **MUST** match the dollars budgeted on the SPOC form in "Salaries and Fringe."

Del Position FTE Page in PHRST

- ▶ Del Position FTE page:
 - ▶ Correct Fund Type
 - ▶ Correct Appropriation
 - ▶ Correct FTE portion



List of Authorized Positions (LAP) Report

- ▶ Analysts compare the Personnel Summary to the LAP Report to ensure:
 - ▶ Position Titles are correct
 - ▶ BP numbers are correct
 - ▶ Appropriations are correct
 - ▶ Fund Type is correct

PHRST-PD 9.1

Favorites | Main Menu > DE Application Components > Delaware Reports > Human Resource Reports > Rpts G-L > LAP by Dept w/text

Report ID: POS003
As Of Date: 09/29/15
Department 010101001 Legis/General Assembly/House

State of Delaware
List of Authorized Positions by Department Report

Page No. 1
Run Date 09/29/2015
Run Time 08:24:58

P O S I T I O N							I N C U M B E N T							
Job Code	Pos No.	Fund	FTE	Date			EmplId	Job	Std	ACL	Comp	Sal	Empl	
PG	Title	Type	Appr	%FTE	ACL	Auth	Rcd	Code	OPD	Hrs	Rate	Pln/Grd/Stp	Class	FLSA

Federal Application/Notice of Award

- ▶ Include the federal application as part of the attachments.
 - ▶ Agencies should be entering grant information into Pre-award before or at the same time of completing the federal application.
 - ▶ If an agency does not have an application, please include a note in the comments section when submitting and approving proposal.
- ▶ Include the Notice of Award or announcement (if the agency has already received the award).
 - ▶ If an agency does not have the Notice of Award or Announcement, please include a note in the comments section when submitting an approving the proposal.

Grant Application - Messaging

- ▶ This is the email notification generated by FSF once the “Start Approval Process” has been kicked off. Everyone associated with workflow will receive this message.
- ▶ The message identifies that the proposal has changed from ‘DRAFT’ to ‘IN PROGRESS’.

From:  cheryal.roe@state.de.us on behalf of  fsftst@state.de.us Sent: Wed 8/21/2013 9:33 AM

To: Roe, Cheryal (Finance)

Cc:

Subject: Business Unit: 25000, Proposal ID: SAI000001458, Version ID: V101, Project ID: 000000000005179, Component: CLEARINGHOUSE status has been updated from

Business Unit: 25000, Proposal ID: SAI000001458, Version ID: V101, Project ID: 000000000005179, Component: CLEARINGHOUSE status has been updated from Draft to In Progress.

Please Click on the following Link for Detail information:
https://fsftst.erp.state.de.us/psp/fn91st/EMPLOYEE/ERP/c/ESTABLISH_PROPOSAL.GM_PROPOSAL.GBL?Page=GM_PROPOSAL&Action=U&BUSINESS_UNIT=25000&PROPOSAL_ID=SAI000001458&VERSION_ID=V101

Grant Application - Messaging

- ▶ The Principal Investigator will also receive the below email notification along with the first notification. This notice instructs the recipient of grant workflow to REVIEW/APPROVE the proposal.
- ▶ The email notification will also be provided to each of the individuals for approval based on the component configuration sequence assignment.
- ▶ When clicked, the hyperlink will automatically advance the individual to the proposal.
- ▶ The User is responsible for reviewing the entire proposal to ensure all the required areas are completed for applying an approval.

Proposal ID SAI000001458, Version ID V101, Project ID 00000000005179, Component ID CLEARINGHOUSE is ready for your Review/Approve.

Please Click on the following Link for Detail information:

https://fsftst.erp.state.de.us/psp/fn91st/EMPLOYEE/ERP/c/ESTABLISH_PROPOSAL.GM_PROPOSAL.GBL?Page=GM_PROPOSAL&Action=U&BUSINESS_UNIT=25000&PROPOSAL_ID=SAI000001458&VERSION_ID=V101

Grant Application - Workflow

- ▶ Approval will be accomplished utilizing the Proposal Component Approval function.
- ▶ The individual receiving the notification has two options: to 'Approve' the proposal or 'Send Back' along with comments identifying the required modifications.

Favorites | Main Menu > Grants > Proposals > Proposal Component Approval

Proposal Component Approval/Submit

Proposal ID: SAI000003046 Business Unit: 35000
Version ID: V101 Proposal Status: Pending Approval
Title: FY17 Delaware Pregnancy Risk Assessment Monitoring Syst

Proposal Project										Find View All	First	1 of 1	Last
Project:	000000000010431			Title:	Delaware Pregnancy Risk Assessment Monitoring System								
Component										Find	First	1 of 1	Last
Component:	CLEARINGHOUSE			Status:	In Progress								
Approvals										Customize Find	First	1 of 1	Last
Role	Task Assigned To	Required	Submit	Approve	Send Back	Review	Reassign	Assign To	Comment				
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	Comment				

Grant Application - Workflow

- ▶ The comment area when approving proposals, should be utilized for:
 - ▶ If indirect costs are not budgeted and there are Salaries and Fringe Benefits associated.
 - ▶ If a grant announcement/notice is not applicable please provide a short explanation as to why the items are not included.
 - ▶ This is also where I will list the adjustments that need to be made when a grant is placed in sent back mode.

Favorites Main Menu > Grants > Proposals > Proposal Component Approval

Proposal Component Comments

Comment

OK

Cancel

Grant Application - Messaging

- ▶ This message is provided to the Principal Investigator when someone within grant workflow identifies a problem and a correction is required prior to proceeding.
- ▶ Organizations should provide instruction for the correction within the comment area of the Proposal Component Approval page.
- ▶ When clicked, the hyperlink will automatically advance the PI to the proposal.
- ▶ The PI is responsible for completing the required modification and placing the proposal back into workflow utilizing the submit functionality.

From:  deborah.garrison@state.de.us on behalf of  fsftst@state.de.us Sent: Wed 8/21/2013 9:47 AM
To: Roe, Cheryal (Finance)
Cc:
Subject: Business Unit: 25000, Proposal ID: SAI000001458, Version ID: V101, Project ID: 000000000005179, Component: CLEARINGHOUSE status has been updated from

Business Unit: 25000, Proposal ID: SAI000001458, Version ID: V101, Project ID: 000000000005179, Component: CLEARINGHOUSE status has been updated from In Progress to Send Back.

Please Click on the following Link for Detail information:

https://fsftst.erp.state.de.us/psp/fn91st/EMPLOYEE/ERP/c/ESTABLISH_PROPOSAL.GM_PROPOSAL.GBL?Page=GM_PROPOSAL&Action=U&BUSINESS_UNIT=25000&PROPOSAL_ID=SAI000001458&VERSION_ID=V101

Send Back Functionality

- ▶ All grants that are placed in sent back mode will go to the Principal Investigator, who is responsible for completing the required modifications.
- ▶ When modifications are completed the Principal Investigator will place the proposal to **'SUBMIT'** this will put the proposal back into grant workflow.

The screenshot displays a web application interface for grant management. At the top, there are navigation tabs: Proposal, Projects, Budgets, Resources, Certifications, Reports, Attachments, and Component. Below the tabs, the following information is shown:

Proposal ID: SAI000000127 **Version ID:** V102
Description: PREP Grant FY10-FY14

Proposal Project (Find | View All | First | 1 of 1 | Last)

Project ID: 000000000000364 **Title:** Personal Responsibility Education Program

Component Detail (Customize | Find | First | 1 of 1 | Last)

Component Info | Approval Info

Component	Status	Status Date	Required Flag	Stakeholders
CLEARINGHOUSE	Approved	11/05/2010	<input checked="" type="checkbox"/>	Stakeholders

A red box highlights the 'Submit' button in the top right corner of the 'Proposal Project' section. A red arrow points from the text 'SUBMIT' in the second bullet point of the text above to this button.

Grant Workflow Review

- ▶ Organizations will still have the ability to review proposal approval by accessing the Component page within Approval Status History.

The screenshot displays a web application interface with a navigation bar at the top containing tabs for Proposal, Projects, Budgets, Resources, Certifications, Reports, Attachments, and Component. The Component tab is active.

Key information displayed includes:

- Proposal ID:** SAI000001343
- Version ID:** V101
- Description:** Drug Court NCC

The **Proposal Project** section shows:

- Project ID:** 000000000004891
- Title:** FY 2014 Drug Court NCC

The **Component Detail** section includes a table with the following columns: Component, Approval Hierarchy, Approval Status/History, Submit, and Comment. The first row shows 'CLEARINGHOUSE' with links for 'Approval Hierarchy' and 'Approval Status/History', and a 'Submit' button.

At the bottom, a 'Go To:' section lists various filters: Location, Protocols, Component, Setup Level, Keywords, Gender & Minority Study, Trainee, and Attributes.

A red arrow points from the text in the slide to the 'Approval Status/History' link in the table.

Grant Application - Component

Component Approval History									
Customize Find First 1-9 of 9									
ID	Routing	Name	Required	Pool List	Workitem	Notification	Status	Date/Time Stamp	Comment
1	Originator	Roe,Cheryal A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Submitted	08/21/2013 9:33:14AM	
2	Principal Investigator	Prettyman,Ralph William	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Approved	08/21/2013 9:35:16AM	2013-08-21-09.35.16.000000: New workflow with old workflow
3	OMB Federal Aid Coordinator	Austin,Terry Ann	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Approved	08/21/2013 9:46:11AM	2013-08-21-09.46.11.000000: I have reviewed and approved
4	OMB Clearinghouse Admin	Garritson,Deborah K	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Send Back	08/21/2013 9:47:19AM	2013-08-21-09.47.19.000000: Update due date to 10/15/2013
5	Principal Investigator	Prettyman,Ralph William	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Submitted	08/21/2013 9:48:21AM	
6	Principal Investigator	Prettyman,Ralph William	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Approved	08/21/2013 9:49:14AM	2013-08-21-09.49.14.000000: Applied new due by date 10/15/2013 for testing.
7	OMB Federal Aid Coordinator	Austin,Terry Ann	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Approved	08/21/2013 10:04:36AM	2013-08-21-10.04.36.000000: Approved
8	OMB Clearinghouse Admin	Garritson,Deborah K	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Approved	08/21/2013 10:05:12AM	
9	Department Fiscal Contact	Roe,Cheryal A	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Approved	08/21/2013 10:06:18AM	2013-08-21-10.06.18.000000: Final Approval with send back due to update to due by field

Withdrawals

- ▶ If you know someone in the approval process will be leaving, please replace with an appropriate person (with credentials) prior to submitting the grant for approval.
- ▶ If the grant has already begun the approval process, please contact OMB and the FSF Service desk to report the business unit and SAI number.
 - ▶ When the proposal has been withdrawn, FSF will provide notification.

Clearinghouse Coordinator/Admin Review

- ▶ Is the SPOC form generated by FSF?
- ▶ Is the grant correctly marked “New”, “Continuous”, “Resubmission” or “Amendment”?
- ▶ Is the month to Clearinghouse correct?
- ▶ Fill out “Reviewer” and the “Attendance”
- ▶ Is the previous SAI number correct?
- ▶ Is the title appropriate?
- ▶ Is the CFDA number correct?
 - ▶ Compare title, federal department and add the division, is the grant included or excluded in Executive Order 12372.
- ▶ Does the project description give a brief overview of what the funding will accomplish?

Clearinghouse Coordinator/Admin Review Cont.

- ▶ Does the grant period make sense (is the close out period supported)?
- ▶ Double check number of years of funding
 - ▶ This is the number of awards received
- ▶ Funding amount from previous year correct?
- ▶ Is there a state match requirement?
- ▶ Are audit fees budgeted correctly?
- ▶ Review Director's Overview, ensure all sections are included and it is signed
- ▶ Review Personnel Summary
- ▶ Ensure all attachments are included

Fiscal and Policy Analyst Review

- ▶ The analyst completes a PR as they complete their review, which includes:
 - ▶ Introduction of grant - requesting agency, grant award amount, number of years funding, applicable match, number of full-time employees (FTEs) and identification of audit fees and indirect costs.
 - ▶ Verify positions in PHRST
 - ▶ Verify Indirect Costs
 - ▶ Objectives, overall goal of the grant and any necessary additional information.
 - ▶ Personnel Impact Statement - indicates the title(s) and function of new FTEs and changes in personnel from the previous year.
 - ▶ Consistency Statements - ensure consistency with federal and state regulations.
 - ▶ Recommendations

Amendments

- ▶ Amendments are processed through Post-Award.
- ▶ An email should be sent to OMB_Clearinghouse@state.de.us for all amendments.
- ▶ The email should contain a message indicating:
 - ▶ This is an amendment
 - ▶ The FSF SAI number
 - ▶ The Fiscal Year and Grant Title
- ▶ Attachments should include:
 - ▶ SPOC form (from the Clearinghouse website) with only the amount of the amendment
 - ▶ Personnel Summary (if applicable)
 - ▶ Director's Overview
 - ▶ SF 424 application (if applicable)
 - ▶ Award notification of additional funding (if applicable)

Clearinghouse Agenda

Delaware State Clearinghouse Committee Agenda

March 25, 2014

Item	SAI#	Applicant	Project Title	Funding			Positions		
				Federal	State	Other	Federal	State	Other
New Business									
1	2013-12-06-01	DSHS/Off of the Secretary/Delaware Emergency Management Agency	Hazard Mitigation Grant Program - Hurricane Sandy	\$987,633	\$2,963	\$443,754	0.00	0.00	0.00
Continued									
2	1849	Exec/Criminal Justice Council	Children's Justice Act	\$88,780	\$0	\$0	0.00	0.00	0.00
3	2013-12-04-01	DOS/Public Service Commission	Pipeline Safety One Call Grant	\$12,200	\$37	\$0	0.02	0.00	0.00
4	1804	DHSS/State Service Centers	Foster Grandparent Program	\$521,472	\$975,231	\$0	0.50	6.00	0.00
5	1820 Amendment	DHSS/Social Services	Supplemental Nutrition Assistance Program Process and Technology Improvement Grant	\$1,904,250	\$0	\$0	0.00	0.00	0.00
6	1863	DHSS/Public Health	Emergency Medical Service for Children State Partnership	\$130,000	\$27,107	\$0	0.00	0.15	0.00
7	1891	DHSS/Public Health	Primary Care Services Resources Coordination and Development	\$155,998	\$0	\$0	1.50	0.00	0.00
8	1892	DHSS/Public Health	Oral Health Planning	\$0	\$45,135	\$150,000	0.00	0.21	0.50
9	1895	DHSS/Medicaid and Medical Assistance	Health Benefit Exchange	\$8,979,866	\$0	\$0	1.00	0.00	0.00
10	1850	DHSS/Substance Abuse and Mental Health/Administration	Substance Abuse Prevention and Treatment Block Grant	\$6,316,579	\$13,529,329	\$0	3.20	0.08	0.00
11	2013-12-19-01	DSHS/State Police	Marijuana Eradication	\$12,000	\$0	\$0	0.00	0.00	0.00
12	1864	AG/Animal Health	Umbrella National Surveillance	\$193,089	\$0	\$0	0.00	0.00	0.00
13	1896	AG/Animal Health	Animal Disease Traceability	\$12,000	\$0	\$0	0.00	0.00	0.00
Higher Education									
1	2014-03-01-01	HE/Delaware State University	Title X	\$0	\$0	\$10,170			
2	2014-03-01-03	HE/Delaware State University	Get the Most Out of Math! (Mathematical Operations in Science & Technology through a Reengineered Mathematics Class at an HBCU)	\$916,377	\$0	\$0			
3	2014-03-01-04	HE/Delaware State University	Evans Allen- FY 2014	\$1,170,883	\$0	\$0			
4	2014-03-01-05	HE/Delaware State University	Cooperative Extension Formula Grant- FY 2014	\$1,115,017	\$0	\$0			
5	2014-03-01-06	HE/Delaware State University	Acetylcholinergic Neurotransmission During Age	\$871,504	\$0	\$0			

FMs

- ▶ When do I use an FM?
 - ▶ Establish award
 - ▶ Award modifications
 - ▶ Increase in funding
 - ▶ Decrease in funding
 - ▶ End date extensions
 - ▶ Transfer/Carry Over Funding
 - ▶ Sub-awarding funding to other agencies
 - ▶ Transfers
 - ▶ Closing Award
 - ▶ Pre-load
- ▶ What is sufficient back up documentation?
 - ▶ Any federal communication (email, award notice, etc.)
 - ▶ Communication from FSF in specific situations
- ▶ All FMs are sent to the OMB_FM@state.de.us inbox. PLEASE DO NOT copy the Clearinghouse Coordinator on the FM submission.
- ▶ Incorrect and incomplete submissions will be returned.
- ▶ Revenue ledger must be created for every department within the detail ledger and should be identified.
- ▶ There should never be a dollar amount in the revenue ledger.
- ▶ If a FM is sent back to you and your agency does not respond back within two weeks, OMB will send a follow-up email letting you know the FM will be discarded and will need to be resubmitted with the proper documentation.

Example of Appropriate Documentation

- ▶ This is one example of back-up documentation when submitting an FM. The FM should be for the estimated amount or the federal awarded amount.
- ▶ If a pre-load has been completed previously, the amount on the FM should be the difference between the pre-load and the allotment/estimate.

FY 2016 MANDATORY STATE/FORMULA GRANTS¹ (Dollars in Thousands)

CFDA No/Program Name: 93.778 Medical Assistance Program

State/Territory	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate	Difference +/- 2015
Alabama	\$3,746,154	\$3,699,871	\$4,099,689	\$399,819
Alaska	\$916,768	\$909,524	\$942,912	\$33,388
Arizona	\$6,759,752	\$7,831,757	\$8,223,475	\$391,718
Arkansas	\$3,826,062	\$4,503,569	\$4,886,948	\$380,380
California	\$38,479,655	\$48,596,182	\$52,757,883	\$4,161,701
Colorado	\$3,558,739	\$4,042,497	\$4,691,922	\$649,425
Connecticut	\$4,093,240	\$3,951,810	\$3,989,186	\$37,376
Delaware	\$1,083,615	\$977,074	\$1,044,147	\$67,073

Example of Appropriate Documentation



ADMINISTRATION FOR
CHILDREN & FAMILIES

370 L'enfant Promenade, S.W., Washington DC 20447 www.acf.hhs.gov

February 25, 2015

Dept. of Services for Children
Youth and their Families
Delaware Youth and Family Center
1825 Faulkland Road
Wilmington, DE 19805

Re: Notice of Grant Award - FY 2015

Dear Grantee:

The grant award listed below is available for obligation beginning 10/01/2014 and ending 09/30/2016 in accordance with your approved application under the Child Welfare Social Service program of Title IV-B, Subpart 1, of the Social Security Act. The grantee must liquidate all obligations incurred under this award and file the final financial report claiming these expenditures no later than 90 days after the end of the funding period.

Appropriation	CAN	Allotment	This Action	Cumulative
75-5-1536	2015G998000	798,401	174,340	373,940

EIN: 1-516000279-Z3
Document Number: G-1501DECWSS

Fiscal Year: 2015
CFDA #: 93.645

Loading of Spending Authority

▶ Pre-load

- ▶ Agencies may pre-load up to 15% of the previous year's award for continuous grants without documentation.
- ▶ Agencies may pre-load up to 50% of the previous year's award for entitlement grants. Any amount loaded beyond the 50% pre-load must be supported by documentation.

▶ 30% Threshold

- ▶ Agencies who receive an award greater than the amount approved by the Clearinghouse Committee, may load up to 30% above the awarded amount without going back through Clearinghouse.
- ▶ Any amount of a grant beyond the 30% threshold will need to go back through Clearinghouse for an Amendment.
- ▶ If the agency needs to go back through Clearinghouse for an Amendment, the amount must be the new award less the original Clearinghouse approved amount.

New Federal Appropriations

KK001 (Revised 05/19/2016)



STATE OF DELAWARE New Appropriation Chart Field Set Up Questionnaire

+ *Required fields

*Date:	_____	*Name of Requestor:	_____	*Phone #:	_____
*Organization:	_____	*Requestor email:	_____		
*Appropriation Type:	<u>Select from list</u>				
*New/Changed Appropriation will be used for Payroll:	<u>Select Yes or No</u>				
*New/Changed Appropriation will be used for Flex Credits:	<u>Select Yes or No</u>				

PLEASE FILL OUT ONE FORM PER APPROPRIATION REQUEST

For Appropriation Type 40 (Federal Grant), Ledger Group GR_GROUP:

Please coordinate requests for new Type 40 appropriations with OMB's Single Point of Contact (SPOC).

1. Is this an existing continuing grant?
If yes, it will use the same current appropriation number with a new Budget Reference [Fiscal Year]. Yes No
2. Is this a new grant? Yes No
3. Is this for a "POOL" grant appropriation? Yes No
4. Is this an interest bearing appropriation?
**See NOTE: Requests for Interest Bearing Appropriations: (page 2). Yes No
5. Does this grant have program income?
If Yes, will these transactions be processed as expenditure reductions? Yes No
6. Will there be a sub-grant to other organizations (state and non-state)? Yes No

OFFICE USE ONLY FOR APPROPRIATION TYPE 40

Appropriation Number: _____	Description: _____
Budgetary Account: _____	

Updated Federal Appropriations - KK002 Form

For Appropriation Type 40 (Federal Grant), Ledger Group GR_GROUP:

Please coordinate requests for new Type 40 appropriations with OMB's Single Point of Contact (SPOC).

1. Is this an existing continuing grant? Yes No
 If yes, it will use the same current appropriation number with a new Budget Reference [Fiscal Year]. FY
2. Is this a new grant? Yes No
3. Is this for a "POOL" grant appropriation? Yes No

Form # KK002

Page 2 of 3

Revised 05/27/2015

APPROVALS

Organization:	<input type="text"/>	<input type="text"/>	<input type="text"/>
	SIGNATURE	TITLE	DATE
Budget Office:	<input type="text"/>	<input type="text"/>	<input type="text"/>
	SIGNATURE	TITLE	DATE
Accounting:	<input type="text"/>	<input type="text"/>	<input type="text"/>
	SIGNATURE	TITLE	DATE

- ▶ Submit KK02 form, award notice and appropriate supporting documentation to the OMB_FM@state.de.us inbox.
- ▶ Supporting documentation needs to include CFDA number.
- ▶ Always refer to the [FSF website](#) for current forms.

Who to contact, FSF or OMB?

FSF

- Issues with entering information in Pre-Award
- Issues with regenerating the SPOC form
- Issues with the SPOC form Loading Budget Detail information correctly
- Issues with submitting and approving proposals in grant workflow
- Adding or deleting a role on the Resources page
- Systematic issues
- Changing information in Post-Award
- Pre-Award grant workflow issues

OMB

- Due Dates
- Questions on why a proposal was sent back and what adjustments need to be made
- What specific information/attachments are required
- Personnel Summary
- Director's Overview
- FM Questions
- Questions regarding Clearinghouse meeting

Questions?

Valorie Luke (302) 672-5115

Valorie.Luke@state.de.us

OMB_Clearinghouse@state.de.us

OMB_FM@state.de.us

<http://budget.delaware.gov/clearinghouse/index.shtml>

<http://extranet.fsf.state.de.us/>

