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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 Rescission of Prior Guidance – Effective August 1, 2014, [OSC memorandum 97-51](#) is rescinded.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 Srvcs 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 Opportunits-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 Srvcs 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 Srvcs
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

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 Srvcs 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 Srvcs
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 Srvcs 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

12060	SDA62500	20904	Senior Community Srv Employmnt
12060	SDA62500	21073	Congregte Housng Svrs-Eastern
12060	SDA62500	21078	Congregte Housng Svrs-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