

State of Arizona

# FEDERAL GRANT INSTRUCTIONS

Governor's Office of Strategic Planning & Budgeting  
Fiscal Year 2012 - 2013

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Governor





## Background and Overview

The Consolidated Ledger of Information on Federal Funds (CLIFF) system was developed to achieve a better understanding on what federal funds the state has at its disposal and how those dollars are used. Please remember that Federal dollars must be included in your agency budget request as they have been in the past, but the individual grant-by-grant information is now included here.

The advent of American Recovery and Reinvestment Act (ARRA), has underscored the interest in Federal grant programs. Accordingly, the grant information collected in CLIFF has been augmented to include more thorough description information, including what the grant is intended to accomplish, how the grant is administered, what entities other than the originating state agency participate, and how success is measured (performance measures). It is not just policymakers and administrators who are interested in this information; the media and the general public are interested as well.

Descriptions of the grants should include the purpose of the grant, specifically what is to be accomplished with the expenditure of the money, and how the accomplishments are to be identified. Please stay away from acronyms in the descriptions as they create confusion for readers unfamiliar with your agency. Also, use plain English rather than jargon or technical terms.

ARRA requires performance measures for all its grants and these will focus primarily on the number of jobs created or jobs retained. Other grants will have different measures of success. Like ARRA, our requirement is that each grant have at least one performance measure. Remember, performance measures are used to measure results and ensure accountability. Performance measures provide a basis for assessing the successful achievement of the grant goals.

We have established a due date of **September 1, 2011** to accommodate the increased data requirements and the timing of the system and these instructions.

## Listing of Federal Grants

The Federal Grants List provides a listing of all the Federal Grants identified for the agency from last year and any grants known to have been added this year. Each **Federal Grant that is established in the statewide accounting system with its own AFIS Grant Number should be listed** here and should have its own individual record. **Do not combine grants!** Summing across phases is OK. If a new grant needs to be added, click on the "Add New Grant" button. Otherwise, click on a grant and the new Federal Grant Descriptive Information form will open for that grant. **The enhanced descriptive information is required of all agencies. Each grant is required to have a grant number and a CFDA code.** A report listing each grant identified as being Federal Funds related as established in AFIS will be provided to each agency as applicable.

The screenshot shows the 'Consolidated Ledger of Information on Federal Funds Federal Grants' application. The main area displays a table of grants with the following data:

Title	CFDA	AFIS Grant#	Grantor
Mammography Inspections	66.032	940001	FDA
State Indoor Radon Grant 2009	66.032	900022	EPA
State Indoor Radon Grant 2010	66.032	900023	EPA
Waste Isolation Pilot Project	81.106	840005	WGA

The 'Reports' menu on the right includes options such as 'Transmittal', 'Federal Funds', 'Federal Funds S&U Summary', 'Federal Funds S&U Detail', 'Federal Funds PM Detail', 'Transmittal Error Check', 'Print Report Package', 'Submit to OSPB', and 'Utility'. A notification box states: 'The due date is 9/1/2011 . You have 100 days left.' A 'Need help?' section provides contact information for the Analyst and the OSPB office.

Click on these buttons to change the sort order of the grants. You can chose from an alphabetical order by grant name or numerical order by grant number.

Click on a grant to go to the Grant Descriptive Information Form

## Federal Funds – Grant Descriptive Information

The Federal Funds Grant Descriptive Information form is used to collect data on the Federal grant selected from the list or grants. Each grant should have a title, a CFDA code, an AFIS Grant number, a Grantor ID, and a description. In recent years, new data elements were incorporated, including the nature of the Federal Funds (reimbursement, cost sharing, or grant), source of matching funds (state-fund number(s) or local), federal portion (usually expressed as a percent, but actual dollars are acceptable), and the timeframe of the grant (one-time, on-going or periodically renewable with specific start and end dates).

The screenshot shows the 'Federal Grant Detail' form. At the top, there are navigation buttons: 'Add', 'Delete', 'Federal Fund's Sources & Uses', 'Performance Measures', and 'Close'. Below these is a 'Navigation Pane' on the left. The main form area includes:

- Agency:** AEA Radiation Regulatory Agency
- Grant Title:** Mammography Inspections
- Description:** To perform inspections of mammography Medicare facilities throughout the state.
- AFIS Fund number:** 2000
- Check here if this is American Recovery and Reinvestment Act money (Stimulus):**
- Administrative costs are permitted to be paid using this federal money:**
- AFIS Grant # (max 6):** 940001
- CFDA: (##.###):** 99.996
- Grantor:** FDA
- For What Timeframe is this Grant Awarded?** (dropdown menu)
- Start Date:** (text field)
- End Date:** (text field)
- Type of Grant:** Other
- Federal Percentage or Dollar Cap Amt:** (text field)
- Source of Local/State Match (What fund or entity provides the match money):** (text field)

These buttons allow agencies to add or delete grants or to go to the sources and uses form to enter the financial details.

The name of the grant will be shown in the title field. For new grants, please use the same name as used in AFIS.

Please indicate the purpose of the funding and any associated restrictions. Also, indicate the basis on which the agency was awarded the funding. Funding is typically awarded based upon demographics or a particular population, or through a competitive application. This could be demographics, competitive application, etc.

If the agency passes any portion of these monies on to other governmental entities, please add a paragraph that describes how the agency determines who receives the amounts distributed.

## Federal Funds – Grant Descriptive Information (Cont)

**Cliff2012 ver. 1.06 - [Federal Grant Detail]**

File Edit View Insert Format Records Tools Window Help Adobe PDF

Type a question for help

**Federal Grant Detail**

Agency: AEA Radiation Regulatory Agency

**Grant Title:** Mammography Inspections

**Description:** To perform inspections of mammography Medicare facilities throughout the state.

AFIS Fund number (where this grant is maintained in the accounting system): 2000

Check here if this is American Recovery and Reinvestment Act money (Stimulus)

Administrative costs are permitted to be paid using this federal money:

**AFIS Grant # (max 6):** 940001

**CFDA: (###,####)** 99.996

**Grantor:** FDA

**For What Timeframe is this Grant Awarded?**

**Start Date:** 3/6/2009

**End Date:**

**Type of Grant:**

**Federal Percentage or Dollar Cap Amt:**

**Source of Local/State Match (What fund or entity provides the match money):**

Please identify the fund in the accounting system which contains the receipts and expenditures for this grant for your agency.

Is this grant America Recovery and Reinvestment Act money (stimulus)? Check if "Yes".

Can the agency recover any administrative or indirect costs from this grant? Check if "Yes".

Identify the type of grant: Is this a grant (use of money for specific purpose but not requiring matching money or prior expenditure for reimbursement), cost-share (state or local match required), reimbursement (state expenditure required first and then reimbursement) or other. If other, please explain in the box below the identification.

If the grant type is cost-share or reimbursement (some state or local money is required), what is the percentage (or amount) of the total cost which is federal money? Also, what is the source of the remaining part of the total expenditures? (Provide fund names or numbers if possible.)

Enter the AFIS Grant Number, the CFDA code and the granting federal agency and sub-agency name. AFIS grant numbers are 6 digits long. Do not include the phase number.

Identify whether this grant is on-going, requires periodic renewal, is one-time or other. Please provide specific start and end dates whenever possible.

## Federal Grant Detail – Source and Uses

The Federal Grant Detail form is where an agency enters more detailed information about expenditures and revenues for the grant selected.

Agency: AEA Radiation Regulatory Agency  
Federal Fund: Mammography Inspections

Enter amounts in thousands.  
i.e., \$12,345.00=12.3

	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
FTE Positions	5.0	5.0	5.0
<b>Beginning Balance:</b>	<b>112.5</b>	111.4	111.2
<b>Revenues (Sources):</b>			
New Federal Revenue	276.5	276.5	215.6
Pass-Through Funds (From other state agencies)	0.0	0.0	0.0
Transfers and Other Funds (In)	0.0	0.0	0.0
<b>Total Revenue</b>	<b>276.5</b>	<b>276.5</b>	<b>215.6</b>
<b>Expenditures (Uses):</b>			
Personal Services	167.5	167.5	167.5
Employee Related Expenses	36.7	36.7	36.7
Professional and Outside Services	0.0	0.0	0.0
Travel In-State	46.8	45.0	45.0
Travel Out-of-State	0.0	0.0	0.0
Food	0.0	0.0	0.0
Pass-Through Funds (To Other State Agencies)	0.0	0.0	0.0
Pass-Through Funds (To Non-State Agencies)	0.0	0.0	0.0
Aid to Individuals	0.0	0.0	0.0
Other Operating Expenditures	26.5	27.5	27.5
Land Acquisition and Capital Projects	0.0	0.0	0.0
Capital and Non Capital Equipment	0.0	0.0	0.0
Cost Allocation / Indirect Costs	0.0	0.0	0.0
Transfers and Refunds (Out)	0.0	0.0	0.0
<b>Total Expenditures</b>	<b>277.6</b>	<b>276.7</b>	<b>276.7</b>
<b>Ending Balance:</b>	<b>111.4</b>	111.2	50.1

The user can select whether they want the form to tab horizontally or vertically. Agencies can use the buttons on the upper left to make this choice. Red text identifies which direction the cursor will move when the “Enter” key or “Tab” key is pressed. The system “remembers” your selections this year.

Don't forget to enter the beginning balance. Once entered, CLIFF will calculate each subsequent ending and beginning balances.

If this grant contains Pass-Through dollars (in or out), then detailed information is required. Simply click on one of the cells in those rows and press “F8” and the detail information form will open.

We need to track the flow of Federal Grant dollars between agencies. This process minimizes the effort necessary to provide all relevant information.

## Federal Grant Detail – Source and Uses (Cont) – Pass through Fund Detail Form

The pass-through fund detail form is where an agency enters more detailed information about where the fund comes or where the funds go to.

**Radiation Regulatory Agency**  
Mammography Inspections  
Pass Through Funds (From other state agencies)

Please input the detail of pass-through grant information in this form. Indicate the agency that the grant is from/to in the agency text box, indicate the fund that the grant is from/to (please use AFIS code, i.e. 9999-4); put in the amount in each year.

Agency	Fund	FY 2011	FY 2012	FY 2013
		0.0	0.0	0.0

Total: [ ] [ ] [ ]

Agency name

The Grant Title is provided from the previous form.

The Pass-Through category is provided based upon which row you were working on. This title could be “Pass-Through funds (To Other State Agency)” or “Pass-Through funds (To Non-State Agency)” or “Pass Through funds (From Other State Agency)”. These all work the same way.

The agency name or AFIS code is desired.

The fund name or AFIS code is desired. If known, please provide information on the source state fund for this “transfer-in” or the destination fund for this “transfer-out”.

## Federal Grant's Performance Measures

Each federal grant is required to have at least one performance measure to evaluate this particular grant.

The screenshot shows the 'Federal Grant's Performance Measures' application window. The interface includes a ribbon with tabs for 'Home', 'Create', 'External Data', and 'Database Tools'. Below the ribbon are various toolbars for editing and data management. The main content area displays the following information:

- Agency:** AEA Radiation Regulatory Agency
- Federal Fund:** Mammography Inspections

Below this information is a table of Performance Measures (PMs) with the following columns: PMs Order, PM Name, FY 2010 Actual, FY 2011 Actual, FY 2012 Estimate, and FY 2013 Estimate.

PMs Order	PM Name	FY 2010 Actual	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
0	Number of mammography facility inspections	155		155	155

Callout boxes provide instructions for the following actions:

- Click to reorder the existing performance measures.** (Points to the 'Reorder PMs' button)
- Click to add a new performance measure.** (Points to the 'Add a New PM' button)
- Click Performance Measure to open PM detail form.** (Points to the 'Number of mammography facility inspections' row)

A small note next to the table says: 'Click PM to enter into edit mode'.

## Performance Measures – Detail Information

Each federal grant is required to have at least one performance measure to evaluate this particular grant. The performance measures are to indicate what the dollars are used for, what the outcomes of using the dollars supposed to be and how one measures the success of the programs where the dollars are spent.

The screenshot shows a software interface for entering performance measure details. The title of the window is "Federal Grant's PM Details - Cliff2013 ver. 1". The form is titled "Federal Fund's Performance Measure Details". It includes fields for "Agency" (Radiation Regulatory Agency) and "Federal Fund" (Mammography Inspections). The "Performance Measure" field contains the text "Number of mammography facility inspections". Below this is a table with four columns: "FY 2010 Actual", "FY 2011 Actual", "FY 2012 Estimate", and "FY 2013 Estimate". Each column contains the value "155". The "PM Order" field is set to "1". The "Performance Measure Description" field contains the text "To improve efficiency of subprogram database changes and tracking of applications..".

FY 2010 Actual	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate
155	155	155	155

Performance measure title cannot be blank. Please make the title descriptive enough to stand on their own. Most likely the description field will not be published with the performance measures.

Performance measure description cannot be blank. Please ensure that this description fully explains why the measure is important to identify success of the grant and how the measure is calculated or gathered.

## Performance Measures – Reorder

The performance measures for any federal grant can be reorganized on this form. Simply enter the new order in the appropriate field and then click on the reorder button. The system will ask to confirm the reorder request and then the performance measures will be displayed in the requested order.

Agency: Radiation Regulatory Agency  
Federal Grant: Mammography Inspections

To resort the PM priorities, put the new order in white boxes then click reorder button.

PM	New Priority
0	Number of mammography facility inspections

Form View EXT NUM

Click here to execute the reorder of the performance measures. A confirmation message will appear before the changes are implemented.

Enter the numeric order for the performance measures here.

# Transmittal Statement

We have added a transmittal form which provides contact information regarding the preparation of the Federal Funds. It also provides a place for the agency director to acknowledge the submission of the report to the Governor's Office. The form and the associated report include a listing of each grant and an agency total.

State of Arizona Budget Request  
**Transmittal Statement**  
Radiation Regulatory Agency

Agency Head: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date Prepared: \_\_\_\_\_  
Request Prepared by: \_\_\_\_\_  
E-mail Address: \_\_\_\_\_  
Phone: \_\_\_\_\_

Governor Brewer:  
This and the accompanying schedules constitute the  
Statement of Federal Funds for this agency for Fiscal  
Year 2013.  
*To the best of my knowledge all statements and  
explanations submitted are true and correct.*

Agency Head Signature \_\_\_\_\_

	2011	2012	2013
	Expenditures	Expenditures	Expenditures
Mammography Inspections	277.6	276.7	276.7

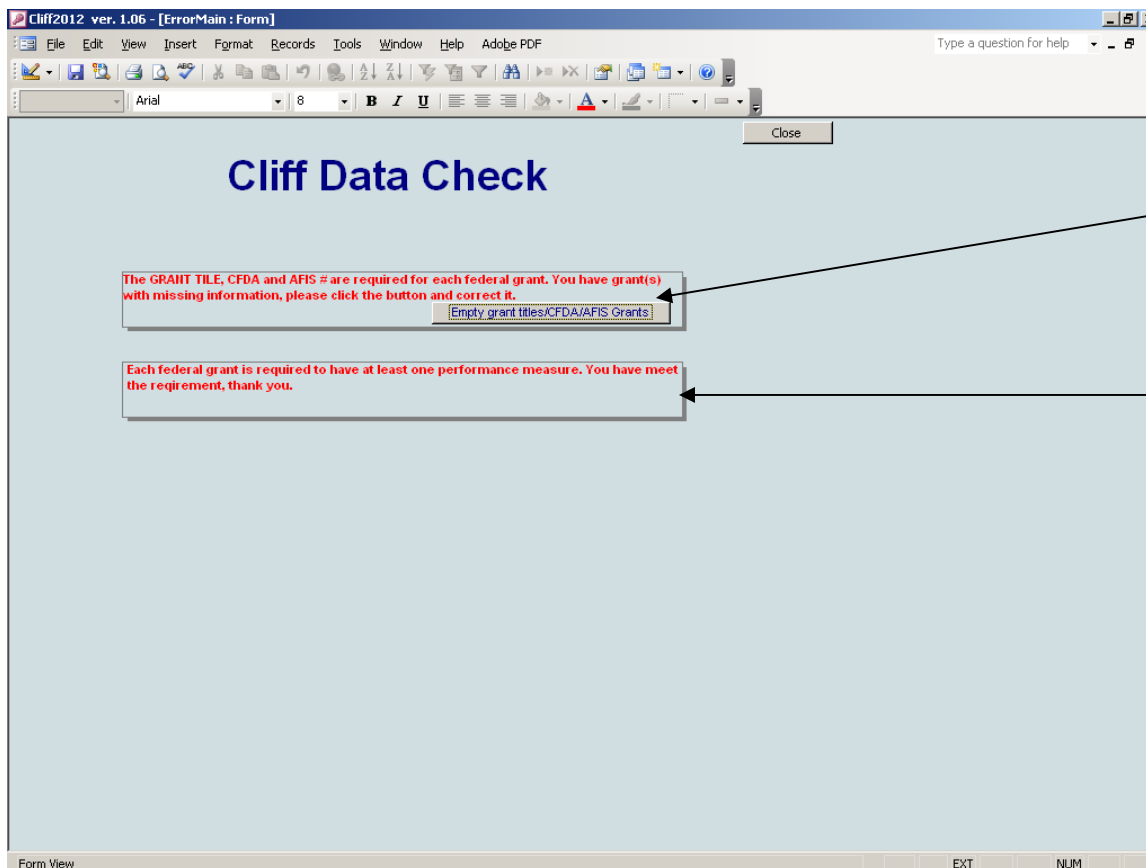
Navigation Pane

Enter the name of the agency head and his title.

Enter the name of the individual who prepared or supervised the preparation of the federal documents with contact information

## Federal Grants – Data Check

For each federal grant, grant titles, CFDA and AFIS grants are critical information that cannot be left empty. If any of this information is blank, the error buttons will show and lead you to the detail error information form. Each federal grant is required to have at least one performance measure. If there is no PM for a grant, the error button will indicate that and lead you to the detail form so that you may complete the required information.



Grant titles/ CFDA/AFIS grants numbers cannot be empty

There must be at least one performance measure for each and every federal grant.

## Federal Grants – Data Check Detailed Forms

Click the buttons in previous page will lead to the detailed data error check form. Simply click “go there” button and you will go directly into the form where the error occurs so that you may correct the error.

Cliff2012 ver. 1.06 - [Erro-emptyfield : Form]

File Edit View Insert Format Records Tools Window Help Adobe PDF Type a question for help

Tahoma 8 B I U

### Cliff Data Check

Close

The GRAIT TITLE, CFDA and AFIS GRAIT # are critical information that are required, the following shows that you have grants that lack of such information, please click the "go there" button to go to the correspondent form and correct them.

Grant Title	CFDA	AFIS Grant #
State Indoor Radon Grant	66.032	

go there

Form View EXT NUM

Click “Go There” button to correct the problem

## Federal Grants – Submit to OSPB

Once you pass the data check step (i.e., there is no problem in your data), you will be able to submit your data to OSPB using different approaches:

The screenshot shows a web browser window displaying the 'Submit to OSPB' interface. The interface includes a header with contact information for the Office of Strategic Planning and Budgeting, a central section with submission options, and a 'Notes' section. Three callout boxes provide additional instructions:

- Callout 1:** "eFile" is highly recommended. It will transfer your data to OSPB FTP server by a simple one click.
- Callout 2:** Click "eMail", it will show you the name and location of the data file. You need to manually attach this data file to your email to OSPB
- Callout 3:** If you want to use other media to submit your data, this will show you the name and location of the data file. You need to manually copy it to the media then submit it to OSPB

**Submit to OSPB**

This system includes data for fiscal years 2011 through 2013

Select one of the following methods for sending us a data file of your work:

- eFile \***
- eMail**
- Other Media**  
(e.g., CD or Zip Disk)

**Notes:**

- Agencies must submit an original and four copies; ARS Title 35-113. In addition, the data file must be received on time.
- Data files must be resubmitted each time you send hardcopies for revisions.
- eFile is the preferred way to send us your data. Please use it after you've reviewed your hardcopies.

**The statutory due date is 9/1/11. You have 87 days remaining.**

**For technical support:**  
Joy Su  
(602) 542-6573  
jsu@az.gov

## Federal Grants – OSPB Support

If you have a technical problem during the data entry, please contact OSPB IT people first to get support. You may be asked to submit a copy of your data for them to analyze in order to fix the problem. Under the Utilities menu, the button “Submit to OSPB for Support” will help you send a copy of your data to OSPB

