

# INSTRUCTIONS FOR REPORTING FEDERAL GRANTS

Governor's Office of Strategic Planning & Budgeting

May 2016

Douglas A. Ducey  
Governor



*State of Arizona*

## Background and Overview

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

The advent of the Federal sequester and the discussion of federal spending reductions has underscored the need for understanding 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 outcomes are 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 are pre-loaded with information directly from the CFDA website. They 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. If there are issues with the current description, please contact your OSPB analyst.

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.

Federal Funds information is due to OSPB the same day as other budget information (BUDDIES and AZIPS) **September 1, 2016**.

## List of Federal Grants

The Federal Grants List shows all Federal Grants identified by the agency last year and any grants known to have been added this year. Every **Federal Grant should be listed here** and should have its own individual record. **Do not combine grants!** Summing across phases is okay. If a new grant needs to be added, click on the "Add" button. For existing grants, click on the grant and the Federal Grant Detail form will display. **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.

**Consolidated Ledger of Information on Federal Funds Federal Grants**

Agency:

Buttons: Add, Reports check to show page number, Exit

Buttons in sidebar: 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, Utility

Title ▲ ▼	CFDA	AFIS Grant# ▲ ▼	Grantor
Bulletproof Vest Partnership Program	16.607	511100	Department of Justice
Employment Service/Wagner-Peyser Funded Activities	17.207	720160	Department of Labor
Highway Planning and Construction	29.205	650000	Department of Transportation
Labor Force Statistics	17.002	700015	Department of Labor
Low-Income Home Energy Assistance	93.568	200005	Department of Health and Human Services
Nonpoint Source Implementation Grants	66.460	090004	Environmental Protection Agency
State and Local Implementation Grant Program	11.549	888888	Department of Commerce
State Broadband Data and Development Grant Program	11.558	865000	Department of Commerce
State Energy Program	81.041	200007	Department of Energy
State Energy Program	81.041	090005	Department of Energy
Unemployment Insurance	17.225	730120	Department of Labor
Weatherization Assistance for Low-Income Persons	81.042	200006	Department of Energy
WIA Youth Activities	17.259	740120	Department of Labor

Annotations:

- Click on a federal grant to edit details. (points to a row in the table)
- Click on these buttons to change the sort order of the grants. You can choose from an alphabetical order by grant name or numerical order by grant number. (points to the 'Title' and 'AFIS Grant#' column headers)
- Click on a grant to go to the Grant Detail Form (points to a row in the table)

Additional text in the interface:

- This system includes data for fiscal years 2016 to Fiscal Year 2018
- The due date is 9/1/2016 . You have 92 days left.
- Need help? Click on the link: [contact your Analyst](#) Or, call the OSPB office at (602) 542-5381
- For any question regarding missing grants, incorrect grants, please contact Michael Williams at (602) 542-3801 or [mwilliams@az.gov](mailto:mwilliams@az.gov)

## Federal Grant Detail

The Federal Grant Detail form is used to collect information about each grant. For each grant, select a CFDA number from the dropdown list and enter an AFIS Grant number. Upon selecting a CFDA number, the Grantor ID and grant description will automatically fill.

The screenshot shows the 'Federal Grant Detail' form with the following fields and callouts:

- Buttons:** 'Add', 'Delete', 'Federal Fund's Sources & Uses', 'Performance Measures', 'Close'. Callout: "These buttons add or delete grants or go to the sources and uses form to enter the financial details."
- Agency:** ADA Arizona Department of Administration
- Grant Title:** Highway Planning and Construction. Callout: "The name of the grant will be shown in the title field."
- Description:** Federal-aid Highway Program: To assist State transportation agencies in the planning and development of an integrated, interconnected transportation system important to interstate commerce and travel by constructing and rehabilitating the National Highway System (NHS), including the Eisenhower Interstate System, for transportation improvements to many other public roads; to provide aid for the repair of Federal-aid highways following disasters; to foster safe highway design; to replace or rehabilitate deficient or obsolete bridges; and to provide for other special purposes. This program also provides for the improvement of roads in Puerto Rico, Guam, the U.S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Federal Lands Transportation Program (FLTP) provides assistance to the Federal Land Management Agencies (FLMAs) for Federally-owned roads and trails. It provides transportation engineering services and funding for planning, design, construction, and rehabilitation of the highways and bridges providing access to and on federally owned lands. The Federal Lands Highway organization also provides training, technology, deployment, engineering services, and products to other customers. Callout: "The federal description will be shown in this field and should indicate the purpose of the funding and any associated restrictions."
- AFIS Fund number:** 2261. Callout: "Check here if this is American Recovery and Reinvestment Act money (Stimulus)" and "Administrative costs are permitted to be paid using this federal money".
- AFIS Grant # (max 6):** 630000
- CFDA: (###-###):** 20.205
- Grantor:** Department of Transportation. Callout: "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."
- For What Timeframe is this Grant Awarded?:** Periodic Renewal
- Start Date:** 10/1/2004
- End Date:** 9/30/2014
- Type of Grant:** Continuation Full
- If Other, please explain how the funding of this grant works.**
- Federal Percentage or Dollar Cap Amt:**
- Source of Local/State Match (What fund or entity provides the match money):**

# Federal Grant Detail

### Federal Grant Detail

Agency: ADA Arizona Department of Administration

Grant Title: Highway Planning and Construction

Description: Federal-aid Highway Program: To assist State transportation agencies in the planning and development of an integrated, interconnected transportation system important to interstate commerce and travel by constructing and rehabilitating the National Highway System (NHS), including the Eisenhower Interstate System; for transportation improvements to many other public roads; to provide aid for the repair of Federal-aid highways following disasters; to foster safe highway design; to replace or rehabilitate deficient or obsolete bridges; and to provide for other special purposes. This program also provides for the improvement of roads in Puerto Rico, Guam, the U.S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Federal Lands Transportation Program (FLTP) provides assistance to the Federal Land Management Agencies (FLMAs) for Federally-owned roads and trails. It provides transportation engineering services and funding for planning, design, construction, and rehabilitation of the highways and bridges providing access to and on federally owned lands. The Federal Lands Highway organization also provides training, technology, deployment, engineering services, and products to other customers.

AFIS Fund number (where this grant is maintained in the accounting system): 2261  
i.e.: 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) 630000

CFDA: (###-###) 20.205

Grantor: Department of Transportation

For What Timeframe is this Grant Awarded? Periodic Renewal

Start Date: 10/1/2004

End Date: 9/30/2014

Type of Grant: Continuation Ful

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 State 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".

Select the type of grant from the dropdown list.

Select a CFDA number from the dropdown list. The granting agency will automatically fill. Questions about CFDA numbers should be addressed to your OSPB analyst.

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

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

# Federal Grant Source and Uses

Report | Nav: Tab▼ Tab▶ Close

### Federal Grant Sources & Uses

Agency: DTA Department of Transportation  
 Federal Fund: Highway Planning and Construction

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

	FY 2016 Actual	FY 2017 Estimate	FY 2018 Estimate
FTE Positions	0.0	0.0	0.0
<b>Beginning Balance:</b>	0.0	0.0	0.0
<b>Revenues (Sources):</b>			
New Federal Revenue	0.0	0.0	0.0
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>0.0</b>	<b>0.0</b>	<b>0.0</b>
<b>Expenditures (Uses):</b>			
Personal Services	0.0	0.0	0.0
Employee Related Expenses	0.0	0.0	0.0
Professional and Outside Services	0.0	0.0	0.0
Travel In-State	0.0	0.0	0.0
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	0.0	0.0	0.0
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>0.0</b>	<b>0.0</b>	<b>0.0</b>
<b>Ending Balance:</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>

The user can select whether they want the form to tab horizontally or vertically. Red text identifies which direction the cursor will move when the "Enter" key or "Tab" key is pressed.

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

If this grant contains pass-through dollars, detailed information is required. Click on one of the cells in those rows and press "F8" and the pass-through fund detail 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 Source and Uses – Pass-Through Fund Detail

**Department of Transportation**  
 Highway Planning and Construction  
 Pass Through Funds (From other state agencies)

Delete    Close

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-N); put in the amount in each year.

Agency	Fund	FY 2016	FY 2017	FY 2018
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	0.0	0.0	0.0
Total:		<input style="width: 40px;" type="text"/>	<input style="width: 40px;" type="text"/>	<input style="width: 40px;" type="text"/>

The pass-through category is based on the 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)". The sheet is the same for all types.

The fund name 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 a web interface titled "Federal Grant's Performance Measures". At the top right, there are four buttons: "Add a New PM", "Reorder PMs", "Report", and "Close". Below the title, there is a form with "Agency: ADA Arizona Department of Administration" and "Federal Fund: Employment Service/Wagner-Peyser Funded Activities". The main area is a table with columns for "PMs Order", "FY 2015 Actual", "FY 2016 Actual", "FY 2017 Estimate", and "FY 2018 Estimate". The table contains seven rows of performance measures. A callout box points to the "Add a New PM" button with the text "Click to add a new performance measure." Another callout box points to the "Reorder PMs" button with the text "Click to reorder the existing performance measures." A third callout box points to the first row of the table with the text "Click Performance Measure to open PM detail form." A fourth callout box points to the text "Click PM to enter into edit mode" located to the right of the table.

PMs Order		FY 2015 Actual	FY 2016 Actual	FY 2017 Estimate	FY 2018 Estimate
1	Populate the Workforce Information Database (WID) with data				
2	Produce and Disseminate Industry and Occupational Employment Projections				
3	Publish an Annual Economic Analysis Report for the Governor and the state WIB				
4	Post Products, Information, and Reports on the Internet.				
5	Partner and Consult on a Continuing Basis with Workforce Investment Boards and				
6	Conduct Economic Analysis and participate in the Joint Legislative Budget Committ				
7	Conduct Special Studies and Economic Analyses. Arizona Growing and Declining I				

## Performance Measures Details

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 web form titled "Federal Fund's Performance Measure Details". At the top right are buttons for "Add a New PM", "Delete a PM", and "Close". Below the title are navigation arrows. The form contains the following fields:

- Agency:** Arizona Department of Administration
- Federal Fund:** Employment Service/Wagner-Peyser Funded Activities
- Performance Measure:** A text field containing "Populate the Workforce Information Database (WID) with data".
- PM Order:** A text field containing "1".
- Performance Measure Description:** A large text area containing "Populate the Workforce Information Database (WID) with data".

Below the PM Order field are four columns for financial data: "FY 2015 Actual", "FY 2016 Actual", "FY 2017 Estimate", and "FY 2018 Estimate", each with an empty input field.

Two callout boxes provide instructions:

- The first callout points to the "Performance Measure" field and states: "Performance measure title cannot be blank. Please make the title descriptive enough to stand on its own. Most likely, the description field will not be published with the performance measures."
- The second callout points to the "Performance Measure Description" field and states: "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. 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 display them 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 Priority	New Priority
0	Number of mammography facility inspections

Reorder Close

Form View EXT NUM

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

Enter the numeric order for the performance measures here.

## Transmittal Statement

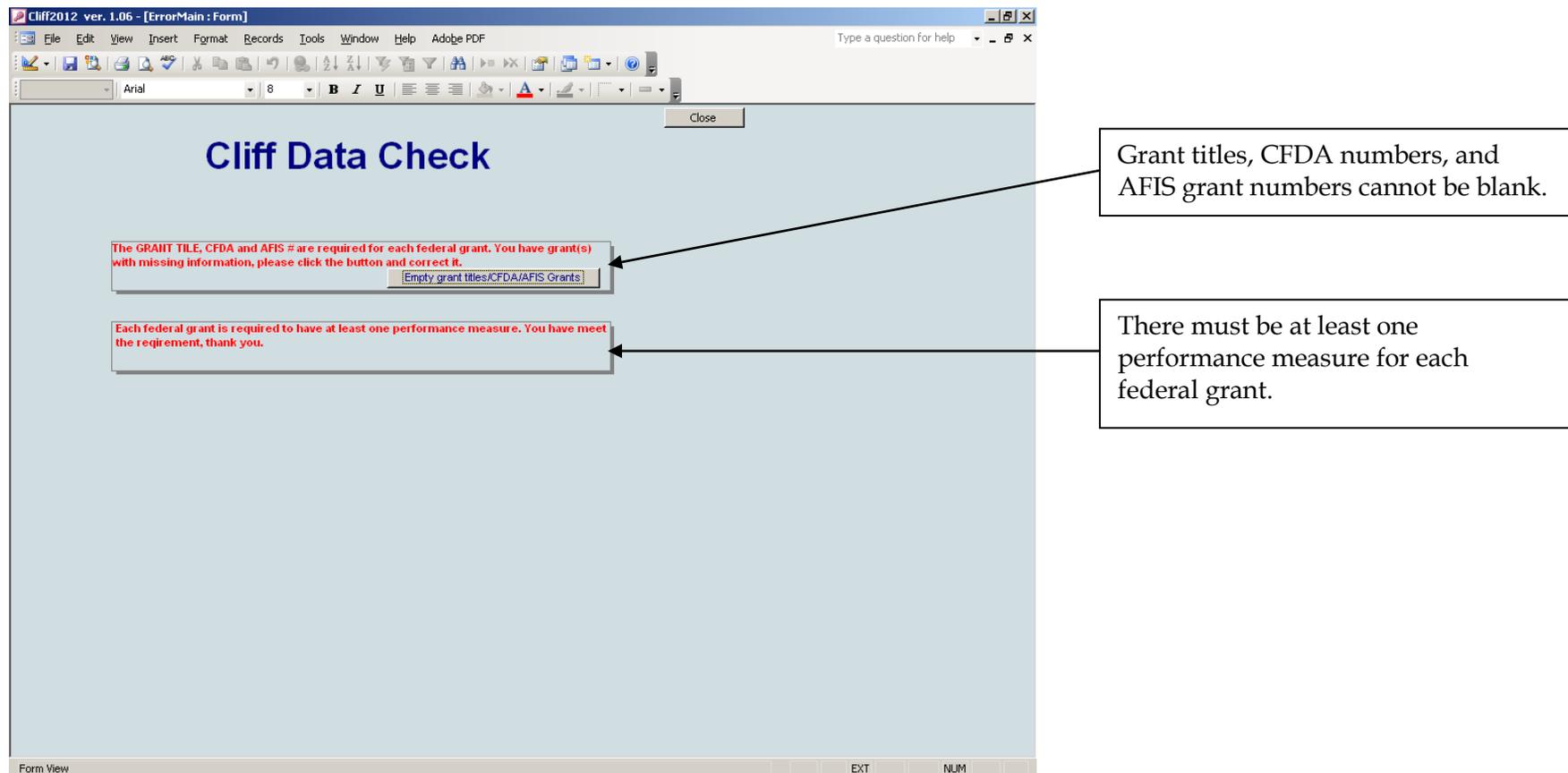
A transmittal form provides contact information. It also provides a place for the agency director to acknowledge the submission of the report to the Governor's Office. The form and the associated report include a listing of each grant and an agency total.

The screenshot shows a web-based form titled "State of Arizona Budget Request Transmittal Statement" from the Arizona Department of Administration. The form includes a header with "Report" and "Close" buttons. On the left, there are input fields for "Agency Head", "Title", "Date Prepared", "Request Prepared by", "E-mail Address", and "Phone". The "Agency Head" field contains "Scott A. Smith" and "Governor Ducey". The "Title" field contains "Director". The "Date Prepared" field contains "9/1/2011". The "Request Prepared by" field contains "Paul Shannon". The "E-mail Address" field contains "paul.shannon@azdoa.gov". The "Phone" field contains "(602) 542-1510". On the right, there is a signature line for the "Agency Head" and a statement: "This and the accompanying schedules constitute the Statement of Federal Funds for this agency for Fiscal Year 2018. To the best of my knowledge all statements and explanations submitted are true and correct". Below this is a table with columns for "2016 Expenditures", "2017 Expenditures", and "2018 Expenditures". Two callout boxes provide instructions: one points to the "Agency Head" field with the text "Enter the name of the agency head and his title.", and another points to the "Request Prepared by" field with the text "Enter the name of the individual who prepared or supervised the preparation of the federal documents with contact information."

2016 Expenditures	2017 Expenditures	2018 Expenditures

## Data Check

Grant titles, CFDA numbers, and AFIS grant numbers are critical information for every grant and must be included in CLIFF. If any of this information is blank, the error buttons will lead you to the details of the error. Each federal grant is required to have at least one performance measure. If there is no PM for a grant, the error button will lead you to the form so that you may complete the required information.



The screenshot shows a software window titled "Cliff2012 ver. 1.06 - [ErrorMain: Form]". The window contains a "Cliff Data Check" dialog box with two error messages and a "Close" button. The first error message states: "The GRANT TITLE, CFDA and AFIS # are required for each federal grant. You have grant(s) with missing information, please click the button and correct it." Below this message is a button labeled "Empty grant titles/CFDA/AFIS Grants". The second error message states: "Each federal grant is required to have at least one performance measure. You have met the requirement, thank you." Two callout boxes on the right side of the image point to these messages. The top callout box contains the text: "Grant titles, CFDA numbers, and AFIS grant numbers cannot be blank." The bottom callout box contains the text: "There must be at least one performance measure for each federal grant." The window also shows a standard menu bar (File, Edit, View, Insert, Format, Records, Tools, Window, Help) and a toolbar with various icons. The status bar at the bottom of the window displays "Form View", "EXT", and "NUM".

## Data Check

Simply click “go there” button and you will go directly into the form where the error occurs for corrective action.

Grant Title	CFDA	AFIS Grant #
State Indoor Radon Grant	66.032	

Click “Go There” button to correct the problem.

## 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 the 'Submit to OSPB' web interface. On the left, contact information for the Office of Strategic Planning and Budgeting is provided. A yellow callout box states: 'The statutory due date is 9/1/16. You have 92 days remaining.' The main heading is 'Submit to OSPB'. Below it, users are instructed to 'Select one of the following methods for sending us a data file of your work:'. Three buttons are visible: 'eFile \*', 'eMail', and 'Other Media (e.g., CD or Zip Disk)'. A 'Notes' section on the right contains several instructions: 'Agencies must submit an original and four copies; ARS Title 35-113. In addition, the data file must be received on...', 'Data files must be resubmitted each time you send hardcopies for revisions.', and '\* eFile is the preferred way to send us your data. Please use it after you've reviewed your hardcopies.' Three callout boxes provide further details: the first points to 'eFile \*' and states '“eFile” is highly recommended. It will transfer your data to OSPB by one simple click.'; the second points to 'eMail' and states '“eMail” will show you the name and location of the data file. You will need to manually attach this data file to your email to OSPB.'; the third points to 'Other Media' and states '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.'

Office of Strategic Planning and Budgeting  
BUDDIES Submittal  
1700 W. Washington, Suite 500  
Phoenix, AZ 85007  
Phone: (602) 542-5381

**Submit to OSPB**

This system includes data for fiscal year 2016 through 2018

The statutory due date is 9/1/16. You have 92 days remaining.

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...
- 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.

“eFile” is highly recommended. It will transfer your data to OSPB by one simple click.

“eMail” will show you the name and location of the data file. You will need to manually attach this data file to your email to OSPB.

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.

## Federal Grants – OSPB Support

If you have a question about CLIFF instructions or about Federal funds, contact your OSPB analyst. If you have a technical problem, please contact OSPB IT staff at 602 542-5381. You may be asked to submit a copy of your data for them to analyze. Under the Utilities menu, the button “Submit to OSPB for Support” will help you send a copy of your data to OSPB.

**Utilities** Close

(OSPB only)

- Add a New User
- Create a Data File Copy
- Administrative Use
- Submit to OSPB for Support

Creating a data file copy is a great way to periodically save your work during the day until a backup is done at night by your IT department.  
You're responsible to backup your work.

Click to send a copy of your data to OSPB for technical support.

**System Install Locations**

Print a Hardcopy of These Paths

Program Path: C:\ospb\CLIFF18.mdb

Data Path: I:\All Offices Shared\OSPBDEV\CLIFF18\DataCLIFF18.mdb