

Federal Awards Catalog



PROCESS IMPROVEMENTS 2015

Agenda

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- **Overview of 2014 Catalogs**
- **Update Submission Schedule**
- **Catalog Template Structure**
- **Catalog Update Process**

Federal Awards Catalogs By the Numbers

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- **31** state agencies.
- **1,769** active direct awards.
- **25** federal awarding agencies.
- **\$5,099,271,845** awarded.
- **\$3,853,394,328** expended.
- **\$1,245,877,517** available balance.
- **50.9%** of the awards require matching funds.

Looking Ahead

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- Increased focus on transparency.
- Federal Awards Catalog data will be posted and searchable on www.omb.ri.gov
- Public will be most interested in populations served and outcomes intended/achieved.
 - Carefully review the “Program Purpose” data element.
 - Make the description understandable to the taxpayer.
 - Avoid acronyms and jargon.
 - Keep it brief.

Common Errors in 2014 Catalog Submissions

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- **Grants Management Office unable to validate data reported.**
 - Upload all federal award letters (with terms and conditions and any supplemental guidance received) to the OMB SharePoint site.
- **Agency reported cumulative expenditures at the award level.**
 - Expenditures must be reported at the line sequence level.
- **Amount of Award Budgeted in SFY 15 + SFY 16 exceeds cumulative award amount.**
 - Even if additional funding is anticipated, do not budget in advance of receipt of award. This includes awards that are received as quarterly allotments.
- **Agency did not report administrative set-asides or indirect funds cumulatively.**
 - Report the total amount of administrative set-aside and/or indirect funds to be charged over the life of the entire award.
- **Award is reported on the Continuing Tab, but the end date has passed.**
 - If an award has received an extension, be sure to update the end date and upload any amendment letter received to SharePoint.

Quarterly Update Schedule

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- Effective December 31, 2014, updated catalogs will be submitted quarterly according to the following schedule:

Quarter End Date	Catalog Submission Date
December 31	February 1
March 31	May 1
June 30	August 1
September 30	November 1

- If submission date falls on a weekend, catalogs are due the preceding Friday.

Changes to the Catalog Template for 2015

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- No data elements have been added or removed from the catalog.
- **Formatting changes:**
 - **CFDA Data Element:** Report the award CFDA in XX.XXX format.
 - **Dollar Amounts:** Dollar amounts to be expressed as \$0.00
 - **Percentages:** Data elements expressed as a percent changes from 0.75 to 75%. Allows for two decimal places.

Catalog Template Structure

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- **Tab 1: Data Dictionary**
- **Tab 2: Federal Awards Catalog**
- **Tab 3: Ended Prime Awards**
- **Tab 4: Continuing Prime Awards**
- **Tab 5: New Prime Awards**
- **Tab 6: Co-Prime Awards**

Tab 1: Data Dictionary

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Quarter End Date:	Catalog Submission Date:
December 31	February 1
March 31	May 1
June 30	August 1
September 30	November 1

Date Element: Direct Federal Awards	Definition/Instructions for Entering Data Elements
Line Sequence	Enter seven digit RIFANS account number associated with the award. A row of data must be entered for each line sequence associated with the grant award.
Action Type	Choose one of the options from drop down menu: Initial Award, Modification
Federal Award Number	Enter unique identifying award number assigned by the federal agency exactly as it appears on award notice. Include spaces, dashes, and all special characters. If an award has multiple components under a single award number, report as one award. If the award includes multiple components under multiple award numbers report each component and its associated award number separately.
Amendment Number	Enter the amendment number from the award document. The amendment number immediately follows the award number. E.g., 1U58S000044-01 – the amendment number is "01".
Federal Award Instrument Type	Choose the award type from the drop down list: Project Grant, Formula Grant, Cooperative Agreement, Contract, Loan/Loan Guarantee, Direct Payments for Specified Use
Federal Awarding Agency Number and Agency Name	Choose name of the awarding federal agency from the drop down list. See below "Federal & State Agency Names" for Drop Down Options.
CFDA	Enter CFDA number, formatted as XXXX. Go to www.CFDA.gov and use search function if the CFDA number is not listed on federal award letter.
Program or Project Name	Enter short title for the award using the name the state agency has given the program.
Program Description	Enter brief description of the program purpose; i.e., a simple explanation understood by the taxpayer.
Project Period Begin Date	Enter Project Period Begin Date from award letter. If project period not listed on award letter, leave blank.
Project Period End Date	Enter project period end date from award letter. If project period not listed on award letter, leave blank.
Budget Period Begin Date	Enter Budget Period Begin Date from award letter. If budget period not listed on award letter, leave blank.

Ready | **Tab 1 Instructions & Dictionary** / Tab 2 Federal Awards Catalog / Tab 3 Ended Awards / Tab 4 Continuing Awards / Tab 5 New

- Data Dictionary is provided on Tab 1.
- For users that do not have Excel 2010, drop-down menu options are also provided.

Tab 2: Federal Awards Catalog

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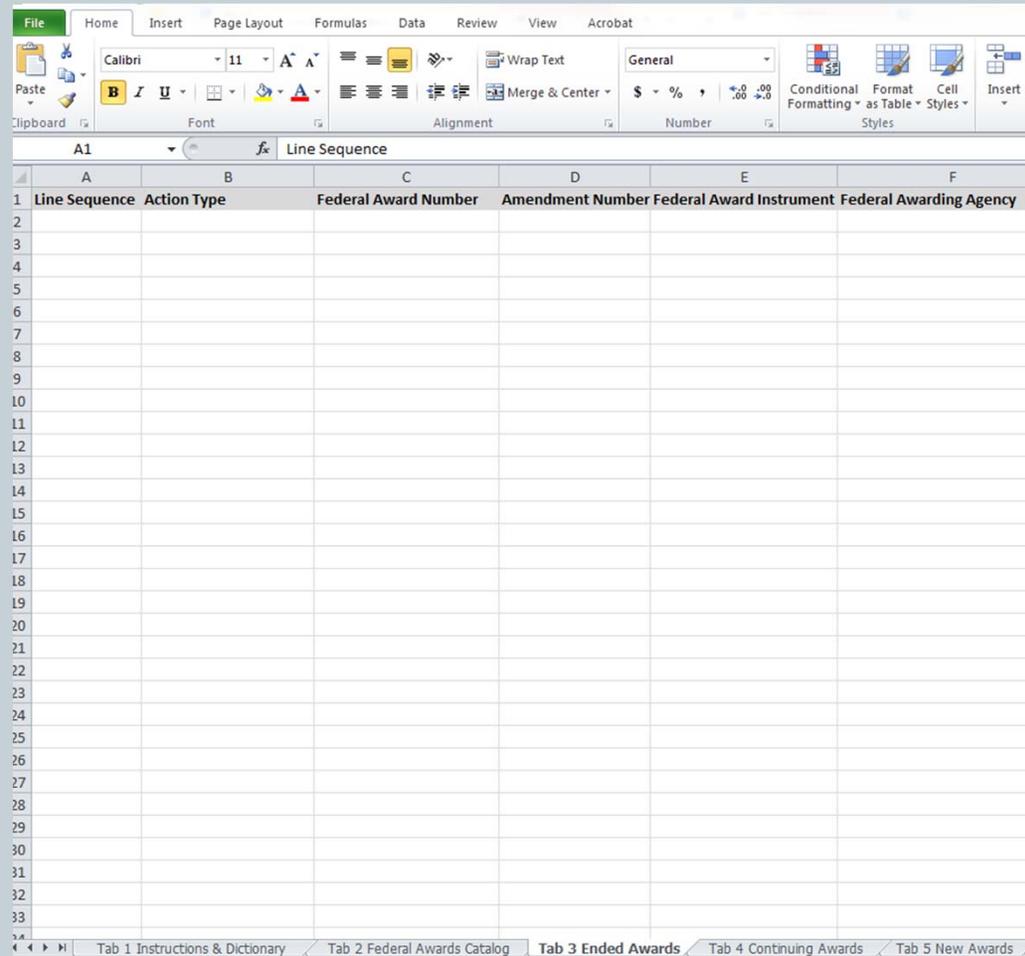
- Agency's prime awards, showing awards data through 6/30/2014.
- If agency is submitting a catalog for the first time, this tab will be blank.

Line Sequence	Action Type	Federal Award Number	Amendment Number	Federal Award Instrument Type	Federal Awarding Agency	CFDA
2	2809112 Initial Award	5819151156		Project Grant	11 Department of Agricultu	10.001
3	2809112 Initial Award	58-1915-3-009		Project Grant	11 Department of Agricultu	10.001
4	2809112 Initial Award	#13-8244-0694 CA		Project Grant	11 Department of Agricultu	10.025
5	2809112 Initial Award	13-8244-0861-CA		Project Grant	11 Department of Agricultu	10.025
5	2809112 Initial Award	14-8244-0694-CA		Project Grant	11 Department of Agricultu	10.025
7	2809112 Initial Award	2012-34103-19755		Project Grant	11 Department of Agricultu	10.20C
3	2809112 Initial Award	2013-36100-06044		Project Grant	11 Department of Agricultu	10.20E
3	2809112 Initial Award	31100-06044 FY 13		Project Grant	11 Department of Agricultu	10.20E
0	2809112 Initial Award	31100-06044 FY 14		Project Grant	11 Department of Agricultu	10.20E
1	2809112 Initial Award	31200-06044		Project Grant	11 Department of Agricultu	10.20E
2	2809112 Initial Award	31200-06044 FY 14		Project Grant	11 Department of Agricultu	10.20E
3	2809112 Initial Award	32100-06044		Project Grant	11 Department of Agricultu	10.20E
4	2809112 Initial Award	FY 14 32100-06044		Project Grant	11 Department of Agricultu	10.20E
5	2809112 Initial Award	2001-51130-31120		Project Grant	11 Department of Agricultu	10.30E
6	2809112 Initial Award	2.01E+13		Project Grant	11 Department of Agricultu	10.31C
7	2809112 Initial Award	2010-65400-20438		Project Grant	11 Department of Agricultu	10.31C
8	2809112 Initial Award	2010-65615-20669		Project Grant	11 Department of Agricultu	10.31C
9	2809112 Initial Award	2013-67016-20948		Project Grant	11 Department of Agricultu	10.31C
0	2809112 Initial Award	13-IE-53300-011		Project Grant	11 Department of Agricultu	10.45E
1	2809112 Initial Award	2.01E+13		Project Grant	11 Department of Agricultu	10.50C
2	2809112 Initial Award	2012-41100-04000		Project Grant	11 Department of Agricultu	10.50C
3	2809112 Initial Award	2012-41510-04000		Project Grant	11 Department of Agricultu	10.50C
4	2809112 Initial Award	2013-41100-04000		Project Grant	11 Department of Agricultu	10.50C
5	2809112 Initial Award	2013-41520-21150		Project Grant	11 Department of Agricultu	10.50C
6	2809112 Initial Award	2013-41534-21504		Project Grant	11 Department of Agricultu	10.50C
7	2809112 Initial Award	2014-46000-04000		Project Grant	11 Department of Agricultu	10.50C
8	2809112 Initial Award	41100-04000 FY 14		Project Grant	11 Department of Agricultu	10.50C
9	2809112 Initial Award	41500-04000 FY 14		Project Grant	11 Department of Agricultu	10.50C
0	2809112 Initial Award	41510-04000		Project Grant	11 Department of Agricultu	10.50C
1	2809112 Initial Award	46000-04000 FY 13		Project Grant	11 Department of Agricultu	10.50C
2	2809112 Initial Award	11-CA-11.420004-053		Project Grant	11 Department of Agricultu	10.68C
3	2809112 Initial Award	13-CA-11.420004-050		Project Grant	11 Department of Agricultu	10.68C

Tab 3: Ended Awards

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- Blank tab; agency will use this tab to report awards on Tab 2 that have ended since 6/30/2014.
- When award is moved to the ended tab, enter the date moved in the last column on the right (Column AG)
- **Important:** An award is only considered “ended” when no additional expenditures will be posted against the award after the end of the reporting quarter.



The screenshot shows an Excel spreadsheet with the following structure:

	A	B	C	D	E	F
1	Line Sequence	Action Type	Federal Award Number	Amendment Number	Federal Award Instrument	Federal Awarding Agency
2						
3						
4						
5						
6						
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Tab 4: Continuing Awards

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- **Use this tab to report awards on Tab 2 that are still active. There are two categories of these awards:**
 - Modified Continuing Awards
 - Multi-Year Continuing Awards

Tab 5: New Awards

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- Agency will use this tab to report all new awards received since June 30, 2014.

Tab 6: Co-Prime Awards

- Tab includes all previously reported Co-Prime awards.
- If no co-prime awards reported, tab will be blank.

Line Sequence	Action Type	Federal Award Number	CFDA	Program or Project Name	Program Description	State Agency Awarding Funds	IAA or I
2	Initial Award	RI PEP-Rhode Island	81.041	RI PEP-Rhode Island public	RI PEP-Rhode Island p	068 Department of Administrat	Yes
3	Initial Award	RIDE Allignment	84.412	RIDE Allignment	RIDE Allignment	072 Department of Elementary	No
4	Initial Award	RI DCYF training and	93.558	RI DCYF training and consu	RI DCYF training and c	079 Department of Children, Yc	Yes
5	Initial Award	80000628-01B	84.181	Recruitment & Retention c	Recruitment & Reten	069 Department of Human Serv	No
6	Initial Award	SNAP OUTREACH 2014	10.557	SNAP OUTREACH PROJECT	SNAP OUTREACH PRO	069 Department of Human Serv	No
7	Initial Award	RELAAY YEAR 3	84.378	Recruit and educate local e	Recruit and educate l	085 Board of Governors for High	No
8	Initial Award	#3324473 FY14-FY18	12.000	CI-FY14 TO FY18 CONTINUI	CI-FY14 TO FY18 CONT	014 Militia of the State	No
9	Initial Award	PO# 3341236	66.605	CI-RHODE ISLAND LAKE AN CI-RHODE ISLAND LAK	CI-RHODE ISLAND LAK	074 Department of Environmer	No
10	Initial Award	URI SNAP- ED 2014	10.557	URI SNAP- ED 2014	URI SNAP- ED 2014	069 Department of Human Serv	No
11	Initial Award	CI-RIGIS 2014	20.205	CI-SUSTAINING AND ENHA	CI-SUSTAINING AND E	068 Department of Administrat	No
12	Initial Award	Contract 011-022	10.170	Improving Yield and Qualif	Improving Yield and C	074 Department of Environmer	No
13	Initial Award	STP-SDRP(004)	66.419	CI - Storm Water Phase II	CI - Storm Water Pha	070 Department of Transportat	No
14	Initial Award	N/A RI STAC	N/A	DATA NARRATIVES: NARR	DATA NARRATIVES: N	RI Science and Technology Adv	No

Catalog Update Process: Prime Awards

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Step 1: Report All Ended Prime Awards on Tab 3

- Identify each ended award on Tab 2. Select all rows of data associated with the award number and highlight selected rows in **red**.
- Copy selected rows and paste the rows onto Tab 3 Ended Awards.
- Update the Cumulative Expenditures field to reflect expenditures through the end of the reporting quarter.
 - This is the only data element that must be updated for ended awards.
- Repeat this process for all ended awards.

Catalog Update Process: Prime Awards

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Step 2: Update Modified Continuing Prime Awards

- Identify the award that has been modified on Tab 2. Select all rows of data associated with the award number and highlight selected rows in **orange**.
- Copy selected rows. Paste the rows into Tab 4 Continuing Awards.
- Review and update any award data elements that may have changed due to the amendment.
 - Update award data elements that have changed due to amendment.
 - Update the Cumulative Expenditures through the end of the reporting quarter.
 - Review Amount of Award Budgeted in SFY15 and SFY16 and update to reflect spending plans given any increases in award funding.
- Repeat this process for all awards that have been modified since last Catalog submission.
- Upload all modification letters received to the OMB SharePoint site.

Catalog Update Process: Prime Awards

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Step 2: Update Multi-Year Continuing Prime Awards

- Identify all rows of data for the multi-year awards on Tab 2. (This should be all rows not highlighted in **red** or **orange**.) Highlight these rows in **blue**.
- Copy the rows containing the award information for the multi-year awards. Paste the rows onto Tab 4.
- Update the Cumulative Expenditures through the end of the reporting quarter.
- Repeat this process for all multi-year continuing awards.

Catalog Update Process: Prime Awards

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Step 3: Add New Prime Awards

- Enter each new award received in the reporting quarter.
- If there are multiple line sequences used for the award, enter a new row of data for each line sequence.
- Report the expenditures to date for each line sequence associated with the award. Total expenditures across all line sequences should be consistent with total expenditures to date against award.
- Report the amounts to be budgeted in SFY15 and SFY16 at the line sequence level. SFY15 will include expenditures to date.
- Upload award letters for all new awards received in the last quarter to the OMB SharePoint site.

Catalog Update Process: Co-Prime Awards

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Co-Prime Awards are updated on a single tab (Tab 6) using a color-coding system.

Ended Co-Prime Awards:

- Identify award that has ended and highlight in **red**.
- Update the Cumulative Expenditures through the end of the reporting quarter.
- Repeat process for all ended co-prime awards.

Catalog Update Process: Co-Prime Awards

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Modified Continuing Co-Prime Awards:

- Highlight modified continuing award in **orange**.
- Review and update any fields that have changed.
- Update the Cumulative Expenditures field through the end of the reporting quarter.
- Review and update Amount of Award to be Budgeted in SFY15 and SFY16 if spending plans have changed since last catalog submission.
- Repeat process for all modified continuing awards.

Catalog Update Process: Co-Prime Awards

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Multi-Year Continuing Co-Prime Awards:

- Highlight multi-year continuing award in **blue**. Note: this should be all awards not already highlighted in **red** or **orange**.
- Update the Cumulative Expenditures field through the end of the reporting quarter.
- Repeat this process for all multi-year continuing co-prime awards.

Catalog Update Process: Co-Prime Awards

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New Co-Prime Awards:

- Enter all new co-prime awards received in the reporting quarter below existing co-prime awards on Tab 6.
- Report the expenditures to date for each line sequence associated with the award. Total expenditures across all line sequences should be consistent with total expenditures to date against award.

Points to Remember on All Tabs

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- Report the following fields at the line sequence level:
 - 1. Cumulative Expenditures
 - 2. Amount Budgeted SFY15
 - 3. Amount Budgeted SFY 16
- Report the following fields at the award level:
 - 1. Current Award Amount
 - 2. Cumulative Award Amount
- Example:

State Agency	Line Sequence	Federal Award Number	Current Award Amount	Cumulative Award Amount	Cumulative Expenditures through 6/30/2014	Amount of Award to be Budgeted in SFY15	Amount of Award to be Budgeted in SFY16
069 Department of Human Services	2275116	1402RITANF	\$ 23,011,747.00	\$ 71,210,915.00	\$ 7,621,680.74	\$ 980,000.00	\$ -
069 Department of Human Services	2275121	1402RITANF	\$ 23,011,747.00	\$ 71,210,915.00	\$ 10,631,603.68	\$ 1,000,000.00	\$ -
069 Department of Human Services	2275177	1402RITANF	\$ 23,011,747.00	\$ 71,210,915.00	\$ 921,737.43	\$ 200,000.00	\$ -
069 Department of Human Services	2400101	1402RITANF	\$ 23,011,747.00	\$ 71,210,915.00	\$ 32,189,107.30	\$ 5,000,000.00	\$ -
069 Department of Human Services	2400103	1402RITANF	\$ 23,011,747.00	\$ 71,210,915.00	\$ -	\$ 1,800.00	\$ -
069 Department of Human Services	2400107	1402RITANF	\$ 23,011,747.00	\$ 71,210,915.00	\$ 24,807.95	\$ 5,000.00	\$ -
069 Department of Human Services	2400112	1402RITANF	\$ 23,011,747.00	\$ 71,210,915.00	\$ 7,936,056.96	\$ 75,000.00	\$ -
069 Department of Human Services	2400114	1402RITANF	\$ 23,011,747.00	\$ 71,210,915.00	\$ 3,517,812.00	\$ 300,000.00	\$ -
069 Department of Human Services	2400115	1402RITANF	\$ 23,011,747.00	\$ 71,210,915.00	\$ 377,493.40	\$ 140,000.00	\$ -

Submit Completed Catalog

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- Save the completed file as “[Agency]_FederalAwardsCatalog_12.31.2014”
- Email the completed file to Grants Management Office (laurie.petrone@omb.ri.gov and katherine.jurczyk@omb.ri.gov) for review.