

RAFF Procedures

PURPOSE.

The RAFF is used to determine appropriation/executive authorization spending authority required. The values calculated herein must be sufficient to fund program needs applicable to federal grant awards (both existing and anticipated).

Where practicable, if a grant/subgrant spans multiple years, the requested appropriation/authorization may be limited to that year's need, rather than requesting the full amount of the award/subaward upfront.

PROCEDURES.

The following procedures apply to the submission of the Request for Approval of Federal Funds (RAFF) form. All forms and supporting documentation must be submitted in electronic/digital format (Example: PDF, xlsx, docx, etc).

1. Agency

- a.** Completes form for each federal appropriation, federal executive authorization or federal restricted receipt account required in order to request initial and/or supplemental funding. Obtains necessary internal approval.
- b.** Contacts lead agencies of Federal Block Grant appropriations to ensure that amounts are consistent with block grant plans and the latest estimate of block grant funding. Contacts lead agencies for all federal subgrants received to ensure the amounts are consistent with the latest estimate of the subgrant funding.
- c.** An agency that is the recipient of a federal subgrant as the secondary agency, from another state agency is referred to as the "child" for budget purposes and is responsible for completing the RAFF form to request the federal executive authorization. The state agency providing the federal subgrant funds as the lead agency is referred to as the "parent" for budget purposes. PARENT and CHILD agencies must be proactive in coordinating RAFF requests to ensure that PARENT/CHILD funding requests are harmonized prior to RAFF submission. At a minimum, coordinated efforts should ensure that 1) PARENT funding request is sufficient to cover both direct spend and CHILD transfers, 2) CHILD funding request is sufficient to cover anticipated spend, and 3) PARENT/CHILD relationships are clearly identified respectively on all RAFF submissions.
- d.** Forwards as follows:
 - (1)** If the RAFF is for the initial request for the budget year, electronically submits to the Executive Deputy Secretary of the Budget, Office of the Budget (OB), at the same time the legislative hearing package is submitted. Also includes information copy in legislative hearing package, which is submitted, usually in February or March, to each appropriations committee.

(2) If the RAFF is for a supplemental request or change to an existing current (available) year appropriation or executive authorization, immediately electronically submits the RAFF to the OB.

2. Office of the Executive Deputy Secretary of the Budget

- a. Reviews information to determine:
 - (1) Accuracy and completeness.
 - (2) Conformance with current legislative, budgetary, and policy considerations.
 - (3) Whether appropriation or executive authorization is required.
- b. Discusses with agency, as necessary.
- c. As appropriate:
 - (1) Drafts Appropriation Bills which are forwarded to the Legislature, including updates for proposed supplemental requests. Ensures federal restricted receipt authorization accounts are submitted for Legislative establishment via the Fiscal Code
 - (2) Drafts federal executive authorization expenditure symbol notification (ESN) letter for the Governor's approval and issuance.
- d. Requests from agencies any updates (not already submitted) to initial RAFF.

RAFF Form Instructions

The following instructions apply to the preparation of the RAFF:

Note: All information provided on the RAFF must be based on the state fiscal year (July 1 – June 30). Prior to entering any dollar figures, the appropriate state fiscal year periods should be entered under the columns labeled "Actual," "Available," and "Budget." The funding values identified are to be rounded and entered in thousands (e.g., \$36,985 becomes \$37).

(a) Authorization number: An agency should identify each request sequentially within the fiscal year of which the RAFF is submitted. This fiscal year should not be misconstrued or assumed to be associated with the fund fiscal year (budget period) assignment. Thus, the first request of the 2022-23 state fiscal year should be [BA] 22-01-01; BA should be keyed as the numerical Business Area. For example, the first RAFF submitted by the Department of Aging in fiscal year 2022 would hold an authorization number of 10-22-01-01. If the submittal is to update or amend a request previously submitted, only the last two digits as the sequential number should be updated. Therefore, the first update or amendment to the original request (ex: 10-22-01-01) would be submitted as 10-22-01-02.

(b) Date prepared: (self-explanatory).

(c) The following numbered instructions correspond with the numbers on the RAFF:

- 1 SAP Federal Account Title and Account Code (COPA Fund BA SAP Fund, ex: xxx xx xxxxx):** Enter SAP Account Title and Code as shown on the latest ESN or on the latest budget request; or enter suggested title and "New" when a new symbol number needs to be assigned.
- 2 State Agency:** Enter the name of the requesting agency to which the federal funds from this grant are to be appropriated or authorized. The state agency must correspond to the Business Area reflected in Section 1 of the RAFF form.
- 3 Supplemented/State Related Appropriation (SAP Fund and Title):** Enter SAP Fund and Title of the state appropriation/executive authorization which is to be supplemented by the federal funds requested.
- 4 Action Requested:** Per definitions below:
 - Federal Appropriation (L7)** - an authorization made by an act of the General Assembly for the expenditure of a specified amount of federal funds for a stated purpose as required by Act 117 of 1976.
 - Federal Executive Authorization (L8)** - an authorization issued under the name of the governor for the expenditure of a specified amount of federal funds for a stated purpose and for which appropriation authority has been provided through an enabling legislative act of the General Assembly.
 - Federal Restricted Receipt (L49)** – A restricted account established by legislative enactment (Fiscal Code) for the purpose of administering federal grants only for the purposes designated by law. Federal funds received into the accounts are generally received in advance and become the fiduciary responsibility of the commonwealth.
- 5 Contact Person (Telephone No.):** Enter the name and telephone number of the person within the requesting agency who completed the form.
- 6 Related Federal Restricted Receipt Title and SAP Fund (49 xxx):** Enter the Title and Account Code of the federal restricted receipt to which these federal funds are credited. Enter "NA" if the funds do not flow through a restricted receipt account.
- 7 Federal Grant Program Title(s):** Enter the name of the federal grant program as it appears in the federal Assistance Listings (ALN) or as it appears in the Governor's Executive Budget. Note: All ALN titles must be provided; if there are multiple, but similar ALN numbers included within the request, the primary ALN title should be identified first.
- 8 Federal ALN No(s):** Enter the program number of the federal grant program as it appears in the federal Assistance Listings. Note: All ALN numbers must be provided; if there are multiple, but similar ALN numbers included within the request, the primary ALN number should be identified first.
- 9 Purpose:** Check the appropriate box to indicate the purpose for which the RAFF is submitted.

10 Federal Granting Agency/Division: Enter the name of the federal agency making the program funding available to the requesting state agency.

11 Type of Program: Check "on-going" if the program is continuing over several years. Check "one time" if the program is a short-term project grant which is of limited duration.

12 Federal Grant Authorization: Identify the federal law which establishes the program/grant funding.

13 Federal Appropriation (L7): This section is to be completed for all federal funds required to be appropriated by the Legislature via an appropriation bill. Actual Year must agree with total authorized spending authority (excluding lapses) as identified in SAP for the Actual Year budget period. Dollar figures should be entered as follows:

Existing Grant Awards: Enter the appropriation value needed to provide for existing grants awarded to the requesting state agency.

New & Potential Grant Awards: Enter the appropriation value needed to provide for new grant awards or potential grant awards anticipated by the requesting state agency.

Supplemental Award: If the RAFF is requesting a supplement to an existing federal appropriation, enter the supplemental amount being requested in the Available Year column only; Actual Year and Budget Year is not applicable and must always be \$0.

14 Federal Executive Authorization (L8): This section is to be completed for federal funds applicable to state programs that have received appropriation authority through an enabling legislative enactment and, thus, shall be executively authorized by the Governor through the issuance of an ESN. Actual Year must agree with total authorized spending authority (excluding lapses) as identified in SAP for the Actual Year budget period. Dollar figures should be entered as follows:

Rollover/Reauthorization of Existing Subgrant: Reauthorization (in the Budget Year) of existing or anticipated Available Year balances remaining as a result of program delays or other factors slowing consumption/spend may be a preferred alternative to a waiver. Amounts should be reflected in the Budget Year only. Prior balances carried into the Budget Year shall be lapsed. NO transfer from PARENT-to-CHILD shall occur.

New & Potential Subgrant from PARENT(s): Enter the funding amount required to be provided from a PARENT(s) fund. Note: This value reflects a transfer of spending authority from the PARENT-to-CHILD. **Section 14 a)** must be completed and must agree in total to the funding amount required. Section 14 a) is limited to only the New & Potential Subgrant from PARENT(s) detail and is only completed for the Available year and Budget year. The ESN will utilize Section 14 a) to identify the current PARENT value(s) subject to transfer.

Existing Grant – No PARENT/subgrant (CHILD): Enter the funding amount required for existing grants for which a PARENT/subgrant (CHILD) agreement is NOT applicable, and NO transfer from PARENT-to-CHILD shall occur.

New & Potential Grant – No PARENT/subgrant (CHILD): Enter the amount needed to fund new grant awards or potential grant awards anticipated by the requesting state agency for which a PARENT/subgrant (CHILD) agreement is NOT applicable, and NO transfer from PARENT-to-CHILD shall occur.

Carryover from prior year (L7): Carryover is limited to those situations where a federal appropriation (L7) was appropriated in the prior year, NOT expended (or projected to be expended) by fiscal year-end, and NOT appropriated or expected to be appropriated in the Budget Year as a L7 fund, but is rather carried over and converted to a federal executive authorization (L8). The prior year federal appropriation (L7) must be identified in 14 b), and this value MUST lapse. Enter the unexpended balance of previously appropriated funds (L7) which are available for consumption during the next state fiscal year as a federal executive authorization (L8).

14 a) For New and Potential Subgrants (CHILD)/Available Year and Budget Year ONLY, identify the PARENT federal fund(s) from which the subgrant will be made: Enter the Appropriation Title, COPA Fund xxx, Business Area xx, SAP Fund xx xxx 00 and the dollar amount. The total amount must equal the total identified. It is limited to the Available year and Budget year detail only.

14 b) For Carryover ONLY, identify the federal appropriation (L7) that is subject to the Carryover process and hence MUST be available for lapse: Enter the Appropriation Title, COPA Fund xxx, Business Area xx, SAP Fund xx xxx 00 and the dollar amount. The total amount must equal the total identified.

15 For the Available Year and Budget Year ONLY, identify the CHILD L8 federal fund(s) to which the subgrant will be made: Enter the Appropriation Title, COPA Fund xxx, Business Area xx, SAP Fund xx xxx 00 and the dollar amount. The total CHILD(s) amount is a subset of the total requested PARENT appropriation (L7) or authorization (L8). It is limited to the Available year and Budget year detail only.

16 Federal Restricted: Federal restricted accounts are required to be established through legislation (Fiscal Code). Identify the Actual Year amount and the amounts anticipated for the Available and Budget years that will flow through the account for each year.

17 Funding Distribution: The total grant program often includes federal, state and other funding sources to support the program. The distribution must equal 100% of the grant program.

Federal Share: Enter the overall federal share percentage known or anticipated for the grant program.

State Share: Enter the overall state share percentage known or anticipated for the grant program.

Other Share: Enter the overall other share percentage anticipated for the grant program. The other share percentage would include local and/or third-party funds applied to the grant program.

18 Grant description and results: A copy of all executed grant agreements or notifications of subgrant, as it pertains to the RAFF, must be attached.

Describe briefly, but specifically, the purpose of the grant and activities to be performed. Provide a timetable if appropriate. Does the agency have any flexibility in the use of the funds, such as determining the specific projects or activities to be undertaken? If so, explain the nature of agency discretion. Include a brief description of how funds will be used; administrative costs, contracts, grants, etc. Describe the expected results in terms of a major program measure. Specifically identify the accomplishments expected from the program. The measures should help identify what impact the expenditure of these funds will have on accomplishing the objective of the program. If this RAFF is for a change in a current year appropriation, explain briefly why the change is being requested (e.g., revised parent participation, increased grant award from Federal government, etc.). This section is also to be used to explain or add to the information contained above. If comments are added to explain an entry above, please identify the section being explained.

Enclosure 1 - Request for Approval of Federal Funds Form – add link to Excel Version