

## **DHHS POLICIES AND PROCEDURES**

---

|                                 |  |
|---------------------------------|--|
| <b>Section IV:</b>              | <b>General Administration</b>                    |
| <b>Title:</b>                   | <b>Requests for Federal and/or Private Funds</b> |
| <b>Current Effective Date:</b>  | <b>8/1/02</b>                                    |
| <b>Revision History:</b>        | <b>8/1/02</b>                                    |
| <b>Original Effective Date:</b> | <b>2/1/96</b>                                    |

---

### **Purpose**

The purpose of this policy is to clarify the process for approval involving requests for funding to an agency outside of the Department of Health and Human Services (DHHS).

### **Policy**

It is the policy of the department that all new and continuation requests which are submitted to an agency outside of the department in the anticipation of the receipt of federal, private, or state administered federal funding will be approved by the secretary. This policy applies to all submissions including: (1) grant applications, (2) contract and subcontract proposals, (3) proposals to enter into cooperative agreements, (4) state plans, (5) block grant plans, (6) state plan amendments and (7) other requests for non-state funding. The review and approval process is directed by the Office of Grants Management.

### **Implementation**

1. Each division/office director will designate a grant review coordinator who will oversee the submission of requests and proposals to the Office of Grants Management.
2. At least 30 days prior to the date that the submission must be made to the funding agency the applicant agency will forward an original and two (2) copies of a completed and signed Office of State Budget and Management Form BD606A to the Office of Grants Management. The BD 606A must be signed by the division/agency director, budget officer, and grants coordinator.
3. At least 15 days prior to the date that the submission must be made to the funding agency the applicant division/office will forward the following to the Office of Grants Management: an original and one (1) copy of the request or proposal, a letter for the secretary's signature that will be used to forward the request or proposal to the funding agency, and a memorandum indicating the approval of the request or proposal by the division/agency director.
4. If an application/proposal will not be submitted to the Office of Grants Management at least 15 calendar days prior to the date that it is due to the funding agency the grant

coordinator shall notify the Office of Grants Management. This notification shall be provided to the Office of Grants Management as soon as a problem with the timely submission of the application/proposal is anticipated. When the division/agency grant coordinator submits the application/proposal to the Office of Grants Management, this submission shall also include a statement of explanation for the division or agency's tardiness.

5. In situations where an application is to be submitted to a funding agency prior to the completion of the review process, the division/agency grants coordinator shall notify the Office of Grants Management as soon as this problem is recognized and at the same time shall contact the funding agency to obtain a deadline extension. If the funding agency refuses to grant an extension, at least two (2) working days prior to the submission of any materials to the funding agency, the division/agency grants coordinator shall submit to the Office of Grants Management a copy of all documents that are to be forwarded to the funding agency and a transmittal letter from the division director or agency head. This letter shall indicate that all materials being forwarded are in draft form and may be withdrawn or amended upon completion of the department's review. No acceptance of funding shall be made until the secretary has approved the completed application. No application is deemed to be final and ready for submission to a funding agency until after it has been approved by the secretary.
6. Notices of grant awards or any correspondence pertaining to any grant application shall be routed by the Office of Grants Management to the division or agency of origin of application, and the Office of the Controller. When a notice of grant award is received from any source other than the Office of Grants Management, a copy of the notice shall be forwarded to the Office of Grants Management and the Office of the Controller.

Following completing review by the Office of Grants Management and other appropriate agencies, the application will be forwarded to the secretary with a recommendation for approval or disapproval.

### **Reference:**

Budget Manual, State of North Carolina Office of State Budget and Management Section 4, I. Federal Funds Policy.

*For questions or clarification on any of the information contained in this policy, please contact [The Office of Grants Management](#). For general questions about department-wide policies and procedures, contact the [Office of Policy & Planning](#).*