

# GUAM STATE CLEARINGHOUSE STANDARD OPERATING

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**Limitations & Disclaimer**

**LIMITATIONS ON USE OF THE GUAM STATE CLEARINGHOUSE STANDARD OPERATING PROCEDURES AND DISCLAIMER**

The purpose of this Standard Operating Procedures Manual is to provide support to the management and staff of the Guam State Clearinghouse (GSC) as well as Agencies the GSC serves. This manual is not intended to create or make any enforceable rights, remedies, entitlements, or obligations. The GSC reserves the right to change or suspend any or all parts of this manual at any time. Agencies will be notified when such changes occur.

Pursuant to the Open Government Act and the Freedom of Information Act, the GSC reserves the right to publish, disseminate, or reproduce, in part or in whole, an agencies' application for federal financial assistance for GSC purposes established by Section 2101 of Chapter 2 of Title 5 of the Guam Code Annotated and Presidential Executive Order 12372. This clause applies to all applications unless specifically stated within this section or within the Standard Operating Procedure.

**FOREWORD**

The Guam State Clearinghouse Standard Operating Procedures outline steps taken for the intergovernmental and area wide review processes. This process is necessary for the Government of Guam's review of all Federal assistance applications and in accordance with Presidential Executive Order 12372.

The following are types of programs <sup>1</sup> that must abide by this manual:

1. Federal programs identified in Presidential Executive Order 12372.
2. Federal assistance applications, commitments, state plans, and amendments regardless of exemption afforded by Presidential Executive Order 12372.
3. Federal assistance provided through loans or loan guarantees.
4. Direct federal development activities, to include Corps of Engineers.
5. Federal programs requiring Coastal Zone Management Federal consistency review.
6. Federal programs from non-profit organizations, non-governmental organizations, and private firms.

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<sup>1</sup> For a complete listing of programs requiring Presidential Executive Order 12372 review, please see Appendix A.

## SECTION 1: INTRODUCTION

### §1.1: Mandate

#### a) Presidential Executive Order 12372

On July 14, 1982, President Ronald Reagan signed the Presidential Executive Order (E.O.) 12372<sup>2</sup> to promote intergovernmental partnerships between the federal, state, and local governments. E.O. 12372 established a path for elected officials of states and local governments to review proposals for federal assistance and to have a say in direct federal development within their respective jurisdictions.

#### b) Guam Code Annotated: Title 5 Ch. 2 § 2101<sup>3</sup>

In response to E.O. 12372, the Government of Guam established the Guam State Clearinghouse (GSC) under the Office of *I Segundo Na Maga'lâhen Guahan* <sup>4</sup> who serves as its Director and overseen by an Administrator<sup>5</sup>.

Guam Code Annotated states further that:

The Guam State Clearinghouse shall have exclusive purview at the Guam level over all Federal aid programs, grants, loans, contracts, contributions, appropriations, advances, direct Federal development and other Federal funding sources for Guam. The Guam State Clearinghouse shall be headed by a Director, who shall be *I Segundo Na Maga'lahi* [the Lieutenant Governor], who shall determine the positions and staffing pattern of the Guam State Clearinghouse<sup>6</sup>.

### §1.2: Mission and Objectives of the Guam State Clearinghouse

#### a) Purpose of the GSC

The GSC was established as a response to Presidential E.O. 12372. This allowed the Government of Guam and its elected leaders to convene a dialogue on federal aid programs, grants, loans, contracts, contributions, appropriations, advances, direct Federal development and other Federal funding sources for Guam.

Title 5 Ch. 2 § 2101 states the GSC “shall have exclusive purview at the Guam level” for all federal programs and aid that have a direct or indirect effect on Guam.

#### b) Responsibilities of the GSC

In addition to the duties and responsibilities of the Guam State Clearinghouse as may be prescribed by *I Segundo Na Maga'lahi*, or by law, the Guam State Clearinghouse shall also have the following duties and responsibilities <sup>7</sup>:

1. Administer the initiation, coordination and review process of all activities within Guam involving Federal financial assistance.
2. Ensures grant proposals for federal assistance are in accordance with plans, policies, programs, objectives, and procedures of the government of Guam.
3. Ensures proposed projects for which federal financial assistance is sought are fiscally and environmentally sound, and are in compliance with all applicable Federal laws.
4. Ensures the government of Guam complies with all applicable federal laws relating to federal financial assistance and that there exists sound tracking, management, and financial accountability for all Federal programs awarded to the government of Guam.
5. Performs cost analysis on all federal aid programs, grants, loans, contracts, contributions, advances, direct

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<sup>2</sup> See Appendix B

<sup>3</sup> See Appendix C

<sup>4</sup> Lieutenant Governor of Guam

<sup>5</sup> GCA Title 5 Ch. 2 § 2101 Par. 1

<sup>6</sup> GCA Title 5 Ch. 2 § 2101 Par. 2

<sup>7</sup> GCA Title 5 Ch. 2 § 2101.1; See Appendix

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or special funds used to fund the local matching requirement as prescribed by the federal law; and the financial impact on the government of Guam for continuing the federal program by the government of Guam *if* the federal funding expires. Said analysis *shall* describe the indirect costs the grantee is eligible for, the amounts applied for and received from each grant, the previous year's funding level and funding estimate for future years. Said analyses *shall* be performed as an integral part of the state clearinghouse process and submitted to the Speaker of *I Liheslaturan Guåhans*, the Chairperson of the Special Accounting Service, the Chairperson of the Special Economic Service and the Director of the Bureau of Budget and Management Research within fifteen (15) days after completion. The cost analyses required hereby *shall* be included in *I Maga'hågan's* Executive Budget request pursuant to Title 5 GCA §4107(b).

6. With the exception of Guam Community College and the University of Guam, and notwithstanding any other provision of law to the contrary, no application for any federal aid programs, grants, loans, contracts, contributions, advances, direct federal development, or other federal funding shall be submitted or deemed approved on behalf of the government of Guam or any agency, division, office, department, or instrumentality thereof, or any public corporation, without the final approval of the Director of the Guam State Clearinghouse.

### c) **Misperceptions of the Duties of the GSC**

The Guam State Clearinghouse does not award grants nor appropriate federal funding nor does the GSC submit Agency reports to the federal grantor.

### § 1.3: Structure and Office Roles

#### a) **Structure of the GSC**

The GSC is headed by *I Segundu Na Maga'låhen Guahan*, who serves as its Director and recommends the approval of grants to *I Maga'hågan Guahan*<sup>9</sup>. The daily management and operations is overseen by an Administrator, and is staffed by grant specialists.

#### b) **Office Roles**

1) **Director:** The Guam State Clearinghouse shall be headed by a Director, who shall be *I Segundu Na Maga'lahi*, who shall determine the positions and staffing pattern of the Guam State Clearinghouse. Additionally, the Director of the GSC recommends to *I Maga'hågan Guahan* approval or disapproval for all agency requests for federal assistance and aid, and ensures that use of funds are assisting Guam in stabilizing its fiscal condition.

2) **Administrator:** The Administrator of the GSC oversees the daily management of the GSC and ensures federal funds are being expended in a transparent and accountable manner. Additionally, the Administrator provides maximum guidance to terms and conditions regarding the expenditure of federal funds. The Administrator provides a quarterly report to the Director to outline the status of the GSC operations and federal funds for each program.

3) **Grant Specialists:** Grant Specialists of the GSC assist agencies in finding and applying grant opportunities for their specific field of work by sending out notice of grant opportunities for their specific field of work by sending out notice of grant opportunities to potential applicant Agencies. Grant Specialists review all incoming grant applications and disseminate them to all agencies a particular grant will affect. Additionally, Grant Specialists provide oversight and compliance support to the Administrator. If needed, communicate with federal grantor on behalf of the grantee.

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<sup>8</sup>The Legislature of Guam

<sup>9</sup>Governor of Guam

## SECTION 2: GSC OPERATIONS

### § 2.1: Funding

#### a) Local Appropriations

The GSC is funded under local appropriations made as part of *I Maga'hågan Guahan's* budget request to *I Liheslaturan Guahan*<sup>10</sup>.

The GSC submits a budget to the Director of the GSC for review and approval. When approved, the GSC's budget is submitted by the Director to *I Maga'hågan Guahan* for inclusion in the budget request for the next fiscal year.

### § 2.2: Communications

#### a) General Public

All requests for information from the general public submitted to the GSC via phone call, e-mail, or fax will be logged for better tracking and quicker resolution. A return call or e-mail by the POC or Administrator will be given with an initial response not more than one (1) business day after the request is received.

#### b) Agencies 11

All agencies receiving federal funding must appoint a POC('s) for their grant programs(s) to work directly with the GSC on all topic/issues relative to their grant program(s). The list of POC('s) must be submitted via e-mail to [clearinghouse@guam.gov](mailto:clearinghouse@guam.gov).

1. Expectations of POC:

- a. Ensure respective Agency has a DUNS<sup>12</sup>.
- b. Ensure that Agency is registered with the Central Contractor Registry (CCR)<sup>13</sup>.
- c. Actively search for grant opportunities in addition to the Notification of Grant Opportunities sent to POC's by the GSC.
- d. Once approved, furnish Grant Award Notifications and all grant information to the GSC for filing and reporting purposes.
- e. Work collaboratively with the GSC to ensure timely reporting.
- f. Copy the designated GSC personnel and the administrator regarding all communication with Federal Program Officers.

#### c) Guam State Clearinghouse

All requests for information addressed to the GSC must go through the established POC for the Agencies' grant program(s). The GSC designated contact will log the communication for tracking and timely resolution. Agencies will be notified after one (1) business day after the request of information is received.

#### d) Escalation of Queries & Requests for Information

If issues arise that personnel of the GSC cannot resolve, then the query will be forwarded to the Administrator of the GSC for further review. An e-mail will be sent to the individual requesting information or assistance with an update of the status of the issue. If the Administrator is unable to find resolution to the issue, it is then brought to the attention of the GSC Director. If the issue cannot be resolved on the local level, the issue will be forwarded to the appropriate federal agency POC.

#### e) Federal Grantors

1. **Local Agencies:** All issues that require the assistance of the federal grantor should be submitted by the grant(s) POC for the Agencies to the federal grantor. POC's must ensure that the GSC primary and secondary designated representatives for the Local Agency are copied as well as the GSC Administrator.<sup>14</sup>

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<sup>10</sup> The Legislature of Guam

<sup>11</sup> The term "Agency(ies)" is used to denote Local Line Agencies and Autonomous Agencies.

<sup>12</sup> DUNS identifiers are for Local Line Agencies and Autonomous Agencies, not divisions. See §3.14 for Procedures on applying for a DUNS if not done.

<sup>13</sup> See §3.15 on procedures to apply to the CCR if not done.

<sup>14</sup> See Appendix D for GSC designated primary and secondary representative for your respective agency.

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2. **GSC:** All communications received by the GSC from federal grantors will be disseminated to the appropriate Local Agency.
3. **Federal Grantors:** All communication received by the federal government relative to all Local Agencies will be posted to the GSC website and sent via e-mail to all Agency POC's.

### SECTION 3: PROTOCOLS, SUPPORT & ASSISTANCE – GUAM LINE AGENCIES & AUTONOMOUS AGENCIES

#### § 3.1: Role of the GSC

The primary function of the Guam State Clearinghouse is to examine proposed programs/projects for its territory-wide financial and environmental impacts and relationship to comprehensive plans, policies, or laws. Clearinghouse review is necessary to ensure proposed programs/projects can function in a coordinated manner with plans and activities already in operation, and that they will not duplicate programs already established. The comments emanating from the review help the program/project refine its proposal to produce a more effective program/project. Consequently, federally assisted agencies improve their efforts to meet public needs and efficiently use available funds.

#### § 3.2: Role of the Bureau of Management, Budget, and Research (BBMR)

The GSC partners with BBMR in conducting cost analysis on all Federal aid programs, grants, loans, contacts, contributions, advances, direct Federal development, or other Federal funding for the financial impact on the Government of Guam's General Fund or special funds used to fund the local matching requirement as prescribed by Federal law.

The following are the duties and responsibilities of BBMR:

1. Verifies that the application amount for funding is consistent with the amount specified as available in the Catalog of Federal Domestic Assistance and ensures the amount requested in federal funds and the local matching funds are reflective of the federal to local funding ratio identified in the opportunity announcement.
2. Ensures the grant application has a budgetary breakdown and that items listed are allowable expenses under the program.
3. Ensures the grant application has an indirect cost calculation and the percentage used is in accordance with the approved negotiated rate.
4. Ensures the budget calculation is accurate and consistent with local prevailing rates.
5. Verifies whether the method of funding is either one of the following:
  - a. Single Letter of Credit (SLOC)
  - b. Treasury Check
  - c. OtherEnsures if the grant application is for a continuing program/project and method of funding is by a SLOC, that the applicant agency is current in reporting its expenditures
6. Ensures salary levels of continuing and new positions are consistent with the Guam Civil Service Compensation Plan.
7. Ensures applicants have requested or have received a Waiver of Match up to \$200,000. Should an application not have a Waiver of Match, a written justification must be provided to the GSC Administrator from the Agency.
8. Ensures agency identified monetary matches are acceptable.

BBMR has fifteen (15) calendar days to compile and submit its comments and reports to the GSC.

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#### § 3.3: Role of the Bureau of Statistics and Planning (BSP)

The GSC partners with the BSP to conduct the following activities and considers the following factors during the



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review of a grant application:

1. Determines if the proposed activities are consistent with the state and territorial master plan and/or territorial policies. Agency State plans are assessed to ensure consistency with territorial policies. For grant applications that are filed annually and based upon multi-year state plans, the BSP determines if the goals specified in the statewide plan.
2. Determines if required clearances for physical development projects are included. If a grant application requires development or construction activities that directly affect land use, the BSP ensures the grant application includes special clearances required by local law. Clearances are required but are not limited to the following projects:
  - a. Historic Preservation
  - b. Sole Aquifer Protection
  - c. Federal Consistency
3. Determines if the proposed activities make best use of the funding.
  - a. In most cases, federal funding is limited and the available amount may decline and require greater local financial contributions to sustain the program/project. The BSP assesses the projects and proposed activities to ensure best use of the federal and local funding.
  - b. Proposed activities are assessed for:
    - i. Duplication of Effort <sup>15</sup>
    - ii. Adequate Justification
    - iii. Realistic Objectives are Identified
4. Determines if the proposed activities can be implemented.
  - a. Ensures the grant applicant is legally authorized by local/federal statute or executive order to carry out the proposed program. If an agency is only partially authorized, the BSP looks if an agreement exists with another agency to carry-out a portion if the program goals.
  - b. Determines whether the proposed program was previously funded and whether the previous program was completed.
5. Determines the impacts of the proposed program/project on the Territory.

Comments to Application that require no Environmental Impact Study must be submitted to GSC within five (5) days after receipt of the Notice for Intergovernmental/Area Wide Review.

### **§ 3.4: Searching for Grant Opportunities**

The GSC encourages that Agencies actively search for grant opportunities on [www.grants.gov](http://www.grants.gov) or [www.cfda.gov](http://www.cfda.gov). This is an addition to the Notification of Grant Opportunities that GSC personnel send out. If a POC is unsure of whether a particular grant opportunity applies to their respective Agency, the POC is encouraged to contact their designated GSC representative via e-mail or phone to discuss the possibility of utilizing the funds.

### **§ 3.5: Applying for a Grant Opportunity**

If a grant opportunity is identified, the GSC encourages that Agencies apply for the grant. It is incumbent upon the POC to contact the GSC to verify any updated forms for the grant application process. One hard copy of the grant application must be submitted to the GSC, as well as an electronic copy in PDF/Word format to the Agency's designated GSC representative.

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<sup>15</sup> When two agencies are performing the same or very similar activities and whether they complement one another.

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### **a) Requires Standard Forms** <sup>16</sup>

The following forms are standard forms used in most grant applications. However, the federal grantor may require additional forms not included below. The SF-424 is not required at the direction of the grantor agency to be submitted for certain applications.

1. GSC Notice of Intent to Apply
2. SF-424 Standard CORE Form
3. SF-424A Budget Information <sup>17</sup>
4. SF-424B Assurances <sup>18</sup>
5. SF-424C Budget Information <sup>19</sup>
6. SF-424D Assurances <sup>20</sup>

### **b) Additional Required Information**

1. Memorandum from the Director of the Agency to the Administrator of GSC.
2. Detailed Budget Narrative
  - a. The detailed budget narrative outlines a plan on how the Agency will expend the funds.
  - b. If applicable, all detailed budget narratives must include the most recent negotiated Indirect Cost Rate in all grants<sup>21</sup>

## **§ 3.6: Difference Between Intergovernmental and Area Wide Review of Grant Applications**

### **a) Intergovernmental Review:**

When an application for federal assistance is submitted to the Guam State Clearinghouse, grants specialists will determine whether or not the program's CFDA# is listed in the catalog of programs requiring an intergovernmental review. Many times, this is established at the agency level via Question 16 of SF424. Programs that require an intergovernmental review will undergo the full review processes listed in these standard operating procedures. Agencies can refer to Appendix A to review the listing of programs, which requires an intergovernmental review.

### **b) Area Wide review:**

If an application for federal assistance does not fall under the requirements of E.O. 12372 and is not listed in the catalog of programs requiring an intergovernmental review, an area wide review is conducted. In most circumstances, the review process for an area review – including the submission requirements and review period – are similar to that of an intergovernmental review, with the exception of the reviewing agencies. Those agencies that will be notified for comments for an area wide review include BSP, BBMR, Dept. of Administration, the Guam Legislature, and other agencies the Administrator deems necessary. Additionally, a media advisory and intergovernmental advisory is not needed for an application that undergoes an area wide review.

## **§3.7: Intergovernmental/Area Wide Review of Grant Applications**

When the GSC receives the grant application, the designated GSC representative determines whether an intergovernmental review is needed or an area wide review. If an application falls under the Executive Order 12372, then it automatically is afforded an intergovernmental review. If not, only an area wide review is needed. The GSC requires thirty (30) days to complete the review and comment period.

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<sup>16</sup> See Appendix E

<sup>17</sup> Required Budget Information for NON-CONSTRUCTION Programs ONLY

<sup>18</sup> Required Assurances for NON-CONSTRUCTION Programs ONLY

<sup>19</sup> Required Budget Information for CONSTRUCTION Programs ONLY

<sup>20</sup> Required Assurances for NON-CONSTRUCTION Programs ONLY

<sup>21</sup> Indirect Cost Rate Negotiation letters can be found on the GSC website or can be requested by contacting your Agency's designated GSC representative. I

the indirect cost rate is not allowable to a particular grant and is not immediately verifiable in the notification of opportunity from the federal agency, then the local Agency POC must request the Federal Grantor for reasons that it cannot apply and would need to accompany the grant application.

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Once the type of review is determined, the process continues as follows:

1. Assign State Application Identifier (SAI)
2. Send letter to agency notifying receipt of application, SAI and expected GSC deadline for a clearance letter (this is thirty [30] calendar days after receipt of application). The GSC Administrator may allow an expedited review period of five (5) or seven (7) business days depending on the deadline for submission of the grant application.
3. Send out media advisory to major media and news organization.
4. Send courtesy letters to the:
  - a. Governor notifying receipt of application
  - b. Lt. Governor notifying receipt of application
5. Send letters requesting for comments to the following:
  - a. Hard copy letter to the Speaker of the Guam Legislature and digital copy of letter & digital copy of application
  - b. Hard copy to the letter to the Vice Speaker of the Guam Legislature and digital copy of letter & digital copy of application
  - c. Hard copy letter to the Director of BBMR and digital copy of letter & digital copy of application
  - d. Hard copy letter to the Director of DOA and digital copy of letter & digital copy of application
  - e. Hard copy of letter to the Director of BSP and digital copy of letter & digital copy of application
  - f. If an intergovernmental review is needed, send electronic advisory to ALL agencies, if an area wide review is needed, send digital copies only to affected agencies and required agencies. Grant application packets should either be sent digitally to required AND affected agencies until such time when they will be available on the GSC website.
6. Send reminder letters fifteen (15) calendar days via e-mail to all reviewing agencies to submit comments.
7. Compile all comments and application into a packet in the following order and send to the Lt. Governor and Governor.
  - a. State Clearance Letter w/ Governor's approval
  - b. GSC Memorandum from the GSC Administrator to the Lt. Governor notifying of the completion of the intergovernmental/area wide review and asking for his approval/disapproval and recommendation to the Governor
  - c. Grant Project Application: Notice of Intent to Apply – GSC Doc
  - d. Agency Comments (to include all related e-mails, correspondence)
8. Application Package
  - a. Cover Letter
  - b. Notice of Intent to Apply
  - c. SF 424 Application for Federal Assistance
  - d. SF424A/C Budget Information: Non-Construction/Construction
  - e. SF424B/D Assurances: Non-Construction/Construction
  - f. Narrative or detailed grant application signatures
  - g. Original grant application with signatures
  - h. Request for waiver of matching requirement <sup>22</sup>
  - i. Non-Governmental Organizations are required to submit one (1) page synopsis of the proposed program that does not include proprietary and/or intellectual properties that can be published on the GSC website.
9. Send state clearance letter and GSC memorandum, along with original grant application (if given to the GSC) to the Agency who applied. Make copy and place in grant file.

**§3.8: Concurrent of Grant Application**

A Concurrent Review of a grant application follows the same procedures as an Intergovernmental/Area Wide review. The concurrent review process occurs when applicant agencies submit the application for federal assistance before submitting the application to the GSC for review.

In this instance, Agencies must request for a concurrent review at least thirty (30) calendar days before the grant submission deadline. Requests should be sent via e- mail to the Agency’s designated GSC representative and to the GSC Administrator.

Requests are to include:

1. Grant Program Information
  - a. CFDA Number
  - b. Grant Posting
  - c. Submission Date
  - d. Short Summary of the Grant Program
2. Justification/Reasons for the Request

The GSC Administrator or his/her authorized representative is the sole authority in approving concurrent review requests.

**§ 3.9: Expedited Review of Grant Applications**

An expedited review of a grant application follows the same procedures as a concurrent review. The expedited review process occurs when applicant agencies are given a short timeline for submission by the federal grantor. In this instance, agencies must request for an expedited review and must show supporting documentation from federal granting agency, indicating the submission deadline. Requests should be sent via e-mail to the Agency’s designated GSC representative and to the GSC Administrator.

Requests are to include:

1. Grant Program Information
  - a. CFDA Number
  - b. Submission Date
  - c. Short Summary of the Grant Program
2. Justification and supporting documentation

**§ 3.10: Request for Waiver of Matching Requirement**

Title 48 Section 1469a and 1469d of the U.S. Code as amended allow for a waiver of the matching requirement subject to the discretion of the federal grantor. In some instances, grant opportunities will require a match from local funding. Before submitting an application to the GSC for review, all Agencies are requires to request via e-mail from the federal POC for a particular grant, a waiver of the matching requirement pursuant to the above mentioned title of the U.S. Code. The response from the federal POC must be submitted to the GSC with an Agency’s grant application.

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### **§3.11: Awarding of a Grant**

#### **a) Grant Award:**

Once a grant is awarded, the Agency POC for that particular grant is required to submit the following to the GSC:

- 1) Memorandum notifying the GSC Administrator of the grant award
- 2) Copy of the Grant Award Notification (GAN)
- 3) Transmittal letter from the Federal Grantor
- 4) Terms and Conditions governing the grant
- 5) Any other information pertinent to the grant award

#### **b) GSC Terms & Conditions:**

The GSC requires all Agencies to sign the Guam State Clearinghouse Terms & Conditions for grants awards <sup>23</sup>.

### **§ 3.12: Sub-Granting**

In certain instances, Agencies will choose to sub-grant awarded funds to other Agencies. The following applies to all sub-grant awards.

#### **a. GSC Sub-Grant Terms & Conditions:**

Prime Grantees<sup>24</sup> are required to include the GSC Sub-Grant Terms & Conditions <sup>25</sup> in addition to the standard Terms & Conditions prime grantees require sub-grantees to sign as part of the Agency sub-granting program.

### **§3.13: Establishing Grant Accounts**

The GSC facilitates the establishing of grant accounts for Agencies with the Bureau of Management, Budget, and Research (BBMR).

#### **a. GSC Required Information for Account Set-Up:**

The GSC requires the following information to be submitted:

1. Memorandum to the Administrator of the GSC requesting the establishing of the grant account.
2. Appropriation allotment Schedule
3. Any pertinent information relating to the grant

Once received, the GSC Administrator will submit the documents along with a memorandum to BBMR to establish the account.

### **§3.14: Request for Grant Amendment**

In certain instances (i.e. funds will be used for different purpose), Agencies will request to reprogram funds for a different use/purpose. Agencies are required to communicate via e-mail the initial desire and reasons/justifications to amend their respective grant to their designated GSC representative before submitting the request to the Agency's respective Federal Grantor.

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<sup>23</sup> See Appendix F for GSC Terms & Conditions

<sup>24</sup> Prime Grantees refer to Agencies that have been awarded grant funds directly from the Federal Grantors.

<sup>25</sup> See Appendix F.1 for GSC Sub-Grantee Terms & Conditions

**a. Submission of Grant Amendments:**

The GSC requires the following information to be submitted for GSC review and comment before submission to the federal grantor. The following may be submitted electronically via e-mail in PDF form to the Agency's designated GSC representative.

1. Memorandum to the Administrator of the GSC
2. Updated SF-424 Core Form
3. Updated SF-424 A or C Budget Information
4. Updated Section of the Budget Narrative reflecting the amendment.

**b. GSC Review of Grant Amendments:**

The GSC will require a maximum three (3) business days for the review of an amendment. Once the designated GSC representative reviews and comments, the Agency may submit the request to their respective federal grantor.

**§3.15: Request for Grant Extension**

If an Agency is unable to expend grant funds within the grant period of appropriation, an Agency may request a grant extension.

The Agency POC for that particular grant must communicate at least sixty (60) calendar days prior to the grant expiration the need to extend the grant beyond the allowable program period to their designated GSC representative and the GSC Administrator before communicating the need to the federal grantor.

A memorandum must be drawn up from the Agency director to the GSC Administrator justifying the need for an extension, to include a detailed accounting of projects that may be affected as well as clearly defined deadlines to complete the project. This memorandum bearing the Agency's director's signature must be submitted to the GSC no less than twenty (20) calendar days. The GSC Administrator of the GSC at a maximum of three (3) business days will review the request and determine whether the request for extension is sufficient. After this review, the GSC Administrator submits his/her recommendation to the Director of the GSC for final disposition.

GSC personnel will inform the Agency POC, when a decision has been made by the Director of the GSC. The Agency is responsible for retrieving the document from the GSC and sending it to the federal grantor.

**§ 3.16: Job Vacancy Announcements (JVA's) Clause**

In an effort to increase transparency and accountability, all JVA's that are funded under a grant must include the following clause: This position is funded under (*INSERT FUNDING SOURCE/GRANT NAME*) from the U.S. (*INSERT NAME OF FEDERAL GRANTING AGENCY*) and is subject to available funding.

**§ 3.17: Request for Proposals (RFP's) and Invitation to Bid (ITB's) Clause**

In an effort to increase transparency and accountability, all RFP's and ITB's that are funded under a grant, when published, must include the following clause: This project is funded under (*INSERT FUNDING SOURCE/GRANT NAME*) from the U.S. (*INSERT NAME OF FEDERAL GRANTING AGENCY*).

**§ 3.18: Reporting**

Unless governed by regulation or specifically pointed out within the terms and conditions, grants possess a reporting requirement. All Agencies with a reporting requirement, regardless of the frequency <sup>26</sup>, must submit activity reports to their designated GSC representative ten (10) business days before the report is due to the federal grantor. It is incumbent upon the Agency to send reports to their federal grantors. The GSC reserves the right to increase the frequency of Agency reporting to the GSC based on the Agency's program execution performance.

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<sup>26</sup> Frequency: Monthly, Quarterly, Semi-Annually, Annually, etc.

### **§ 3.19: DUNS Identifier**

Every department <sup>27</sup> must have its own DUNS identifier. The DUNS identifier is issued by Duns & Bradstreet and is unique to every contractor or grant recipient. It is the identifier used by the federal government to track contractors and grant recipients.

Agencies can request a DUNS number via the web by logging on to <http://fedgov.dnb.com/webform>. For additional assistance, Agencies may contact their designated GSC representative.

### **§3.20: Registering with the System for Award Management (SAM)<sup>28</sup>**

All Agencies are required to register on SAM in order to be awarded grants by the Federal Government. This is a one-time registration to provide basic information relevant to Agency and payment information. Agencies must update or renew their registration at least once a year to maintain an active status. The SAM system merged several federal databases together on one system, to include the Central Contractors Registry (CCR). All entity records from CCR, active or expired, were moved to SAM.

Agencies registering with SAM are required to designate an E-Business Point of Contact (POC) and create a Marketing Partner Identification Number (MPIN). The E- Business POC becomes the sole Grants.gov authority for the agency with the capability of designating or revoking an individual's ability to submit grant applications on behalf of their organization through Grants.gov. This individual will use MPIN and the organization's DUNS to log into Grants.gov.

Once the DUNS is obtained, Agencies must log-on to <https://www.sam.gov> and create a user account. Once a user account is created, use the search function to identify if your entity requires a new registration or just an update. Follow the instructions to register your entity if you are unable to locate it in the database. If your entity is in the database, you can choose to update your points of contact or other information if necessary. If you had an active record in CCR, you have an active record in SAM. You do not need to do anything in SAM at this time, unless a change in your business circumstances requires updates to your Entity record(s) in order for you to be paid or to receive an award or you need to renew your Entity(s) prior to its expiration.

The SAM system will send notifications to the registered user via email 60, 30, and 15 days prior to expiration of the Entity. To update or renew your Entity records(s) in SAM you will need to create a SAM User Account and link it to your migrated Entity records. You do not need a user account to search for registered entities in SAM. You can do so by typing the DUNS number or business name into the search box.

### **§3.21: Grant Closeout**

Agency POC's must notify via e-mail their designated GSC representative six (6) months as first alert and ninety (90) days as second alert before grant closure. If projects funded under the grant have been fully completed and funds fully expended before the expiration of the grant, notice of completion must be submitted to the Agency's designated GSC representative no later than three (3) business days after.

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<sup>27</sup> Every Department and Division should have DUNS number that is registered in the Central Contractor Registry.

<sup>28</sup> Taken from <https://www.bpn.gov/ccr/grantees.aspx>

## GUAM STATE CLEARINGHOUSE STANDARD OPERATING

Once grants are fully expended, projects funded under the grant are completed, or the grant expires without a request for extension, all Agencies are required to submit an activities final report to GSC no later than three (3) business days after. Regardless of whether the grant terms and conditions specify a no reporting requirement, Agencies are still required to submit the report to GSC.

The following must be included in the final report submission:

1. Memorandum from the Director of the Agency to the GSC Administrator submitting the final report packet
2. Final Activities Report
3. All final communications pertaining to the grant, if in Agency possession
4. All announcements for JVA's and/or RFP's or ITB's
5. Any additional information required by the federal grantor to be submitted

Agencies must ensure that in addition to submitting the final report to the GSC, Agencies must submit them as well to the federal grantor. The GSC will not submit the report on the Agency's behalf.

### SECTION 4: CONCERNING THIS SOP

#### § 4.1: Amendments and Additions to the SOP

Amendments and additions to the Guam State Clearinghouse Standard Operating Procedures (SOP) may arise from the need to face new, unforeseen circumstances that may create new rights or impose new obligations.

##### a) Who can request Amendments?

1. If Executive Agency Heads or Agency POC's feel the need to have the SOP to better reflect processes that particularly concern them, they may request an amendment via memorandum to the GSC Administrator. The Administrator or his/her designee will have fifteen (15) calendar days to review the requested amendment and respond to the sender.
2. Amendments may be requested by the GSC Administrator.

##### b) Where to Send Amendments?

Amendment requests may be sent to:

Stephanie G. Flores

Guam State Clearinghouse

Ricardo J. Bordallo Governor's Complex

P.O. Box 2950

Hagåtña, GU 96932

##### c) Who Approves Amendments?

All amendments do not require the signature of *I Maga'hâgan Guahan*. Amendments are made by the Administrator of the GSC and approved by the GSC Director.



GUAM STATE CLEARINGHOUSE STANDARD OPERATING

**ADOPTION OF THIS STANDARD OPERATING PROCEDURES MANUAL**

\_\_\_\_\_ *LIEUTENANT GOVERNOR JOSHUA F. TENORIO, GSC Director*

\_\_\_\_\_ *STEPHANIE G. FLORES, Administrator/ Special Assistant (GSC Director)*

\_\_\_\_\_ *KIMBERLY S. ORSINI, Grant Specialist/ Accountant (Gov.)*

\_\_\_\_\_ *CANDISE NACOLE M.L. ARAGON, Grant Specialist/ Management Analyst IV (Gov.)*

\_\_\_\_\_ *RAYMOND R. DUNGCA, Grant Specialist/ Program Coordinator IV Gov.)*

\_\_\_\_\_ *LAWRENCE ALCAIRO, Grant Specialist/ Program Coordinator II (Gov.)*

\_\_\_\_\_ *BENTLEY S. SAN NICOLAS, Grant Specialist/ Program Coordinator II (Gov.)*

*\*\*This version of the Guam State Clearinghouse Standard Operating Procedures was revised on March 14, 2019\*\**

**Appendix A: PROGRAMS REQUIRING EXECUTIVE ORDER 12372 REVIEW**

(see attached)

**Appendix B: PRESIDENTIAL EXECUTIVE ORDER 12372**

(see attached)

**Appendix C: ORGANIZATIONAL CHART**

(see attached)

**Appendix D: DESIGNATED REPRESENTATIVES LISTING**

(see attached)

**Appendix E: STANDARD GRANT FORMS**

(see attached)

**Appendix F: GRANTEE & F.1 SUBGRANTEE TERMS AND CONDITIONS**

(see attached)