Office of Grants Management Action Transmittal	U.S. Department of Health and Human Services Administration for Children and Families Office of Administration Washington, D.C. 20447
Action Transmittal No. OGM-AT-13-01	**Date: September 25, 2013**

TO: GRANTEES ADMINISTERING ANY MANDATORY GRANT PROGRAM AWARDED BY THE ADMIINISTRATION FOR CHILDREN AND FAMILIES AND OTHER INTERESTED INDIVIDUALS

SUBJECT: Implementation of new policy for the electronic submission of State and Tribal plans and program and financial reports for mandatory grant programs

BACKGROUND: Public Law 106-107, the "Federal Financial Assistance Management Improvement Act of 1999" (Nov 20, 1999) created the e-Government initiatives that directed the establishment of electronic reporting processes for Federal financial assistance program applications, program plans and periodic program and financial reports.

The Administration for Children and Families has long-established its On-Line-Data Collection (OLDC) system to accommodate online electronic reporting by its mandatory grantees.

AFFECTED PROGRAMS: All current ACF mandatory grant programs. See Attachment A for an alphabetical listing. (See Federal Register Notice for complete information.)

APPLICABLE GRANTEES: This requirement is applicable to all grantees of all mandatory grant programs, including State governments, Tribal governments, Territorial governments and, where applicable, any non-profit organization authorized as a program administrator of a mandatory grant program in lieu of a State government agency.

REFERENCE: Federal Register Notice, Volume 78, No. 125 (78 FR 38989 et seq., June 28, 2013) "New Policies and Procedural Requirements for Electronic Submission of State Plans, and Program and Financial Reporting Forms, for Mandatory Grant Programs." See Attachment B.

EFFECTIVE DATE: October 1, 2013. The use of online electronic reporting is required for all plans and reports submitted on or after that date. This includes any plans or reports due to be submitted prior to that date but which are delayed and are being submitted on or after that date.

After that date, other than those grantees that are approved for a one-year waiver (see below), ACF will no longer accept paper submissions of these plans and reports either by mail, email or fax.

EXEMPTIONS: ACF will consider a request for a one–year waiver from this requirement for any grantee who is able to demonstrate a lack of Internet access, computer capacity or other circumstance that prevents electronic filing of the required documents. (See Federal Register Notice for complete information.)

SUPERCEDED: Action Transmittal OA-ACF-AT-01-05, January 24, 2005, "Optional Electronic Financial Reporting Under ACF Mandatory Grant Programs"

INQUIRIES: Inquiries should be made to the appropriate ACF Regional Grants Officer.

Tony Hardy

Tony Hardy
Director
Office of Grants Management

Attachment A

Mandatory Grant Programs

Adoption Assistance - Title IV-E
Abstinence Assistance Education - Title V
Adoption Incentive Payments - Title IV-E
Chafee Education and State Vouchers - Title IV-B
Chafee Foster Care Independence - Title IV-B
Child Abuse and Neglect - CAPTA
Child Care Development Fund - Mandatory and Matching
Child Care Development Fund - Reprogramming
Child Support Enforcement - States - Title IV-D
Child Support Enforcement - Tribes - Title IV-D
Children's Justice Act - CAPTA
Community Based Family Resource
Community Services Block Grant
Family Violence Prevention and Services - CAPTA
Foster Care - Title IV-E
Guardianship Assistance - Title IV-E
Low Income Home Energy Assistance
Low Income Home Energy Assistance Leveraging
Low Income Home Energy Assistance / Residential Energy Assistance Challenge
Native Employment Works - Title IV-A
Personal Responsibility Education - Title V
Promoting Safe and Stable Families - Title IV-B
Promoting Safe and Stable Families / Caseworker Visitation - Title IV-B
Refugee Cash and Medical Assistance
Refugee Social Services
Refugee Targeted Assistance
Social Services Block Grant - Title XX
State Access and Visitation - Title IV-D
State Court Improvement - Basic - Title IV-E
State Court Improvement - Data - Title IV-E
State Court Improvement - Training - Title IV-E
Statewide Domestic Violence Coalition
Stephanie Tubbs Jones Child Welfare Social Services - Title IV-B
Temporary Assistance for Needy Families - Contingency - Title IV-A
Temporary Assistance for Needy Families - Territories - Title IV-A
Temporary Assistance for Needy Families - Title IV-A
Temporary Assistance for Needy Families - Tribes - Title IV-A
Tribal Construction

References:

Title IV-A, Title IV-B, Title IV-D, Title IV-E, Title V, Title XX: Of the Social Security Act
CAPTA: the Child Abuse Prevention and Treatment Act

13. *Type of Information Collection Request:* Revision of a currently approved collection; *Title of Information Collection:* Part C Medicare Advantage Reporting Requirements and Supporting Regulations; *Use:* There are a number of information users of Part C reporting, including central and regional office staff that use this information to monitor health plans and to hold them accountable for their performance. Other government agencies such as the Government Accountability Office have inquired about this information. Health plans can use this information to measure and benchmark their performance. CMS intends to make some of these data available for public reporting as "display measures" in 2013. *Form Number:* CMS–10305 (OCN: 0938–1115); *Frequency:* Yearly and semi-annually; *Affected Public:* Business or other for-profits; *Number of Respondents:* 588; *Total Annual Responses:* 6,715; *Total Annual Hours:* 200,918. (For policy questions regarding this collection contact Terry Lied at 410–786–8973.)

14. *Type of Information Collection Request:* New Collection (Request for a new OMB control number; *Title of Information Collection:* Enrollee Satisfaction Survey Data Collection; *Use:* Section 1311(c)(4) of the Affordable Care Act (ACA) requires the Department of Health and Human Services (HHS) to develop an enrollee satisfaction survey system that assesses consumer experience with qualified health plans (QHPs) offered through an Exchange. It also requires public display of enrollee satisfaction information by the Exchange to allow individuals to easily compare enrollee satisfaction levels between comparable plans. HHS intends to establish an enrollee satisfaction survey system that assesses consumer experience with the Marketplaces and the qualified health plans (QHPs) offered through the Marketplaces. The surveys will include topics to assess consumer experience with the Marketplace such as enrollment and customer service, as well as experience with the health care system such as communication skills of providers and ease of access to health care services. We are considering using the Consumer Assessment of Health Providers and Systems (CAHPS®) principles (*http://www.cahps.ahrq.gov/about.htm*) for developing the surveys. We are also considering an application and approval process for enrollee satisfaction survey vendors who want to participate in collecting ESS data. The application form for survey vendors includes information regarding organization name and contact(s) as well as minimum business requirements such as relevant survey experience, organizational survey capacity, and quality control procedures.

The Marketplace Survey will provide (1) actionable information that the Marketplaces can use to improve performance, (2) information that we and state regulatory organizations can use for oversight, and (3) a longitudinal database for future Marketplace research. The CAHPS® family of instruments does not have a survey that assesses entities similar to Marketplaces, so the Marketplace survey items were generated by the project team. The QHP survey will (1) help consumers choose among competing health plans, (2) provide actionable information that the QHPs can use to improve performance, (3) provide information that regulatory and accreditation organizations can use to regulate and accredit plans, and (4) provide a longitudinal database for consumer research. CMS plans to base the QHP survey on the CAHPS® Health Plan Survey.

We are planning for two rounds of developmental testing for the Marketplace and QHP surveys. The 2014 survey field tests will help determine psychometric properties and provide an initial measure of performance for Marketplaces and QHPs to use for quality improvement. Based on field test results, there will be further refinement of the questionnaires and sampling designs to conduct the 2015 beta test of each survey. We plan to request clearance for two additional rounds of national implementation with public reporting of scores for each survey in the future. A summary of findings from the testing rounds will be included when requesting clearance for the additional two rounds of national implementation with public reporting, which will take place in 2016 and 2017. *Form Number:* CMS–10488 (OCN: 0938–NEW); *Frequency:* Annually; *Affected Public:* Individuals and Households, Business or other for-profits and Not-for-profit institutions; *Number of Respondents:* 251,671; *Total Annual Responses:* 251,671; *Total Annual Hours:* 86,014. (For policy questions regarding this collection contact Kathleen Jack at 410–786–7214.)

Dated: June 25, 2013.

Martique Jones,

Deputy Director, Regulations Development Group, Office of Strategic Operations and Regulatory Affairs.

[FR Doc. 2013–15558 Filed 6–27–13; 8:45 am]

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DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Children and Families

New Policies and Procedural Requirements for Electronic Submission of State Plans, and Program and Financial Reporting Forms, for Mandatory Grant Programs

AGENCY: Office of Administration (OA), Administration for Children and Families (ACF), Department of Health and Humans Services (HHS).

ACTION: Notice for public comment of new policies and procedural requirements for the electronic submission of State plans, and program and financial reporting forms, for mandatory grant programs.

SUMMARY: The Administration for Children and Families (ACF), an Operating Division of the Department of Health and Human Services (HHS), announces the opportunity for public comment on our plan to implement required electronic submission of State plans, which includes applications as applicable; and programmatic and financial reporting forms, for mandatory grant programs. In accordance with the e-Government initiatives mandated by the Federal Financial Assistance Management Improvement Act of 1999, ACF officially acknowledges that electronically generated and/or stored documents are recognized equivalents of an official paper grant file. Recognizing the equivalency of such documents eliminates duplicative effort and administrative burden for Federal grant applicants, recipients, and the awarding agency, by facilitating the submission and storage of official grant files. ACF has previously afforded recipients of mandatory State grant programs the option of submitting State plans, and programmatic and financial reporting forms, in both electronic and paper formats. This notice announces that recipients of mandatory State grant programs will now be required to submit State plans, and programmatic and financial reporting forms, electronically. The electronic portal used to support this effort is the ACF On-Line Data Collection (OLDC) system, which is available to State applicants and grantees at *https://extranet.acf.hhs.gov/oldcdocs/materials.html.*

DATES: Submit written or electronic comments on the policies and procedures announced in this Notice, on or before August 27, 2013.

ADDRESSES: The public may submit written or electronic comments concerning this notice to Karen Shields, Grants Policy Specialist, Department of Health and Human Services, Administration for Children and Families, Division of Grants Policy, 370 L'Enfant Promenade SW., Aerospace Building, 6th Floor East, Washington, DC 20447. Email address: *karen.shields@acf.hhs.gov*. Delays may occur in mail delivery to Federal offices; therefore, a copy of submitted comments may also be faxed to (202) 205–4270.

Received comments will be available for inspection by members of the public at the Office of Administration, Aerospace Building, Division of Grants Policy, 901 D Street SW., 6th Floor East, Washington, DC 20447.

FOR FURTHER INFORMATION CONTACT: Karen Shields, Grants Policy Specialist, Department of Health and Human Services, Administration for Children and Families, OA/Division of Grants Policy, 370 L'Enfant Promenade SW., Aerospace Building, 6th Floor East, Washington, DC 20447. Email: *karen.shields@acf.hhs.gov*. Fax: (202) 205–4270.

SUPPLEMENTARY INFORMATION:

Electronic Submission of Mandatory Program State Plans

In previous fiscal years, recipients of mandatory State grant programs had the option of submitting State plans in a format of their choosing. Effective October 1, 2013, ACF will require the use of the Standard Form SF–424M Mandatory Form when preparing State plans. The form is available to applicants and grantees within the OLDC system at *https://extranet.acf.hhs.gov/oldcdocs/materials.html*.

Electronic Submission of Program Progress and Financial Reporting Forms Beginning with the effective date of October 1, 2013, the following reporting forms for mandatory State grant programs must be submitted electronically through the OLDC at *https://extranet.acf.hhs.gov/oldcdocs/materials.html*.

Program name	Form title.
Abstinence Education Grant Program	AEGP Performance Progress Report (PPR).
Abstinence Education Grant Program	Form SF–425: Federal Financial Report (FFR).
Adoption Assistance	Form CB–496: Title IV–E Programs Quarterly Financial Report.
Adoption Incentive Payments	Form SF–425: Federal Financial Report (FFR).
Chafee (formerly ILP)	Form SF–425: Federal Financial Report (FFR).
Chafee Ed & Training Vouchers State Grants	Form SF–425: Federal Financial Report (FFR).
Child Abuse and Neglect State Grant Part 1	Form SF–425: Federal Financial Report (FFR).
Child Care and Development Fund Mandatory & Matching	Form ACF–696T: Child Care and Development Fund Annual Financial Report for Tribes.
Child Care and Development Fund Mandatory & Matching	Form ACF–402: Improper Authorizations.
Child Care and Development Fund Mandatory & Matching	Form ACF–696: Child Care and Development Fund Financial Report for States and Territories.
Child Support Enforcement—States	Form OCSE34A: Child Support Enforcement Program Quarterly Collection Report.
Child Support Enforcement—States	Form OCSE–396A: Child Support Enforcement Program Quarterly Financial Report.
Child Support Enforcement—States	Form OCSE 157: Child Support Enforcement Annual Data Report.
Child Support Enforcement—Tribes	Form OCSE–75: Tribal Child Support Enforcement Annual Data Report.
Child Support Enforcement—Tribes	Form OCSE34A: Child Support Enforcement Program Quarterly Collection Report.
Child Support Enforcement—Tribes	Form SF–425: Federal Financial Report (FFR).
Child Welfare Social Services	Form SF–425: Federal Financial Report (FFR).
Children's Justice Act	Form SF–425: Federal Financial Report (FFR).
Community Services Block Grant	Form SF–425: Federal Financial Report (FFR).
Community-Based Child Abuse Prevention (formerly Community-Based Family Resource and Support).	Form SF–425: Federal Financial Report (FFR).
Family Violence Prevention & Services State Grants	FVPS Performance Progress Report (PPR)—(State).
Family Violence Prevention & Services Tribal Grants	FVPS Performance Progress Report (PPR)—(Tribal).
Family Violence Prevention & Services State Grants	Form SF–425: Federal Financial Report (FFR).
Foster Care	Form CB–496: Title IV–E Programs Quarterly Financial Report.
Guardianship Assistance	Form CB–496: Title IV–E Programs Quarterly Financial Report.
Healthy Marriages/Healthy Relationships Demo	Form SF–425: Federal Financial Report (FFR).
Leveraging (LIHEAP)	Form SF–425: Federal Financial Report (FFR).
Low Income Home Energy Assistance	Form SF–425: Federal Financial Report (FFR).
Native Employment Works Program	Form SF–425: Federal Financial Report (FFR).
Promoting Safe and Stable Families Caseworker Visitation	Form SF–425: Federal Financial Report (FFR).
Personal Responsibility Education Program	PREP Performance Progress Report (PPR).
Personal Responsibility Education Program	Form SF–425: Federal Financial Report (FFR).
Promoting Safe and Stable Families	Form SF–425: Federal Financial Report (FFR).
Refugee Cash and Medical Assistance	Form ORR–1: Cash and Medical Assistance Program Estimates.
Refugee Cash and Medical Assistance	Form ORR–2: Quarterly Report on Expenditures and Obligations.
Refugee Social Services	Form SF–425: Federal Financial Report (FFR).
Refugee Targeted Assistance	Form SF–425: Federal Financial Report (FFR).
Residential Energy Assistance Challenge Options Program	Form SF–425: Federal Financial Report (FFR).
Social Services Block Grant	Form SF–425: Federal Financial Report (FFR).
Social Services Emergency Disaster Relief	Form SF–425: Federal Financial Report (FFR).
State Access and Visitation	Form SF–425: Federal Financial Report (FFR).
State Court Improvement—Basic Program	Form SF–425: Federal Financial Report (FFR).
State Court Improvement—Data Program	Form SF–425: Federal Financial Report (FFR).
State Court Improvement—Training Program	Form SF–425: Federal Financial Report (FFR).
Statewide Domestic Violence Coalition	Form SF–425: Federal Financial Report (FFR).

Program name	Form title.
Temporary Assistance for Needy Families	Form ACF–196T: Tribal TANF Financial Report.
Temporary Assistance for Needy Families	ACF–196T: TANF ARRA Financial Report.
Temporary Assistance for Needy Families	Form SF–425: Federal Financial Report (FFR).
Temporary Assistance for Needy Families	ACF–204.
Temporary Assistance for Needy Families	Form ACF–196: TANF Quarterly Financial Report.
Tribal Construction	Form SF–425: Federal Financial Report (FFR).

Exemptions From the Electronic Submission Requirement

ACF recognizes that some of the recipient community may have limited or no Internet access, and/or limited computer capacity, which may prohibit uploading large files to the Internet through the OLDC system. To accommodate such recipients, ACF is instituting an exemption procedure, on a case-by-case basis, that will allow such recipients to submit hard copy, paper State plans and reporting forms by the United States Postal Service, hand-delivery, recipient courier, overnight/express mail couriers, or other representatives of the recipient.

Additionally, on a case-by-case basis, we will consider requests to accept hard copy, paper submissions of State plans and reporting forms when circumstances such as natural disasters occur (floods, hurricanes, etc.); or when there are widespread disruptions of mail service; or in other rare cases that would prevent electronic submission of the documents.

Recipients will be required to submit a written statement to ACF that the recipient qualifies for an exemption under one of these grounds: lack of Internet access; or limited computer capacity that prevents the uploading of large files to the Internet; the occurrence of natural disasters (floods, hurricanes, etc.); or when there are widespread disruptions of mail service; or in other rare cases that would prevent electronic submission of the documents.

Exemption requests will be reviewed and the recipient will be notified of a decision to approve or deny the request. The written statement must be sent to the cognizant ACF Program Official and to ACF's Grants Management Office point of contact shown in funding opportunity announcements (if applicable) or in a previously received Notices of Award. Exemption requests may be submitted by regular mail or by email.

In all cases, the decision to allow an exemption to accept submission of hard copy, paper State plans and reporting forms will rest with the cognizant ACF Program Office. Exemptions are applicable only to the Federal fiscal year in which they are received and approved. If an exemption is necessary for a future Federal fiscal year, a request must be submitted during each Federal fiscal year for which an exemption is necessary.

Records Retention

The HHS regulations pertaining to the retrieval, retention, disposition, and destruction of official grant files, 45 CFR 92.42, remains in effect for electronically submitted documents.

Future Implementation

This guidance represents the initial phase of ACF's transition to required electronic submission of official grant documents for recipients of mandatory State grant programs. ACF will continue to communicate transition plans as they evolve, and will provide the recipient communities and the general public with sufficient notice of implementation details. In general, notices will be published in the **Federal Register** at least 60 days before the implementation becomes effective.

Universal Identifier (DUNS) and SAM Registration

ACF is prohibited from making an award until an applicant has complied with the following requirements:

All applicants must have a DUNS number (*www.dnb.com*) and be registered with the System for Award Management (SAM, *www.sam.gov*).

DUNS Number Requirement

The Data Universal Numbering System (DUNS) Number is the nine-digit, or thirteen-digit (DUNS + 4), number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities.

All applicants and sub-recipients must have a DUNS number at the time of submission of the State plan in order to be considered for an award under a mandatory program.

A DUNS number is required whether an applicant is submitting a hard copy, paper State plan or using the OLDC system. Exemption procedures for submitting hard copy, paper State plans in lieu of electronic submission are discussed in an earlier section of this Notice. DUNS numbers are required for every State plan for a new award, including State plans under formula, entitlement, and block grant programs. A DUNS number may be acquired at no cost online at *http://fedgov.dnb.com/webform.*

System for Award Management

Applicants must maintain an active SAM registration until the State plan submission process is complete and throughout the life of the award. Applicants should finalize a new, or renew an existing, registration at least two weeks before the State plan submission deadline. This action should allow sufficient time to resolve any issues that may arise. Failure to comply with these requirements may result in the inability to submit a State plan or receive an award. Maintain documentation (with dates) of efforts made to register or renew a registration at least two weeks before the deadline. Please see the SAM Quick Guide for Grantees at: *www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf.*

Applicants are strongly encouraged to register at SAM.gov well in advance of the State plan submission due date. Registration at SAM.gov must be updated annually.

Note: It can take 24 hours or more for updates to registrations at SAM.gov to take effect. An entity's registration will become active after 3–5 days. Therefore, check for active registration well before the State plan submission due date and deadline. Recipients can view the registration status by visiting *http://www.bpn.gov/CCRSearch/Search.aspx* and searching by the organization's DUNS number. See the SAM Quick Guide for Grantees at *https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf.*

Statutory Authority: Financial Assistance Management Improvement Act of 1999, Pub. L. 106–107.

Robert Noonan,

Deputy Assistant Secretary for Administration, Administration for Children and Families.

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