



Section 5 Grants Pilot Single Audit Form Completion Test Model

August 2016

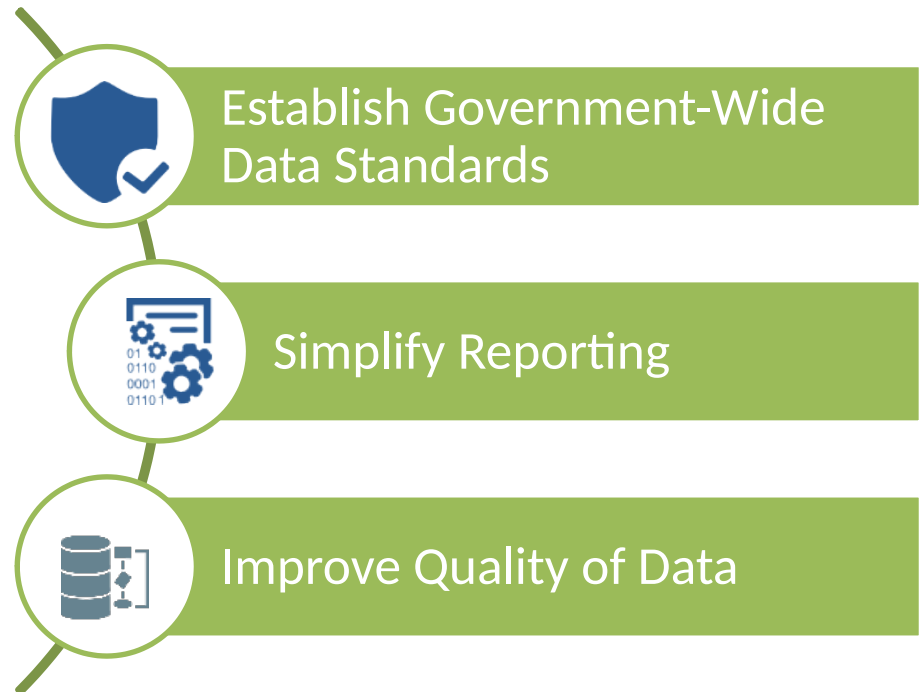
Purpose

To provide a summary of the Section 5 Grants Pilot and the Single Audit Test Model.

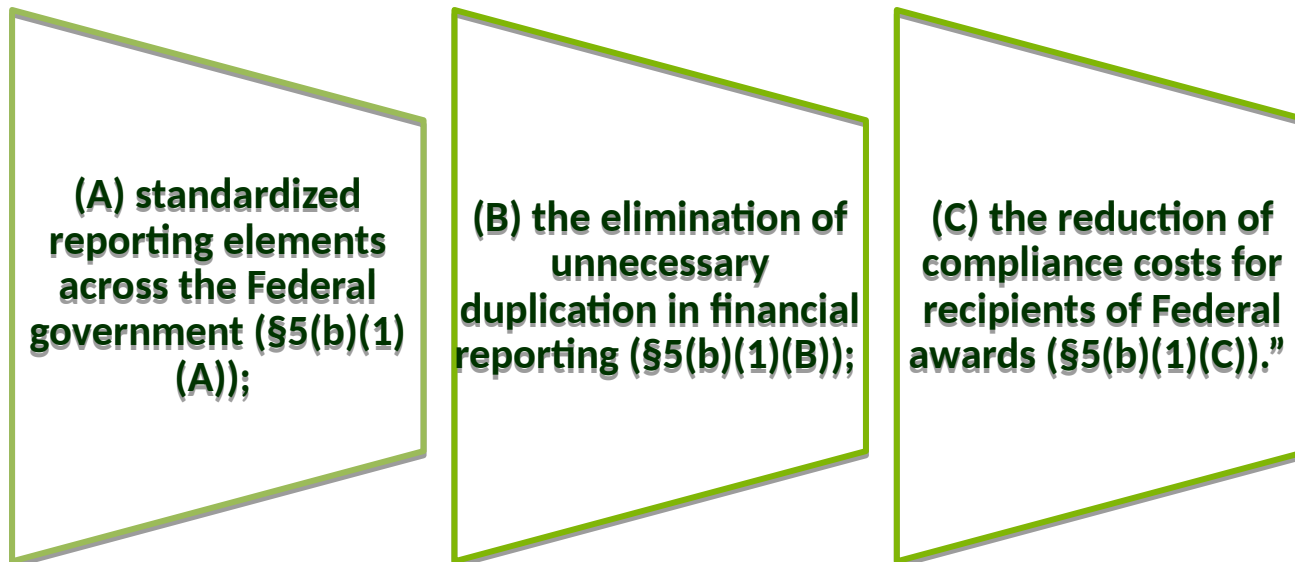
Discussion Topics

DATA Act Overview	
Section 5 Pilot Requirements	
Test Model Formulation	
Single Audit Test Model	
Participation at a Glance	
Participant and HHS DAP Roles	
Key Dates	
Single Audit Test Model Survey	
Single Audit Test Model Participant Support	
Appendix: Participation Screen Shots	

In May 2014, Public Law 113-101 Digital Accountability and Transparency Act of 2014 (DATA Act) was signed into law with the purpose to establish government-wide financial data standards and increase the availability, accuracy, and usefulness of federal spending information.

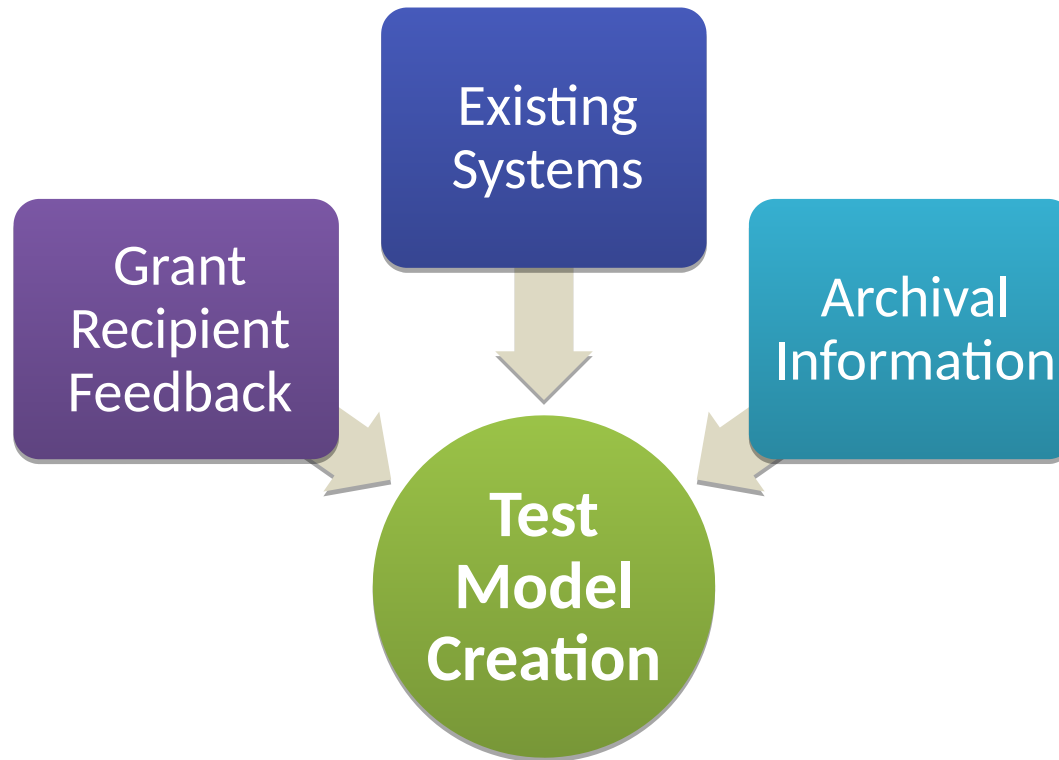


The goal of the Pilot is to implement Section 5 of the Digital Accountability and Transparency Act (DATA Act) of 2014, Pub. L. No. 113-101, which requires the Federal Government to, “establish a pilot program with the participation of appropriate Federal agencies to facilitate the development of recommendations for –

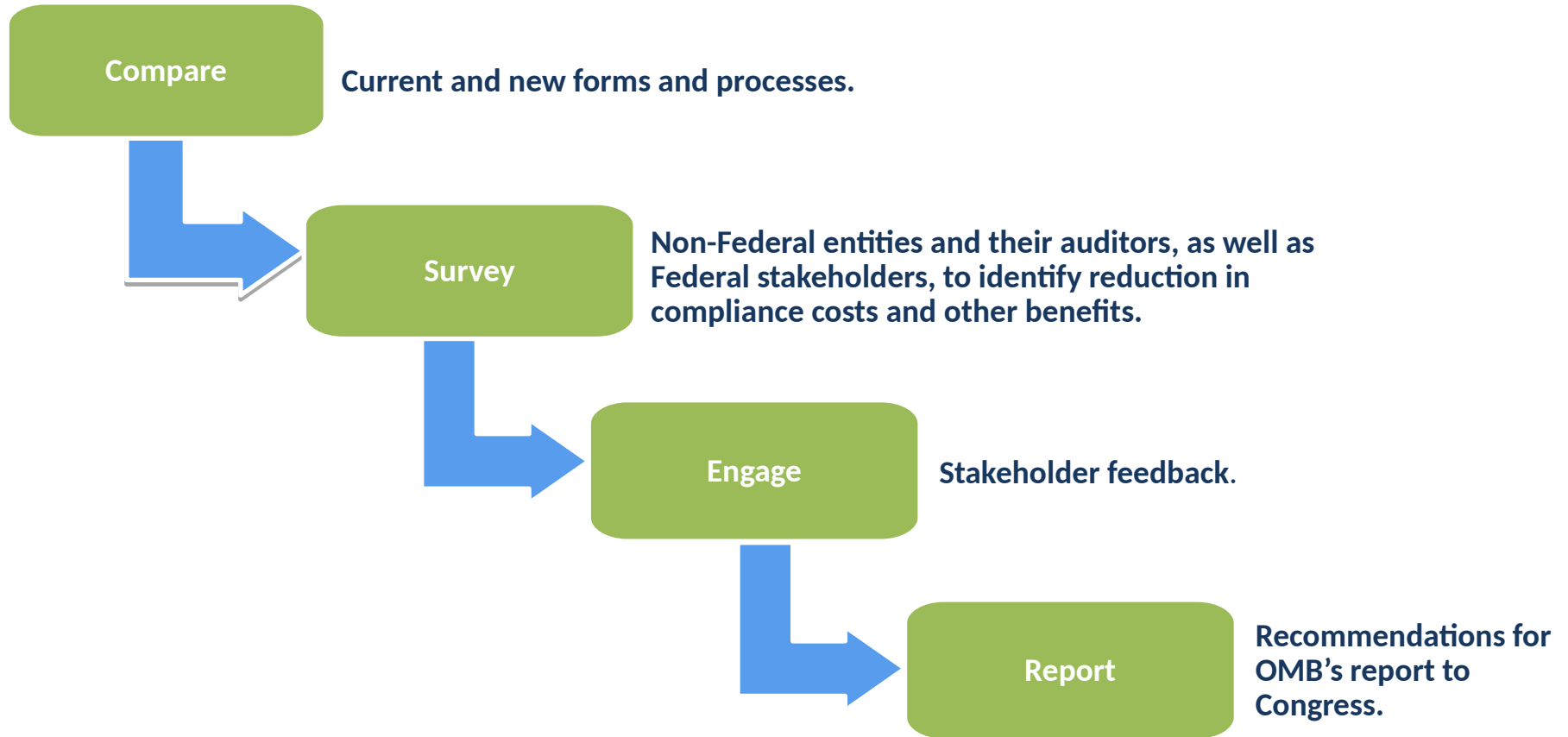


The Office of Management and Budget (OMB) has designated HHS to serve as the executing agent for the Section 5 Grants Pilot.

The Section 5 Pilot requirements for standardizing data elements across the Federal government, eliminating unnecessary duplication in financial reporting, and the reduction of compliance costs for recipients of Federal awards drove the creation of each Test Model.



In addition to the Section 5 Pilot requirements, DAP leveraged grant recipient feedback, existing Federal systems, and archival information to create the Test Models.



Hypothesis

- If grant recipients do not have to report the same information through duplicative efforts, then grant recipient burden will be reduced. Data is currently being reported on the Single Audit Data Collection Form (SF-SAC) that is duplicative of data reported on the Schedule of Expenditures of Federal Awards (SEFA).
- If a Concept Form SF-SAC combining the required data from both the SF-SAC and the SEFA can be created, grant recipients would see a reduction in burden through the elimination of reporting duplicative information.

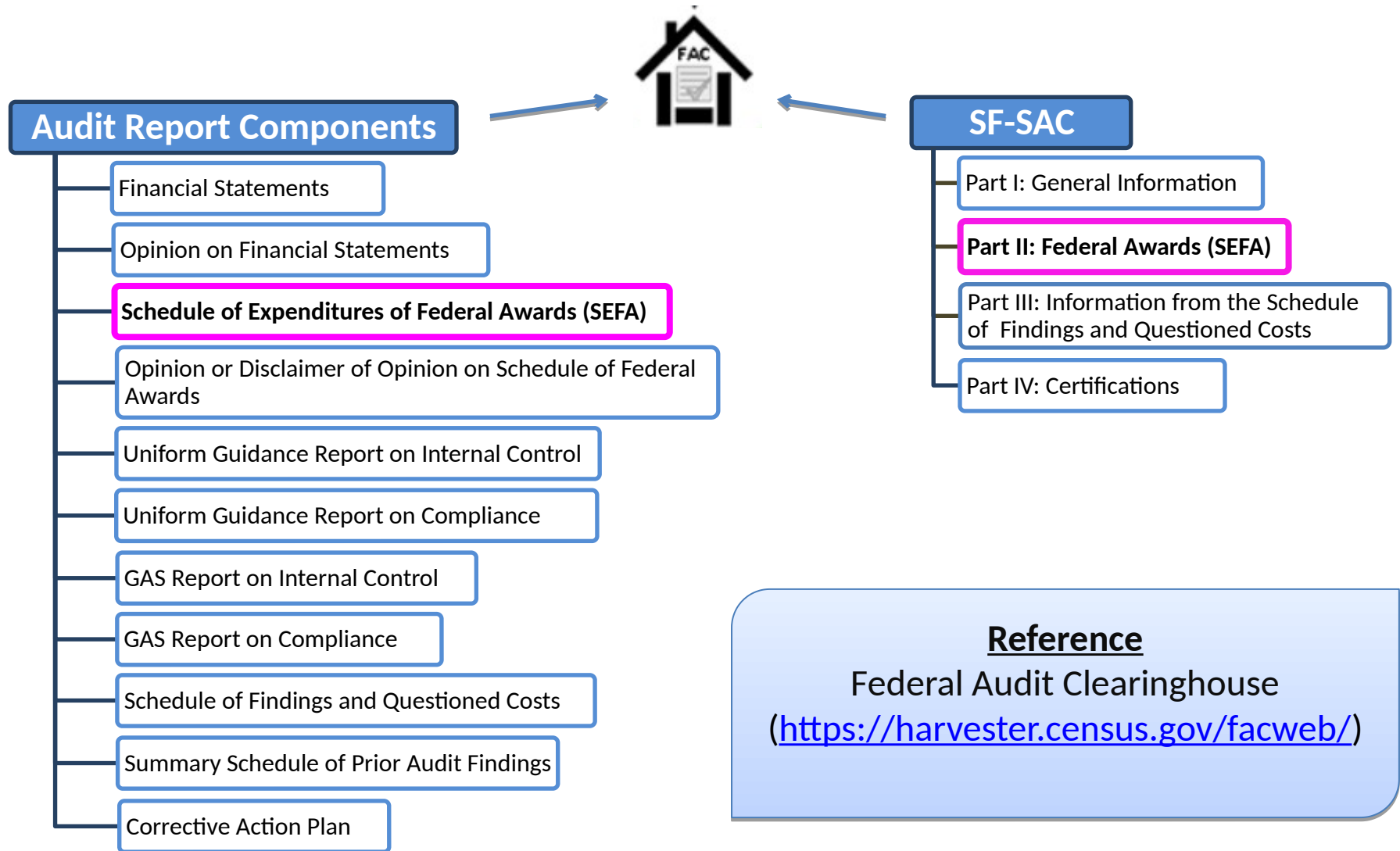
Test Model

- HHS DAP has collaborated with the Federal Audit Clearinghouse (FAC) to create an environment where participants can access the SEFA Template, upload the Template directly to the FAC system to populate the Federal Awards section of the Concept Form SF-SAC, and export a SEFA to be included in the Audit report.
- Participants will then take a survey asking their opinion about the SEFA Template and the reporting process of the proposed Concept Form.
- HHS DAP will compile and analyze survey results.

Single Audit, formerly known as the OMB A-133 audit before the Uniform Guidance was implemented, is an organization-wide financial statement and Federal awards' audit of a recipient that expends \$750,000 or more in federal funds in one year.

It is intended to provide assurance to the Federal Government that a recipient has adequate internal controls in place, and is generally in compliance with program requirements.

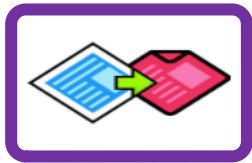
Recipients typically include states, local governments, Indian tribes, universities, and non-profit organizations.



The Single Audit Test Model consists of three key components revolving around the SEFA Reporting process.



1. Download the SEFA Template directly from the FAC Website



2. Upload the completed SEFA Template



3. Export customizable SEFA for Audit Report.

Participants will download the SEFA Template and use it throughout their respective Single Audit process.

The SEFA Template can be accessed directly from the FAC website at the following location: [SEFA Template \(https://harvester.census.gov/facides/account/login.aspx\)](https://harvester.census.gov/facides/account/login.aspx)

The SEFA Template will be used by participants to input all the required information for their SEFA.

The SEFA Template can be provided to the Auditor for the SEFA audit work.

Once the SEFA has been audited and is considered ready for submission, participants will upload the Template to the FAC system.

The SEFA Template will be uploaded directly into the FAC data collection system to populate the Federal Awards section of the Concept Form SF-SAC.

By uploading the SEFA Template, participants will not need to manually input the SEFA data into the Concept Form SF-SAC on the FAC data collection system.

The FAC data collection system has edit checks to help validate the uploaded SEFA Template contains all the required data items.

The FAC system will export a SEFA to be included in the participant's respective Audit Report.

A new feature for Pilot Participants is the ability to export a SEFA to be included in the Audit Report.

The exportable SEFA will categorize awards by granting Agency/CFDA, and will contain separate pages for cluster totals, outstanding loan balances, and Notes to the SEFA.

The exportable SEFA will be exported in Excel Format, allowing for customization by Pilot Participants. Following customization, Participants can convert the Excel file to PDF to be included with the rest of their Single Audit Reporting Package.

HHS DAP will provide participants with two letters from the Office of Management and Budget (OMB) indicating that participation in this Pilot will count as the official Single Audit Submission.

The first OMB letter will be provided to participants to be kept in their respective Audit Report for future reference.

The second OMB letter will be provided to participants so they can provide the letter to their respective Cognizant Agencies, noting that participation in the Pilot will count as the official Single Audit Submission.

Note: Participation in this Pilot will complete the SEFA / Federal Awards portion of the Single Audit only. You will be responsible for completing the remainder of the Single Audit requirements as is required by the Uniform Guidance.

Below is a summary of the Participant actions and HHS DAP actions for the Single Audit Test Model.

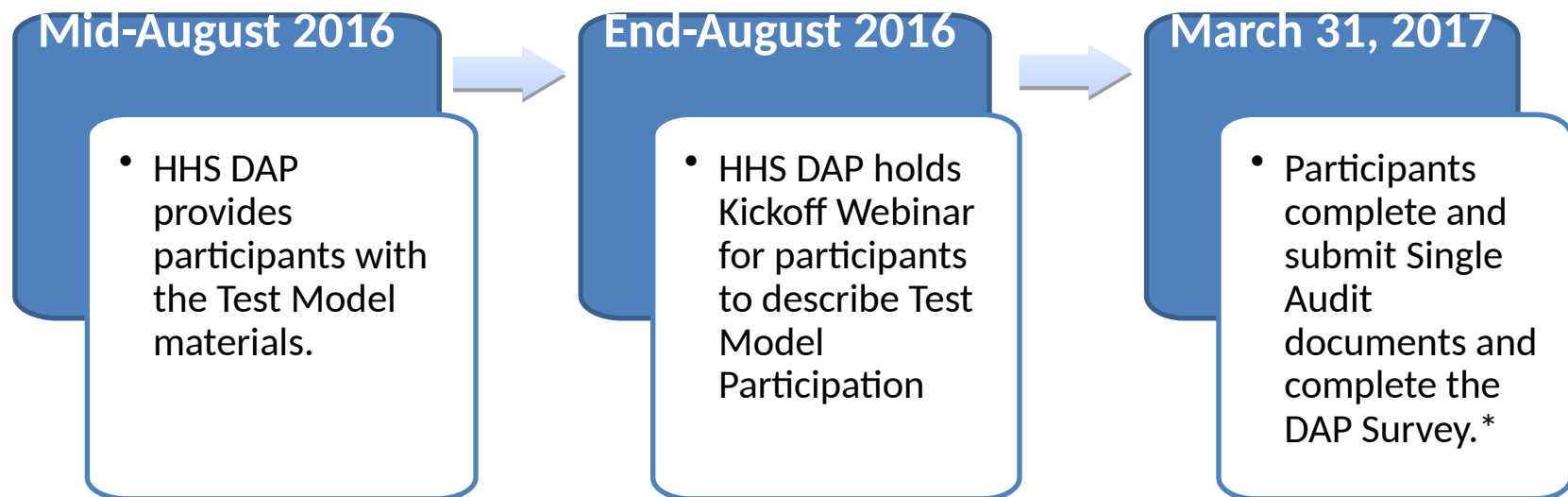
Participant Actions

- Attend Kickoff Webinar hosted by DAP and receive Test Model participation materials.
- Provide DAP with respective organization's Auditee Name, EIN, and Fiscal Year End date.
- Participate in Test Model by accessing the SEFA Template throughout the Single Audit reporting process.
- Complete survey related to user experience associated with the SEFA Template and the associated process (*survey link will be provided by DAP via email*).

HHS DAP Actions

- Provide participants with the Test Model participation materials.
- Host Kickoff webinar.
- Conduct recurring webinar, if necessary.
- Provide survey link to Test Model participants.
- Collect surveys from sample population and analyze results.
- Maintain availability for questions and concerns via the DAP mailbox (DATAActPMO@hhs.gov).
- Develop recommendations to Congress in Summer 2017 on potential to reduce recipient burden.

For the Single Audit Test Model Participants, relevant upcoming dates include:



***Note: In order to fit in the Single Audit Test Model timeframe, HHS DAP is requesting that your organization submit the Single Audit documents and complete the survey no later than March 31, 2017. If you foresee an issue with this timeframe, please alert HHS DAP by emailing DATAActPMO@hhs.gov.**

Once your organization has completed the Single Audit and submitted the required documents, please take a moment to complete the survey .

[Single Audit Survey Link](#)
(Placeholder link)

Thank you for participating in the HHS DAP Single Audit Form Completion Test Model.



For any questions relating to the Section 5 Grants Pilot or Single Audit Test Model participation, please contact HHS DAP by emailing HHS DAP at DATAActPMO@hhs.gov.



For any technical questions relating to the FAC system, please contact the FAC by emailing erd.fac@census.gov or by calling 1-800-253-0696.

The following slides provide screenshots to assist participants throughout the Single Audit Test Model process.

The screenshot shows the homepage of the Federal Audit Clearinghouse. At the top, there is a navigation bar with links: Home, Submit an Audit, Find Audit Information, FAQs, Resources, and Ask a Question. Below the navigation bar is a header image featuring a stylized American flag. The main logo on the left reads "Federal Audit Clearinghouse" with a house icon containing a checkmark. To the right of the logo, it says "Today is Friday, July 15, 2016".

Overview

The Federal Audit Clearinghouse (FAC) operates on behalf of the [Office of Management and Budget \(OMB\)](#). Its primary purposes are to:

- Distribute single audit reporting packages to federal agencies.
- Support OMB oversight and assessment of federal award audit requirements.
- Maintain a public database of completed audits.
- Help auditors and auditees minimize the reporting burden of complying with Circular A-133 audit requirements.

Quick Links

- [FAQs](#)
- [Resources](#)
- [FOIA Information](#)
- [Privacy Policy](#)
- [2010-2012 Form SF-SAC & Instructions](#) 
- [2013-2015 Form SF-SAC & Instructions](#) 

Important Announcements

- The Federal Audit Clearinghouse (FAC) anticipates collection of data for single audits performed under Uniform Guidance to begin in **late Spring 2016** (after a new Form SF-SAC is issued). Auditees whose audits were performed under the Uniform Guidance are unable to submit the Form SF-SAC and their reporting package to the FAC at this time. The Office

PDF Validator

To check whether your audit report will pass the new January 2, 2015 upload requirements, enter your **Audit Year** and click **Browse** to select your **Audit Report**. Then, click **Validate** to test it. **(PDF file size is limited to 30MB)**

This slide deck should be used along with the Single Audit Instruction Manual to assist in the participation of the Single Audit Test Model.

Appendix: IDES Site Login

From the home page, click on the **Submit an Audit** tab located at the top of the page.

The screenshot shows the top navigation bar of the Federal Audit Clearinghouse website. The navigation menu includes: Home, **Submit an Audit**, Find Audit Information, FAQs, Resources, and Ask a Question. Below the navigation bar is a banner with the American flag and the Federal Audit Clearinghouse logo. The main content area is divided into sections: Overview, PDF Validator, and Important Announcements. A callout box with a black border and white background points to the 'Submit an Audit' button in the navigation menu, containing the text: 'Click on the Submit an Audit button'.

[Home](#) | **Submit an Audit** | [Find Audit Information](#) | [FAQs](#) | [Resources](#) | [Ask a Question](#)

Federal Audit Clearinghouse

Overview

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Click on the **Submit an Audit** button

Appendix: IDES Site Login

- First time users will need to create an account by clicking on the **Create an Account** button, and following the on-screen instructions.
- Returning Users will log into the IDES site by using your existing credentials.



First time users will need to create an Account.

Returning users will login using existing credentials

To access the Pilot environment, you must input an **Exact** match of the respective login information you provided to DAP. If this information is not an **Exact** match, you will not be granted access to the Pilot system.

Federal Audit Clearinghouse
Internet Data Entry System Sign Out

Auditee Information

[\[Back to Account Home \]](#)

This page will allow you to create a new single audit submission. Each Report ID corresponds to one single audit submission. You must start a new report for each fiscal period.

- Review the year. Once this submission is created it **cannot** be changed.
- Review the fiscal period start date. Submissions with a fiscal period start date **on or after** December 26, 2014 are subject to *Uniform Guidance*. Submissions with a fiscal period start date **before** December 26, 2014 are subject to *OMB Circular A-133*. Once this submission is created it **cannot** be changed.
- The correct EIN is mandatory. Please verify the EIN.
- Valid audit years 2010-2016

Auditee Name

Auditee Employer Identification Number (EIN)
 -

Confirm Auditee Employer Identification Number (EIN)
 -

Auditee Fiscal Period **start** date for this submission
 MM/DD/YYYY

Auditee Fiscal Period **end** date for this submission
 MM/DD/YYYY

If you do not remember the exact information you provided to DAP, please reach out via email at DATAActPMO@hhs.gov

This information must be an **Exact** match.

After inputting the Auditee information, the system will generate a pop-window confirming your submission will fall under the **Uniform Guidance** requirements.

The screenshot displays the Federal Audit Clearinghouse Internet Data Entry System interface. At the top, there is a header with the logo and text "Federal Audit Clearinghouse Internet Data Entry System" and a "Sign Out" button. Below the header is a dark blue bar with the text "Auditee Information". A link "[Back to Account Home]" is visible. The main content area contains a paragraph explaining the purpose of the page: "This page will allow you to create a new single audit submission. Each Report ID corresponds to one single audit submission. You must start a new report for each fiscal period." To the left, there is a list of instructions: "Review the year. Once this submission is created it cannot be changed.", "Review the fiscal period start date. Submissions with a fiscal period start date on or after December 26, 2014 are subject to Uniform Guidance. Submissions with a fiscal period start date before December 26, 2014 are subject to OMB Circular A-133. Once this submission is created it cannot be changed.", "The correct EIN is mandatory. Please verify the EIN.", and "Valid audit years 2010-2016". A red-bordered pop-up window is centered on the screen, containing the text: "Because the entered auditee fiscal period start date is on or after December 26, 2014 this submission is subject to Uniform Guidance and NOT OMB Circular A-133. Do you wish to continue?". Below this text are two buttons: "Continue" and "Back". Below the pop-up, there are two date input fields: "04/30/2015 MM/DD/YYYY" and "04/30/2016 MM/DD/YYYY", with the label "Auditee Fiscal Period end date for this submission" between them. A "Continue" button is located at the bottom center of the page.

The SEFA Template can be accessed both before logging into the IDES system, as well as being accessed after logging into the IDES system.

Click on the
**Instructions and
Documents** button.

Federal Audit Clearinghouse
Internet Data Entry System

The Internet Data Entry System (IDES) is the place to submit the single audit reporting package, including form SF-SAC, to the Federal Audit Clearinghouse (FAC). Submission of a single audit reporting package is required under the Single Audit Act of 1984 (amended in 1996), OMB Circular A-133, and the Office of Management and Budget (OMB) Code of Federal Regulations (CFR) Part 200, Uniform Administrative Requirements for Federal Awards (Uniform Guidance).

First-Time Users

When you submit single audits using this system, you must have an account. To begin, click the Create an Account button below.

[Create an Account](#)

[Quick Reference Guide](#) | [Single Audit Process Illustration](#)

Returning Users

If you are a returning user, enter your User E-mail and User Password below.

User E-mail: (example: john.doe@census.gov)

User Password:

[Sign In](#) [Reset User Password](#)

[Instructions and Documents](#) | [FAQs](#) | [Resources](#) | [Federal Agency Contacts](#)

To access the SEFA Template without logging into the IDES system, from the IDES login page simply click on the **Instructions and Documents** button, to be brought to the documents page.

The SEFA Template will download into an Excel spreadsheet. Use this spreadsheet to complete the SEFA with FYE Federal Awards Data.

Federal Audit Clearinghouse
Internet Data Entry System Sign Out

Instructions and Documents

[\[Back to Account Home \]](#)

 **IDES Instructions**
[2010-2012 \(A-133\)](#) | [2013-2016 \(A-133\)](#) | [2015-2018 \(Uniform Guidance\)](#)

 **Single Audit Form and Checklist**
[2010-2012 \(A-133\)](#) | [2013-2016 \(A-133\)](#) | [2015-2018 \(Uniform Guidance\)](#)

 **Uniform Guidance Worksheets**
[Federal Awards](#) | [Federal Awards Worksheet](#)

Click on the **Federal Awards** button to download the SEFA Template

The SEFA Template can also be accessed after logging into the IDES system. After you successfully log in, you will be brought to the Account Home page. Click on the **Instructions and Documents** button to access the SEFA Template.

Federal Audit Clearinghouse
Internet Data Entry System

Account Tools Sign Out

Account Home

NOTICE: DISABLED BUTTONS INDICATE THERE ARE NO REPORTS TO DISPLAY.

Continue/Certify (In-Progress Audits)	Continue/Certify work on a single audit that was started by you. <ul style="list-style-type: none">• Certify, Finish, Submit, and Upload Single Audit.• Enter and exit the single audit report at any time and any place.
View (Submitted Audits)	View information on a previously submitted single audit. <ul style="list-style-type: none">• Archive copies of previously submitted form SF-SACs.
Start (New Audit)	Start a new single audit submission. <ul style="list-style-type: none">• Each Report ID corresponds to one single audit.• Start a new report for each fiscal year.
Revise (Submitted Audits)	Revise information on a previously submitted single audit. <ul style="list-style-type: none">• Change information on a previously submitted form SF-SAC or upload a revised reporting package.

[Instructions and Documents](#) [FAQs](#) [Resources](#) [Federal Agency Contacts](#)

If you need assistance, please contact the Federal Audit Clearinghouse (FAC) via [e-mail](#) or call 1-800-253-0898.

Click on the **Instructions and Documents** button

To upload the SEFA Template to the SF-SAC, participants will need to login to the FAC website first. Once you have logged in, you will be brought to the Account home page.

From the Account Home page, click the **Start (New Audit)** button to begin a new Single Audit Submission

Federal Audit Clearinghouse
Internet Data Entry System

Account Tools Sign Out

Account Home

NOTICE: DISABLED BUTTONS INDICATE THERE ARE NO REPORTS AVAILABLE

Continue/Certify work on a single audit that was started but not submitted to the Federal Audit Clearinghouse.

- Certify, Finish, Submit, and Upload Single Audit.
- Enter and exit the single audit report at any time and as many times as necessary to complete the submission.

View information on a previously submitted single audit.

- Archive copies of previously submitted form SF-SACs or reporting packages.

Start a new single audit submission.

- Each Report ID corresponds to one single audit.
- Start a new report for each fiscal period.

Revise information on a previously submitted single audit.

- Change information on a previously submitted form SF-SAC or upload a revised reporting package.

[Instructions and Documents](#) | [FAQs](#) | [Resources](#) | [Federal Agency Contacts](#)

If you need assistance, please contact the Federal Audit Clearinghouse (FAC) via [e-mail](#) or call 1-800-253-0898.

The Submission Access page allows you to enter the email addresses of anyone who needs access to the submission. Please ensure that you enter your own email address on this page so that you will be able to view/edit the submission.

The screenshot shows the 'Submission Access' page of the Federal Audit Clearinghouse. At the top, there is a header with the logo (a house with a checkmark) and the text 'Federal Audit Clearinghouse' and 'Internet Data Entry System'. An American flag is visible in the background on the right. A 'Sign Out' button is in the top right corner. Below the header is a dark blue bar with the text 'Submission Access'. A link '[Back to Account Home]' is centered below the bar. The main content area contains instructions: 'In the section below, list anyone who needs access to the submission. You can make changes later by using the Account Tools option on the Account Home page.' There are four sections for adding users, each with a title and a description in brackets. Each section has three input fields: 'Name: (First and Last) *', 'E-mail: [] *', and 'Confirm E-mail: [] *'. The sections are: 1. 'Auditee Certifying Official: [This individual will electronically certify (sign) the single audit submission on behalf of the auditee]'. 2. 'Auditee Contact: [These individuals will have access to the single audit submission, but will not have the ability to certify the submission]'. 3. 'Auditor Certifying Official: [This individual will electronically certify (sign) the single audit submission on behalf of the auditing firm]'. 4. 'Auditor Contact: [These individuals will have access to the single audit submission, but will not have the ability to certify the submission]'. Each section has an 'Add More' link below it. At the bottom left, there is a legend: '* = Required Field'.

Federal Audit Clearinghouse
Internet Data Entry System

Sign Out

Submission Access

[\[Back to Account Home \]](#)

In the section below, list anyone who needs access to the submission. You can make changes later by using the **Account Tools** option on the *Account Home* page.

Auditee Certifying Official: *[This individual will electronically certify (sign) the single audit submission on behalf of the auditee]*

Name: * E-mail: * Confirm E-mail: *

Auditee Contact: *[These individuals will have access to the single audit submission, but will not have the ability to certify the submission]*

Name: E-mail: Confirm E-mail:

[Add More](#)

Auditor Certifying Official: *[This individual will electronically certify (sign) the single audit submission on behalf of the auditing firm]*

Name: * E-mail: * Confirm E-mail: *

Auditor Contact: *[These individuals will have access to the single audit submission, but will not have the ability to certify the submission]*

Name: E-mail: Confirm E-mail:

[Add More](#)

* = Required Field

To upload the SEFA Template, you will first need to access the Federal Awards portion of the SF-SAC.

Federal Audit Clearinghouse
Internet Data Entry System

Report Home
[\[Back to Account Home \]](#)

PILOT PARTICIPANT NAME, 2016 Type of Entity: Local government (Edit/Update) Report ID: 637696 Ver Uniform Guidance

Audit Form
Unlock Finalized Form SF-SAC
View/Print Form SF-SAC

Audit Report (PDF)
 Report Access
 Help

This page allows you to view submission status, as well as, complete submission of this single audit report.

	Completion	Completion Date/Time	Completed By (E-mail Address)
STEP 1. Enter and Finalize Form SF-SAC	✗		
STEP 2. Upload and Finalize Audit Report	✗		
STEP 3a. Auditee Certification	✗		
STEP 3b. Auditor Certification	✗		
STEP 4. Submit to FAC for Processing	✗		

Click the **STEP 1. Enter and Finalize Form SF-SAC** button to open the Federal Awards portion of the form.

After selecting **STEP 1: Enter and Finalize Form SF-SAC**, you will automatically be brought to the General Info page. To upload the SEFA, you will need to select the **Federal Awards** tab.

Federal Audit Clearinghouse
Internet Data Entry System

Sign Out

Submission Form - Federal Awards

[Back to Report Home](#)

General Info **Federal Awards** Audit Info Notes to SEFA Federal Awards Audit Findings Additional EINs Additional DUNS Secondary Auditors Finalize

PART II. FEDERAL AWARDS Report ID: 637693 Version: 1 Form Type: Uniform Guidance

[Hide/Show Instructions](#)

Option 1: Enter federal awards one at a time Option 2: Add multiple federal awards using worksheet

Click Enter Federal Award button.

1. Download Worksheet by clicking the Download Federal Awards Worksheet button.
2. Complete Worksheet and save on your computer.
3. Upload Worksheet by clicking the Upload Federal Awards Worksheet button.

Enter Federal Award Download Federal Awards Worksheet Upload Federal Awards Worksheet

Select the **Federal Awards** tab to access the upload page

Once you have accessed the **Federal Awards** tab, you will now be able to upload the SEFA Template by selecting the **Upload Federal Awards Worksheet** button.

Federal Audit Clearinghouse
Internet Data Entry System

Sign Out

Submission Form - Federal Awards

[\[Back to Report Home \]](#)

General Info **Federal Awards** Audit Info Notes to SEFA Federal Awards Audit Findings Additional EINs Additional DUNS Seconda

PART II. FEDERAL AWARDS Report ID: 637693 Version: 1 Form Ty

[\[Hide/Show Instructions \]](#)

Option 1: Enter federal awards one at a time Option 2: Add multiple federal awards using worksheet

1. Click Enter Federal Award button.

1. Download Worksheet by clicking the Download Federal Awards Worksheet button.
2. Complete Worksheet and save on your computer.
3. Upload Worksheet by clicking the Upload Federal Awards Worksheet button.

Enter Federal Award Download Federal Awards Worksheet Upload Federal Awards Worksheet

Click on the **Upload Federal Awards Worksheet** button to enter the upload page

To upload the SEFA Template, you will need to locate it on your local drive first using the **Browse...** option. Once you have selected the SEFA Template to be uploaded, you can proceed to upload by clicking the **Upload Federal Awards Worksheet** button.

The screenshot shows the 'Submission Form - Federal Awards Upload' page. At the top, there is a header for the 'Federal Audit Clearinghouse Internet Data Entry System' with a 'Sign Out' link. Below the header, the page title is 'Submission Form - Federal Awards Upload'. The main content area is titled 'Upload Federal Awards Worksheet'. It contains a text box for 'Enter Filename:' followed by a 'Browse...' button. Below this, there are two buttons: 'Back' and 'Upload Federal Awards Worksheet'. A 'Sign Out' button is also visible in the top right corner of the page.

First locate the saved SEFA Template using the **Browse...** option

Once the file has been selected, proceed to uploading by selecting the **Upload Federal Awards Worksheet** button

In order for the SEFA Template to upload correctly, all fields must have the correct information. There are system checks in place to ensure the Template uploads correctly. If your Template has errors, the system will prompt you with the respective errors. Once these errors are addressed, you can upload the document.

Submission Form - Federal Awards Upload

Upload Federal Awards Worksheet Report ID: 637693 Version: 1

Use the **Browse** button to select a file from your local disk drive. When you click the **Upload Federal Awards Worksheet** button, your browser will transmit the file to our web server.

Enter Filename:

✖ YOUR UPLOAD CONTAINS ERRORS. CORRECT THE ERRORS SHOWN AND UPLOAD THE CORRECTED FILE.

- ROW 17: FIELD 'THE CFDA THREE DIGIT EXTENSION': THE CFDA THREE DIGIT EXTENSION MUST BE THREE DIGITS OR U FOLLOWED BY TWO DIGITS, OR RD
- ROW 17: FIELD 'FEDERAL PROGRAM NAME': FEDERAL PROGRAM NAME IS REQUIRED, IT MAY NOT BE BLANK.
- ROW 17: FIELD 'PASSED-THROUGH ENTITY NAMES AND IDS': PASSED-THROUGH ENTITY NAMES AND IDS MUST HAVE THE SAME NUMBER OF ENTRIES, SEPERATED BY A 'J'. MISSING ID FOR NAME [OTHER DEPARTMENT OF LABOR PROGRAMS].
- ROW 28: FIELD 'PASSED-THROUGH ENTITY NAMES AND IDS': AT LEAST ONE (AND NO MORE THAN TEN) PASSED-THROUGH ENTITY NAMES AND IDS MUST BE LISTED IF DIRECT AWARD IS 'N'.
- ROW 30: FIELD 'PASSED-THROUGH ENTITY NAMES AND IDS': AT LEAST ONE (AND NO MORE THAN TEN) PASSED-THROUGH ENTITY NAMES AND IDS MUST BE LISTED IF DIRECT AWARD IS 'N'.
- ROW 36: FIELD 'PASSED-THROUGH ENTITY NAMES AND IDS': AT LEAST ONE (AND NO MORE THAN TEN) PASSED-THROUGH ENTITY NAMES AND IDS MUST BE LISTED IF DIRECT AWARD IS 'N'.
- ROW 47: FIELD 'LOAN / LOAN GUARANTEE': YOU MAY ONLY ENTER A 'Y' OR A 'N' FOR FIELD 'LOAN / LOAN GUARANTEE'.
- ROW 48: FIELD 'LOAN / LOAN GUARANTEE': YOU MAY ONLY ENTER A 'Y' OR A 'N' FOR FIELD 'LOAN / LOAN GUARANTEE'.
- ROW 49: FIELD 'LOAN / LOAN GUARANTEE': YOU MAY ONLY ENTER A 'Y' OR A 'N' FOR FIELD 'LOAN / LOAN GUARANTEE'.
- ROW 50: FIELD 'LOAN / LOAN GUARANTEE': YOU MAY ONLY ENTER A 'Y' OR A 'N' FOR FIELD 'LOAN / LOAN GUARANTEE'.
- ROW 51: FIELD 'LOAN / LOAN GUARANTEE': YOU MAY ONLY ENTER A 'Y' OR A 'N' FOR FIELD 'LOAN / LOAN GUARANTEE'.
- ROW 52: FIELD 'LOAN / LOAN GUARANTEE': YOU MAY ONLY ENTER A 'Y' OR A 'N' FOR FIELD 'LOAN / LOAN GUARANTEE'.

Appendix: Successful Upload

After the SEFA Template has been successfully uploaded, you will see all the respective data displayed at the bottom of the page. At this point, the Federal Awards portion of the SF-SAC will be complete.

Federal Awarding Agency Prefix	CFDA Three Digit Extension	Federal Program Name	Amount Expended	Cluster Name	Federal Program Total	Cluster Total	
11	013	EDUCATION QUALITY AWARD AMBASSADORSHIP	\$13,578	RESEARCH AND DEVELOPMENT	\$13,578	\$30,013,777	Edit/View
11	609	MEASUREMENT AND ENGINEERING RESEARCH AND STANDARDS	\$8,602	RESEARCH AND DEVELOPMENT	\$90,825	\$30,013,777	Edit/View
11	609	MEASUREMENT AND ENGINEERING RESEARCH AND STANDARDS	\$82,223	RESEARCH AND DEVELOPMENT	\$90,825	\$30,013,777	Edit/View
11	420	COASTAL ZONE MANAGEMENT ESTUARINE RESEARCH RESERVES	\$7,524	RESEARCH AND DEVELOPMENT	\$7,524	\$30,013,777	Edit/View
11	478	CENTER FOR SPONSORED COASTAL OCEAN RESEARCH COASTAL OCEAN PROGRAM	\$12,828	RESEARCH AND DEVELOPMENT	\$12,828	\$30,013,777	Edit/View
19	300	PROGRAM FOR STUDY OF EASTERN EUROPE AND THE INDEPENDENT STATES OF TH...	\$9,379	RESEARCH AND DEVELOPMENT	\$9,379	\$30,013,777	Edit/View



An additional feature of the Concept Form SF-SAC is the option to input the Notes to SEFA as required by the Uniform Grant Guidance 2 CFR §200.510 directly into the SF-SAC.

Submission Form - Notes to SEFA

[\[Back to Report Home\]](#)

General Info | Audit Info | Federal Awards | **Notes to SEFA** | Federal Awards Audit Findings | Additional EINs | Additional DUNS | Secondary

Save

Part II: FEDERAL AWARDS - Continued Report ID: 627693 Version: 1 Form Type: Uniform Guidance

2. Notes to the Schedule of Expenditures of Federal Awards (SEFA)

Note 1: Describe the significant accounting policies used in preparing the SEFA (2 CFR 200.510(b)(6)).

Testing Environment

3981 characters remaining

Note 2: Did the auditee elect to use the 10% de minimis cost rate (2 CFR 200.414(f))?

Yes, the auditee elected to use the 10% de minimis cost rate as covered in 2 CFR 200.414 Indirect (F&A) cost.

No, the auditee did not elected to use the 10% de minimis cost rate as covered in 2 CFR 200.414 Indirect (F&A) cost.

Other. Please explain.

Select the **Notes to SEFA** button to access the Notes to SEFA page

After you have completed Note 1. and Note 2., click **Save** to complete this page

To export the SEFA for the Audit Report, you will need to select the **View/Print SEFA & Notes** button from the dropdown Audit/SEFA Reports menu located on the Report Home page.

The screenshot shows the 'Report Home' page with a dark blue header. Below the header is a navigation bar with a link '[Back to Account Home]'. A status bar displays 'PILOT PARTICIPANT 19, 2016', 'Type of Entity: Non-profit (Edit/Update)', 'Report ID: 637693', 'Version: 1', and 'Form Type: Uniform Guidance'. On the left, there is a sidebar with several menu items: 'Audit Form', 'Audit/SEFA Reports', 'Report Access', and 'Help'. The 'Audit/SEFA Reports' menu is expanded, showing options: 'Re-Upload Audit Report', 'View/Print Audit Report', and 'View/Print SEFA & Notes'. The 'View/Print SEFA & Notes' option is highlighted. To the right of the sidebar is a table with columns 'Completion Status', 'Completion Date/Time', and 'Completed By (E-mail Address)'. The table contains several rows, each with a red 'X' icon in the 'Completion Status' column. A callout box points to the 'View/Print SEFA & Notes' option.

	Completion Status	Completion Date/Time	Completed By (E-mail Address)
STEP 1. Enter and Finalize Form SF-SAC	X		
STEP 2. Re-upload and Finalize Audit Report	X		
STEP 3a. Auditee Certification	X		
STEP 3b. Auditor Certificat			

From the Audit/SEFA Reports drop down menu, select the **View/Print SEFA & Notes**