

STATE OF NEW JERSEY • DEPARTMENT OF COMMUNITY AFFAIRS

SUBJECT: Sandy Integrated Recovery Operations and Management System – SIROMS Program Requirements and Procedure for Invoice Approval and Processing

NUMBER: 2.10.33

EFFECTIVE: September 19, 2013

GRANTS ADMINISTRATION

Page 1 of 4

APPROVAL:



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POLICY:

The CDBG-DR allocation (Federal Register Notice, March 5, 2013) administered by the Department of Community Affairs, as grantee, requires the establishment of a system for fiscal administration of the grant and programmatic tracking of activities funded with the CDBG-DR appropriation. To carry out this mandate, the Sandy Integrated Recovery Operations and Management System – SIROMS has been created. All CDBG-DR funded programs are required to use this system for submission of invoices, documentation, and performance reports.

Division management, subrecipients, and all SIROMS users will comply with:

- SIROMS operational requirements,
 - Fiscal requirements established by the Director of the Sandy Recovery Division.
 - Division practices promulgated to promote internal control and efficacious grant administration,
 - NJ Treasury Circular Letter 07-05-OMB,
 - Programmatic, financial, administrative and reporting requirements of funding sources, including entry into DRGR,
 - Federal OMB Circulars pertaining to Cost Principles, Uniform Administrative Requirements, and Financial Audits,
 - Department Administrative Procedures Manual Policies and Procedures,
 - All other laws, rules, and regulations applicable to the administration of grant funds, and cross-cutting Federal requirements.
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SUBJECT: SIROMS Program Requirements and Procedure for Invoice Approval and Processing

NUMBER: 2.10.33

EFFECTIVE: September 19, 2013

GRANTS ADMINISTRATION

Page 2 of 4

SIROMS Overview:

Sandy Integrated Recovery Operations and Management System – SIROMS is designed to meet the following objectives:

- Support NJDCA and its partners in the implementation of the Action Plan and program delivery.
- Assist the State in delivering disaster relief services in a flexible, scalable, and efficient manner.
- Provide management and oversight capability to the State over the programs being implemented as part of the Action Plan.
- Provide a shared technology infrastructure, software, IT and financial services support the State in its disaster recovery operations.
- Facilitate compliance with State and Federal regulations (CDBG-DR).

To achieve these objectives the system consists of the following program delivery support functions:

- Supports collaboration between DCA and its partners with program documentation, training materials, notifications, and financial support services.
- Automates the fund request process for faster processing through the Funds Request Module.
- Facilitates DRGR data entry and establishes standardized reporting for each program, including the DRGR module, reporting module, Quarterly Performance Reporting module, and the data warehouse.
- Helps DCA and its partners to monitor and meet the national objectives and goals of the program.
- Supports forecasting and budgeting processes in accordance with the Action Plan.
- Supports the Governor's Transparency Reporting Objectives.
- Supports programmatic and fiscal management.
- Supports program delivery through intake and eligibility process management.
- Provides for ongoing compliance and monitoring functions and auditing services.

SUBJECT: SIROMS Program Requirements and Procedure for Invoice Approval and Processing

NUMBER: 2.10.33

EFFECTIVE: September 19, 2013

GRANTS ADMINISTRATION

Page 3 of 4

PROCEDURE:

Funding is available to support the CDBG-DR recovery efforts at the point in time that a grant agreement is executed with the U.S. Department of Housing and Urban Development and the Director of the Sandy Recovery Division and DCA Office of Fiscal Services certify that the funding has been established in the New Jersey Comprehensive Financial System in a status available for encumbrance. Available funding streams, established on the NJCFS system, are allocated to one or more SIROMS system grant programs by the Sandy Recovery Division and the DCA Office of Fiscal Services.

Programs are established in SIROMS in consultation with, and with the prior approval of, the staffs of both the Sandy Recovery Division and the Information Technology Unit. The establishment of new grant programs in SIROMS is triggered by the appropriation or other receipt of funds identified by the Director of the Sandy Recovery Division, and the execution of appropriate grant agreements and/or Memoranda of Understanding with subrecipients and contractors. The Director of the Sandy Recovery Division will call for the establishment of a new program in the SIROMS system to manage and administer the award funds, and Division's Assistant Program Directors (Housing and Recovery Programs) will respond to this call for program information by initiating contact with IT SIROMS staff to provide program requirements and start-up information. Simultaneously, the Office of Fiscal Services will mirror the NJCFS account in the SIROMS system; making the new program's initial allotment of funds available to support the newly created SIROMS grant program.

The establishment of a new grant program in SIROMS will set program-wide parameters concerning the programmatic and fiscal requirements of the grant program. Fiscal constraints concerning limitations on the time period allowed by the funding source or State policy for commitment to projects, encumbrance of funds, expenditure of funds, reporting of expenditures and deadlines for final account fiscal transactions are enforced by business logic embedded in the SIROMS system. Similar constraints of a programmatic nature, such as the authorization for access to the system, authorization for data entry into the system, types of entities, who can apply for funding, and potential program beneficiaries, are also established at the time of SIROMS grant program initialization.

Funding Request Process:

The process for submitting a fund request through SIROMS is as follows:

SUBJECT: SIROMS Program Requirements and Procedure for Invoice Approval and Processing

NUMBER: 2.10.33

EFFECTIVE: September 19, 2013

GRANTS ADMINISTRATION

Page 4 of 4

1. Program originator logs on to SIROMS Funds Request Module.
2. Program Originator [agency/program] must submit funds request form.
3. Program Approver provides first level approval.
4. DCA SRD Approvers (Policy and Fiscal) provide second level approval.
5. DCA SRD Policy Approvers must approve form.
6. DCA SRD Fiscal Approvers must approve form.
7. DCA Accountability Officer reviews at the third level.
8. DCA Fiscal Approver publishes Fiscal Transfer and the funds request is generated.

The Funds Request Module contains an on line form that allows the Originator to directly enter the information required for funding requests, along with any necessary attachments. Once submitted into the system, SIROMS tracks the status of the request, providing the Approver with a "To Do List" site that alerts the Approver to the presence of a request in the system. The system also enables the Approver to view the Status and History of any request. Once reviewed, the system allows the Approver to electronically sign the approval form.

After the Program Approver approves the submission it is moved to the "To Do List" for the SRD Policy Approver (Assistant Director for Housing or Recovery Programs) and the SRD Financial Approver. These two individuals review the request and have the ability to either approve the request (with electronic signature) or return the request for additional data.

After both the Policy Approver and SRD Fiscal Approver approve the request, it moves to the "To Do List" of the DCA Accountability Officer. The Accountability Officer reviews and either approves (via electronic signature) or returns the form to the SRD Policy or Fiscal Approver.

Once approved by the DCA Accountability Officer, the funding request moves to the "To Do List" of DCA Fiscal. DCA Fiscal reviews the request and completes the Fund Request Form transfer process.
