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**U.S. Department of Commerce  
National Telecommunications and Information Administration**

# **American Recovery & Reinvestment Act of 2009 (ARRA) Reporting Webinar**

## **Broadband Technology Opportunities Program (BTOP)**

Washington, DC  
July 2010



Made Possible by the Broadband Technology Opportunities Program

Funded by the American Recovery and Reinvestment Act of 2009





# Webinar Agenda

- American Recovery & Reinvestment Act (ARRA) Reporting Overview
- ARRA Reporting Timeline
- ARRA Reporting Steps for 2010 Quarter 2 Reporting:
  - FederalReporting.gov Registration
  - Days 1-14: Initial Submission
  - Days 15-20: Late Submission
  - Days 21-22: Recipient Review
  - Days 23-29: Agency Review
  - Day 30: Report Publication
  - Day 33-75: Continual Review
- Helpful Resources
- Question & Answer





## ARRA Reporting Overview

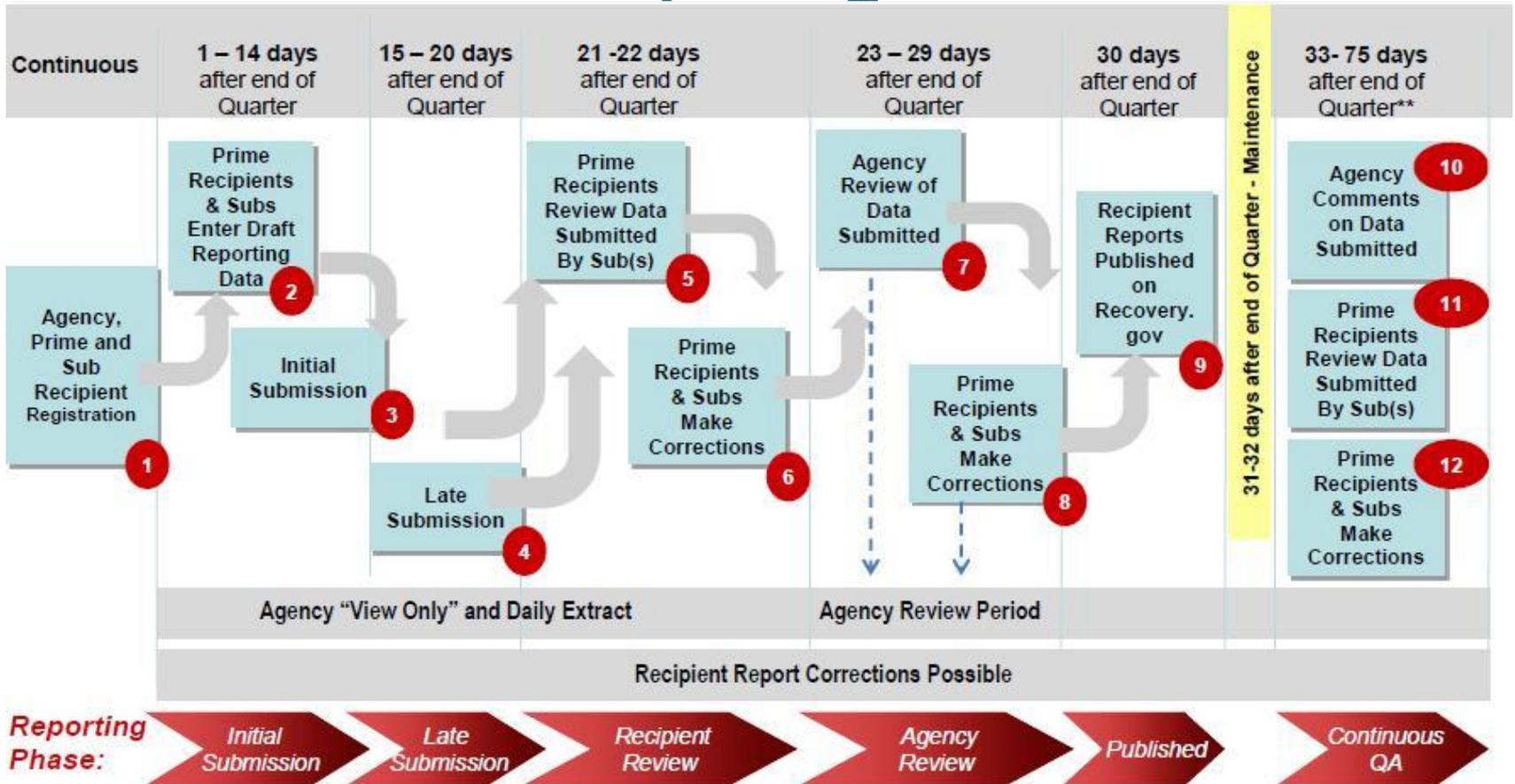
- The American Recovery and Reinvestment Act of 2009 (ARRA), a \$787 billion stimulus package designed to renew sustainable long-term economic growth, provides BTOP funding and places specific reporting requirements on all BTOP award recipients
- Over the first 30 days of each calendar quarter, BTOP recipients are required to draft, review, edit and submit a report on a variety of indicators through the FederalReporting.gov website
- ARRA requires grant recipient to report on metrics on a wide range of data elements and jobs created or retained by their projects
- Recipients must provide accurate and precise data, and be ready to justify their metrics and inputs, while Federal Agencies must provide program oversight to verify and validate data quality

The data reported by BTOP recipients through FederalReporting.gov will available to all citizens via the Recovery.gov website, ensuring transparency and accountability for the use of ARRA funds



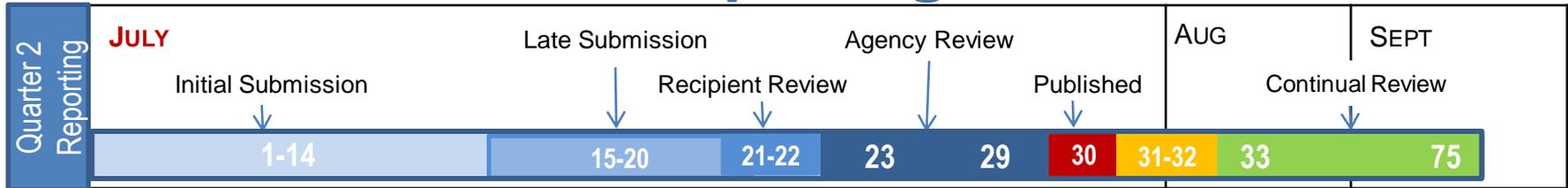


# ARRA Reporting Timeline





## ARRA Reporting Timeline



- BTOP award recipients have to meet federal reporting requirements each calendar quarter (The above graphic provides the timeline for the 2010 Quarter 2 federal reporting)

Quarter 1	January 1 – March 31	Quarter 3	July 1 – September 30
Quarter 2	April 1 – June 30	Quarter 4	October 31 – December 31

- While reports will be published 30 days after the end of the reporting quarter, the number of days in each reporting and review phase may change from quarter to quarter
- Please check <http://www.federalreporting.gov> at the beginning of each quarter for the timeline and updated guidelines for that quarter's reporting





**Preliminary  
Step**

## FederalReporting.gov Registration

- BTOP prime recipients (and subrecipients, if the prime elects to delegate reporting) will use the FederalReporting.gov to submit their ARRA reports and access helpful information on ARRA reporting (e.g., templates, user guides, webinars, etc.)
- If you are not enrolled in **CCR**, you must enroll before you can complete your FederalReporting.gov registration (go to <https://www.bpn.gov/ccr/default.aspx> to enroll in CCR)
  - It will take several days before the CCR registration syncs up with FederalReporting.gov to allow you to register online, so keep checking back to see when the system lets you register.
- The DUNS number must match the DUNS included in your BTOP application and your CCR registration
- You will receive an e-mail confirming that your registration is complete – please email a copy of the confirmation email to your Federal Program Officer and your Grant Specialist
- Once registered, please call 877-508-7386 to request a copy of your FederalReporting.gov Personal Identification Number (FRPIN), which you will need to submit a report to FederalReporting.gov

***Check the BTOP Recipient Handbook for detailed instructions for FederalReporting.gov registration!***





Saturday, July 10, 2010 Text A<sup>+</sup> A<sup>-</sup> A



# FederalReporting.gov

Home | About | **Downloads** | FAQ | Help

**Log In**

User ID

Password

**Login**

[I forgot my password](#)

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**Not Registered?**

**Register Now**

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**Download Templates**

**Microsoft Excel**

**XML Schema**

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**LIVE HELP**

Click Here To Chat

**Send**

**Initial Submission Phase Ends In**

<b>4</b>	<b>11</b>	<b>38</b>	<b>20</b>
Days	Hours	Minutes	Seconds

**Messages**

- Changing your Address in CCR:**

If your organization changes its Point of Contact information in the Central Contractor Registration (CCR), **you must allow 48 hours for the change to propagate to FederalReporting.gov.** Be sure to make these changes 2 days prior to reporting. The FederalReporting.gov Point of Contact (POC) and address information is taken directly from CCR. When FederalReporting.gov receives the change from CCR, we'll email the FRPIN and temporary password to the POC User.
- When to mark your report "FINAL":**

When you mark your report "final," you are saying that all work is completed and you will not be reporting in the next reporting cycle.
- NEW ALERTS TO COPY FORWARD OR LINK REPORTS!**

You will receive a recommendation to Copy Forward or Link a Report if you use an Award Number that is similar (or identical) to a report submitted in the previous reporting cycle. For more information, please see Chapter 10 of the [User Guide](#).
- Report Linking is Here!**

Link a July 2010 report to an April 2010 report with the new linking function. You can also unlink a July 2010 report from an April 2010 report. See Chapter 10 of the [User Guide](#) for details.
- Attention Agency Users –**

You can now view recipient reports during the Initial Submission Phase as soon as they are submitted.

Click Here to Start Registration

Visit Here For Reporting Templates, Webinars, Quick Reference Guides, Etc.

Note the time remaining before the ARRA submission are due!

Click Here to Download Reporting Templates





## Days 1-14

## Initial Submission: Overview

- Prime recipients and first-tier subrecipients have **14 calendar days** to make their official submission on FederalReporting.gov.
  - **Prime Recipient:** non-Federal entity that receives ARRA funding as Federal awards; responsible for reporting of all data required by ARRA Section 1512; likely the primary applicant for the BTOP award; responsible for their and subrecipient reporting quality.
  - **Subrecipient:** non-Federal entity awarded ARRA funding through a legal instrument from a Prime Recipient; receive a grant from the Prime to support performance of any portion of the ARRA-funded project.
- If a prime recipient delegates reporting responsibilities to their subrecipient, the subrecipient will also need to register and report.
- The report is in “**Draft Status**” which allows a user to continue to enter data prior to submission.
- Reports uploaded via batch, Excel, or XML are “Submitted” when uploaded, but recipients reporting online must click “Submit” on their saved reports.
- Approved federal agency users can view “Submitted” versions of recipient reports beginning on Day 1 after the end of the quarter.





**Days 1-14**

**Initial Submission: Sub-Recipient vs. Vendor**

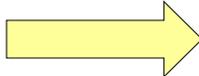
	Sub-Recipient	Vendor
Function	<ul style="list-style-type: none"><li>• Alternate commonly used terms: Subawardee, Subgrantee, Partner.</li><li>• Involved in the substantive activities of the project.</li><li>• Use their activities <i>directly</i> execute the mission.</li><li>• Perform substantive work on an award project.</li><li>• Subject to the same terms and conditions of the grant award as the primary recipient.</li></ul>	<ul style="list-style-type: none"><li>• Alternate commonly used terms: Contractor, Partner</li><li>• Provide products or services that <i>indirectly</i> support the mission.</li><li>• Does not perform substantive work on the project, but rather, provides goods or services to directly benefit the recipient.</li></ul>
Purpose	<ul style="list-style-type: none"><li>• Seeks to accomplish public benefit by meeting BTOP grant program purposes.</li></ul>	<ul style="list-style-type: none"><li>• Does not seek to accomplish a public benefit.</li></ul>
ARRA Reporting	<ul style="list-style-type: none"><li>• Prime recipient may delegate ARRA reporting to the subrecipient.</li></ul>	<ul style="list-style-type: none"><li>• Prime recipient cannot delegate ARRA reporting to the vendor.</li></ul>
CCR	<ul style="list-style-type: none"><li>• Do not need to register on CCR, regardless of whether the subrecipient is reporting directly or the prime recipient is reporting on the subrecipient's behalf.</li></ul>	<ul style="list-style-type: none"><li>• Do not need to register on CCR.</li></ul>
DUNS	Each entity (except individuals) who receives ARRA funds directly or indirectly should have a DUNS number.	





## Days 1-14

# Initial Submission: Reporting Templates

- There are three ways in which recipients and subrecipients can enter their reporting data:
  - Fill out & upload an Excel report template 
  - Submit directly through the Web browser to FederalReporting.gov
  - Submit a properly formatted Extensible Markup Language (XML) file for report submission
- The Excel and XML templates can be found in on [www.federalreporting.gov/](http://www.federalreporting.gov/)
- Saving report drafts:
  - Recipients creating reports online can save draft versions of their reports at FederalReporting.gov.
  - Recipients using the Excel spreadsheet or XML options will save draft versions on their own computers or workstations.

Recipient Report: Grant or Loan		Version: 1.6
<b>Prime Recipient</b>		
<b>Reporting Information</b>		
Award Type*	Award Number*	Final Report*
<b>Award Recipient Information</b>		
Recipient DUNS Number*	Recipient Account Number	Recipient Congressional District*
<b>Award Information</b>		
Funding Agency Code*	Awarding Agency Code*	Award Date*
Amount of Award*	CFDA Number*	
Program Source (TAS)*	Sub Account Number for Program Source (TAS)	
Total Number of Sub Awards to Individuals*	Total Amount of Sub Awards to Individuals*	
Total Number of Payments to Vendors less than \$25,000 award*	Total Amount of Payments to Vendors less than \$25,000 award*	
Total Number of Sub Awards less than \$25,000 award*	Total Amount of Sub Awards less than \$25,000 award*	
Award Description*		





## Days 1-14

## Initial Submission: Data Reporting Responsibilities

- Prime recipients can report for themselves *and* their subrecipients, or they can delegate reporting to the subrecipients
  - It is the prime recipient's responsibility to notify the Grants Office when a delegation is made to the subrecipient
- If the prime recipient chooses to delegate reporting responsibilities, they will have an opportunity during Days 21-22 of the reporting cycle to review subrecipient's data; subs will make any required corrections during this phase as well





## Days 1-14

## Initial Submission: Data Reporting Responsibilities

- Both recipients and first-tier subrecipients must establish internal controls, and a system of checks and balance to ensure accuracy, completeness and timely reporting
- Both recipients and first-tier subrecipients initiate their own data collection and reporting procedures to ensure reporting requirements are met
- Both recipients and first-tier subrecipients implement data quality and internal control mechanisms to ensure complete and accurate information

**The prime recipient is ultimately responsible for ensuring that all their subrecipients understand and comply with their reporting responsibilities**





**Days 1-14**

## **Initial Submission:** Basic Data for Prime Recipient Reporting

- Federal Funding Agency Name
- Recipient DUNS
- Recipient CCR Information
- Recipient account number
- Award type, date, description, and amount
- Infrastructure expenditures and rationale, if applicable
- Recipient officer names and compensation (Top 5)
- Activity Code & Description
- Job creation narrative and number
- Award Identification
- Parent DUNS
- CFDA number, if applicable
- Project/grant period
- Amount of Federal Recovery Act funds expended to projects/activities
- Recipient primary place of performance
- Total Number & Amount of Small Sub-Awards, less than \$25,000
- Project Description & Status

**For Detailed Data Elements & Descriptions:** Recipient Reporting Data Model V3.0,  
[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21-supp2.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21-supp2.pdf)

Made Possible by the Broadband Technology Opportunities Program





**Days 1-14**

**Initial Submission: Data for Subrecipient & Vendor Reporting**

**Sub-Recipient**

- Sub-recipient DUNS
- Sub-Recipient Type
- Amount Awarded to Sub-Recipient
- Sub-Award Period
- Sub-Recipient Area of Benefit
- DUNS or Name and Zip Code of Headquarters (HQ)
- Sub-recipient CCR Information
- Amount Received by Sub-Recipient
- Sub-award date
- Sub-Recipient Place of Performance
- Sub-recipient officer names and compensation (Top 5)
- Expenditure Amount

**Sub-Recipient Vendor**

- DUNS or Name and Zip Code of HQ

**Recipient Vendor**

- Expenditure Description





**Days 1-14**

**Initial Submission: ARRA Cover Sheet Information**

- Department of Commerce requires that all BTOP grantees receive an **ARRA Reporting Cover Sheet** with the codes needed for ARRA reporting
- Grants Offices provide these cover sheets to grantees as part of the award package materials

<b>Non-Infrastructure Awards</b> (Public Computer Center & Sustainable Broadband Adoption)	<b>Infrastructure Awards</b>
Funding Agency Code: <b>1335</b> Awarding Agency Code: <b>1341</b> Catalogue of Federal Domestic Assistance (CFDA) Number: <b>11.557</b> Program Source (TAS) Code: <b>13-0554</b> NTEE-NPC Activity Code: <b>W01</b>	Funding Agency Code: <b>1335</b> Awarding Agency Code: <b>1330</b> Catalogue of Federal Domestic Assistance (CFDA) Number: <b>11.557</b> Program Source (TAS) Code: <b>13-0554</b> NAICS Code: <b>237130</b>





## Days 1-14

## Initial Submission: Calculating Job Creation Estimate

- Job creation or retention is reported on the quarterly, not cumulative, basis--so the recipient will need the total number of hours worked by employees in the quarter being reported
  - Only FTE hours incurred during the quarter but *after* the award date can be counted in the FTE calculations .
- The hours worked must be for jobs that meet the definition of a job created or a job retained
  - A **job created** is a new position created and filled, or an existing unfilled position that is filled, that is funded by the Recovery Act
  - A **job retained** is an existing position that is now funded by the Recovery Act.
  - A job must be counted as either **job created** or **job retained**; it cannot be counted as both.
  - Recipients should report only those jobs directly related to the project and paid with ARRA funds, **not** jobs paid from matching funds or from other sources.
- Subrecipients do not report on jobs created or retained; these figures are reported only by the recipient.





## Days 1-14

## Initial Submission: Calculating Job Creation Estimate

- The recipient will need the number of hours in a full-time schedule for the quarter to make the calculation

$$\frac{\text{Total Number of Hours Worked and Funded by ARRA within Reporting Quarter}}{\text{Quarterly Hours in a Full-Time Schedule (e.g., 13 weeks x 40 hrs/week, or 520 hours)}} = \text{FTE}$$

- FTE calculations cannot be rounded to the closest whole number (e.g., an FTE calculation of 0.67 FTEs cannot be rounded up to 1.0 FTEs; it should be reported as 0.67 FTEs)
- The “Description of the Jobs Created” narrative provides more information on jobs creation
  - Please ensure that a reader can easily correlate the number of FTEs reported and the narrative





## Days 1-14

## Initial Submission: Important Reminders

- If a user has entered his/her report in as “draft” in the online form, the user **MUST** take the action to submit the report as “Initial Submission” by the end of the 14<sup>th</sup> calendar day

**Failure to submit the report as Initial Submission within FederalReporting.gov by the end of the 14th day of the reporting period equates to non-compliance**

- If you are a prime recipient choosing to delegate reporting to subrecipients, you should contact the subrecipient outside of FederalReporting.gov and in sufficient time for the subrecipient to register and report
- If you are a prime recipient choosing to enter subrecipient data, please ensure that you accurately enter all subrecipient DUNS numbers in your reports; inaccurate DUNS numbers could lead to reporting inaccuracies or validation errors





## Days 1-14

## Initial Submission: Copy Forward Function

### For BTOP recipients who are submitting their 2<sup>nd</sup> or 3<sup>rd</sup> report on July 14, 2010:

- Recipients will need to use the “Copy Forward” function to link their current quarterly report to the last quarter report so all the information is tracked through the reporting cycles until the project is completed.
  - If a report on an award from one reporting cycle is not linked to a report on that same award in the current reporting cycle, the reports can appear as if they are duplicates when the data is displayed on Recovery.gov.
- If you attempt to submit a new report with an Award Number and/or DUNS number similar to a report submitted in the previous quarter, you may receive an email recommending that you link the reports. Step-by-step instructions for the linking reports will be in the email.
- The “copying forward” has to happen when your current report is in the “Initial Submission” stage

**For step-by-step instructions on how to implement the “Copy Forward” function, please go to <http://www.federalreporting.gov>, click on the *Downloads* tab, and scroll down until you see the link to a PDF for *Chapter 10: Copy Forward and Copy Functions of the User Guide*.**





## Days 15-20

## Recipient Submission – Marked as Late

- Recipient are allowed to submit reports late this reporting period; HOWEVER, if a recipient submits the report during the Late Submission time period:
  - The report will be accepted this quarter, but it will be marked “Late”.
  - Recipient will be asked to provide a reason why they could not report earlier.
- DOC will note of the late submission, and refer to it, as necessary, in any future determinations regarding monitoring levels and possible enforcement actions





## Days 21-22

## Recipient Review: Overview

- During days 21-22, recipient should review their reports and their subrecipients' reports to ensure that the data was uploaded
- During this phase, recipients and subrecipients can make corrections to the submitted data
- The prime recipients and subrecipients can comment on reports during this two-day period
  - The prime recipient has to be the first to comment on a report; only then can a subrecipient respond
  - Each report will have a status noting either “No Comments by Prime” or “Comments by Prime”





## Days 23-29

## Agency Review: Overview

- At the end of day 22 of the reporting period (midnight Pacific Time), all reports enter Final Submission Status
- From Days 23 through 29, Federal Agency Users review and comment on the reports
- Both Federal Agency and recipient users can view the report during this time, but initially, the report is locked to updating by recipients and subrecipients
- Once a Federal Agency User comments on a report, it becomes unlocked, allowing recipients to update the report based on Agency comments

### **Important Reminder:**

- Prime recipients or subrecipients should make certain to make any necessary report updates based on any Federal comments by end of day 29





## Day 30

## Report Publication

- At the end of Day 29, at midnight Pacific Time, all reports are automatically transitioned from Final Submission status to Published status and no further changes can be made to the published report
- Reports continue to be viewable to authorized Recipient Users and Awarding Agency Users at FederalReporting.gov
- No additional comments nor changes can be made to the published report
- Any reporting issues will be addressed in the next reporting period's cumulative report

### **About Report Publication:**

- Final reporting data for the reporting quarter will be published to the Recovery.gov website
- Recovery.gov is the public website for key ARRA information, including data on ARRA spending and links to other government websites that include ARRA information
- Once on Recovery.gov, the reports will be available for viewing by members of the public





## Days 33-75

## Continual Review

- On day 33 all reports are unlocked for the Federal agency to perform a data quality control.
- Federal agencies might contact recipients to make corrections, in which case prime recipients and subrecipients may be required to make corrections.
- DOC will monitor all reports during this phase very closely -- recipients who need to modify a final report should send an e-mail to the Grants Specialist before changes are made.
- Continual review ends on the 15<sup>th</sup> day of the third month of the quarter (e.g., day 75)





## Failure to Meet Reporting Requirements

- If a recipient does not file by the reporting deadline, DOC may consider them non-compliant and take appropriate enforcement actions in accordance with standards DOC grants policy, including but not limited to:
  - Noting recipient's failure to comply with reporting requirements in the recipients performance record
  - Increasing award monitoring regarding reporting, such as requiring frequent progress reports
  - Withholding award payments until the recipient becomes compliant with reporting requirements
  - Formally elevating the failure to perform in accordance with the grant terms and conditions within the recipient's organization or company
  - When determined appropriate (e.g., repeat non-compliance with reporting requirements) initiating award termination procedures
- If a recipient is non-compliant for two or more consecutive reporting period, DOC will require the recipient to take a series of remediation steps, including providing a list of reasons for non-compliance to-date and steps the recipients will take to reach compliance the following quarter





## Helpful Resources

- **FederalReporting.gov User Guide:** <https://www.federalreporting.gov/federalreporting/downloads.do>
- **FederalReporting.gov Service Desk** (Phone: 877-508-7386; TTY: 877-881-5186)
- **ARRA Reporting**
  - M-10-08, Updated Guidance on the American Recovery and Reinvestment Act – Data Quality, Non-Reporting Recipients, and Reporting of Job Estimates (December 18,2009)
    - [http://www.whitehouse.gov/omb/assets/memoranda\\_2010/m10-08.pdf](http://www.whitehouse.gov/omb/assets/memoranda_2010/m10-08.pdf)
  - M-09-21, Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act
    - [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21.pdf)
  - Recipient Reporting Data Model V3.0
    - [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21-sup2.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21-sup2.pdf)
- **BTOP Recipient Handbook:** <http://www2.ntia.doc.gov/recipienthandbook>





# Questions?

