State of Alabama
Department of Finance
Office of the Director

State Capitol, Suite N-105
Montgomery, AL 36130
Telephone: (334) 242-7160   Fax: (334) 353-3300
www.finance.alabama.gov

Bob Riley
Governor

Bill Newton
Acting Director of Finance

July 8, 2009

TO: **CHIEF EXECUTIVE OFFICERS OF DEPARTMENTS AND
            AGENCIES/INSTITUTIONS RECEIVING FEDERAL FUNDS**

FROM: **BILL NEWTON, ACTING DIRECTOR OF FINANCE**

SUBJECT: **Third Guidance on the American Recovery and Reinvestment Act of 2009**

As you are all aware, in May the Governor appointed me to the position of Acting Director of Finance. Prior to this appointment, the Governor, in Executive Order 47, had assigned to the Finance Director the responsibility of implementing the Recovery Act. I intend to continue to issue guidance to all state agencies/institutions and departments ("state agencies/institutions") under the authority of that Executive Order. I have appointed Anne Elizabeth McGowin to serve as the State Recovery Coordinator. She will be working as the Governor's representative on the implementation of the Recovery Act.

This memorandum transmits the third installment of statewide guidance for carrying out the programs and activities funded by the American Recovery and Reinvestment Act of 2009 ("Recovery Act"). The guidance issued today supplements and clarifies the previous guidance memoranda dated April 9, 2009, and May 14, 2009. This third statewide guidance is based upon ongoing directives from Washington and actions needed by the State to implement the Recovery Act. These directives are continuously updated by Federal agencies in Washington, so please continue to check for current guidance at Recovery.gov.

Deadline changed. *Please note that the July 10, 2009 date for initial reporting to the federal government has been changed to October 10, 2009* to accommodate the development of the federal reporting website: www.FederalReporting.gov. The July 10, 2009 data must be collected and stored to be reported cumulatively in the October 10, 2009 report.

All state agencies/institutions are reminded to continue sending to their working group EBO contact each and every Recovery-related report sent to Washington, D.C. The working groups and the EBO contact persons for each group are contained in Appendix I.

A. AGENCY PLANS

1. *Competitive Grants/Agreements/Loans a priority-* Your efforts to apply for competitive grants/agreements/loans under the Recovery Act are still a priority to the Governor. The Chief Executive Officer and Compliance Officer are both expected to coordinate their State agency's efforts to seek all Recovery funds reasonably available in order to assist with the economic recovery in Alabama. These efforts should be documented in an update of the agency's plans which were originally submitted to the Finance Director's Office in April of this year.

2. *Monthly updates to Plans required-* The monthly updates to each agency plan will be reported using a common template form [See Appendix II] that will be emailed to each Compliance Officer from AlabamaStimulus@finance.alabama.gov. These templates will be pre-populated with the information that was submitted in the previous monthly update. You should expect to receive your monthly templates approximately two weeks prior to the end of the month through September 30, 2011. The first template form will be emailed to you with the initial information submitted in April to the Finance Director by Friday, July 20, 2009. Each completed monthly update must be submitted to AlabamaStimulus@finance.alabama.gov by the Compliance Officer by no later than the 10th of the following month (e.g. first report of information ending July 31, 2009 must be submitted by August 10, 2009). Kinley Mangum, with the Finance Department's Executive Planning Office, will be responsible for monitoring the updated plans and ensuring that each applicable agency has provided the necessary information each month. These timeframes are designed to complement the federal quarterly reporting mandates, if applicable.

This information will not only be used to track the status of stimulus-related grants/programs, but will also be published to the Governor's Stimulus website for full transparency.

B. DELEGATION AND CERTIFICATION OF REPORTING REQUIREMENTS

1. *Governor must certify all State Recovery funds-* The Recovery Act changed the historical governance of federal program/grant(s) and charged the Governor with meeting extensive, unprecedented transparency and accountability requirements. The Governor is required to certify to the federal government that he has accepted responsibility for certain Recovery funds received by the State and that such Recovery program/grants(s) are expended in a manner appropriate for the use of taxpayer dollars.

In order to carry out these mandates, the Governor executed Executive Order 47 appointing the Finance Director as the official charged with determining that the State is in compliance with requirements imposed by the Recovery Act and its implementing rules and regulations. Part of this implementation strategy includes the Governor's delegation of reporting requirements to state agencies/institutions. It includes the Governor's directive that each State agency selects a Compliance Officer to provide oversight of state agency Recovery funds. It also includes internal control measures such as certification, risk management assessment and data quality review.

2. *Delegation and Registration of Reporting Requirements* – The June 22, 2009 OMB guidance required that the prime recipient or sub-recipient of Recovery funds report the Section 1512 data directly on the federal website: www.FederalReporting.gov. Since the Governor's office is not the prime recipient for most Recovery funds[1], state agencies/institutions will either be reporting and/or delegating

---

[1] The Governor's office directly received the State Fiscal Stabilization Funds (SFSF). Thus, the Governor will be prime recipient for these funds and will report on the use of SFSF funds. All other Recovery funds directly received by state agencies/institutions will be administered and reported by those state agencies/institutions as the prime recipient.

the reporting requirements to sub-recipients who have received Recovery funds and have access to the data that will be reported. If your Recovery program/grant is included on the list of Federal programs contained in Appendix III, your State agency will need to register at www.FederalReporting.gov and coordinate the process of filing a delegation registration for sub-recipients of your Recovery program/grant.

The www.FederalReporting.gov website is expected to be active and available for registration by August 26, 2009. Prompt registration is encouraged. Prime recipients choosing to delegate reporting responsibilities to sub-recipients should notify the affected sub-recipient early to allow them time to register. All reporting entities *must* have a DUNS number and be registered in the Central Contractor Registration (CCR) database.

3.   *Governor requires Certification*- In addition to delegation of reporting requirements, the Governor is implementing a process of certification for each State entity reporting Recovery funds on the federal website as either a prime recipient or sub-recipient delegated certain reporting requirements. This process requires each State agency Compliance Officer to have the grant or contract manager for each Recovery program/grant complete the attached certification to the Governor prior to submitting each report to the federal government [See Appendix IV]. This certification provides that the data to be submitted to the federal government will be timely, accurate and responsive to all government requirements.

The Governor will require all sub-recipients of State Fiscal Stabilization Funds to complete the certification for each Recovery program/grant funded by SFSF. In fact, all sub-recipients that are state agencies/institutions delegated the responsibility for federal reporting must complete the certification. Ideally, a state agency may choose to have a sub-recipient that is a non-state agency/institution [2] receiving Recovery funds responsible for reporting information at www.FederalReporting.gov to complete the certification. This may be necessary as an internal control because the Federal Office of Management and Budget (OMB) has required reporting of jobs information including sub-award recipients.

The State is implementing this certification as part of its overall internal control management and will continue to assess other reasonable avenues to support timely and accurate reporting. This certification **must** be completed and returned to the State Recovery Coordinator through AlabamaStimulus@finance.alabama.gov **prior** to submitting a report to the federal government. Certifications are required by the Governor if an agency/institution is reporting directly to www.FederalReporting.gov as a prime recipient or sub-recipient. The prime recipient may delegate reporting responsibilities to sub-recipients. The individual submitting reports to the Federal government should be the responsible certifying party.

4.   *Data Quality Review* – State agencies/institutions must take special precautions to ensure that this decentralized reporting by multiple parties does not result in overlap or double counting. State agencies are directed to the OMB guidance issued June 22, 2009, page 14 Section 2.9 for guidance on how to avoid double counting.

---

[2] Non state agency/institution in this context includes sub-grantees such as non-profits, municipal or county governments.

C. FEDERAL REPORTING REQUIREMENTS FURTHER DEFINED

1. *Jobs Created and Retained to be Reported by Recipient* **–** OMB has directed that the entity (either recipient or sub award recipient by delegation) with the jobs created and jobs retained data and other data required by the Jobs Accountability Act and the Federal Funding Accountability and Transparency Act of 2006 (FFATA), report the data directly at www.FederalReporting.gov. The list of required data which may contain multiple data elements in particular categories is contained in Appendix V.

2. *Aggregate Reporting of Individuals and Vendors under $25,000-* Section 1512(c) (4) allows for recipients to aggregate reporting on 1) sub-awards less than $25,000; 2) sub-awards to individuals; and 3) payments to vendors for less than $25,000.[3] State agencies/institutions are required to provide a separate aggregate dollar total for each of these categories. Therefore, all sub-recipients are directed to maintain and report this information so that the state agencies/institutions can make the aggregate reporting required by the Recovery Act

3. *Reporting on Vendors with over $25,000*- In addition, state agencies/institutions must report three additional data elements associated with any vendors receiving funds from the prime recipient for any payments greater than $25,000. This additional information includes:

1. The identity of the vendor by DUNS number.[4]
2. The amount of payment, and
3. A description of what was obtained in exchange for the payment.

All sub-recipients are directed to maintain the vendor reporting information listed above and to supply this information as part of the report submitted on behalf of the recipient. Note that sub-recipients *may not* delegate the reporting requirements to vendors. The reporting completed by the sub-recipient must include all vendors receiving Recovery funds. Specific information is required for vendors receiving over $25,000, while vendors receiving less than $25,000 are included in the aggregate totals as provided in this guidance.

In addition, detailed reporting instructions will be provided by OMB on the jobs reporting requirements. I have attached the most recent guidance as Appendix VI. State agencies/institutions are to seek guidance on any further detailed reporting instructions provided by OMB at the website provided at www.FederalReporting.gov.

4. *Federal agencies/institutions may add program-specific guidance-* As you are aware the federal awarding agency may add additional program specific guidance for each Recovery program/grant. Each Compliance Officer is directed to stay abreast of the guidance as it is issued by the federal awarding agency and to implement the federal agency guidance in the management of Recovery funds. This is also required by the certification implemented with this third guidance.

5. *Non compliance may result in termination, suspension or debarment-* The failure to comply with 1512 reporting requirements is considered a violation of the award agreement. The federal awarding agency may use any customary remedial measures to ensure compliance. This includes

---

[3] Payments to vendors that individually are less than $25,000 but when aggregated exceed $25,000 should be reported as identified in paragraph (C) (3)
[4] If a vendor does not have a DUNS number, reporting may be accomplished by including the name and zip code of the vendor's headquarters.

termination, suspension or debarment from the federal program. Each Compliance Officer is responsible for compliance with all terms and conditions of Recovery awards in their state agency.

D. TRACKING AND SEGREGATING RECOVERY FUNDS

1. *Special Attention to Tracking Funds*- In the April 9 Guidance, we pointed out that "…all state agencies/institutions must ensure all funds provided by the Recovery Act are clearly distinguishable from non-Recovery Act funds in all agency financial systems, business systems (i.e., grant and contract writing systems), and reporting systems. State agency chief executive officers will be personally responsible for assuring that all Recovery Act funds in your department or agency are properly segregated."

The segregation and tracking requirements apply to all Recovery funds. Each state agency must incorporate a system for meeting their particular federal funding agency requirements for tracking and reporting. For example, the Alabama Department of Transportation (ALDOT) received an appropriation for infrastructure projects for FY 09 and FY 10. As recipient, ALDOT is required to make periodic reports to Congress with information tracking: (A) the amount of Federal funds appropriated, allocated, obligated, and outlaid under the appropriation; (B) the number of projects that have been put out to bid under the appropriation and the amount of Federal funds associated with such project; and (C) and other tracking requirements in Section 1201.

2. *Each State agency to Address Tracking and Segregation*- The Governor recognizes that we do not have a centralized reporting system in Alabama. Each agency must implement a measure within their financial system which maintains a distinction between Recovery funds and other federal or state funds. The State Recovery Coordinator is meeting with Agency Compliance Officers on this issue, and will address the specific needs of state agency internal financial systems to meet this important requirement.

E. WEBSITE GUIDANCE

Transparency through website information to the public- Governor Riley is committed to the transparency requirements of the Recovery Act. Each state agency receiving Recovery funds is required to dedicate an agency webpage to ARRA information. This does not require a new separate website, but simply adding necessary pages to your existing site for the purpose of reporting detailed and summary information about each Recovery Act program/grant for which you applied and/or were awarded recovery dollars. There should be a prominent icon on the home page of your site, making it clear to visitors that ARRA information is available by clicking that particular icon. Creating these web pages and populating them with accurate, useful data is absolutely critical to fulfilling Recovery Act transparency requirements. The information on your site will be linked to the Governor's site, www.Stimulus.Alabama.gov. The information posted on your site will be the only comprehensive stimulus tracking information the public will see. Our citizens deserve easy access to information that explains how recovery dollars are used. We want to insure state agencies/institutions are providing citizens that information in a timely manner. Each state agency/institution's Recovery Act page should contain, at a minimum, the following information for each Recovery program/grant:

1. Recovery Program/Grant name
2. CFDA Number
3. Status of program/grant:
    a. Applied (pending)
    b. Approved
    c. Denied

4. Application date
5. Award Date
6. Jobs Created[5]
7. Jobs Retained[6]
8. $ Awarded
9. $ Received
10. $ Expended
11. 2-3 other performance metrics chosen by the agency
12. Details of how program/grant will be administered and/or how funds will be distributed
    a. Deadline for sub-grantee applications (if applicable)
    b. Selection criteria for sub-grantees (if applicable)
    c. Number of sub-grantees / sub-recipients awarded (if applicable)
13. Other informational details and summary descriptions

The Recovery Act page should also contain a cumulative of all Recovery funds (cumulative reports) awarded, received and expended by the State agency/institution with totals of the summary information in the following format:

ARRA Dollars Awarded	ARRA Dollars Received	ARRA Dollars Expended	Jobs Created	Jobs Retained
Last revision date must be placed here:				

As mentioned in the previous *Section A* of this guidance, elements 1 - 11 listed above will also be submitted by the 10th of every month to AlabamaStimulus@finance.alabama.gov using the provided template [Appendix II].

The coordination between the Compliance Officer and Website Coordinator is crucial. The information submitted each month to AlabamaStimulus@finance.alabama.gov must be synchronized with the information posted to your Recovery web pages within 1 business day of submitting your updated plan to Finance.

F. REPORTING MISUSE OF FUNDS AND MISCONDUCT

1.   *Interim Measure for Reporting Misuse of Funds and Misconduct-* The Recovery Act envisions a user friendly state recovery website that will allow the public to report or comment on the use of Recovery funds, or make a complaint about the misuse of Recovery funds or misconduct by those receiving Recovery funds. At present, Recovery.gov has an interim measure in place for the public to report on possible waste, fraud or mismanagement of Recovery funds. We have also adopted an interim measure to allow the public to report possible mismanagement of Recovery funds. An icon will be posted on the homepage of www.Stimulus.Alabama.gov [See Appendix V for location on website].

2.   *Investigation of Public Reports-* Our website coordinator will check daily for any public reports and will forward them from the website to the Alabama Recovery Team. The Compliance Officer of the agency mentioned in the complaint will be contacted to establish a time frame for an investigation into the complaint and a report back to the Recovery Team. The investigation should include inquiry into the

---

[5] The jobs created data is only required for Recovery programs/grants listed in Appendix III.
[6] The jobs retained data is only required for Recovery programs/grants listed in Appendix III.

allegations of mismanagement, and if appropriate, corrective action by the state agency to address the complaint. The Recovery Team will determine if the agency response is adequate to address any substantive complaints made by the public. State agencies/institutions must also communicate to the State Recovery Coordinator any reported misuse of Stimulus funds to AlabamaStimulus@finance.alabama.gov.

Implementing a vehicle for the public to report Recovery fund misuse or misconduct will assist the Governor in assuring the funds are used in the manner intended by the Recovery Act.

G. RISK MANAGEMENT

Update on Risk Management- A risk management assessment questionnaire was included in the second guidance issued May 14, 2009. We will not have the State planning meetings this summer as referenced in the May guidance. Thus, the risk management questionnaire **must** be completed by   July 30, 2009 and emailed to the AlabamaStimulus@finace.alabama.gov [See Appendix I]. Any issues identified that may be a weakness, deficiency or risk should be assessed and accompanied with a corrective action plan with implementation deadlines included in the responses to the questionnaire.

H. TRAINING AND INFORMATION SHARING

1.   *Training Efforts*- The State Recovery Coordinator is planning a meeting on July 15, 2009 in the Gordon Persons Building Auditorium (beside the cafeteria) at 9:00 a.m. with the **agency** Compliance Officers and **agency** Website Coordinators who are positioned to receive recovery funds in FY 09, FY 10 or FY11. This meeting is designed to address questions about any of the Governor's/Finance Director's guidance such as certification, website compliance and tracking that are creating challenges for state agencies. It will also provide agencies the opportunity to share advice that may support their peers with similar challenges. We will arrange a meeting(s) to assist state **institutions'** Compliance Officers and Website Coordinators in early August.

In addition, OMB is planning a series of trainings and outreach efforts during the week of July 20th for states, local governments and other recipients. These training programs are likely to take the form of a series of webinars. The webinar topics include an overview of the guidance, an overview of the technology solution, and registration to FederalReporting.gov, data quality review, job calculations, and agency specific trainings. The webinars will contain both an audio and visual component, and will later be posted online. Each state agency is encouraged to have at least one staff person working with Recovery funds participate in the appropriate webinar.

2.   *Efforts Appreciated*- The Recovery Act has increased the workload on all of us. We understand that everyone has continued to work without increased administrative resources to aid in the economic recovery of Alabama in these difficult economic times. I appreciate your efforts and thank you for your continued work on behalf of the State of Alabama.

cc: Dave Stewart, Chief of Staff
        Bryan Taylor, Senior Policy Analyst
        All Agency/Institution Compliance Officers
        Website Coordinators
        Working Group contact persons

APPENDICES

APPENDIX I	**WORKING GROUPS WITH EBO CONTACT PERSON**
APPENDIX II	**TEMPLATE FORM FOR AGENCY PLAN UPDATES**
APPENDIX III	**LIST OF RECOVERY PROGRAMS REPORTING**
APPENDIX IV	**CERTIFICATION**
APPENDIX V	**REPORTING DATA ELEMENTS**
APPENDIX VI	**REPORTING INFORMATION FROM OMB**
APPENDIX VII	**PUBLIC REPORTING ON RECOVERY FUNDS**

APPENDIX I
STIMULUS WORK GROUPS

HUMAN SERVICES WORK GROUP

EBO Staff Member: Doryan Carlton

Marquita Davis
Nancy Buckner
Carol Steckel
John Houston
Irene Collins, chairperson
Sydney Hoffman
Don Williamson
Walter Wood
Doni Ingram (formerly Bill Johnson)
Bob Strickland
Ron Sparks

PUBLIC SAFTEY WORK GROUP

EBO Staff Member: Carolyn Middleton

Barnett Lawley
Richard Allen
Vernon Barnett, chairperson
Brock Long
Jim Walker
Gen. Blalock
Chris Murphy
Sydney Hoffman
Bill Wynn
Doni Ingram (formerly Bill Johnson)
James Lyons
Linda Casey

ECONOMIC and WORKFORCE DEVELOPMENT WORK GROUP

EBO Staff Member: Carolyn Middleton

Neal Wade
Doni Ingram (formerly Bill Johnson)
Tom Surtees, chairperson
Tim Russell
Lee Sentell
Joe McInnes
Joan Y. Davis (formerly Bradley Byrne)
Matthew Hughes
Trey Glenn
Ron Sparks
Kathy Johnson
James Lyons
Gregory Fitch
John Harrison
Ed Castile
Sydney Hoffman

EDUCATION WORK GROUP

EBO Staff Member: Delois Thigpen

Joe Morton
Marquita Davis, chairperson
Kathy Johnson
Gregory Fitch
Al Head
Winona Nelson-Vocational Rehab
Randy Fulmer
Joan Y. Davis (formerly Bradley Byrne)

American Recovery & Reinvestment Act
State of Alabama
Monthly Update Form

PLEASE NOTE:
The fields below have been pre-populated with information submitted in your agency's preliminary plans but may not necessarily be up to date and accurate. You may not see a Monthly Update Form for each grant you are receiving or applying for if it was not included in your preliminary plan. You must complete a form for each and every grant that your agency intends to apply for and/or receive.

Agency/Institution: _____
Date of Submission: _____

The amounts entered below should <u>not</u> represent monthly totals. They should report cumulative totals for the Recovery Act life of the program/grant.

1) **Grant Name**	
2) **CFDA Number:**	
3) **Status of Application:**	Options will include: Approved, Denied, or Applied (Pending)
4) **Which type of recipient are you?**	Options will include: Prime recipient and Sub-recipient of prime recipient (if Sub-recipient is selected, the prime recipient must be identified)
5) **Application Date:**	
6) **Award Date:**	
7) **Status of Expenditures:**	Options will include: Funds Received, Funds Currently Expended, All Funds Expended (Grant Closed)
8) **# of Jobs Created:**	
9) **# of Jobs Retained:**	
10) **ARRA Funds Awarded:**	
11) **ARRA Funds Received:**	
12) **ARRA Funds Expended:**	
13) **Performance Metric 1 (if applicable)**	This should include brief statistical information.
14) **Performance Metric 2 (if applicable)**	
15) **Performance Metric 3 (if applicable)**	

Agency information verified by: _____

For questions, please call Kinley Mangum at 334.353.2026.

<u>Submit this form to:</u>
AlabamaStimulus@finance.alabama.gov

Supplement 1 – List of Programs Subject to Recipient Reporting

Note: Supplement 1 is a current list of programs under ARRA that need to meet the reporting requirements found under section 1512 of the Act. This list may not be all-inclusive at this time and continues to be updated through feedback from Federal agencies and non-Federal recipients. If a program has been inadvertently omitted, the omission does not relieve the recipient of the reporting requirements under the Act.

Agency	Program Name	CFDA Number
Corporation for National & Community Service	Americorps	94.006
	Planning and Program Development Grants	94.007
	Volunteers in Service to America	94.013
Corps of Engineers	Corps of Engineers: Recreation Management	
	Inland Waterways Navigation	
	Corps of Engineers: Coastal Ports and Harbors	
	Formerly Utilized Sites Remedial Action Program	
	Environmental Stewardship	
	Aquatic Ecosystem Restoration	
	U.S. Army Corps of Engineers (Corps) Civil Works	
	Flood Damage Reduction (FDR)	
	Water Storage for Water Supply	
	Corps of Engineers: Hydropower	
Department of Agriculture	Rural Business Enterprise Grants	10.783
	Rural Broadband Access Loans and Loan Guarantees	10.787
	Single Family Housing Direct Loans	10.788
	Single Family Housing Guaranteed Loans	10.789
	Rural Energy for America Program - ARRA	10.868
	Watershed Protection and Flood Prevention	10.904
	Watershed Rehabilitation Program	10.916
	Healthy Forests Reserve Program	10.922
	Emergency Watershed Protection Program	10.923
	Biorefinery Assistance	10.784
	Renewable Energy Systems and Energy Efficiency Improvements Program	10.785
	Aquaculture Assistance Grants (CCC Funds)	10.086
	Farm Operating Loans	10.406

	State Child Nutrition Programs, Recovery Act	10.579
	Food Distribution Program on Indian Reservations	10.567
	Trade Adjustment Assistance	10.609
	Recovery Act of 2009: Capital Improvement and Maintenance	10.687
	Recovery Act of 2009: Wildland Fire Management	10.688
	Community Facilities Loans and Grants - ARRA	10.780
	Water and Waste System Loans and Grants	10.781
	Business and Industry Loans	10.782
Department of Commerce	Investments for Public Works and Economic Development Facilities	11.300
	Economic Adjustment Assistance	11.307
	Broadband Technology Opportunities Program	11.557
	State Broadband Data and Development Grant Program	11.558
	Low-Power Television and Translator Upgrade Program	11.559
	Measurement and Engineering Research and Standards	11.609
	National Institute of Standards and Technology Construction Grant Program	11.618
	EDA Program-Specific Recovery Act Plan	
	2010 Census Partnership	
	Digital to Analog Converter Box Program (Use 20000312)	
	NOAA Operations, Research, and Facilities	
	2010 Census Early Operations	
	NOAA Procurement, Acquisition, and Construction	
	2010 Census Advertising	
	TV Converter Box Coupon Program	
	Bureau of Economic Analysis	
	Scientific and Technical Research and Services ARRA Plan	

	Construction of Research Facilities ARRA Plan	
	National Oceanic & Atmospheric Administration: Climate Program	
Department of Defense	Military Construction	
	Near Term Energy-Efficient Technologies	
	Energy Conservation Investment	
	Homeowners Assistance	
	Facilities Sustainment, Restoration, & Modernization	
Department of Education	Capacity Building for Traditionally Underserved Populations - Voc Rehab Services	84.406
	Statewide Data Systems, Recovery Act	84.384
	Teacher Incentive Fund, Recovery Act	84.385
	Education Technology State Grants, Recovery Act	84.386
	Education of Homeless Children and Youth, Recovery Act	84.387
	School Improvement Grants, Recovery Act	84.388
	Title I - Grants to LEAs, Recovery Act	84.389
	Vocational Rehabilitation State Grants, Recovery Act	84.390
	Special Education - Grants to States, Recovery Act	84.391
	Special Education - Preschool Grants, Recovery Act	84.392
	Special Education - Grants for Infants and Families, Recovery Act	84.393
	State Fiscal Stabilization Fund - Education State Grants, Recovery Act	84.394
	State Fiscal Stabilization Fund - State Incentive Grants, Recovery Act	84.395
	State Fiscal Stabilization Fund - Innovation Fund, Recovery Act	84.396
	State Fiscal Stabilization Fund - Government Services, Recovery Act	84.397
	Independent Living - State Grants, Recovery Act	84.398

	Independent Living - Services for Older Blind Individuals, Recovery Act	84.399
	Independent Living - Centers, Recovery Act	84.400
	Impact Aid School Construction, Recovery Act (this is the non-formula part of the ARRA funding)	84.401
	Consolidated Grants for Outlying Areas, Recovery Act	84.402
	Impact Aid Formula Grants, Recovery Act	84.404
	Teacher Quality Enhancement Partnerships, Recovery Act	84.405
	Office of Science Financial Assistance Program	81.049
	Renewable Energy Research and Development	81.087
	Fossil Energy Research and Development	81.089
	Electricity Delivery and Energy Reliability, Research, Development and Analysis	81.122
	Loan Guarantee	81.126
	Energy Efficient Appliance Rebate Program	81.127
	Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization	81.129
	Stimulus Carbon Capture and Storage	81.130
	Stimulus Expand and Extend Clean Coal Power Initiative Round III Funding Opportunity Announcement	81.131
	Stimulus Geologic Sequestration Site Characterization	81.132
	Stimulus Geologic Sequestration Training and Research Grant Program	81.133
	Stimulus Industrial Carbon Capture and Storage (CCS) Application	81.134
	Advance Research and Projects Agency - Energy Financial Assistance Program (ARPA-E)	81.135
Department of Health & Human Services	National Health Service Corps Scholarship Program	93.400
	National Health Service Corps Loan Repayment	93.401

	Nursing Education Loan Repayment Program (NELRP)	93.406
	Faculty Loan Repayment Programs (FLRP)	93.409
	Trans-NIH Recovery Act Research Support	93.701
	NCRR Recovery Act Construction Support	93.702
	Health Center Integrated Services Development Initiative	93.703
	Trans-NIH Recovery Act Loan Repayment Support	93.704
	Aging Home-Delivered Nutrition Services	93.705
	Aging Nutrition Services for Native Americans	93.706
	Aging Congregate Nutrition Services	93.707
	Head Start	93.708
	Early Head Start (EHS)	93.709
	Community Services Block Grant (CSBG)	93.710
	Strengthening Communities Fund	93.711
	Childhood Immunization Program	93.712
	Child Care and Development Block Grant	93.713
	Research on Healthcare Comparative Effectiveness	93.715
	Preventing Healthcare-Associated Infections	93.717
	Community Health Centers - Capital	
	Comparative Effectiveness Research - NIH	
	Comparative Effectiveness Research - AHRQ	
	National Institutes of Health - Shared Instrumentation	
	National Institutes of Health - Extramural Research Programs	
	Evidence-Based Clinical and Community-Based Prevention and Wellness Strategies	
	Office of Child Support Enforcement	
	IHS Health Information Technology	
	Community Health Centers - Services	
	National Institutes of Health: Extramural Research Facilities Construction	
	Office of the National Coordinator for Health Information Technology	
	Early Head Start	

	Information Technology Security	
	IHS Maintenance & Improvement	
	National Institutes of Health - Buildings and Facilities	
	IHS Equipment	
	IHS Sanitation Facilities Construction	
	Strengthening Communities Fund	
	Comparative Effectiveness Research - Office of the Secretary	
	CDC: Infectious Diseases	
Department of Homeland Security	Rail & Transit Security Grant Program	97.113
	Emergency Food & Shelter National Board Program	97.114
	Assistance to Firefighters AFG	97.115
	Port Security Grant Program	97.116
	TSA Airport Checked Baggage Inspection System Program	97.117
	TSA Advanced Surveillance Program	97.118
	Border Infrastructure Improvement Projects (non-Recovery Act)	97.112
	Alterations to Bridges	
	Acquisitions, Construction, and Improvement	
	Community Disaster Loans	
	Immigration and Customs Enforcement: Automation Modernization Program	
	Tactical Communications Modernization Program	
	Passenger Screening Program	
	Atlas Tactical Communications Project	
	Construction of CBP-Owned Land Ports of Entry	
	SBInet Program	
	Non-Intrusive Inspection Systems Program	
	Public Transportation and Railroad Security Assistance	
	DHS Consolidated HQ Program Specific Recovery Plan	

Department of Housing & Urban Development	CFDA Community Development Block Grant (CDBG) Entitlement / Recovery Act Funded (CDBG-R)	14.253
	CFDA Community Development Block Grant (CDBG) Insular Recovery	14.254
	CFDA Community Development Block Grant (CDBG) State Hawaii Recovery	14.255
	CFDA Recovery NSP2	14.256
	Homelessness Prevention CFDA Recovery	14.257
	CFDA Tax Credit Assistance Program (TCAP) Recovery	14.258
	Sec8 ARRA Multifamily	14.317
	CFDA Recovery Green Retrofit	14.318
	IHBG CFDA Recovery Formula 2.19	14.882
	Native Hawaiian CFDA Recovery Form	14.883
	Cap Fund CFDA Recovery Competitive	14.884
	Cap Fund CFDA Recovery Formula	14.885
	Indian Community Development Block Grant Program (ICDBG)	14.886
	Native American Housing Block Grants (Competitive)	14.887
	Lead-Based Paint Hazard Control in Privately-Owned Housing (Recovery Act Funded)	14.907
	Healthy Homes Demonstration Grants	14.908
	Lead Hazard Reduction Demonstration Grant Program	14.909
	Healthy Homes Technical Studies Grants	14.910
	Homeless Assistance Grants (Competitive)	
	Recovery Act Project-Based Rental Assistance Program	
	Recovery Act Public Housing Capital Fund Formula Grant Program	
	Project-Based Rental Assistance	
Department of the Interior	Indian Housing Assistance	15.141
	Recreation Resource Mgmt	15.225
	Fish Wildlife Plant Conservation Management	15.231
	Forests and Woodlands	15.233
	Environmental Quality	15.236

	Central Valley Project Improvement Act, Title XXIV	15.512
	Fort Peck Reservation Rural Water System	15.516
	Garrison Diversion Unit	15.518
	Lewis and Clark Rural Water System	15.520
	Lower Rio Grande Valley Water Resources Conservation and Improvement Act	15.521
	Mni Wiconi Rural Water Supply Project	15.522
	Perkins County Rural Water System	15.523
	Recreation Resources Management	15.524
	Rocky Boy's/North Central Montana Regional Water System	15.525
	St. Mary Storage Unit Facilities Rehabilitation Project	15.528
	Yakima River Basin Water Enhancement Project (YRBWEP)	15.531
	Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management	15.532
	Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements	15.534
	Upper Colorado River Basin Fish and Wildlife Mitigation Program	15.535
	Deschutes Basin Ecosystem Restoration	15.536
	Middle Rio Grande Endangered Species Collaborative Program	15.537
	Lower Colorado River Multi-Species Conservation Program	15.538
	Habitat Enhancement, Restoration and Improvement	15.656
	Endangered Species Conservation - Recovery Implementation Funds	15.657
	Earthquake Hazards Program External Research and Monitoring Support	15.807
	National Geospatial Program: Building The National Map	15.817
	Volcano Hazards Program Research and Monitoring	15.818
	Conservation Activities by Youth Service Organizations	15.931

	Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs)	15.932
	USGS, Surveys, Investigations and Research	
	BLM, Construction	
	Indian Affairs, Construction - Recovery Act	
	FWS, Construction - Recovery Act	
	Central Utah Project	
	NPS, Construction and Major Maintenance - Recovery Act	
	National Park Service - Land and Water Conservation Fund State Grants	
	NPS, Historic Preservation Fund - Recovery Act	
	Interior Recovery Act - Indian Affairs, Operation of Indian Programs	
	BLM, Management of Lands and Resources - Recovery Act	
	BOR, Water and Related Resources - Recovery Act	
	Resource Management - Recovery Act	
	Interior Recovery Act - Indian Affairs, Indian Guaranteed Loan Program Account - Recovery Act	
	Interior Recovery Act - NPS, Operation of the National Park System - Recovery Act	
Department of Justice	State Domestic Violence and Sexual Assault Coalitions	16.556
	Tribal Domestic Violence and Sexual Assault Coalitions Grant Program	16.557
	STOP (Services • Training • Officers • Prosecutors) Violence Against Women Formula Grant Program	16.588
	Public Safety Partnership and Community Policing Grants	16.710
	Internet Crimes Against Children Task Force	16.800
	OVC Assist	16.801
	OVC Comp	16.802
	JAG STATE	16.803

	Byrne Local	16.804
	Transitional Housing	16.805
	Tribal Governments	16.806
	OVC Discretionary	16.807
	Byrne ARRA Competitive	16.808
	CFDA Southern ARRA	16.809
	Rural LE ARRA	16.810
	CFDA Tribal Cx ARRA	16.811
	Office of Science and Technology Applications	
	Local Youth Mentoring Initiative	
	Research and Evaluation of Recovery Act State and Local Law Enforcement Assistance	
	National Youth Mentoring Program	
	Firearms Programs -- Integrated Violence Reduction Strategy	
	Employment Service/Wagner-Peyser Funded Activities	17.207
	Senior Community Service Employment Program	17.235
	WIA Adult Program	17.258
	WIA Youth Activities	17.259
	WIA Dislocated Workers	17.260
	Native American Employment and Training	17.265
	YouthBuild	17.274
	Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors	17.275
	National Emergency Grants - Health Coverage Assistance	17.276
	Occupational Safety and Health State Program	17.503
	Job Corps	
Department of State	ARRA Capital Investment Fund: Data Center	
	ARRA Diplomatic and Consular Programs: National Foreign Affairs Training Center	
	ARRA Diplomatic and Consular Programs: Hard Skills Training Center	
	ARRA Diplomatic and Consular Programs: Consular Affairs Passport Facilities	

	ARRA Capital Investment Fund: IT Platform	
	ARRA Capital Investment Fund: Cyber Security	
	ARRA International Boundary and Water Commission	
Department of the Treasury	Community Development Financial Institutions Program	21.020
	Financial Management Service Payments	
	Native American CDFI Assistance (NACA) Program	
	Tax Provision Implementation Program	
	New Markets Tax Credit	
	Internal Revenue Service Health Care Tax Credit Administration	
Department of Transportation	Capital Grants to the National Railroad Passenger Corporation	20.315
	Transit Capital Grants	
	Highway Infrastructure Investment	
	Assistance to Small Shipyards	20.814
	Capital Assistance for High Speed Rail Corridors and Intercity Passenger Rail Service	
	Fixed Guideway Modernization	
	Grants-in-Aid for Airports	
	Facilities and Equipment	
Department of Veterans Affairs	Veterans Benefits Administration Hiring Temporary Claims Processors	
	Info Tech Systems - Veterans Benefits Administration Support	
	Veterans Health Administration Grants for State Extended Care	
	Grants to State Extended Care	
	Veterans Health Administration Medical Facilities Non-recurring Maintenance and Energy	
	National Cemetery Administration Monument and Memorial Repairs	
Environmental Protection Agency	ARRA National Clean Diesel Grant Program	66.039

	ARRA State Clean Diesel Grant Program	66.040
	ARRA Brownfields Training Research and Technical Assistance Grants and Cooperative Agreements	
	ARRA Capitalization Grants for Drinking Water State Revolving Funds	66.468
	Leaking Underground Storage Tank Trust Fund Program	66.805
	ARRA Brownfields Job Training Cooperative Agreements	66.815
	ARRA Brownfields Assessment and Cleanup Cooperative Agreements	66.818
	Superfund Remedial Action	
	Diesel Emissions Reduction Program (DERA)	
	ARRA Water Quality Management Planning (Sections 205(j)(1) & 604(b))	66.454
	ARRA Clean Water Tribal Set-Aside Program	66.458
	ARRA State Revolving Fund	66.458
	ARRA Wastewater Treatment Construction Programs	66.458
	ARRA Leaking Underground Storage Tank Trust Fund Program	66.805
	ARRA Hazardous Substances Response Trust Fund	66.802
Federal Communications Commission	Digital-to-Analog Converter Box Program	
	Broadband Technology Opportunities Program (FCC)	
General Services Administration	Office of High Performance Green Buildings	
	Federal Buildings Fund	
	Energy Efficient Motor Vehicle fleet	
National Aeronautics and Space Administration	NASA Astronomy and Astrophysics Research	
	Institutional Investments	
	NASA Aeronautics Technology	
	NASA Earth Science	

	Constellation Systems	
National Endowment for the Arts	Promotion of the Arts-Grants to Organizations and Individuals	45.024
	Promotion of the Arts-partnership Agreements	45.025
National Science Foundation	Trans-NSF Recovery Act Research Group	47.082
Small Business Administration	Microloan Program	
Social Security Administration	National Support Center Plan	
US Agency for International Development	Capital Investment Fund of the United States Agency for Internatioanl Development	

APPENDIX IV

AGENCY'S CERTIFICATION TO THE GOVERNOR AS TO RECOVERY ACT REQUIREMENTS

On behalf of the entity named below, I certify to the Governor of the State of Alabama that American Recovery and Reinvestment Act ("Recovery Act") funds accepted and disbursed by:

(*State agency/institution, Recipient or Sub-recipient name here*)

will be spent as responsibly and effectively as possible in accordance with the purposes specified in the Recovery program/grant, with the appropriate controls and reporting mechanisms to ensure accountability and transparency in compliance with the Recovery Act. I understand that the Governor has certified to the Federal government that all Recovery funds received for Recovery program/grant(s) will be used in a manner appropriate for taxpayer dollars. I am aware that this entity may not accept any portion of Recovery funds unless this certification is made to the Governor. I am also aware that a failure to submit required reports in the manner required by the Federal government may result in the loss of this entity's ability to expend said Recovery funds. A copy of this certification shall be placed on file with the Office of the Governor.
In addition I certify that:

(1)	The uses of all Recovery funds will be transparent to the public, and the public benefits of these funds are reported clearly, accurately, and in a timely manner; and Recovery funds will be used for authorized purposes and instances of fraud, waste, error, and abuse will be mitigated.
(2)	I understand that this entity has been delegated the responsibility for complying with reporting requirements in accordance with Section 1512(c) of the Recovery Act, and other federal guidance for the Recovery program/grants listed below.
(3)	This entity will comply with the reporting requirements of sections 1511, and 1512(c) of the Recovery Act and all regulations or requirements by Federal Agencies or Congress pertaining thereto.
(4)	 Any use of Recovery funds for infrastructure by this entity is an appropriate use of taxpayer dollars and has received the full review and vetting required by law.
(5)	The funds are intended to be used for the stated purposes with the estimated total cost and the amount of covered funds to be posted on the website www.Stimulus.Alabama.gov.
(6)	Any use of Recovery funds requiring an environmental review under the National Environmental Policy Act will be complied with.
(7)	I understand that a State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted.
(8)	This entity will comply with the grant or contract specific, state or federal requirements for these Recovery funds.
(9)	This entity will identify risks and internal controls will be implemented which are expected to be sufficient to mitigate the risk of waste, fraud, and abuse.
(10)	 I acknowledge that a false statement in this certification may be subject to criminal prosecution, including under 18 U.S.C. §1001.
(11)	 I also acknowledge that said entity grants or contracts, including certifications provided in connection with such grants, are subject to audit and review by the State Agency or its auditors or investigators and the Examiner of Public Accounts.

I have authority to make this certification on behalf of the applicant entity.

_____
Signature of Certifying Official

_____
Printed Name of Certifying Official

_____
Title of Certifying Official

_____
Name of Entity

_____
Recovery program/grant(s)

_____

_____
Date

Required Recipient Reporting Data

The specific data elements to be reported by prime recipients and sub-recipients are included in the data dictionary contained in the *Recipient Reporting Data Model.* This document will be published on OMB's website and www.Recovery.gov as supplemental materials to the OMB June 22 Guidance. Below are the basic reporting requirements to be reported on prime recipients, recipient vendors, sub-recipients, and sub-recipient vendors. Administrative costs are excluded from the reporting requirements. The basic reporting requirements below may contain multiple data elements as defined in the data dictionary. These data elements will updated by OMB from time to time, so please check Recovery.gov for up to date information.

Prime Recipient

1. Federal Funding Agency Name

2. Award identification

3. Recipient D-U-N-S

4. Parent D-U-N-S

5. Recipient CCR information

6. CFDA number, if applicable

7. Recipient account number

8. Project/grant period

9. Award type, date, description, and amount

10. Amount of Federal Recovery Act funds expended to projects/activities

11. Activity code and description

12. Project description and status

13. Job creation narrative and number

14. Infrastructure expenditures and rationale, if applicable

15. Recipient primary place of performance

16. Recipient area of benefit

17. Recipient officer names and compensation (Top 5)

18. Total number and amount of small sub-awards; less than $25,000

Recipient Vendor
1. D-U-N-S or Name and zip code of Headquarters (HQ)
2. Expenditure amount
3. Expenditure description

Sub-Recipient (also referred to as FFATA Data Elements)

1. Sub-recipient D-U-N-S

2. Sub-recipient CCR information

3. Sub-recipient type

4. Amount received by sub-recipient

5. Amount awarded to sub-recipient

6. Sub-award date

7. Sub-award period

8. Sub-recipient place of performance

9. Sub-recipient area of benefit

10. Sub-recipient officer names and compensation (Top 5)

Sub-Recipient Vendor

1. D-U-N-S or Name and zip code of HQ

Example of how this works:

A Federal agency awards a $1 million Recovery Act funded research grant to University A. University A conducts a portion of the research itself and uses $200,000 of the Recovery Act funds to purchase scientific equipment from XYZ Corporation. University A sub-awards the remaining $500,000 of the Recovery Act funds to University B to carry out additional research consistent with the mission of the underlying Federal program. University B uses $50,000 of these funds to support research activities by purchasing scientific equipment from the 123 Corporation.
In this example, University A is the prime recipient and must report on all data elements required by Section 1512 of the Recovery Act and this Guidance related to the award received from the Federal agency. This includes:

• Information regarding the award to University A (associated with the *prime recipient* listed above) and includes:
      Entity ID for University A (D-U-N-S)
      Total $ received by University A
      Total $ for projects/activities funded by University A
      List of projects undertaken by University A

Estimates on jobs created or retained by University A, University B, and applicable vendors
Infrastructure Investment details, if applicable to University A activities
The identity of the XYZ corporation, as well as the amount and description of the purchase of scientific equipment

• Information regarding the sub-award to University B, including the FFATA data elements required under Section 1512(c)(4) (associated with the *sub-recipient* listed above) and includes the identity of the 123 corporation (*sub-recipient vendor* above).

University A has the option of delegating the responsibility to report the FFATA data elements and the identity of the 123 Corporation (*sub-recipient vendor* data elements) to University B for entering into www.FederalReporting.gov. There are no additional reporting requirements for any sub-awards to sub-recipients made by University B

APPENDIX VI

FROM JUNE 22, 2009, OMB GUIDANCE

Section 3 – Recipient Reporting Process

3.1 What are the basic roles and responsibilities in the recipient reporting process?

The recipient reporting process is centralized by enabling all recipients (both prime- and those sub-recipients who have been delegated reporting responsibility) to use www.FederalReporting.gov to submit their quarterly reports. Agencies will review the submissions using the same website and underlying central data repository. This centralized approach will simplify filing requirements and will facilitate data review, analysis and transparency across the broad spectrum of Recovery Act programs and projects. The reported information will be made available to the public on www.Recovery.gov.

3.2 What are the key activities and timeframes required for quarterly reporting?

As previously mentioned in Section 2.5 of this Guidance, Section 1512 of the Recovery Act requires that prime recipients and delegated sub-recipients submit quarterly reports on their use of the funds not later than the 10th day following the end of each quarter beginning on October 10, 2009, and will be cumulative since enactment, or February 17, 2009.The statute further requires that reported information will be made available to the public not later than the 30th day after the end of each quarter. Summary statistics for reported data will appear on www.Recovery.gov prior to the end of the 30-day period, but they will be appropriately marked to indicate their review status.

Registration. Reporting recipients and reviewing Federal agencies must be registered as authorized parties prior to submitting or reviewing recipient reports on www.FederalReporting.gov. The registration function will be available at www.FederalReporting.gov no later than August 26, 2009. Thereafter, prime recipients, delegated sub-recipients and Federal agencies can register on the website.

Prompt registration is encouraged. Since registration requires that prime recipients must be registered in the Central Contractor Registration (CCR) database and that all reporting entities have a D-U-N-S number (see Section 3.5 for more information on the CCR and D-U-N-S numbers), reporting recipients whom do not already meet these requirements should take immediate steps to prepare for registration. See Section 3.4 of this Guidance for further information detailing the registration process. Federal agencies will also need to register to perform their key activities within the system. Registration occurs only once, prior to the first reporting cycle. Prime recipients choosing to delegate reporting responsibilities should notify the affected sub-recipients early to allow them time to register.

During days 1-10 following the end of the quarter, recipients and delegated sub-recipients prepare and enter their reporting information. See Section 3.6 for a description of reporting methods. During this period, the data are considered to be in pre-submission status until explicitly submitted. Recipients using the Web-based form method will be allowed to store draft versions of their reports. Draft versions will only be available to the individual creating the report. Recipients using the spreadsheet or system extracted XML options may store draft versions outside the system on recipient-owned computers or workstations. The data will assume the status of "submitted" and conform with the Section 1512 reporting requirements only when the reporting entity explicitly submits it using the web site functions. Submitted reports will be viewable by the appropriate prime recipient and by the Awarding Agency10. Prime recipients and delegated sub-recipients that have not submitted their data reports by the end of the 10th day will be considered non-compliant with the recipient reporting requirements.

During days 11-21 following the end of the quarter, prime recipients ensure that complete and accurate reporting information is provided prior to the Federal agency comment period beginning on the 22nd day. Prime recipients will perform a data quality review as described in Section 4 of this Guidance. Prime recipients are responsible for verifying submitted information for all Recovery funds for which they are responsible, for notifying sub-recipients of reporting errors or omissions, and for ensuring any data corrections are completed in a timely manner. Prime recipients will be responsible for coordinating with sub-recipients on any identified data corrections. To facilitate corrections, the www.FederalReporting.gov solution will provide contact information for the individual who submitted the report including email contact information. After potential pilot testing of the solution, as mentioned in Section 2.6, it may be determined that the recipient reporting solution may not automatically generate email notifications for prime recipient to sub-recipient communications due to the potential volume resulting from computer-generated notifications.

Agencies may perform an initial review of the information in a "view-only" mode during this time period, but they will not be allowed to provide official feedback to prime recipients. During this period summary statistics for the initial data submissions will appear on www.Recovery.gov.

During days 22-29 following the end of the quarter, Federal agencies review and, if determined, comment on the submitted reporting information. Submitted reports will not be editable by prime recipients or delegated sub-recipients during this time period unless notified by the Federal agencies. The Federal agencies will perform a data quality review as described in Section 4 of this Guidance. The Federal agencies will notify the recipients and delegated sub-recipients of any data anomalies or questions through the www.FederalReporting.gov solution. This notification will unlock the notated report. Capability for Federal agency notation will be included as well. The original submitter must complete data corrections no later than the 29th day following the end of the quarter. Federal agency review will be indicated by the status indicators identified in Section 4.8 of this Guidance.

No later than 30 days following the end of the quarter, detailed recipient reports are made available to the public on the www.Recovery.gov website. Federal agencies are encouraged to link to www.Recovery.gov on their respective websites to fulfill their Section 1512 reporting requirements of facilitating the dissemination on recipient reports to the public. Federal agencies may also post recipient information on their respective websites after the data has been posted on the www.Recovery.gov website. Any data issues identified beyond the date of publication will be corrected or addressed in the next quarterly report.

The www.FederalReporting.gov website works in conjunction with the www.Recovery.gov website to provide a comprehensive solution for recipient reporting and Recovery data transparency. Recipient reports are submitted to www.FederalReporting.gov and are ultimately published on www.Recovery.gov in accordance with the recurring quarterly timeframe described above in Section 3.2.

3.4 How does a recipient register for the *www.FederalReporting.gov* solution?

As previously mentioned in Section 3.2, prime recipients and delegated sub-recipients will need to be registered as authorized users of the www.FederalReporting.gov solution prior to submitting recipient reports into the website, and the registration function will be available on www.FederalReporting.gov no later than August 26, 2009. **Prompt registration is encouraged**. Award recipients should register within 10 business days of receiving an award once the registration function is available. The process for registering with www.FederalReporting.gov will be as follows:

• **Go to the website:** The user will launch their commercial Web browser software application (e.g., Internet Explorer, or Firefox) and will navigate to the website www.FederalReporting.gov.

• **Provide registration information:** The user will select the Registration link on the main page and fill-in the required registration information. All users will be asked for a preferred User Identifier (User ID), a

password, an email address, and a primary phone number. Depending on the user's role in the system, some additional information may also be required.

Users that are representatives of state agencies will provide the Dun and Bradstreet (D&B) D-U-N-S number for their State agency. If the State agency uses more than one D-U-N-S number, the number of the State agency organization that is administering the award should be used.

Department of Defense (DOD) users will enter their organization's Department of Defense Activity Address Code (DODAAC).

Users that are representatives of prime recipients or sub-recipients will provide their organization's D-U-N-S number. These numbers will be used to lookup the user's organization in the CCR or D&B databases to populate additional information into the reporting submission.

Prime and sub-recipients will need to register. If the Prime uses more than one D-U-N-S number, the number of the organization that received the award should be used.

Please note that registering with CCR and/or D&B requires additional processing time for the two organizations to validate user organization registration information. Combined CCR and D&B registration time can range from a single to several days depending on the particular organization and type of registration(s). If recipients need to register with CCR and/or D&B prior to using the www.FederalReporting.gov solution, the **recipients should allow sufficient time** to complete the registrations in order to still meet Recovery Act reporting deadlines. **Advance registration is strongly recommended.**

• **Receive confirmation:** When the website registration has been successfully concluded, the www.FederalReporting.gov solution will send a confirmation of registration to the user by email.

Account Maintenance: The www.FederalReporting.gov website will also support management of a user's account and user data such as contact information. For example, the user can update an email address or the user account can be disabled. Help desk support will be available for website functions as described in Section 3.10.

3.6 How does a recipient submit reports into www.FederalReporting.gov?

There are three basic methods to submit reports into the www.FederalReporting.gov solution. The reporting organization can choose the most convenient method for reporting among the following:

1) Online data entry in a Web browser: The website provides a straightforward data entry form, available via the user's Web browser, for report data entry.
Technical requirements: A commercial Web browser such as Microsoft's Internet Explorer or Firefox is required for this option.
2) Excel spreadsheet: The website will make a Microsoft Excel spreadsheet available for report submission. The user can download this spreadsheet, open the spreadsheet in Microsoft's Excel spreadsheet program and fill it in. The spreadsheet can then be uploaded to the website with the user's browser at www.FederalReporting.gov. The spreadsheet is "locked" to restrict modification of the spreadsheet and allow data entry only in the required fields. **Note: Recipients must not modify the structure of the spreadsheet or risk non-compliance due to an invalid submission.**

Technical requirements: Microsoft Office's Excel (Version 2003 or newer) is required to open and edit the spreadsheet file. A Web browser such as Microsoft's Internet Explorer or Firefox is required to access the website.

3) Custom software system extract in XML: Organizations with sufficient technical experience may choose to submit a properly formatted Extensible Markup Language (XML) file for their report submission. The supplemental materials to this Guidance contain the data dictionary and XML schema needed for

formatting and structuring the XML system extracts. Additional detail about field constraints (such as the elements used in drop down menus on the Web form) will be added to those materials and posted to www.FederalReporting.gov. A service for validating the structure of XML extracts will be available on www.FederalReporting.gov prior to the submission period to ensure extracts are properly formatted. Recipients are strongly encouraged to test their report structures prior to the reporting period.

Technical requirements: A Web browser such as Microsoft's Internet Explorer or Firefox is required to access the website. Organizations must match a specific XML schema format. The schema for the data submission will be provided on the www.FederalReporting.gov website.

Regardless of the approach taken, there is a common underlying data dictionary between all three approaches which will support common unified publishing to www.Recovery.gov in accordance with the quarterly timeline discussed in Section 3.2. See document entitled, *Recipient Reporting Data Model*. This document will be published on OMB's website and www.Recovery.gov as supplemental materials to this Guidance.

The process for filling in the reporting information **online (method 1**) is as follows:

> **Go to the website:** The user will launch their commercial Web browser software application (e.g., Internet Explorer or Firefox) and will navigate to the site www.FederalReporting.gov.
> **Login:** The system will prompt the user for a valid user id and password combination to log-in.
> **Select Recipient Type:** The user will select the appropriate recipient type (e.g., Prime Recipient or Sub-Recipient).
> **Select Reporting Type:** The user will select the appropriate reporting submission (e.g., grant, loan or other form of assistance).
> **Fill in the Online Form:** The user will fill in the online form according to the screen instructions. Some basic information is mandatory such as D-U-N-S Number, Grant or Loan number. This data should be gathered in advance of using the online system
> **Confirmation:** Once the user transmits data, the reporting solution will acknowledge receipt and will check for validity of all information. Due to the anticipated volume of reports, the validation may be delayed up to 24 hours. The validation will ensure that the system can accept the report.
> **Submission:** The Web form will require that the user explicitly "submit" the entered information when completed. Recipients who have not completed the submission step by the end of the 10th day after the end of the reporting quarter will be considered non-compliant with reporting requirements. The system will acknowledge the completion of the submission step if it is successful.

The process for *downloading* the **spreadsheet (method 2)** is as follows:
> **Go to the website:** The user will launch their commercial Web browser software application (e.g., Internet Explorer or Firefox) and will navigate to the site www.FederalReporting.gov.
> **Login:** The system will prompt the user for a valid userid and password combination to log in.
> **Select Recipient Type:** The user will select the appropriate recipient type (i.e., Prime Recipient or Sub-Recipient).
> **Select Reporting Type:** The user will select the appropriate type of reporting submission (e.g., grant, loan or other form of assistance).
> **Select the File:** The user will select the spreadsheet and download the template.

Once the spreadsheet has been updated, the process for *uploading* the **spreadsheet** is as follows
> **Go to the website:** The user will launch their commercial Web browser software application (e.g., Internet Explorer or Firefox) and will navigate to the site www.FederalReporting.gov.

> **Login:** The system will prompt the user for a valid user id and password combination to log in.

Submit Report: The user will select the report submission choice and select the upload spreadsheet option. The user will follow a standard select file process.

Confirmation: The system will display a confirmation of report acceptance. The system will then validate the structure of the data for conformance to the data standards. This process may take as long as 24 hours to process based on system load, however submitters are considered compliant with reporting requirements if they submit data valid file within the required timeframe.

The process for *downloading* the **XML Schema (method 3)** is as follows:

Go to the website: The user will launch their commercial Web browser software application (e.g., Internet Explorer or Firefox) and will navigate go to the site www.FederalReporting.gov.
Login: The system will prompt for a valid user ID and password combination to log in.
Select Recipient Type: The user will select the appropriate recipient type (i.e., Prime Recipient or Sub-Recipient).
Select Reporting Type: The user will select the appropriate type of reporting submission (e.g., grant, loan or other form of assistance).
Select the File: The user will select the XML and download the schema.

The process for *uploading* the **XML extract file** is as follows:

Go to the website: The user will launch their commercial Web browser software application (e.g., Internet Explorer or Firefox) and will navigate to the site www.FederalReporting.gov.
Login: The system will prompt for a valid user ID and password combination to log in.
Submit Report: The user will select the report submission choice and select the upload XML schema option. The user will follow a standard select file process.
Confirmation: The system will display a confirmation of report acceptance. The system will validate the structure of the data for conformance to the data standards. This process may take as long as 24 hours to process based on system load.

Special reporting Requirement for Prime Recipients

Prime recipients will be required to enter their MPIN from CCR at the time of report submission. This information is required to identify the submitter as a prime recipient. Prime recipients will not be able to view sub-recipient reports until the prime recipient report is submitted using a valid MPIN for the D-U-N-S associated with the award.

3.8 How does a Federal agency or recipient review reporting submissions?
The www.FederalReporting.gov solution supports the review of recipient submissions by Federal agencies and prime recipients. The solution will enable multiple reviewers for each agency or prime recipient, although there will be only a single reviewer allowed for each individual report. The process for reviewing reporting submissions is as follows:

Go to the website: The user will launch their commercial Web browser software application (e.g., Internet Explorer or Firefox) and will navigate go to the site www.FederalReporting.gov.
Login: The system will prompt for a password and the user will login.
Select Report: The user will select a report to review if action is required by the report submitter, and the reviewer is allowed to make comments in accordance with the quarterly timeline in Section 3.2. There will be a mechanism for extracting recipient reports for Federal agency review and a capability within the system to notate reports.

3.9 How does a recipient make a report correction to a submission?

A recipient may decide, or may be asked by a subsequent reviewer, to make a correction to a submission. The entity submitting the report is the data owner of the submission and is therefore responsible for applying any corrections. The recipient can update the submission with the following process:

    Go to the website: The user will launch their commercial Web browser software application (e.g., Internet Explorer or Firefox) and will navigate go to the site www.FederalReporting.gov.

    Login: The system will prompt for a password and the user will login.

    Select an Existing Report: The user will select a report to be re-submitted.

    Data Entry: If the report was submitted in an online form (method 1), the user can then edit the fields in the online form and save them again.

    Select the Replacement File: If the report submission is file-based (methods 2 or 3), the user will select the updated XML file or spreadsheet file to be uploaded and will submit the file according to screen instructions.

    Confirmation: The system will display a confirmation of report acceptance. The system will validate the structure of the data for conformance to the data standards. This process may take as long as 24 hours to process based on system load.

3.10 How does a recipient access the *www.FederalReporting.gov* solution helpdesk?

The registration and reporting processes will be supported by a helpdesk. The helpdesk contact information will be available on the www.FederalReporting.gov website at the start of registration and will provide help with user functions related to the registration.