

The American Recovery & Reinvestment Act



DOJ Recovery Act Reporting - Grants and Cooperative Agreements - Recipient Webinar

September 10, 2009; 2:00p.m. ET

Sponsored by the Office of Justice Programs, The Office of Audit, Assessment, and Management, Grants Management Division





Agenda

- 1. Introduction**
- 2. Preparation**
- 3. Calculating Jobs Data**
- 4. Data Elements**
- 5. Submitting Reports**
- 6. Reviewing & Releasing Data**
- 7. Getting Help**
- 8. Q&A**



Introduction



Recovery Act Purposes

The American Recovery & Reinvestment Act (ARRA or Recovery Act) was created to:

- Preserve and create jobs and promote economic recovery;
- Assist those most impacted by the recession;
- Provide investments needed to increase economic efficiency by spurring technological advances in science and health;
- Invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and
- Stabilize state and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.



Status of Recovery Act Implementation

Office of Justice Programs (OJP)

- Appropriated \$2.76 billion.
- Awarded nearly \$2.2 billion as of August 31, 2009.
- Remaining FY 2009 Recovery Act awards will be announced on a rolling basis until September 30, 2009.
- OJP will announce awards on Tuesday and Friday at www.ojp.gov/recovery/awards.htm.

Community Oriented Policing Services (COPS)

- Appropriated \$1 billion
- Awarded 100%

Office on Violence Against Women (OVW)

- Appropriated \$225 million.
- Awarded over \$169 million as of August 31, 2009
- Remaining FY 2009 Recovery Act awards will be announced on a rolling basis until September 30, 2009.
- OVW will publish awards at www.ovw.usdoj.gov/recovery.htm.



Reporting Basics

All DOJ Recovery Act funding recipients are required to report under Section 1512(c) of the Recovery Act.

- All entities that receive awards directly from DOJ (i.e., prime recipients), and
- Subrecipients who have been delegated reporting responsibilities by their prime recipient.

Section 1512(c) requires reporting of the following information:

- Total amount of Recovery Act funds received and the amount spent on projects and activities;
- List of projects and activities funded by name to include: description, completion status, and estimates on jobs created or retained; and
- Details about subawards and subcontracts.



Additional Reporting Requirements

Prime recipients are still required to submit agency financial status reports, progress reports, and other performance measurement data.

OJP

- Quarterly Financial Reports (SF 269 and/or the new SF 425)
- Quarterly, semi-annual or annual progress reports
- Performance measures

OVW

- Quarterly Financial Reports (SF 269 and/or the new SF 425)
- Semi-annual or annual progress reports

COPS

- Quarterly Financial Reports (SF 269 and/or the new SF 425)
- Quarterly programmatic progress reports

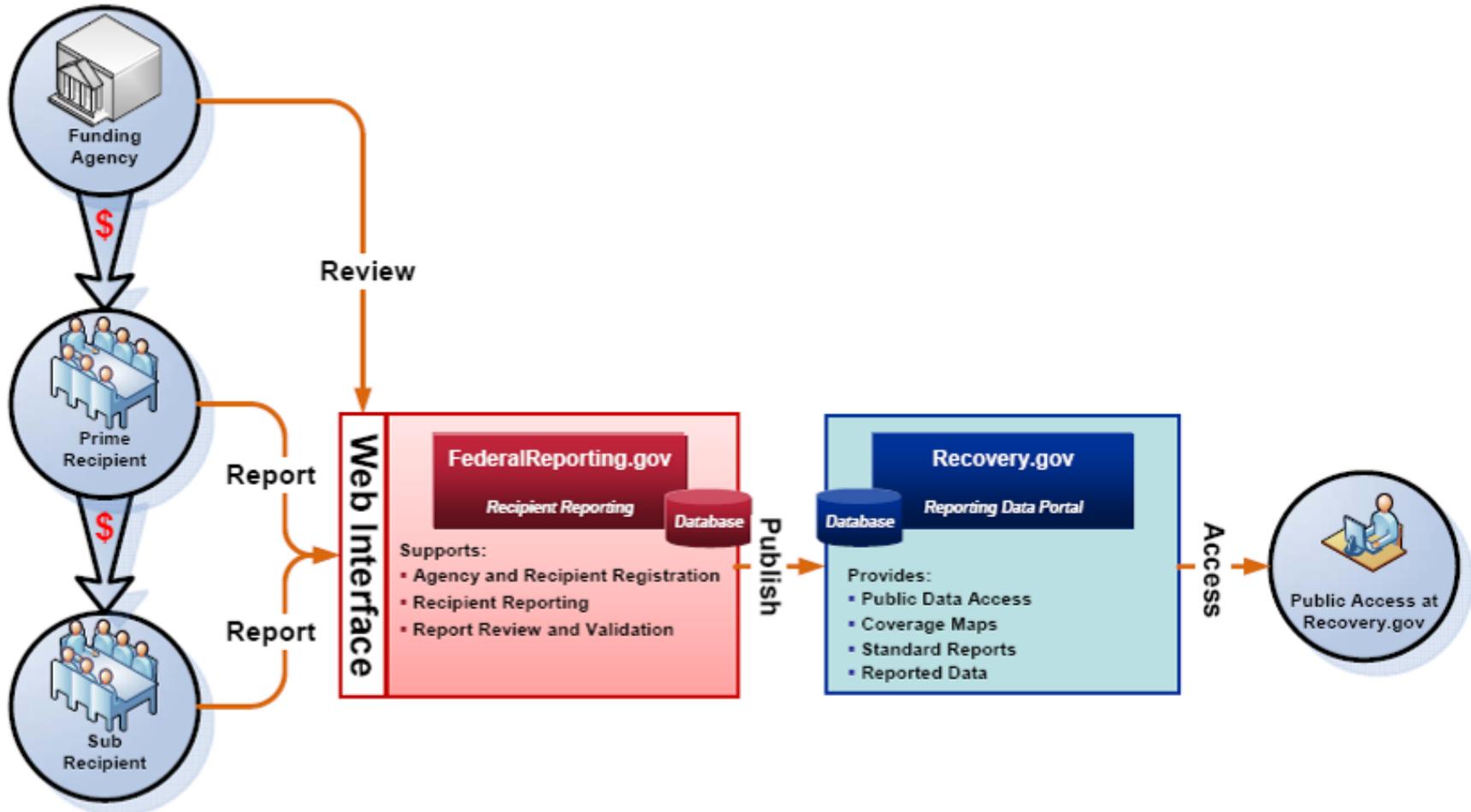


Reporting Basics

- All prime recipients will be required to report via www.FederalReporting.gov, which has been created exclusively for Section 1512(c) reporting.
- Prime recipients include states, units of local government, tribes, universities, and organizations that receive Recovery Act funding in the form of grants, cooperative agreements, or loans **directly** from the Federal government.
- A separate Section 1512(c) report must be submitted for each Recovery Act award received.
- The initial Section 1512(c) report includes activity from the project start date to September 30, 2009. The first report is due by October 10, 2009.



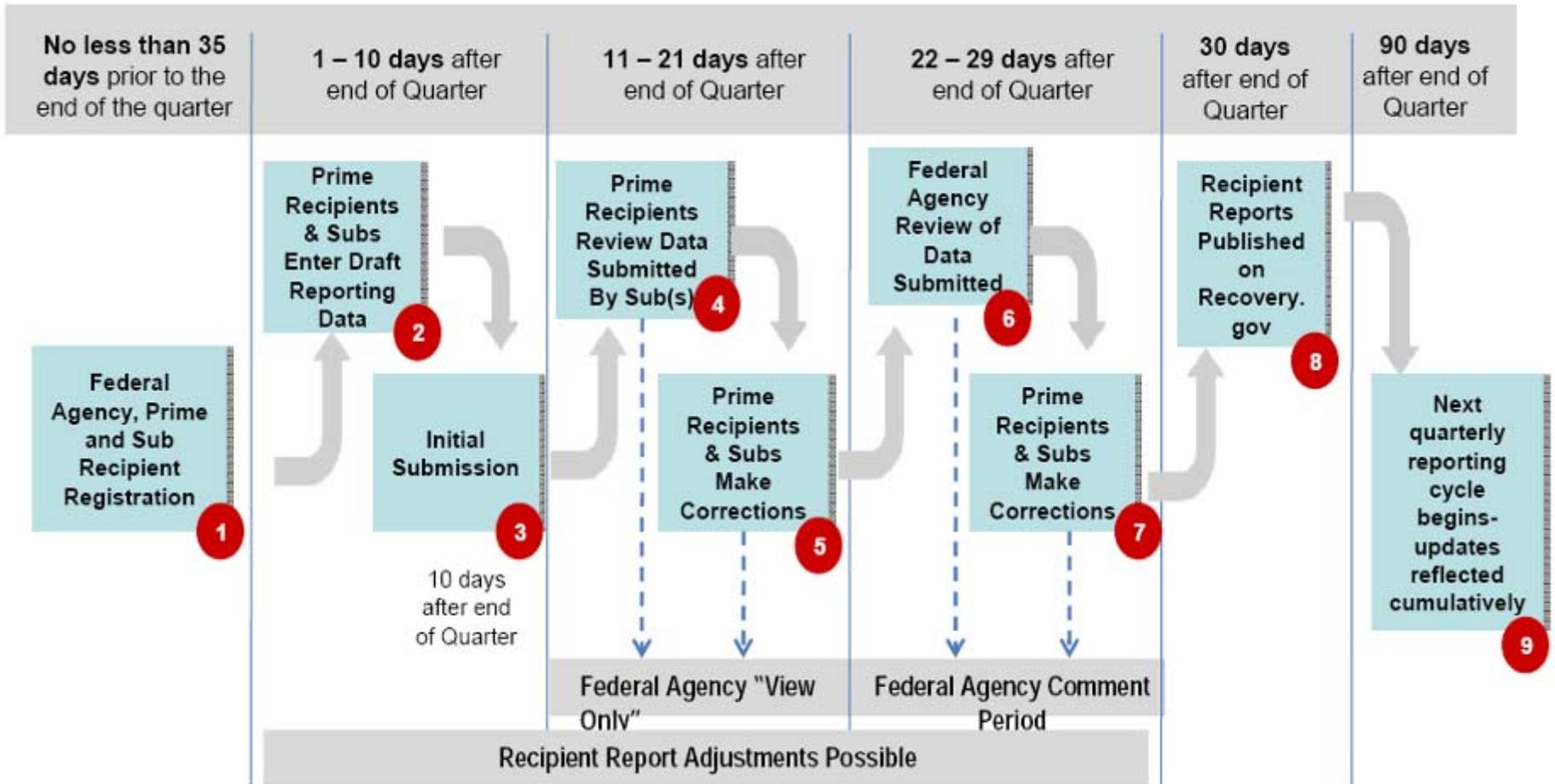
Reporting Basics



Source: Office of Management and Budget (OMB)



Reporting Process Timeline



Source: Office of Management and Budget (OMB)



Preparation



Separate Tracking and Reporting

- All recipients must **track, account for, and report on** Recovery Act awards funds separately from all other funds (including funds from other DOJ awards).
- Recovery Act funds may be used with other non-Recovery Act funding sources to assist in the completion of the same or similar projects, but **tracking and reporting** of Recovery Act funds must be **separate**.
- **Accounting systems** of the recipient and all subrecipients must ensure that funds from Recovery Act awards **are not commingled** with funds from any other sources.

Recommendations

- At a minimum, use a spreadsheet to track each Recovery Act award.
- If you have an automated system, create new codes for Recovery Act funded programs and identify all Recovery Act transactions with the new codes (e.g. ARRA-BJA; ARRA-OVW-STOP; ARRA-COPS).
- If a position is funded partially with Recovery Act funds, the Recovery Act and non-Recovery Act hours must be tracked separately.



Subrecipient Delegation

A prime recipient may assign certain Section 1512(c) reporting responsibilities to subrecipients. If delegated, subrecipients can submit data directly to www.FederalReporting.gov.

Considerations

- Job data reporting can *not* be delegated; prime recipient must collect and report job data from subrecipients separately.
- Prime recipients and subrecipients can potentially report separately on the same activity, resulting in “double counting.” The prime recipients will need to develop procedures to prevent this from occurring.
- Prime recipients will not have access to subrecipients’ review reported data on www.FederalReporting.gov during the draft stage (days 1-10). Prime recipients can begin their review on day 11, ending on day 21.
- During the prime recipient review stage, prime recipients cannot directly edit subrecipient data (only comment and request that subrecipient make changes).



Prime Recipient Responsibilities

Prime recipients, as the owners of the data submitted, have the **principal responsibility** for the quality of the information submitted. Prime recipients who delegate reporting to subrecipients must:

- Provide advanced notification to the delegated subrecipients of their **reporting responsibilities** and the **required data elements**. (Ideally, **30 days** prior to the reporting due date).
- Communicate and implement a **policy** for reviewing subrecipient data.
 - Identify which prime recipient users are authorized to **review and comment** on subrecipient data.
 - **Review** subrecipient reports closely and identify errors.
- Maintain an updated **inventory of subrecipient delegations** and crosscheck all data records to prevent double counting.
- Develop a separate system to collect **job data** from subrecipients and communicate associated due dates and processes.
- Report **vendors awarded** by subrecipients.
- Maintain **supporting documentation** used to compile the submitted data.



Subrecipient Responsibilities

Subrecipients who have been delegated reporting responsibilities must

- Maintain **supporting documentation** used to compile reporting data; provide copies to prime recipient as requested.
- Develop a system to collect and report **job data** to prime recipient before the reporting period due date.
- **Crosscheck all data** records before reporting to www.FederalReporting.gov to prevent significant reporting errors.



Establishing Internal Reporting Procedures

- To limit or prevent errors when collecting, reviewing, submitting, and changing data, prime recipients and subrecipients should **establish internal procedures** within their respective organizations.
- Both prime recipients and subrecipients should develop **written procedures**. Documentation should be included in formal policy, standard operating procedures, and/or official operations manuals.



Questions to Consider

Question	Sample Answer
How will we compile data before submitting the quarterly report?	<i>We will collect data on a spreadsheet stored on our network drive. Access will be limited by password to ensure data control. All changes will be tracked and reviewed by the director before the final submission.</i>
Who is responsible for collecting data within your organization?	<i>Our three project managers will be responsible for collecting data. They will meet as a team to assign responsibility for data elements.</i>
How and by whom will data be entered, reviewed, and submitted?	<ol style="list-style-type: none"><i>1. The accountant and director will each review and reconcile the final spreadsheet before any data is submitted.</i><i>2. The accountant will enter data in www.FederalReporting.gov.</i><i>3. The three project managers and the director will review the submitted data once it has been entered by the accountant.</i><i>4. Once the draft has been reviewed and approved, the accountant will submit the report.</i>
Who is responsible for responding to federal agency (and/or prime recipient) comments and making necessary changes?	<i>The lead project manager will review all comments and meet with the other project managers and director to identify what changes, if any, need to be made. The accountant will then be responsible for making the changes in the system.</i>



Calculating Jobs Data



Reporting Jobs Data

Section 1512(c) requires recipients to report on the **total number of jobs “created” or “retained”** through Recovery Act funding, including:

- Paid positions that are new or existing vacant positions that are filled as a result of Recovery Act funding;
- Existing position for which recipients have documentation that the position would have been eliminated if not for Recovery Act funding;
- Any position using Recovery Act Funding after a lay-off occurred.
- Recovery Act-compensated overtime for created, retained, or existing positions. ***(Not applicable for COPS Office Recovery Act recipients.)***

Note: Some DOJ Recovery Act programs restrict the use of Recovery Act funds in connection with supplanting. DOJ guidance on the following websites provides a list of Recovery Act programs that prohibit supplanting and examples of the scope of applicable restrictions.

OJP’s Recovery Act Guidance on Supplanting at www.ojp.gov/recovery/supplantingguidance.htm

COPS’ Guidance on Supplanting at <http://www.cops.usdoj.gov/Default.asp?Item=2282>

DOJ Job Guidance at www.usdoj.gov/recovery/pdfs/jobs-guidance.pdf.



Reporting Jobs Data

- Two Fields: Numeric and Description
 - **Number of jobs:** Total number of jobs created and retained, in Full Time Equivalents (FTEs).
 - **Description of jobs created/retained:** Details the employment impact of jobs created and retained.
- Prime recipients cannot delegate the reporting of **job data** to subrecipients.
- In limited circumstances, permission may be granted to prime recipients to **estimate the job data** using statistical methodology if collecting actual numbers will create an unreasonable burden and disrupt the recipient's ability to effectively implement the underlying mission of the program.



Supporting Documentation

Prime recipients must maintain auditable **documentation** supporting all reported data, including jobs data. Documentation should provide evidence that

- 1) Created/retained positions and overtime hours are **funded** by Recovery Act awards,
- 2) Personnel are directly supporting Recovery Act **projects and activities**, and
- 3) Positions meet the criteria for “created”/”retained” positions and overtime hours.

<i>Recommended Documentation</i>		
Created Jobs	Retained Jobs	Overtime
<ul style="list-style-type: none"> • Old and new organizational charts • New position descriptions • Job postings, offer letters and acceptance forms • Staffing lists • Timecards and payroll records 	<ul style="list-style-type: none"> • Budget comparisons and/or projections before and after the project period start of the Recovery Act award(s) • Formal layoff recommendations and retractions (memos, reports) • Minutes of formal meetings where official budget decisions are made • Timecards and payroll records • Employee activity reports 	<ul style="list-style-type: none"> • Timecards and payroll records • Employee activity reports



Calculating Numeric Data

How do I report Recovery Act-funded created and retained jobs?

- Jobs should be reported as “Full-Time Equivalents” (FTE).
- An FTE is calculated as the total hours worked in jobs created or retained jobs divided by the number of hours in a full-time schedule.

Example:

If full-time employment at Recipient Agency A equals 520 hours for the first reporting period, then

1 FTE = 520 hrs for reporting period 1



FTEs: What counts?

Do Count

- Hours worked by Recovery Act-funded new and retained employees:
 - **Compensated employees** working in the **US** or its “**outlying areas.**”
 - Employees of the **recipient** or **subrecipient**, including personnel hired through a 3rd party (e.g., staffing or temp agency).
 - Employees of certain vendors (more below).
 - **Paid leave** (PTO, vacation/sick leave, etc.).
- Recovery Act-funded overtime for created, retained or other positions. (Not applicable for the COPS Office Recovery Act recipients).
- Hours worked on or after the award date.

Don't Count

- **Existing Positions:** Standard hours for existing positions funded with Recovery Act dollars that do **not** meet the criteria for “created” or “retained.”
- **Support Positions:** Positions that are **not directly funded by the Recovery Act** but are necessary to support the corresponding increase in activity (e.g., accounting or HR staff funded through indirect).
- **Indirect/Induced Jobs:** Retail transactions and contracts with service providers that do not require dedicated personnel or single purchases of less than \$500,000 from an individual manufacturer or supplier.



Vendor Jobs

Recipients must report jobs created or retained by vendors (manufacturers, suppliers, etc.) when recipients or subrecipients:

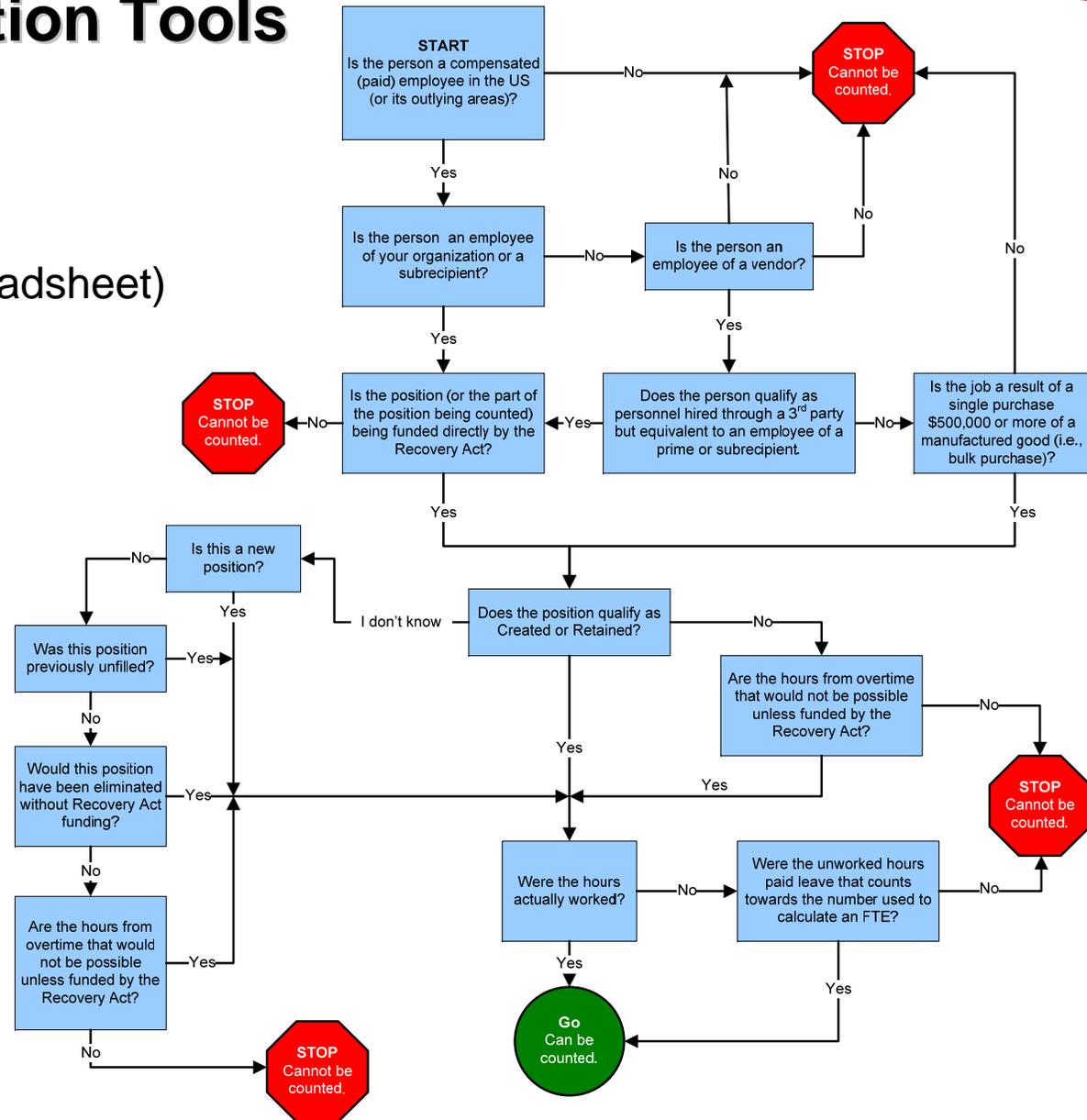
- Hire **dedicated personnel** through a vendor or
- Make a **single purchase** of manufactured goods costing **\$500,000** or more.

Personnel	Standard Purchases	Bulk Purchases
Created/retained dedicated personnel hired through a 3 rd party but funded by the Recovery Act.	Retail transactions and contracts with service providers that do not require dedicated personnel.	Single purchases of \$500,000 or more of manufactured goods from an individual manufacturer or supplier.
YES	NO	YES
Calculate FTEs as if personnel were directly employed by a recipient.	Do not calculate or include employment impact from purchases or contracts for good and services.	Identify the primary point of impact and request number of related jobs created or retained using standard FTE calculations.



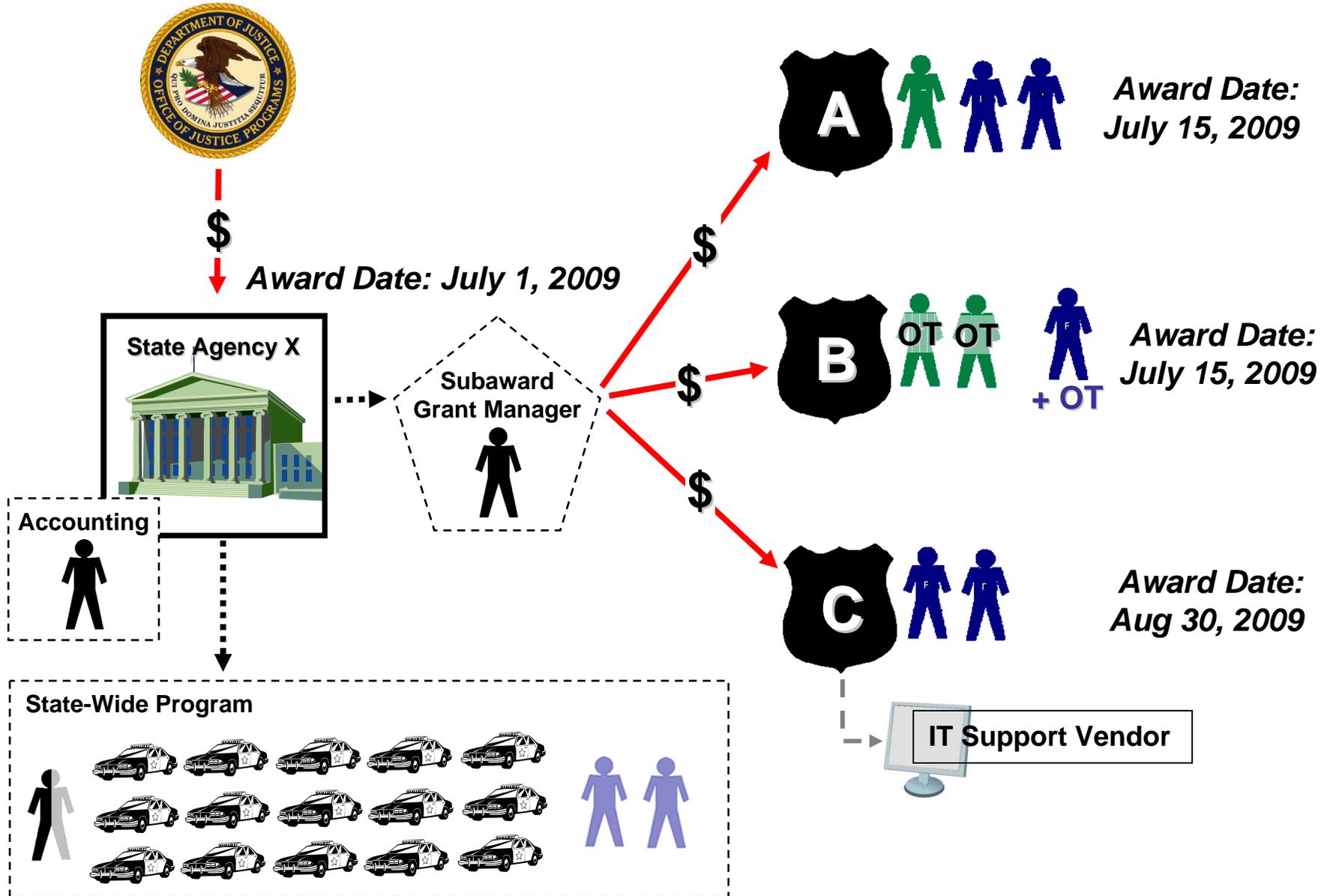
Job Calculation Tools

- FTE Decision Map
- FTE Calculator (Spreadsheet)





Jobs > Numeric Data (FTEs)





State Agency X Calculations (Prime Recipient)



Award Date: July 1, 2009

	<i>Days Worked (A)</i>	<i>Hours Per Day (B)</i>	<i>Subtotal (C=A x B)</i>	<i>Overtime (D)</i>	<i>Total (C + D)</i>	<i>FTEs</i>
FTE for State X	65	8	520	0	520	
Program Administrator	65	4	260	0	260	
Grant Manager	65	8	520	0	520	
Training Consultant 1	<i>Total hours billed by consulting firm (vendor).</i>				520	
Training Consultant 2					520	
Subtotal for State X					1820	$1820 / 520 = 3.5$
Vendor (Purchase Police Cruisers)	<i>Calculations and supporting documentation provided by manufacturer.</i>					3.5



Subrecipient A Calculations

Subtotal for State X	3.5
Vendor (Cruisers)	3.5



Award Date:
July 15, 2009

	<i>Days Worked (A)</i>	<i>Hours Per Day (B)</i>	<i>Subtotal (C = A x B)</i>	<i>Overtime (D)</i>	<i>Total (C + D)</i>	<i>FTEs</i>
FTE for Subrecipient A	55	8	440	0	440	
IT Specialist	55	8	440	0	440	
Police Officer 1	55	8	440	0	440	
Police Officer 2	55	8	440	0	440	
Subtotal for Subrecipient A					1320	1320/440 = 3.0



Subrecipient B Calculations

Subtotal for State X	3.5
Vendor (Cruisers)	3.5
Subtotal for Subrecipient A	3.0



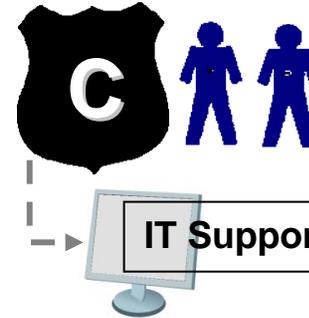
Award Date:
July 15, 2009

	Days Worked (A)	Hours Per Day (B)	Subtotal (C=A x B)	Overtime (D)	Total (C + D)	FTEs
FTE for Subrecipient B	55	8	440	0	440	
IT Specialist	0	0	0	110	110	
IT Specialist	0	0	0	110	110	
Police Officer 1	55	8	440	110	550	
Subtotal for Subrecipient B					770	770/440 = 1.75



Subrecipient C Calculations

Subtotal for State X	3.5
Vendor (Cruisers)	3.5
Subtotal for Subrecipient A	3.0
Subtotal for Subrecipient B	1.75



*Award Date:
Aug 30, 2009*

	<i>Days Worked (A)</i>	<i>Hours Per Day (B)</i>	<i>Subtotal (C=A x B)</i>	<i>Overtime (D)</i>	<i>Total (C + D)</i>	<i>FTEs</i>
FTE for Subrecipient C	22	8	176	0	176	
Police Officer 1	22	8	176	0	176	
Police Officer 2	22	8	176	0	176	
Subtotal for Subrecipient C					352	352/176 = 2.0

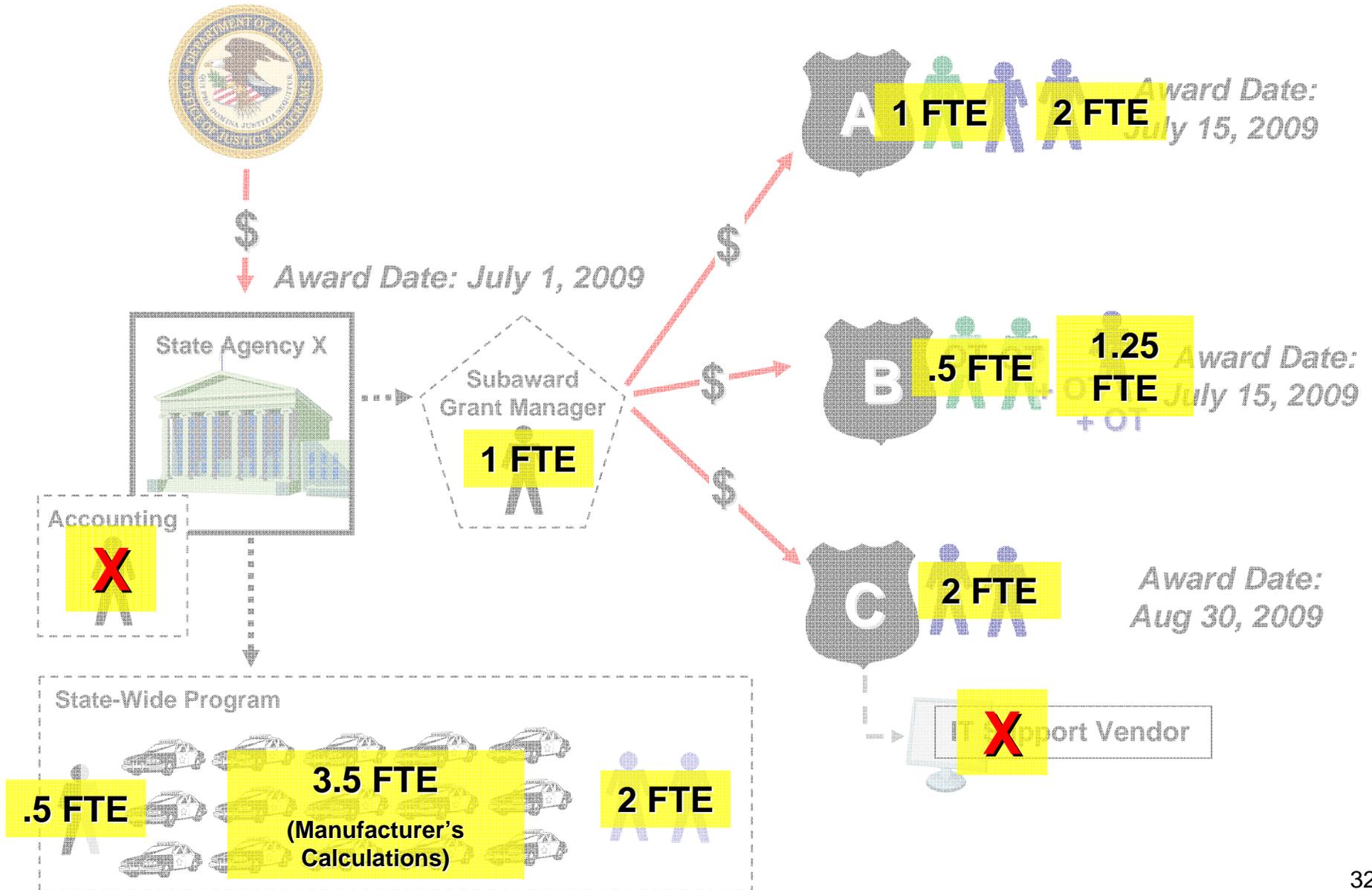


Total FTEs Reported on October 2009 Report

Subtotal for State X	3.5
Vendor (Cruisers)	3.5
Subtotal for Subrecipient A	3.0
Subtotal for Subrecipient B	1.75
Subtotal for Subrecipient C	2.0
Grand Total	13.75 FTE



Jobs > Numeric Data (FTEs)





Description Data

The Description field should include a breakdown of numeric data by job type for all recipients, subrecipients, and vendors.

Classify the jobs created and retained using the following categories:

- Law Enforcement
- Detention, Probation, Parole, and Community Corrections
- Policy/Research/Intelligence
- Information Technology (IT)
- Construction/Manufacturing
- Community/Social/Victim Services
- Administrative/Human Resources
- Courts/Prosecution, Defense, And Civil Attorneys
- Training and Technical Assistance

Recipients may also include an additional narrative description of the job impact of their project (optional).

Example: 13.75 Total FTE Reported for State Agency X

5.5 FTE Law Enforcement

1.25 FTE Information Technology (IT)

3.5 FTE Construction/Manufacturing

1.5 FTE Administrative/Human Resources

2.0 FTE Training and Technical Assistance



Reported FTEs = $\frac{\text{Cumulative Recovery Act Funded Hours Worked (Qtr 1...n)}}{\text{Cumulative Hours in a Full-Time Schedule (Qtr 1...n)}}$

Employees	FY09 3rd Q Hours Worked	FY09 4th Q Hours Worked	FY10 1st Q Hours Worked	FY10 2nd Q Hours Worked	FY10 3rd Q Hours Worked	FY10 4th Q Hours Worked
Full-time Schedule	520	1040	1560	2080	2600	3120
Program Administrator	260	520	780	1040	1300	1560
Grant Manager	520	1040	1560	2080	2600	3120
Training Consultant 1	520	1040	1560	2080	2600	3120
Training Consultant 2	520	1040	1560	2080	2600	3120
Total hours worked	1820	3640	5460	7280	9100	10920
Formula	1820/520 =	3640/1040 =	5460/1560 =	7280/2080 =	9100/2600 =	10920/3120 =
Quarterly FTEs Reported	3.5	3.5	3.5	3.5	3.5	3.5



Statistical Methods for Reporting Job Data

- In limited circumstances, DOJ, with concurrence from the Office of Management and Budget (OMB), may approve requests to use statistical methods to estimate jobs created and retained in cases where recipients demonstrate that comprehensive job counts will create an unreasonable burden and disrupt the recipient's ability to effectively implement the underlying mission of the program.
- OJP and OVW recipients should submit these requests through the Grant Adjustment Notices (GAN) module of the Grant Management System (GMS). Recipients should select "Program Office Approvals" as the GAN type, select "other" as the Approval Type, and attached the request to the GAN.
- COPS office recipients should contact the COPS Office at 1-800-421-6770.



Estimating Job Data

To request the use of a statistical estimate:

Requests to use statistical methods must be made by **September 14, 2009** for the first reporting period or **at least 30 days** before the end of any future reporting period.

Requests must include:

- A **detailed justification** explaining why directly collecting information from sub-recipients and vendors is overly costly or burdensome and will disrupt the recipient's ability to effectively implement the underlying mission of the program.
- A **technical description** of the recipient's proposed statistical methodology with sufficient detail and supporting documentation of the sample design and estimation procedures so that the validity of the methodology can be assessed.
- A statement of the **qualifications** of the person(s) who will design and carry out the statistical methodology.
- A description of the plan to **monitor or verify** the data collected as part of the statistical methodology.

In addition to the job creation and retention estimates, the description field of the initial Section 1512(c) report must include full documentation of all statistical methods and data utilized by the models.



Data Elements

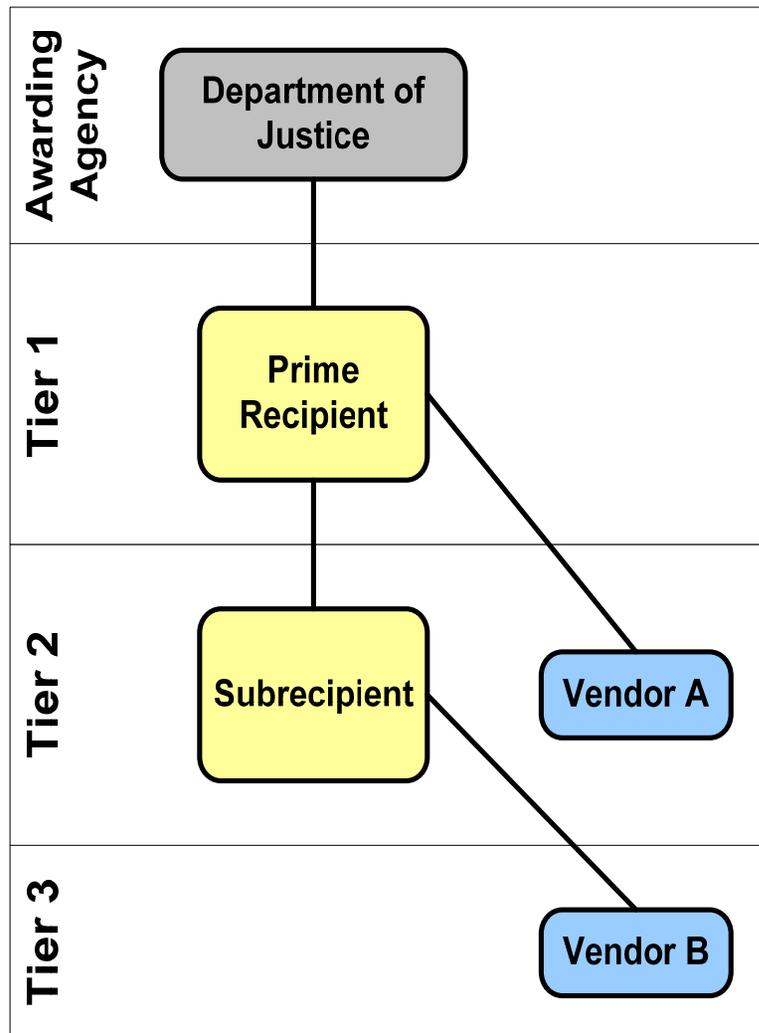


Data Elements

- Prime Recipient Data
 - Recipient Information
 - Award Details
 - Amount Expended
 - Project Details
 - Estimate on Jobs Created or Retained
 - Infrastructure Details
 - Subaward/Vendor Aggregates (< \$25,000)
 - Primary Place of Performance
 - Top Five Most Highly Compensated Officials (if applicable)
- Subrecipient Data
 - Subrecipient Information
 - Award Details
 - Top Five Most Highly Compensated Officials (if applicable)
 - Primary Place of Performance
 - Subaward Number
- Vendor Data
 - Vendor Information
 - Purchase Details



Vendor Data Elements



Prime Recipient Vendor Basic Requirements (Vendor A)

Prime recipient reports

- DUNS or Name and zip code of Headquarters (HQ)
- Expenditure amount
- Expenditure description

Subrecipient Vendor Basic Requirements (Vendor B)

Prime recipient reports unless delegated to subrecipient

- DUNS or Name and zip code of Headquarters (HQ)



Recipient Reporting Data Model



“Transparency, Accountability, and Oversight”

Recipient Reporting Data Model V3.0

FINAL PRODUCTION RELEASE
- for Quarter Ending September 30, 2022

Note: this model may be adjusted for future reporting cycles

RECOVERY.GOV Recipient Reporting Data Model - For Quarter Ending 9/30/2022

Data Dictionary

The data dictionary describes the data elements specifically required for recipient reporting under the American Recovery and Reinvestment Act of 2009 (ARRA).

Table 1 - Recipient Reporting Data Dictionary

Data Element	Definition	Type	Max Length	Example	Comments	Control	Validation Rules
Funding Agency Code	Business code of Federal Agency that issues the funding code and the ARRA Agency Identifier.	string	4	6600	Federal Agency code is mandatory for Recipient Reporting. The Funding Agency code must be the ARRA Agency Identifier.	AS-RT 2022 Federal Register: 7/19/2022 and the case: March 30, 2022 Initial Release: 9/25/2022 Later Release: HET Social: 7/19/2022	Valid as mandatory field.
Funding Agency Name	The Federal Agency name corresponding to the Federal Agency Code and.	string	60	EMERGENCY FEDERAL PROTECTION AGENCY	Entered from the Funding Agency Code.	AS-RT 2022 Federal Register: 7/19/2022 and the case: March 30, 2022	Valid if it is entered with the Funding Agency Code.
Accounting Agency Code	Business code of the agency that awarded the award, identifying the account holder of the Funding Agency.	string	4	4000	The Accounting Agency code is optional for ARRA Agency Identifier. It may differ from the Funding Agency Code.	AS-RT 2022 Federal Register: 7/19/2022 and the case: March 30, 2022 Initial Release: 9/25/2022 Later Release: HET Social: 7/19/2022	Valid as mandatory field.

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Excel Spreadsheet – Data Fields

Microsoft Excel - FederalReportingTemplate - Grants and Loans

File Edit View Insert Format Tools Data Window Help Adobe PDF

115 05-0108-Salaries and Expenses, Recovery Act

1 Recipient Report: Grant or Loan		
2 Prime Recipient		
3		
4 Reporting Information		
5 Award Type*	Award Number*	Final Report*
6		
7		
8 Award Recipient Information		
9 Recipient DUNS Number*	Recipient Account Number	Recipient Congressional District*
10		
11		
12 Award Information		
13 Funding Agency Code*	Awarding Agency Code*	Award Date*
14		
15 Amount of Award*	CFDA Number*	
16		
17 Program Source (TAS)*	Sub Account Number for Program Source (TAS)	
18		
19 Total Number of Sub Awards to Individuals*	Total Amount of Sub Awards to Individuals*	
20		
21 Total Number of Payments to Vendors less than \$25,000/award*	Total Amount of Payments to Vendors less than \$25,000/award*	
22		
23 Total Number of Sub Awards less than \$25,000/award*	Total Amount of Sub Awards less than \$25,000/award*	
24		
25 Award Description*		

Need Help Finding Award Information?

Browse the Full Listings by using the drop-down lists.

Agency Drop-Down List: 1560 - Office of Justice Programs

Program Source (TAS) Drop-Down List: 05-0108-Salaries and Expenses, Recovery Act

Know the code and want to check the name? Search by Code

Enter Agency Code: 1560

Agency Name: Office of Justice Programs

Enter Program Source (TAS) Code: 05-0108

Program Source (TAS) Name: Salaries and Expenses, Recovery Act

Know the name and want to find the code? Search by Name

Enter Agency Name: Office of Justice Programs

Agency Code: 1560

Enter Program Source (TAS) Name: Salaries and Expenses, Recovery Act

Program Source (TAS) Code: 05-0108

Ready NUM



Excel Spreadsheet – Data Fields

Microsoft Excel - FederalReportingTemplate - Grants and Loans

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B6

	B	C	D	E	F	G
1	<i>Recipient Report: Grant or Loan</i>					
2	Prime Recipient					
3						
4	<i>Reporting Information</i>					
5	Award Type*		Award Number*		Final Report*	
6	+					
7						
8	<i>Recipient Information</i>					
9	Recipient DUNS Number		Account Number		Recipient Congressional District*	
10						
11						
12	<i>Award Information</i>					
13	Funding Agency Code*		Awarding Agency Code*		Award Date*	
14						

Award Type*
Select the award type.

Valid award types are: Grant, Loan, or Federally Awarded Contract.

Other types of Federal financial assistance not specifically identified above should be reported under the award type of Grant.



Excel Spreadsheet – Data Fields

Microsoft Excel - FederalReportingTemplate - Grants and Loans

File Edit View Insert Format Tools Data Window Help Adobe PDF

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A	B	C	D	E
1	<i>Recipient Report: Grant or Loan</i>			
2	Prime Recipient			
3				
4	<i>Reporting Information</i>			
5	Award Type*		Award Number*	Fi
6				
7				
8		Valid award types are: Grant, Loan, or Federally Awarded Contract.	Award	
9	Recipient DUNS Number	Other types of Federal financial assistance not specifically identified above should be reported under the award type of Grant.	Recipient #	
10				

Grant
Loan

If your award document indicates that you received a cooperative agreement, please select Grant.



Department of Justice
Office of Justice Programs
Bureau of Justice Assistance

Cooperative Agreement

1. RECIPIENT NAME AND ADDRESS (Including Zip Code)

East University
Contract and Grant Administration 301 Administration Building
East Pennville, PA 12345-1046

4. AWARD NUMBER: 2009-SX-X1-M002

5. PROJECT PERIOD: FROM 10/01/2009 TO 09/30/2011
BUDGET PERIOD: FROM 10/01/2009 TO 09/30/2011

6. AWARD DATE

7. ACTION

1A. GRANTEE IRS/VENDOR NO.
999999999

8. SUPPLEMENT NUMBER
00

Initial

9. PREVIOUS AWARD AMOUNT \$ 0

3. PROJECT TITLE
Drug Market Intervention Program – Public Awareness and Outreach

10. AMOUNT OF THIS AWARD \$ 1,000,000

11. TOTAL AWARD \$ 1,000,000

12. SPECIAL CONDITIONS

THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).

13. STATUTORY AUTHORITY FOR GRANT

This project is supported under FY09 Recovery Act (BJA – “Byrne Competitive”) Pub. L. No. 111-5, 123 Stat. 115, 130

DRAFT



U. S. Department of Justice
Community Oriented Policing Services
Grants Administration Division
COPS Hiring Recovery Program

Treasury Account Symbol (TAS) 15-09/10-0412

Grant #:

ORI #:

Applicant Organization's Legal Name:

OJP Vendor #:

DUNS#:

Law Enforcement Executive:

Address:

City, State, Zip Code:

Telephone:

Fax:

Government Executive:

Address:

City, State, Zip Code:

Telephone:

Fax:

Award Start Date: 7/1/2009

Award End Date: 6/30/2012

Full Time Officers Funded: 1

New Hires: 1

Rehires - Pre-Application Layoffs: 0



Reporting and Award Recipient Information

<i>Recipient Report: Grant or Loan</i>		
Prime Recipient		
<i>Reporting Information</i>		
Award Type*	Award Number*	Final Report*
<i>Award Recipient Information</i>		
Recipient DUNS Number*	Recipient Account Number	Recipient Congressional District*

Award Number = DOJ Award Number

Example: 2009-SX-X1-M012

Recipient DUNS Number

The DUNS Number associated with your user ID in GMS.

Recipient Congressional District

2-digit number indicating congressional district within your state

Example: Maryland, District 8 = 08



Award Information

Award Information		
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*		
Number of characters entered: 0		

Funding/Award Agency Code
Department of Justice 1500

Program Source (TAS)
OJP 15-0402
OVW 15-0411
COPS 15-0412
ATF 15-0699

Sub Account Number for Program Source (TAS)
Not Applicable for the Department of Justice



Award Information

Award Information		
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*		
Number of characters entered: 0		

Subaward/Vendor Totals

Individuals or Awards Under \$25,000 – Include amount distributed/spent in aggregate totals

\$25,000 Or Over – Provide data for each individual subrecipient or vendor in the subrecipient tab of the spreadsheet



Award Information

Award Information		
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*		
Number of characters entered: 0		

CFDA Number

See webinar handout, available on the launch page.



Award Information

Award Information

Funding Agency Code*	
Amount of Award*	
Program Source (TAS)*	
Total Number of Sub Awards to Individuals*	
Total Number of Payments to Vendors less than \$25,000/award*	
Total Number of Sub Awards less than \$25,000/award*	

Award Description

- General description of award purpose and/or objectives.

Helpful Resources:

- OJP Recovery Act Award Listing:
<http://www.ojp.gov/recovery/awards.htm>
- Abstract of your application

Award Description*	
--------------------	--

Number of characters entered: 0



Project Information

Project Name

Should correlate with the project title on the award document.

Quarterly Activities/Project Description

Similar to narrative provided in regular DOJ progress reports.

Project Name or Project/Program Title*	Project
Number of Jobs*	Description of Jobs Created*
Quarterly Activities/Project Description*	
Number of characters entered: 0	



Project Information

Project Information		
Project Name or Project/Program Title*	Project Status*	Total Federal Amount ARRA Funds Received/Invoiced*
Number of Jobs*	Description of Jobs Created*	
Quarterly Activities/Pr		
Number of characters en		

Programmatic (Not Financial) Completion Status

- Not started
- Less than 50% completed
- Completed 50% or more
- Fully Completed

For awards funding multiple projects or activities, estimate completion of all projects/activities based on any aggregate data and information.



Project Information

Project Information		
Project Name or Project/Program Title*	Project Status*	Total Federal Amount ARRA Funds Received/Invoiced*
Number of Jobs*	Description of Jobs Created*	
Total Federal Amount of ARRA Expenditure*	Total Federal ARRA Infrastructure Expenditure	
Infrastructure Contact Email	Infrastructure Contact Phone	
Infrastructure Contact Street Address 1	Inf	
Infrastructure City	Inf	

ARRA Funds Received = Amount of Recovery Act award funds drawn-down from DOJ (i.e., cash received) by prime recipient.

ARRA Expenditure = Amount of Recovery Act award funds that have been paid out for expenses.



Project Information

Project Information		
Project Name or Project/Program Title*	Project Status*	Total Federal Amount ARRA Funds Received/Invoiced*
Number of Jobs*	Description of Jobs Created*	
Quarterly Activities/Project Description*		
Number of characters entered: 0		

Jobs Data

Number of Jobs: Total number of jobs created, retained and/or overtime calculated as Full-Time Equivalents (FTEs). If accurate, enter "0".

Description of Jobs Created: Details the employment impact captured in the numeric field. DOJ recipients must include a breakdown of FTEs using the categories on slide 35.



Activity Codes

Activity Code (NAICS or NTEE-NPC)*	
1	2
3	4
5	6
7	8
9	10

Activity Codes

Most Projects: NTEE-NPC Codes

Infrastructure Projects: NAICS Codes

See webinar handout, available on the launch page.



Activity Code - NTEE-NPC Code

<http://nccsdataweb.urban.org/PubApps/nteeSearch.php>




NATIONAL CENTER FOR CHARITABLE STATISTICS

Tools - Feedback - Login

Search:

[NTEE - NPC](#) | [View all codes](#) - [Major groups](#) - [NPC Population](#) - [NPC Common](#) - [Help](#)

Number of codes found for 'DRUG ABUSE': 3 Hide Details

F20 - Substance Abuse Dependency, Prevention & Treatment NAICS: 621420 - Largest/examples: [F20](#) - [F2](#) - [Search](#)

Organizations that provide preventive, diagnostic and inpatient, outpatient and residential treatment services as well as transitional support for people who have a physical and/or psychological dependency on alcohol and/or drugs. Use this code for organizations that provide both substance abuse prevention and treatment services.

Key words: Addiction; Alcohol Abuse; Alcoholism; Chemical Dependency; [Drug Abuse](#); Drug Addiction; Substance Abuse; Substance Dependence

See also: Addictive Disorders

F21 - Substance Abuse Prevention NAICS: 621420 - Largest/examples [F21](#) - [Search](#)

Organizations that provide substance abuse education programs for people who are at risk for substance abuse in an effort to prevent their involvement with drugs and/or alcohol.

Key words: Addiction; Alcohol Abuse Awareness; Alcohol Abuse Education; Alcohol Abuse Prevention; Alcoholism; Chemical Dependency; d a r e; D.A.R.E.; DARE; [Drug Abuse](#) Awareness; Drug Abuse Education; Drug Abuse Prevention; Drug Abuse Resistance Education; Drug Addiction; Substance Abuse Awareness; Substance Abuse Education; Substance Abuse Prevention; Substance Dependence

Scope notes: *Affiliate Organizations:* D.A.R.E.

F22 - Substance Abuse Treatment NAICS: 623220 - Largest/examples [F22](#) - [Search](#)

Organizations that provide inpatient, outpatient or residential treatment services for individuals who have a physical and/or psychological dependency on drugs.

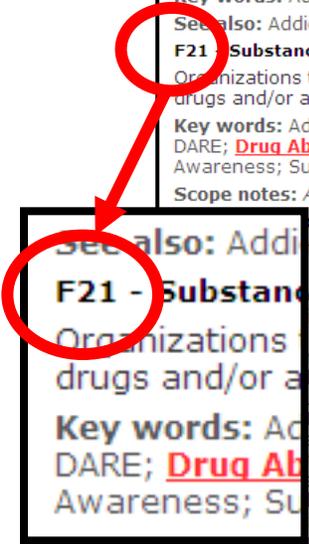
See also: Addictive Disorders

F21 - Substance Abuse Prevention NAICS: 621420 - Largest/examples [F21](#) - [Search](#)

Organizations that provide substance abuse education programs for people who are at risk for substance abuse in an effort to prevent their involvement with drugs and/or alcohol.

Key words: Addiction; Alcohol Abuse Awareness; Alcohol Abuse Education; Alcohol Abuse Prevention; Alcoholism; Chemical Dependency; d a r e; D.A.R.E.; DARE; [Drug Abuse](#) Awareness; Drug Abuse Education; Drug Abuse Prevention; Drug Abuse Resistance Education; Drug Addiction; Substance Abuse Awareness; Substance Abuse Education; Substance Abuse Prevention; Substance Dependence

Scope notes: *Affiliate Organizations:* D.A.R.E.





Activity Code - NAICS Code (Infrastructure Projects)

<http://www.census.gov/eos/www/naics/>

The screenshot shows the U.S. Census Bureau website for the North American Industry Classification System (NAICS). The page features a search bar on the left with a red box around the '2007 NAICS Search' button. The main content area displays search results for the keyword 'jail', with a red circle around the first result, '236220 Jail construction', and a red arrow pointing to a larger red-bordered box containing a detailed list of results.

U.S. Census Bureau

People | Business | Geography | Newsroom | Subjects A to Z | Search@Census

North American Industry Classification System (NAICS)

Main | FAQs | History | Development Partners | Federal Register Notices | Product Classification

NAICS SEARCH

Enter keyword or 2-6 digit code

2007 NAICS Search

Enter keyword or 2-6 digit code

2002 NAICS Search

2007 NAICS KEY WORD SEARCH

Search results for: jail
Number of records found: 4

- [236220](#) Jail construction
- [561210](#) Jail operation on a contract or fee basis
- [561210](#) Jails, privately operated
- [922140](#) Jails (except private operation of)

DOWNLOADS / REFERENCE FILES / TOOLS

- [For 2007 NAICS](#)
- [For 2002 NAICS](#)
- [Concordances](#)
- [NAICS Update Process Fact Sheet \[PDF 37K\]](#)

[236220](#) Jail construction

[561210](#) Jail operation on a contract or fee basis

[561210](#) Jails, privately operated

[922140](#) Jails (except private operation of)



Project Information

Total Federal Amount of ARRA Expenditure*	Total Federal ARRA Infrastructure Expenditure	Infrastructure Contact Name
Infrastructure Contact Email	Infrastructure Contact Phone	Infrastructure Contact Phone Ext
Infrastructure Contact Street Address 1	Infrastructure Contact Street Address 2	Infrastructure Contact Street Address 3

Infrastructure: As a general guideline, DOJ defines infrastructure as projects requiring “bricks & mortar,” that is, projects resulting in, or directly and substantially affecting, a tangible physical structure; or other similar construction, repair, or major renovation projects.

Projects that require review under applicable environmental laws are likely to be considered infrastructure.

Examples: Building or renovating a correctional facility; building a road; modifying the exterior of a building; modifying the purpose of a building through major renovation.

Additional Data Elements

- Activity Code: Use NAICS Codes
- Infrastructure Expenditures
- Purpose and Rationale



Recipient Highly Compensated Officers

Recipient Highly Compensated Officers			
Prime Recipient Indication of Reporting Applicability*	#	Officer Name	Officer Compensation
Yes/No	1		
	2		

Provide the names and total compensation of the five **most** highly compensated officers of the recipient entity if -

- the recipient in the preceding fiscal year received -
 - 80 percent or more of its annual gross revenues in Federal awards;
 - and**
 - \$ 25,000,000 or more in annual gross revenues from Federal awards;
 - and**
- the public does not have access to information about the compensation of the senior executives of the entity through periodic reports filed under SEC or IRS regulations or posted on a public website.

Total Compensation: The complete pay package of each of the recipient’s compensated officers, including all forms of **money, benefits, services, and in-kind payments** (see SEC Regulations: 17 CCR 229.402).



Subrecipient and Vendor Data

Microsoft Excel - FederalReportingTemplate - Grants and Loans

File Edit View Insert Format Tools Data Window Help Adobe PDF Type a question for help

J3

1 **Recipient Report: Grant or Loan**

2 **Sub Recipient**

3

4 **Reporting Information**

5 **Award Type*** **Award Number*** **Recipient DUNS Number*** **Final Report***

6

7

8 **Sub Recipient Information**

9 No. **Sub Recipient DUNS Number*** **Sub Award Number*** **Sub Recipient Congressional District*** **Amount of Sub Award***

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Ready

Instructions Prime Recipient **Sub Recipients** Vendors

Instructions Prime Recipient **Sub Recipients** Vendors

NUM

Subrecipient and vendor data are entered in a separate tab, using a table format.

Fields are similar to those for prime recipient.



Subrecipient Data Elements

- Prime recipient data elements that the subrecipients **must** have
 - Prime recipient award type
 - Prime recipient DOJ grant number
 - Prime recipient DUNS number
- Subrecipient DUNS number
- Subrecipient congressional district
- Amount of subaward and date of subaward
- Street address of subawardee
- Place of performance
- Top 5 most highly compensated officer name and compensation (if applicable)
- Vendors ID information



Submitting Reports



Important Dates

- www.FederalReporting.gov Opens October 1st at 12:00 Midnight (ET)
- Reporting Closes October 10th at 11:59 p.m. (ET)
- Data may be publicly released (by www.Recovery.gov) **any time beginning October 11th** (before validation and review have been completed).

Failure to submit a report on or before the 10th day after the reporting period will be considered a failure to report (non-compliance) and may jeopardize access to funding.



Federal Reporting Registration

1. Identify which individuals will need **user accounts** (generally, only those entering, reviewing, submitting, or editing data).
2. Verify that your organization has
 - Requested and received a **Tax or Employer ID Number** (TIN or EIN).
**Required for CCR Registration*
 - Registered in the **Central Contractor Registration** (CCR).
**Required for prime recipients; Highly recommended for subrecipients.*
 - Requested and received a **DUNS number** from Dun & Bradstreet

Note: These processes can take a total of up to 8 business days.

3. Verify/Update CCR registration data, including **Point of Contact** (POC) identity and email address.
4. Provide assigned users with the required registration data
 - DOJ Recovery Act **award numbers** (Prime Award)
 - **DUNS number** associated with your award.
 - Valid **E-mail Address**



FederalReporting Security Features

- Users are associated with an organization based on the **DUNS number** used to register.
- A FederalReporting PIN (**FRPIN**) number is automatically created for each DUNS number.
- The **DUNS Administrator** is automatically created and assigned to the Point of Contact (POC) listed in CCR.
- Users must send an **FRPIN request** to their organization's **DUNS Administrator** to obtain the FRPIN.
- Users must enter the **FRPIN** number in order to submit a report.

Note: If your organization has multiple DUNS numbers, you will have multiple FRPINs.



DUNS Administrator

- www.FederalReporting.gov automatically creates a user profile for the POC listed in CCR and assigns them DUNS Administrator privileges.
- www.FederalReporting.gov sends an email to the POC (using the address listed in the CCR) with a temporary password and their assigned FRPIN.

DUNS Administrator Responsibilities

- Remove unauthorized users associated with your DUNS number.
- Approve or deny FRPIN requests from registered users within your DUNS organization.
- Delegate DUNS Administrator responsibilities to a different user within the system (optional).

Limitations for Subrecipients Without a CCR Registration

- Subrecipients without a CCR Registration will not be able to manage their FRPIN. [FederalReporting.gov](http://www.FederalReporting.gov) will email the FRPIN directly to all users who request it.



Select Report Submission Format

Web-based Form: Registered users log in to www.FederalReporting.gov and manually enter data into an online form.

Excel Spreadsheet (.xls): Download a pre-formatted template from www.FederalReporting.gov. Save the template to a local drive; enter and edit data. Log in to www.FederalReporting.gov and submit the report by uploading the completed spreadsheet.

Extensible Markup Language (XML) Extract: Download the XML schema from www.FederalReporting.gov. Use the schema to export required data from your existing information system. Log in to www.FederalReporting.gov and run the exported data through the validation tool before uploading data.



Reviewing & Releasing Data



Review Timelines

Days 1-10: Draft Data Review

- Prime recipients and delegated subrecipients can access, review, and update their own data in draft form prior to final submission.

Days 11-21: Prime Recipient Review

- Prime recipients review and comment on reports submitted by subrecipients (delegated). Prime recipients can also review and update their own reports.
- Subrecipients will respond to comments and update reports as necessary.
- ***All changes will be recorded in the audit trail as new report versions.***
- ***All data will be locked to recipients at 11:59 p.m. (ET) on day 21.***

Days 22-29: Federal Agency Review

- DOJ grant managers will review and comment on reports submitted by recipients.
- ***DOJ can unlock records for a period of up to 6 days to allow recipients to update data.***



Prime Recipient Review Requirements

Scope of Data Quality Reviews

- **Accuracy, Completeness, and Timely Reporting**
- **Avoidance of Material Omissions**
Instances where **required data is not reported** or reported information is not otherwise **responsive to data requests** resulting in significant risk that **the public is not fully informed** as to the status of the project or activity.
- **Avoidance of Significant Reporting Errors**
Instances where required data is **not reported accurately** and such erroneous reporting results in significant risk that **the public will be misled or confused** by the recipient report in question.



Prime Recipient Review: Additional Internal Controls

- **Data review protocol or automated process** that identifies incongruous results (e.g., total amount spent on a project or activity is equal to or less than the previous reporting).
- **Cross-validation** of data to identify and/or **eliminate potential “double counting”** due to delegation of reporting responsibility to subrecipient.
- **Control totals** (e.g., total number of projects subject to reporting, total dollars allocated to projects) and verifying that reported information matches the established control totals.
- **Estimated distribution** of expected data along a “normal” distribution curve and identifying outliers.



Prime Recipient - Data Quality Checks

Verify control information

- Number of submissions does not exceed number of unique subrecipients
- Amount of subawards reported does not exceed total of prime award made

Check for material omissions

- Data are not reported (e.g., percent of project completed, estimated number of jobs)

Check for reporting errors

- Subrecipient reports 100% project completion, but has received minimal funding
- Subrecipient reports expenditures in excess of total amount of subaward
- Reported values show a decrease from a prior reporting period

Look for outliers

- Expended amounts reported by subrecipients are significantly over or under anticipated amounts
- Number of jobs created falls well outside the range of the number of jobs created for awards of similar value and purpose

Verify Correct Identifying Data

- Correct DOJ award number
- Correct DUNS number



DOJ Review - Day 22-29

- DOJ will review the data for **material omissions** and **significant reporting errors**.
- DOJ will verify the data submitted through information requests during **desk reviews and/or on-site monitoring**. Remember to maintain all **supporting documentation**.
- DOJ reserves the right to take appropriate action to address **non-compliance** with the reporting requirements.



Data Release

- Final data will be **publicly released** through www.Recovery.gov **no later than the 30th day**.
- Draft data may be released as early as the 11th day.
- Reports will indicate Federal Agency review status:
 - Not Reviewed by Federal Agency;
 - Reviewed by Federal Agency, no material omissions or significant reporting errors identified; and
 - Reviewed by Federal Agency, material omissions or significant reporting errors identified.

Note: Uncorrected data instances will be made public on www.Recovery.gov. Prime recipients are responsible for the quality of the data.



Getting Help



Need More Help?

- **www.FederalReporting.gov Helpdesk**

Phone: 877-508-7386

TTY: 877-881-5186

Email: Support@FederalReporting.gov

- **Federal Reporting FAQs - www.federalreporting.gov/federalreporting/faq.do**

- **DOJ Grant Manager**

- **DOJ Recovery Website - www.usdoj.gov/recovery/**

OJP Recovery Website - www.ojp.usdoj.gov/recovery/

COPS Recovery Website - www.cops.usdoj.gov/Default.asp?Item=2208

OVW Recovery Website - <http://www.ovw.usdoj.gov/recovery.htm>

- **DOJ Recovery Act Job Creation/Retention Guidance – <http://www.usdoj.gov/recovery/pdfs/jobs-guidance.pdf>**

- **DOJ Recovery Act Webinar- <http://www.ojp.gov/recovery/rawebinar.htm>**

- **Recovery Act - www.Recovery.gov**

- **OMB Recovery Act Guidance - www.whitehouse.gov/omb/recovery_default/**



Training

The COPS Office will offer, at no cost, interactive online grant management and community policing courses to all COPS Hiring Recovery Program (CHRP) grantees. The course will be available beginning in October 2009. For more information and to register for these course, please visit www.cops.usdoj.gov/Default.asp?Item=2268.

OJP Regional Financial Management Training Seminars

- September 16-17, 2009: Albuquerque, NM (Tribal)
- October 7-8, 2009: Baltimore, MD (Recovery Act Recipients)
- November 4 - 5, 2009: Dallas, TX
- November 17-18, 2009: San Antonio, TX (Recovery Act Recipients)
- December 1 - 2, 2009: Washington, DC
- December 9-10, 2009: San Diego, CA (Recovery Act Recipients)



Q&A