Department of Energy (DOE) Webinar Transcript Recipient Reporting in FederalReporting.gov for Grant, Loan and Cooperative Agreement Recipients

Welcome to the Department of Energy's webinar on recipient reporting in FederalReporting.gov for grant, loan and cooperative agreement recipients. Today we're going to cover basic background on the Recovery Act. We'll talk in more detail about OMB reporting requirements in FederalReporting.gov. We'll talk about the timeline, jobs guidance, the actual application FederalReporting.gov, the resources that we have available to you on the DOE website, and finally we will do a field by field review of the reporting template.

On February 17, 2009, President Obama signed the American Recovery and Reinvestment Act and the real purpose of that act was to stimulate the economy and create and retain jobs. Part of the Recovery Act, Section 1512, covers reporting requirements for recipients. These reporting requirements, which we're going to talk about today, are designed to answer a few questions:

- Who is receiving Recovery Act dollars and in what amounts?
- What projects or activities are being funded with those Recovery Act dollars?
- What is the completion status of such projects or activities and what impact have they had on job creation and retention?

All that information, the answers to those questions, is posted on www.recovery.gov to provide the public with an unprecedented level of transparency as to how federal dollars are being spent.

So, who needs to report?

All prime Grant, Loan and Cooperative Agreement recipients whose awards were signed by DOE on or before the last day of the calendar quarter must report. Even if the very last day of the calendar quarter you received your award, you still need to report the following week. You may be reporting that you have spent no money, have created no jobs, and have not started yet, but you still need to file a report.

Reporting continues quarterly and is cumulative with the exception of jobs and we will go into that with more detail later. Finally, there are additional reporting requirements that may be imposed on you by DOE or other reporting requirements. Reporting into FederalReporting.gov does not exempt you from any other reporting requirements. And if you have question on the program-specific reporting requirements, please contact your contracting officer.

The schedule has changed. The schedule is usually posted at the very end of a calendar quarter on www.federalreporting.gov. The phases of the schedule do not change, so as soon as you get your award you can register. Early registration is encouraged. You just go onto FederalReporting.gov and we will talk about that in a little more detail in a minute. The report period starts on the first day of the month following the end of the calendar quarter. There is an initial reporting period. This is the reporting period where you must submit a report. Following the close of the reporting period is a day or two of a Prime Recipient Review period. This is when you can go back and look at the report you have entered and make corrections to that report, but you cannot enter any new reports after that point. If you don't report during the initial reporting period, you will not be able to report for that quarter and you will be considered a non-reporter. So it is very important that you report. Just remember, even if you don't have all the information for the report, as long as you get a report in, you are going to have until the end of the month to make corrections to that report before it is made public.

Following the Prime Recipient Review is the Federal Agency Review. This is when your projects officer and the various agency officials have the ability to look at your report and make comments on it. You may be getting contacted with questions or asked to make certain changes to your report. This period usually only lasts about a week, so please make sure that you respond as promptly as possible so that data can be corrected. Reports are made public on the 30th day of the month following the end of the calendar quarter and that is when the data is all published on www.recovery.gov for the public to see. For exact dates, please check with www.recovery.gov.

As a prime recipient, what do you need to report?

You need to report the data related to yourself as a prime recipient, and we will go through those fields in detail later. You also need to report data related to your sub-recipients. There is some information, and we will talk about specifics later, that you can delegate to your sub-recipients. The exception is the number of jobs for your sub-recipients; you do need to report along with your prime created jobs. Finally, you need to report data related to your vendors.

What is the difference between a sub-recipient and a vendor? If you look at this example of a state: the sub-recipient is usually a weatherization agency (a community action agency or a local government); and the company that the sub-recipient buys insulation from would then be the vendor.

Sub-Recipient Reporting:

Any sub-awards less than $25,000; you need to report on behalf of that sub-recipient. But, your sub-recipients that have $25,000 or greater, you can delegate your reporting to those recipients. They can put in the amount of sub award, the total sub award funds dispersed, the date of the sub award, their place of performance, and their highly compensated officers. What we do ask is that if you choose to delegate, make sure your recipients know what the decision is as to whether you're going to delegate or not. You are ultimately responsible for making sure the sub recipient report is there and not duplicated. Make sure you coordinate with your sub-recipients and you know which one of you will be reporting on that sub award.

Jobs Guidance:

You need to report actual direct jobs, reported as an FTE. Direct jobs are defined as those directly funded by the Recovery Act or those that will be reimbursed with Recovery Act money. We will get into more detail about that in the next slide.

Job calculations are only based on the reporting quarter. So that calendar quarter that you are reporting on, they are not cumulative. If you have a cost share or cooperative agreement, you need to calculate your jobs based only on the portion of funds attributed to the Recovery Act. We will show you that in just a minute.

So this is the calculations. The formula is: the total number of hours worked and funded by the Recovery Act within the reporting quarter divided by the quarterly hours in a full-time schedule. Note: any hours that were worked that will be reimbursed with Recovery Act money can also be counted.

So, the total number of hours worked and funded by or will be funded by the Recovery Act within the reporting quarter divided by the quarterly hours in a full-time schedule gives you the number of hours to report.

The first step is to calculate your denominator and you can use that again for subsequent quarters. The first piece you take is what is what is a full time work week? In this example we have used 40 hours; your industry may have a different standard in which case you can substitute a different number there.

In this example, you have 40 hours in a full-time work week times 52 weeks a year equals 2080 hours per year. You divide the 2080 annual hours by four quarters in a year and you come up with a denominator of 520 quarterly hours.

The next step is to collect the total number of hours worked and funded by the Recovery Act within the quarter. In this example, we have two employees at the prime level and two employees at the sub level. Employee number one worked 520 hours in the quarter and employee two worked 260 hours. Employee number three worked 100 hours, and sub-employee B worked 520 hours for a total of 1400 hours. If you go back to step three, you take 1400 hours worked and funded by the Recovery Act , that's your numerator. Divided by 520 hours in a full-time schedule gives you 2.7 jobs, and that is what you would report in the number of jobs when you go to report.

If you have a cooperative agreement or cost share, you need to report the jobs only on the portion that is Recovery Act funds. In this example we have a $100M project of which $50M was provided by DOE in Recovery Act funds and $50M is private investment. DOE's share of the award is 50% ($50M/$100M). At that point what we are going to do is take that share and multiply it by the 2.7 jobs from the previous example and in this case you would report 1.35 jobs.

Registering on FederalReporting.gov:

As previously stated, as soon as you get your award it's important to go ahead and register in FederalReporting.gov. You must have a DUNS number to register and your company's DUNS number must be registered in the central contractor registration database, the CCR. Please check your company's information in the CCR to confirm it is accurate. Tip 1: Once you register, an FRPIN will be sent and you need the FRPIN in order to submit a report in FederalReporting.gov.

Without that pin you can't submit your report. It will be sent to the company representative who is listed as the contact in CCR. That may or may not be the person who is registered in FederalReporting.gov, so please make sure you check CCR and know who that person is to be sure you get the FRPIN.

Tip 2: CCR requires an annual renewal. An active registration in CCR is required to submit and update reports. You can find out more information on renewing your registration on www.ccr.gov. We recommend that if you have a renewal date that is before or during a reporting period that you renewal as soon as possible. It is much easier to renew an active CCR registration than it is to reinstate an expired one.

There are three methods that you can use to report into FederalReporting.gov:

1. The first is an Excel spreadsheet which we will show you in a minute. You fill out the spreadsheet and you can upload it to FederalReporting.gov. You can get that spreadsheet by going to "Download Templates" on Federal Reporting.gov. You click on that and you are going to download a zip file with two documents in it. Make sure you select the grant and loan version. Even if you are a cooperative agreement, don't select the contract one, select the grant and loan version and be sure you've got the right version. Also, there is a validation tool available on FederalReporting.gov where you can upload your completed report to make sure it was processed properly. Just note: You will get an email that indicates it's been validated, that doesn't mean it has been submitted it. You have to make sure you submit it. Even if it has passed the validation tool, you still have to submit the report for it to be entered in the system.
2. For the most tech savvy of you, there is an XML option. You can download that right below the Excel template and complete and upload it.
3. The final option is an online form. You can go through screen by screen and enter the information directly into the web browser. A lot of users tend to use this option after the first time because there is a copy forward function where you can copy your report from last quarter forward and then all you need to do is change the key elements that have changed; the number of jobs, your expenditures, project status, and the activities for the quarter.

When are you finished reporting into FederalReporting.gov?

You need to continue to report quarterly until all of the following criteria are met:

- All the Recovery Act funds have been received through drawdown, reimbursement, or invoice
- The project is complete, and
- You have submitted a report into FederalReporting.gov that has the project status field is marked "Fully Completed" and the final report field is marked "Y" for yes.

DOE Resources for Recipients

We have a lot of resources available for you on the DOE website and that's at www.energy.gov/recovery/arrareportingrequirements and we will show you that in a few minutes. Included on there is the Federal Recipient Reporting Information Spreadsheet. It's a great resource for you with a lot of the codes, numbers and information you need to report. You don't need to go searching for it on your award document; we've provided it all there for you. We also have field by field guidance that's written there that you can keep track of and there is information on contacting the Clearinghouse who can answer your questions. We'll go through that again in a minute.

This is the regular energy recovery website and from here if you go to the help screen, and "Help with FederalReporting.gov", this takes you to that URL I mentioned a minute ago. This is our webpage. Right in the middle is the Federal Reporting Recipient Information Spreadsheet. This spreadsheet has lots of great information that will help you complete your report.

We'll take a look at it. This is the spreadsheet. Under "Awardee Name" look yourself up and it provides your award number, the type of award—if you have a cooperative agreement it will say grant because that is what you need to report as, the amount of your award, the cost and payments from our systems, we've marked whether you've registered or not that is based on the DUNS number, the project that your award is associated with, we have your DUNS number.

And now we start getting into a lot of these codes that you may not have. The CFDA code is provided to you. The Award Date, this is the date the DOE signed the agreement. We have the Awarding Agency Code and the Funding Agency Code. For the vast majority of you this is going to be 8900. Unless you are told otherwise or you see something else, you will see this number. We have the Program Source code here as well and will probably begin with 89. And the CCR Renewal Date. We are providing this to you to help you check whether your CCR needs to be updated. And that needs to be renewed before the reporting period starts.

Going back to the website, if you look at the top in the middle you will see a Frequently Asked Questions section which is very comprehensive to answer questions that you have. Moving farther down below, we have the webinar videos, the associated transcripts, and the Power Point presentation. On the right, is additional documentation including the instructions for grant and loan recipients this is field by field guidance for you on how to complete your report including each field, what the definition is of that field and where you can find that information.

We have also got links to the OMB related guidance, links to specific departments including the Department of Science guidance and links to the Data Dictionary. Over on the left hand side under "Help" you will see, the DOE Recovery Act Clearinghouse. The Clearinghouse is a great resource to help you answer question you have about reporting. They are open 9 a.m. to 7 p.m. Eastern Time. We will give you their contact information at the end of this presentation.

With that we will move over to the template. What we are sharing with you is the Excel template. You can use any of the three options for reporting. The Excel template is the easiest way for us to show you what the reporting looks like.

If you look up at the top it says Recipient Report: Grant or Loan. You need to make sure that it says that and it doesn't say Contract, so you are using the right form.

Under Award Type it is a drop down menu. Anytime in this Excel spreadsheet you have a drop down menu you have to go in, scroll down and select from the menu. Note: If you are a cooperative agreement you need to choose the award type of Grant.

The next field is the Award Number. Again we've provided that to you on the DOE Recipient Information spreadsheet.

F6 is the Final Report. As I mentioned earlier this means if you put "Y" for yes, you have finished your project and this is the last report, ever, you are going to be filing in FederalReporting.gov. If this is just a quarterly report and you plan to file again next quarter you need to mark it as "N".

The next field is the Recipient DUNS number.

The next field is the Recipient Account Number. If you have an internal tracking number that you want to use, you can put it there, but that field is optional.

Next is the Recipient congressional District. This is the two-digit code for the congressional district. Note: there is going to be an edit on here and FR.gov is going to be looking to the zip code associated with the DUNS number you've entered in CCR to determine if the congressional district is accurate or not.

Funding Agency Code and Awarding Agency Code, as I said before, for most of you this will be 8900. You will have to scroll all the way down. It is the same for Awarding Agency Code.

The Award Date is the date it was signed by DOE.

The Amount of Award is the total amount of the award of the Recovery Act funds on your award.

The CFDA number and the Program Source are provided for you in that Recipient Information Spreadsheet.

The Sub Account Number for Program Source is an optional field. You can leave it blank.

The Total **Number** of Sub Awards to Individuals and Total **Amount** of Sub Awards to Individuals, the same thing works here as for the next couple of fields. The number is a count of the sub awards to individuals and the total amount is the dollar value associated with those counts. And these numbers are cumulative, since the beginning of the agreement.

The same with the Total **Number** of Payments to Vendors less than $25,000 and the Total **Amount** of Payments to Vendors less than $25,000, it is a count and then a dollar amount and is cumulative.

Finally, the same for Total **Number** of Sub Awards less than $25,000 and Total **Amount** of Sub Awards less than $25,000. It's a count and a dollar value.

The next section is the award description and this is a text field where you get to describe what your award is all about and what you are doing. Remember, this is going to be published on www.recovery.gov and this is your face to the public on what you are doing. Please take care to use complete sentences, check your spelling and grammar, and make sure that you are really doing a good job of succinctly articulating to the public what it is you are accomplishing.

This next field is the Project Name or Project/Program Title. We've provided it to you in the Recipient Information Spreadsheet.

Project Status is a drop down field and you only have four choices: Not Started, Less than 50% completed, Completed 50% or more, and Fully Completed. Please pick the one that is most appropriate. If you are putting together your Final Report and you are putting yes in the Final Report field, then we are going to expect the Project Status to say "Fully Completed."

The next field, Total Federal Amount ARRA Funds Received/Invoiced. You need to focus on the word "received". This is the payments you have received from the Department of Energy with Recovery Act money.

The next field is the Number of Jobs, please use the calculation that we provided you earlier for the prime and sub level and the number you come up with by taking the total number of hours worked and funded by the Recovery Act within the quarter divided by the number of hours in a full time quarterly schedule and that is the number you put there.

Description of Jobs Created is another text box and it will be published on recovery.gov so please take care to make sure that your spelling and your grammar are all accurate.

The same for the Quarterly Activities/Project Description, it is a description of what you have done in the preceding quarter. Again, please make sure that you take the time to properly polish your text.

Activity Codes, there is space here for ten, but you only have to enter one. One is fine. If you determine your project is infrastructure related you need to use one of the NAICS codes. Note: there is no formal definition of infrastructure so you need to use your judgment whether your project is infrastructure or not. If you determine your projects is infrastructure you need to pick a NAICS code and there is a look up table on the right that you can use to find the best one for you. If your project is not infrastructure related you need to use the NTEE codes that are at the bottom of the drop down menu. Here are the codes we recommend you use. If you do not catch them here in the webinar, they are also on the Recipient Reporting Supplemental Instructions on the website.

For environmental awards use C01, for science and technology awards use U01, for weatherization L03.04, and for energy resource programs that conserve existing energy resources, ensure efficient use of available energy and develop new energy sources while protecting the quality of the environment, use C05.02. If none of above codes fit, use Z99 at the very bottom.

The next field is Total Federal Amount of ARRA Expenditure. You need to think about this as what have you spent so far in the project. What are you accrued cost. For some of you this may be more that what you have received so far if you haven't drawn down and you've paid out. And for some of you it may be less if you've taken an advance on the money. What have you actually spent on the project and what have you accrued in expense on the project total (cumulatively) as of the end of the calendar quarter.

The next sections apply only if you have selected infrastructure. If you have determined that you have infrastructure then you need to mark your infrastructure expenditure here. Indicate what of the total amount of expenditure, to date, has been for infrastructure. You need to provide contact information related to that infrastructure project. Note: Anytime you see an address, State has a drop down menu and the zip codes are always looking for the five-digit zip code plus the four-digit extension but without the dash in between.

Infrastructure Purpose and Rationale is another text field where you can describe the infrastructure project. Again, please make sure that you check what you have written and be sure it has been spell check, etc. as it will all be published for the public.

The next section is Primary Place of Performance. This is where you put the primary place of performance, where the work is being done. We recognize there may be more than one place of performance; however, there is space in this form for only one. So you need to use your judgment as to which one is primary. Again, State is a drop down menu and the Zip Code is the nine digits without the dash. The Congressional District needs to match the zip code provided. You can look that up at the U.S. Postal Service site and in the supplemental instructions on the DOE website we provide a link to that. The Country is also a drop down.

Next is Recipient Highly Compensated Officers. The first field you look at is the Prime Recipient Indication of Reporting Applicability and it is a drop down, yes/no. To put "Yes", all of the three following criteria must apply:

1. The recipient received 80% or more, in the last fiscal year, of its total gross revenue from the Federal government, and
2. There was $25 million or more in annual gross revenue from the federal contracts, loans, grants, and cooperative agreements. That is total revenue, not just Recovery act, and
3. There is no other public access to executive compensation.

So if the answer was yes to the first two, but you are a public company and you already reported to the FTC, then that would make it a "No." You only put "Yes" if all three of these criteria apply. And if they do, and you put "Yes," then you need to put in the officers names and their total compensation. If the answer is "No," then you can move on to Sub-Recipient Reporting.

You can see down at the bottom there are tabs to Sub-Recipient Reporting. Again, whatever you decide, make sure your Sub-Recipients know if you will be reporting for them or whether they are responsible for reporting it into FederalReporting.gov.

Row 6 at the top is all information related to the Prime Award. The Award Type is the award type from the previous page, the information for the Prime. The Award Number is the Prime recipient's award number in this field, and the Prime recipients DUNS number.

Starting in Row 10 is where you get to the information on your Sub-Recipients. Every Sub-Recipient with $25,000 or more, per award, needs to be in this row. You put the Sub Recipients DUNS Number, the Sub Award Number (the number provided by the prime to the sub), the Sub-Recipient Congressional District, the Amount of the Sub Award, the Total Sub Award Funds Dispersed to date (a cumulative number), the date of the Sub Award, the Place of Performance (if there is more than one, use your best judgment on which one is primary). The State is a drop down menu. The Zip Code, again leave out the dash between the five-digit zip and the four-digit extension. The Congressional District is a two-digit code that you can find at the U.S. Postal Service site to look that up. Country is also a drop down menu.

Sub-recipients are also required to state applicability on highly compensated officers. The same three rules apply; 80% or more of total revenue coming from the Federal government, $25 million or more in annual gross revenue from the Federal government, and there is no other public access. If the answer for the sub-recipient is yes to all three then they put "Yes," and they put each officer's name and their compensation. If the answer to any one of those three is no, then they can put "No" and move on to the next sub-recipient.

Finally, the final tab in here is the Vendor Reporting. As with the Sub-Recipient reporting, Row 6 is for the Prime Award number. That is where you put the prime award number from the prime recipient page. Row 9 is where you start the vendor reporting. This is for vendors with a single payment greater than $25,000. You put the Sub-Award Number and it is only required if the vendor is a vendor of the sub-recipient. The Vendor's DUNS Number is preferred. If you do not have the vendor's DUNS number, then the name of the vendor and the nine-digit zip code is acceptable. There is an opportunity to put the Product and Services Description and the Payment Amount to that vendor. Once you are done with that, you move on to the next vendor.

That is it for the reporting for grant, loan and cooperative agreement recipients into FederalReporting.gov.

Going back again, we have these resources available to you. Please check out the DOE website. We have contact information here for the Recovery Act Clearinghouse. As I said before, they are open Monday through Friday from 9 a.m. to 7 p.m. Eastern. You can call or email them with your questions and they can help you answer and navigate your questions about reporting so you can successfully report.

Finally, we want to hear your Recovery Act success stories. Please send text stories, pictures and videos to the links provided here so we can share your Recovery Act success stories.

Thank you for your time. We look forward to you reporting into FederalReporting.gov.