

DOE Supplemental Instructions for OMB Section 1512 Reporting – For Grant and Loan Recipients

Quarterly reporting through FederalReporting.gov

December 21, 2009





January 2010 Reporting Timeline

Date	Action
Ongoing	Registration open for FederalReporting.gov
January 1, 2010	Reporting Period Begins
January 22, 2010*	Reporting Period Ends – No new reports can be entered after 11:59 PM PST on this date. Special extension granted until January 22.
January 23, 2010	Prime Recipient Review begins and ends– Only corrections to existing data can be made. Review period now one day due to special extension.
January 23, 2010	Prime Recipient Review ends. No updates may be made after 11:59 PM PST on this date. Review period now one day due to special extension.
January 24, 2010	Federal review of data begins –Recipients may be contacted to answer questions about the reports and/or be asked to make corrections. Data can be corrected only if unlocked by Agencies. Review period start now January 24 due to special extension.
January 29, 2010	Agencies must complete review status and comments. No updates may be made after 11:59 PM PST on this date.
January 30, 2010	Reports published on Recovery.gov

* Special Extension to January 22nd was announced on January 15. Note: New reports entered between January 16 and 22 will be considered late reports.



Three Methods to Report through FederalReporting.gov

Excel spreadsheet

- Spreadsheet is available on FederalReporting.gov
- Form can be downloaded, completed by the recipient, and then uploaded
- Validation tool available

Custom software system extract in XML

- Recipients with sufficient technical experience may choose to submit a properly formatted Extensible Markup Language (XML) file for their report submission
- XML file can be downloaded, completed by the recipient, and then uploaded

Online Form

- Form allows recipient to complete reporting online through FederalReporting.gov

The screenshot shows the FederalReporting.gov homepage with a navigation menu (Home, About, Downloads, FAQ, Help) and three main sections: 'Log In' with fields for User ID and Password, 'Not Registered?' with a 'Register Now' button, and 'Download Templates' with buttons for 'Microsoft Excel' and 'XML Schema'. A list of news items is visible on the right side.

Download the Excel and XML Schema templates from the FederalReporting.gov homepage

Login to FederalReporting.gov to begin the online form

The screenshot shows a form titled 'Select Report Type' with the instruction 'Use the options below to choose the type of ARRA report you would like to create.' Below this is a 'Report Type' section with a 'Select Report Type' label and radio button options for 'Award Type', 'Contract', 'Grant', and 'Loan'. The 'Award Type' option is selected.



Overall Reporting Guidance

- All reporting should be cumulative from the start of the award, with the exception of Jobs calculations.
- Jobs calculations are no longer cumulative and are based on the reporting quarter. An example is included in this presentation.
- Program offices may offer supplemental guidance.
- Any updated guidance from the previous reporting period is highlighted in yellow with a textured background.
- This guidance is subject to change in future quarters as OMB issues new or clarifying guidance. We will notify all of DOE's ARRA recipients of any changes.



Prime Recipient Fields

Reporting Information

Field Name	Definition/Guidance	Where can I find it?
Award Type	<p>Grant: Award of financial assistance from a Federal agency to a recipient to carry out a public purpose.</p> <p>Loan: A disbursement of funds by the Government to a non-Federal borrower under a contract that requires the repayment of such funds with or without interest.</p>	On award letter and on DOE website, Federal Reporting Recipient Information
Award Number	The award number assigned by the awarding Federal Agency	On award letter and on DOE website, Federal Reporting Recipient Information
Final Report	Select "N" unless 100% of awarded funds have been expensed	Determined by recipient



Prime Recipient Fields

Award Recipient Information

Field Name	Definition/Guidance	Where can I find it?
Recipient DUNS Number	The prime recipient organization's nine-digit Data Universal Numbering System (DUNS) number or Central Contractor Registration plus 4 extended DUNS number.	On DOE website, Federal Reporting Recipient Information
Recipient Account Number	Optional for internal Recipient use only	
Recipient Congressional District	Two digit code	Congressional District code can be found at: http://www.govtrack.us/congress/find_yourreps.xpd .



Prime Recipient Fields (continued)

Award Information

Field Name	Definition/Guidance	Where can I find it?
Funding Agency Code	DOE is 8900. Individual program offices may designate specific office codes for recipients to use.	8900 or code provided in program specific guidance
Awarding Agency Code	DOE is 8900. Individual program offices may designate specific office codes for recipients to use.	8900 or code provided in program specific guidance
Award Date	Date (month, day, year) that the award was signed.	On award letter and on DOE website, Federal Reporting Recipient Information
Amount of Award	<p>Grants: The total amount of Federal dollars on the award (total face value of award)</p> <p>Cooperative Agreements :The DOE share of the face value of the Recovery Act award</p> <p>Loans: The total amount of the loan obligated by the Federal Agency. This is the face value of the loan.</p>	On award letter and on DOE website, Federal Reporting Recipient Information
CFDA Number	Number associated with the published description of Federal assistance program in the Catalog of Federal Domestic Assistance	On DOE website, Federal Reporting Recipient Information
Program Source (TAS)	Agency Treasury Account Symbol	On DOE website, Federal Reporting Recipient Information



Prime Recipient Fields (continued)

Award Information (continued)

Field Name	Definition/Guidance	Where can I find it?
Sub Account for Program Source (TAS)	This code is not mandatory for DOE	N/A
Total Number of Sub Awards to Individuals	Total number of sub-awards to be distributed	Recipient systems
Total Amount of Sub Awards to Individuals	Total dollar number of sub-awards to be distributed	Recipient systems
Total Number of Payments to Vendors less than \$25,000/award	Total number of payments to Vendors less than \$25,000/award	Recipient systems
Total Amount of Payments to Vendors less than \$25,000/award	Total dollar amount of payments to Vendors less than \$25,000/award	Recipient systems
Total Number of Sub Awards less than \$25,000/award	Total number of sub-awards less than \$25,000/award	Recipient systems
Total Amount of Sub Awards less than \$25,000/award	Total dollar amount of sub-awards less than \$25,000/award	Recipient systems
Award Description	A description of the overall purpose and expected outcomes or results of the contract.	Award Letter



Prime Recipient Fields (continued)

Project Information

Field Name	Definition/Guidance	Where can I find it?
Project Name or Project/Program Title	Include name and project identification code	On award letter and on DOE website, Federal Reporting Recipient Information
Project Status	Evaluation of the completion status of the project or activity. Options: 1. Not Started 2. Less than 50% completed 3. Completed 50% or more 4. Fully completed	Determined by recipient
Total Federal Amount ARRA Funds Received/Invoiced	The amount of Recovery Act funds received through ASAP draw-down, reimbursement or invoice. Unpaid invoices are not to be included.	Recipient systems
Number of Jobs	The total number of jobs created or retained at the Prime and Sub-Recipient levels for the reporting quarter.	Recipient systems – See example of calculation on next slide
Description of Jobs created	The labor categories, job titles, and/or general descriptions of work to be performed in newly created jobs. If a Recipient is using an approved method to calculate job numbers, provide a description and explanation of that method in this data field.	Recipient systems

For more information, go to: <http://www.FederalReporting.gov> or contact DOE at: <https://recoveryclearinghouse.energy.gov> or 1-888-363-7289



Calculating Jobs – Example

Formula
$$\frac{\text{Total Number of Hours Worked and Funded by Recovery Act within Reporting Quarter}}{\text{Quarterly Hours in a Full-Time Schedule}} = \text{NUMBER OF JOBS}$$

Step 1:
Calculate Quarterly Hours in a Full-Time Schedule
(the same denominator should be used for all subsequent quarters)

40 hours in a full-time work week * 52 weeks per year = 2080 hours per year

2080 / 4 quarters per year = 520 quarterly hours

Note: For industries with a different standard work week, use the above formula to calculate the hours per quarter.

Step 2:
Calculate the FTEs Created or Retained for the Quarter

Collect the total number of hours worked and funded within the quarter. For this example, assume the hours worked in the quarter were



Employee	Hours Worked
Employee 1	520
<u>Employee 2</u>	<u>260</u>
Total	780

Calculation: $780 / 520 = 1.5$ Jobs

Step 3:
Recipients with cost share or cooperative agreements should report based only on the DOE share.



Prime Recipient Fields (continued)

Project Information

Field Name	Definition/Guidance	Where can I find it?
Quarterly Activities/Project Description	A description of all significant activities delivered and billed for the reporting period.	Determined by recipient.
Activity Code	<p>For infrastructure projects, select the NAICS code.</p> <p>For all other projects, select the NTEE-NPC code.</p>	<p>Look up tables are available in the OMB Excel Template or</p> <p>NAICS codes: http://www.census.gov/naics, a lookup is also available in the FR.Gov MS Excel template</p> <p>NTEE-NPC codes: Select the one of the following that best fits your project: C01: environmental awards U01: science/technology L03.04: weatherization C05.02: Energy Resources Programs that conserve existing energy resources, ensure efficient use of available energy and develop new energy sources while protecting the quality of the environment; Z99: if none of the above fit</p>



Prime Recipient Fields (continued)

Project Information

Field Name	Definition/Guidance	Where can I find it?
Total Federal Amount of ARRA Expenditure	This should include the DOE share of all work completed as of the end of the reporting period including the amounts of unpaid invoices and accrued cost of work performed but not invoiced.	Recipient systems
Total Federal ARRA Infrastructure Expenditure	Total Federal ARRA Infrastructure expenditure. Note: there is no standard Federal or DOE definition of Infrastructure. Recipients should use their best judgment in determining applicability.	Recipient systems



Prime Recipient Fields (continued)

Project Information (continued)

Field Name	Definition/Guidance	Where can I find it?
Infrastructure Contact Name	To be completed only if applicable	Recipient systems
Infrastructure Contact Email	To be completed only if applicable	Recipient systems
Infrastructure Contact Phone	To be completed only if applicable	Recipient systems
Infrastructure Contact Phone Ext	To be completed only if applicable	Recipient systems
Infrastructure Contact Street Address 1	To be completed only if applicable	Recipient systems
Infrastructure Contact Street Address 2	To be completed only if applicable	Recipient systems
Infrastructure Contact Street Address 3	To be completed only if applicable	Recipient systems
Infrastructure City	To be completed only if applicable	Recipient systems
Infrastructure State	To be completed only if applicable	Recipient systems
Infrastructure ZIP Code +4	To be completed only if applicable Note: do not include hyphen between the 5 digit zip and 4 digit extension	Recipient systems
Infrastructure Purpose and Rationale	If funds are supporting an infrastructure project, then explain why the infrastructure project was funded and how the infrastructure project will help address national, executive, and local priorities.	See grant application, if applicable



Prime Recipient Fields (continued)

Primary Place of Performance

Field Name	Definition/Guidance	Where can I find it?
Street Address 1	Address information for the primary place of performance	Determined by recipient
Street Address 2	”	Determined by recipient
Street Address 3	”	Determined by recipient
City	”	Determined by recipient
State	”	Determined by recipient
ZIP Code +4	” Note: do not include hyphen between the 5 digit zip and 4 digit extension	Determined by recipient
Congressional District	Two digit code	Congressional District code can be found at: http://www.govtrack.us/congress/find_yourreps.xpd
Country	Two letter country code	Determined by recipient



Prime Recipient Fields (continued)

Recipient Highly Compensated Officers

Field Name	Definition/Guidance	Where can I find it?
Prime Recipient Indication of Reporting Applicability	<p>Recipients must report the top five individuals who received the highest amount of compensation, if <u>all</u> of the following criteria apply, mark Yes, otherwise select No:</p> <ul style="list-style-type: none"> ▪At least 80% of your revenues were from Federal funds. ▪Received at least \$25,000,000 in Federal funds. ▪Senior Executives do not report their compensation publicly via Securities Exchange Commission (SEC) or Internal Revenue Service (IRS) regulations. 	<p>To see more detailed explanation of the criteria, review the April 1, 2009 Federal Register and the Recipient Reporting Data Model v.3</p>
1 Officer Name/Compensation	If yes in above field, include the name and total compensation (salary, bonus, stock awards, etc.) of each officer	Recipient compensation records.
2 Officer Name/Compensation	”	”
3 Officer Name/Compensation	”	”
4 Officer Name/Compensation	”	”
5 Officer Name/Compensation	”	”

For more information, go to: <http://www.FederalReporting.gov> or contact DOE at: <https://recoveryclearinghouse.energy.gov> or 1-888-363-7289



Sub Recipient Fields

Reporting Information

Field Name	Definition/Guidance	Where can I find it?
Award Type	<p>Grant: Award of financial assistance from a Federal agency to a recipient to carry out a public purpose.</p> <p>Loan: A disbursement of funds by the Government to a non-Federal borrower under a contract that requires the repayment of such funds with or without interest.</p>	As indicated on the Prime report
Award Number	The award number assigned to the Prime Recipient by the awarding Federal Agency	On award letter and on DOE website, Federal Reporting Recipient Information
Recipient DUNS Number	The Prime Recipient organization's nine-digit Data Universal Numbering System (DUNS) number or Central Contractor Registration plus 4 extended DUNS number.	On award letter and on DOE website, Federal Reporting Recipient Information



Sub Recipient Fields

Sub Recipient Information

Field Name	Definition/Guidance	Where can I find it?
Sub-Recipient DUNS Number	The sub-recipient organization's nine-digit Data Universal Numbering System (DUNS) number or Central Contractor Registration plus 4 extended DUNS number.	Recipient or sub-Recipient systems
Sub-Recipient Award Number	Identifying number assigned by the Prime Contractor	Recipient systems
Sub-Recipient Congressional District	Two digit code	Congressional District code can be found at: http://www.govtrack.us/congress/find_yourreps.xpd



Sub Recipient Fields (continued)

Sub Award Information

Field Name	Definition/Guidance	Where can I find it?
Amount of Sub-Award	The anticipated total amount of funds to be disbursed to the Sub-Recipient over the life of the award	Recipient systems
Total Sub-Award Funds Disbursed	The cumulative amount of cash disbursed to the sub-recipient as of the reporting period end date	Recipient systems
Sub-Award Date	The date the Sub-Award was signed	Recipient systems

Sub Recipient Place of Performance

Field Name	Definition/Guidance	Where can I find it?
Street Address 1	Address information for the primary place of performance by sub-recipient	Determined by recipient
Street Address 2	"	Determined by recipient
City	"	Determined by recipient
State	"	Determined by recipient
ZIP Code +4	" Note: do not include hyphen between the 5 digit zip and 4 digit extension	Determined by recipient
Congressional District	Two digit code	Congressional District code can be found at: http://www.govtrack.us/congress/find_yourreps.xpd
Country	Two character code	Determined by recipient

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Sub Recipient Fields (continued)

Sub Recipient Highly Compensated Officers

Field Name	Definition/Guidance	Where can I find it?
Sub-Recipient Indication of Reporting Applicability	<p>Recipients must report the top five officers from each sub-recipient who received the highest amount of compensation, if <u>all</u> of the following criteria apply to the sub-recipient, mark Yes, otherwise select No:</p> <ul style="list-style-type: none"> ▪ At least 80% of sub-recipient revenues were from Federal funds. ▪ Received at least \$25,000,000 in Federal funds. ▪ Senior Executives do not report their compensation publicly via Securities Exchange Commission (SEC) or Internal Revenue Service (IRS) regulations. 	<p>To see more detailed explanation of the criteria, review the April 1, 2009 Federal Register and the Recipient Reporting Data Model v.3</p>
1 Officer Name/Compensation	If yes in above field, include the name and total compensation (salary, bonus, stock awards, etc.) of each officer of the sub-recipient	Sub-Recipient
2 Officer Name/Compensation	"	"
3 Officer Name/Compensation	"	"
4 Officer Name/Compensation	"	"
5 Officer Name/Compensation	"	"



Vendor Information

Field Name	Definition/Guidance	Where can I find it?
Award Number	The award number assigned to the Prime Recipient by the awarding Federal Agency	On award letter and on DOE website, Federal Reporting Recipient Information
Sub-Award Number	Award number or other identifying number assigned by the sub-recipient	Determined by recipient
Vendor DUNS Number	The vendor organization's nine-digit Data Universal Numbering System (DUNS) number or Central Contractor Registration plus 4 extended DUNS number. If unavailable report Vendor name and ZIP code	Recipient Systems
Vendor Name	Vendor company name	Recipient Systems



Vendor Fields (cont'd)

Vendor Information

Field Name	Definition/Guidance	Where can I find it?
Vendor HQ ZIP Code +4	The zip code of the vendor's headquarters	Recipient Systems
Product and Services Description	Description of the product and/or services provided by the vendor	Determined by recipient
Payment Amount	The aggregate amount invoiced to the vendor that will be paid with ARRA funds	Recipient Systems



Additional Questions?

Please visit the DOE Recovery website

http://www.energy.gov/recovery/ARRA_Reporting_Requirements.htm

or contact the DOE Recovery Act Clearinghouse

The purpose of the DOE Recovery Act Clearinghouse is to help increase the availability of information about DOE's American Recovery and Reinvestment Act of 2009 (ARRA) activities. The Clearinghouse will provide initial consultations, and also make referrals when appropriate to other information sources (websites, documents, DOE staff, etc).

<https://recoveryclearinghouse.energy.gov/contactUs.htm>

1-888-363-7289