

DOE Supplemental Instructions for OMB Section 1512 Reporting – For Contractors

Quarterly reporting through FederalReporting.gov

July 2010



July 2010 Reporting Timeline

Date	Action
Ongoing	Registration open for FederalReporting.gov. Early registration is encouraged.
July 1, 2010	Reporting Period Begins
July 14, 2010	Initial Submission Period Ends – Reports submitted after 11:59 PM PDT will be considered late.
July 20, 2010	Late Submission Period Ends – No new reports can be entered after 11:59 PM PDT on this date.
July 21, 2010	Prime Recipient Review begins– Only corrections to existing reports can be made.
July 22, 2010	Prime Recipient Review ends– No updates may be made after 11:59 PM PDT on this date without DOE Reviewer action.
July 23, 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.
July 29, 2010	Agencies must complete review status and comments. No updates may be made after 11:59 PM PDT on this date.
July 30, 2010	Reports published on www.Recovery.gov

Note: This schedule is subject to change. DOE will do its best to notify recipients of schedule changes. Recipients should also check FederalReporting.gov for schedule change announcements.





Choose One of 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. At the top, there is a navigation menu with links for Home, About, Downloads, FAQ, and Help. Below the navigation, there are three main sections: 'Log In' with fields for User ID and Password, a 'Login' button, and a link for 'forgot my password'; 'Not Registered?' with a 'Register Now' button; and 'Download Templates' with buttons for 'Microsoft Excel' and 'XML Schema'. To the right, there is a list of bullet points providing information about reporting, including 'Reporting has begun', 'Recipient Users', 'Recipient Reporting videos', 'FederalReporting.gov documentation', and 'Verify'. A blue callout box points to the 'Download Templates' section.

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'. Below the title, it says 'Use the options below to choose the type of ARRA report you would like to create:'. There is a 'Report Type' dropdown menu. Below that, there is a section for 'Award Type' with three radio button options: 'Contract', 'Grant', and 'Loan'. The 'Loan' option is selected.

Overall Reporting Guidance



- All Contractors whose award was signed by DOE on or before June 30, 2010 and who have submitted at least one invoice must file a report in FederalReporting.gov by July 10, 2010. Please note, DOE is encouraging all contractors who received their award on or before June 30th to report regardless of their invoice status.
- Reporting continues quarterly and is cumulative with the exception of jobs.
- Contractors working on multiple projects within a single award must submit a separate report for each ARRA project and each ARRA Reimbursable project.
- Contractors receiving ARRA funding from the Department of Energy through an Inter-Entity Work Order (IWO) are considered the performing contractor and are required to report. Contractors are expected to file a separate report in FederalReporting.gov for each IWO accepted and for each award made using fund 0917.
- OMB reporting requirements through FederalReporting.gov do NOT exempt a recipient from DOE reporting requirements or any other reporting requirements. Questions concerning program specific reporting requirements should be directed to your contracting officer.

Overall Reporting Guidance (continued)



- It is important that recipients make sure that current reports are properly linked to previous reports. FederalReporting.gov will introduce a new user interface in the July reporting period to simplify that process. In addition, related information on using the “Copy Forward”, “Change Key”, and “Linking” functionality are at the end of this presentation.
- Recipient CCR registration requires annual renewal and MUST be active in order to submit and update reports. Information on renewing your registration can be found at www.ccr.gov. Recipients with a renewal date of July 31, 2010 or earlier should renew as soon as possible. Please note: it is much easier to renew an active CCR registration than to reinstate an expired one.
- 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	Federally Awarded Contract	On DOE website, Federal Reporting Recipient Information spreadsheet and pre-populated in Excel template
Award Number	<p>The contract number assigned by the awarding Federal Agency</p> <ul style="list-style-type: none"> •Contractors that accepted IWO or received ARRA funds through Fund Value 00917 should enter the award number from the authorizing office that made the originating the Federal obligation •If your award is a task/delivery order against any type of Indefinite Delivery Vehicle, or a Call Against a Blanket Purchase Agreement (BPA), please use the award number of the task/delivery order or the BPA Call when reporting to Federal Reporting.gov. •For Standard Form 33, Solicitation, Offer and Award, use the number in block 2, Contract Number •For Standard Form 1449, Solicitation/Contract/Order for Commercial Items, use the number found in Block 4, Order Number •For Standard Form 30, Amendment of Solicitation/Contract, use the lower number found in Block 10A. 	Contract document, DOE website, Federal Reporting Recipient Information spreadsheet, or authorizing field office



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.	Contract document and on DOE website, Federal Reporting Recipient Information spreadsheet
Final Report	Select "Y" for Yes IF <ol style="list-style-type: none"> 1. The Award period has ended (Period of Performance) 2. All Recovery funds have been received through draw-down, reimbursement or invoice 3. The project is complete Otherwise Select "N" for No	Determined by recipient
Order Number	Contractors receiving funds for multiple Energy Recovery Act Projects under the same award number should enter the DOE project value or RW WFO value. If the contractor has a legitimate order number, then report the order number followed by a space and the project value or WFO value. Contractors with only one project per award should enter the order number or if no order number is available leave the field blank	Contract document, DOE website, Federal Reporting Recipient Information spreadsheet, or authorizing field office



Prime Recipient Fields

Award Recipient Information

Field Name	Definition/Guidance	Where can I find it?
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 .
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



Prime Recipient Fields (continued)

Award Information

Field Name	Definition/Guidance	Where can I find it?
Award Date	Date (month, day, year) that the contract or first mod that added Recovery Act funds was signed.	Contract document and on DOE website, Federal Reporting Recipient Information spreadsheet
Amount of Award	Total dollar amount of Recovery funds obligated by DOE for this project.	Contract document and on DOE website, Federal Reporting Recipient Information spreadsheet
Government Contracting Office Code	Numeric code	Contract document and on DOE website, Federal Reporting Recipient Information spreadsheet
Program Source (TAS)	Agency Treasury Account Symbol Contractors that accepted IEWO or received ARRA funds through Fund Value 00917 should enter the program source (a.k.a. Treasury Symbol) from the authorizing office that made the originating the Federal obligation	On DOE website, Federal Reporting Recipient Information spreadsheet



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 individuals	Recipient systems
Total Amount of Sub Awards to Individuals	Total dollar amount of sub-awards to individuals	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
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



Prime Recipient Fields (continued)

Project Information

Field Name	Definition/Guidance	Where can I find it?
Total Federal Amount ARRA Funds Received/Invoiced	Total cumulative costs of work performed related to the DOE share of the award as of the last day of the reporting period.	Recipient systems
Number of Jobs	The total number of jobs created or retained at the Prime contractor level 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.	Recipient systems
Quarterly Activities/Project Description	A description of all significant activities delivered and billed for the reporting period.	Determined by recipient
Activity Code	Enter the 6-digit North American Industry Classification System (NAICS) code that is located on the solicitation/contract that was issued. Up to 10 codes can be included.	Contract document and on DOE website, Federal Reporting Recipient Information spreadsheet For more information on NAICS codes, see: http://www.census.gov/naics



Calculating Jobs: Contractor 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 substituting your standard work week hours.

Step 2:

Collect the total number of hours worked and funded within the quarter at the prime contractor level only.

For this example, assume the hours worked in the quarter were:

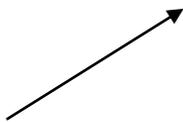


Employee	Hours Worked Previous Reporting Quarter	Hours Worked Current Reporting Quarter
Prime Employee 1	250	520
Prime Employee 2	0	260
Sub Employee A	170	100
Sub Employee B	<u>300</u>	<u>520</u>
Total Hours for Prime Contractor	250	780

Step 3:

Calculate the FTEs Created or Retained for the Quarter using the formula above

780 (hours worked by Prime)/ 520 (hours in a full time schedule) = **1.5 Jobs**



Sub-contractor hours are NOT to be included.

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



Calculating Jobs – Cost Share Example

Continue from previous example. Assume \$100 million in total investment of which \$50 million is provided by DOE and \$50 million is private investment.

Step 4:

Calculate DOE share of award.

$$\text{DOE Investment/Total Investment} = \$50\text{M}/\$100\text{M} = 50\%$$

Step 5:

Calculate the FTEs Created or Retained for the Quarter

Multiply the FTEs Created or Retained for the Quarter (calculated in Step 3) by the DOE Share calculated in Step 4.

$$1.5 \text{ Jobs} * 50\% = \mathbf{.75 \text{ Jobs Created}}$$

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
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 FAR 52.204-11 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	"	"



Recipient Information

Field Name	Definition/Guidance	Where can I find it?
Award Type	Contract: A mutually binding legal relationship obligating the seller to provide the supplies or services (including construction) and the buyer to pay for them.	Pre-populated in Excel template
Award Number	The Prime contract number assigned by the awarding Federal Agency	On contract letter and on DOE website, Federal Reporting Recipient Information spreadsheet
Recipient DUNS Number	Prime Recipient's DUNS	On contract letter and on DOE website, Federal Reporting Recipient Information spreadsheet

Sub Recipient Information

Field Name	Definition/Guidance	Where can I find it?
Sub-Recipient DUNS Number	Sub-Recipients DUNS	Recipient or Sub-Recipient systems
Sub 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-Contractor over the life of the award	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-contractor	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



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 individuals from each sub-contractor who received the highest amount of compensation, if <u>all</u> of the following criteria apply to the sub-contractor, 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 FAR 52.204-11 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-contractor	Sub-Recipient
2 Officer Name/Compensation	"	"
3 Officer Name/Compensation	"	"
4 Officer Name/Compensation	"	"
5 Officer Name/Compensation	"	"



FederalReporting.Gov Copy Forward Function

FederalReporting.gov has implemented “Copy” and “Copy Forward” functionality

- The “Copy” function is used when copying a report from the *current reporting period*.
 - The “Copy Forward” function is used when copying a report from the *previous reporting period*. It is used to link the report to the previous quarter’s report.
- The “Copy Forward” function will be available during the Recipient Reporting Period.
 - Recipients submitting subsequent quarterly reports using the online form should use the Copy Forward function.
 - Recipients using the MS Excel or XML upload reporting options should use the Copy Forward function **ONLY IF** they are changing the award number, order number or DUNS number from the previous report to correct an error.

“Copy Forward” and the “Change Key” functions cannot be used to correct an incorrect award type. If DOE has asked you to correct the award type, you must submit a new report using the correct award type and manually link the current report to the previous quarter’s report using the Link/Unlink Reports functionality.



How to Use the “Copy Forward” Function

- Log into FederalReporting.gov
- Select My Reports-Prime Recipient (or Sub-Recipient) link on the left of the screen
- Set the Calendar Year and Calendar Month to the previous reporting period and search for the report to be copied. Only reports from the previous reporting period can be copied with the Copy Forward function. Select the correct report and open it.
- Once the report is opened, click on the “Copy Forward” button to copy the report to the current quarter. Read the pop-up warning message and click on OK to proceed.
- The Copy Report Forward page is displayed. The “Copy From” box will be auto-populated. In the “Copy To” box, enter the Award Number and Prime DUNS number exactly as they appear in the Copy From box. Select “Yes” in response to “Is this a continuation of an April 2010 report.” Click on “Confirm Copy” button to proceed.
- The report can now be updated and submitted or can be saved as a draft to be submitted later during the Recipient Reporting period.

Further guidance on this functionality is available in Chapter 10 of the FederalReporting.gov user guide. (<https://www.federalreporting.gov/federalreporting/downloads.do#docs>)



How to Use the “Change Key” Function

Note: this functionality should only be used when correcting an error to the Award Number, DUNS Number or Order Number.

- Log into FederalReporting.gov
- If submitting a new report, follow the instructions to “Copy Forward” the report.
- If updating a current report, select “My Reports-Prime Recipient (or Sub-Recipient)” link on the left of the screen. Set the Calendar Year and Calendar Month to the previous reporting month
- Once in the report to be updated, select the “Change Key” button. Read the pop up message and click “OK.” When the “Change To” box appears make the appropriate changes and press “Confirm Change Key.”
- When the business key is changed, the previous report must be deactivated. You will be auto prompted to deactivate it.

Failure to follow these instructions may result in your ARRA activities being reported to the public incorrectly.

Further guidance on this functionality is available in Chapter 13 of the FederalReporting.gov user guide. (<https://www.federalreporting.gov/federalreporting/downloads.do#docs>)



Link/Unlink Reports

- Log into FederalReporting.gov using your user name and password
- Click on the “My Work Queue” link in the Administration section
- Click on the report with comments to go to the Prime Recipient Reporting page
- Click the “Link/Unlink Report” link in the upper right hand corner below “View or Add Report Comments”
- On the Link/Unlink page, the “July 2010 Report Information” box displays the report submitted for Q2 2010. The “April 2010 Report Information” box should be blank, indicating it is not linked to a previous report.
- Enter the Award Number and/or DUNS Number **exactly as reported in April 2010** into the “Search Filters” and click “Search” to find the April 2010 report that should be linked.
- In the search results, click on the April 2010 report that should be linked to the July 2010 report.
- The Link Reports page should now show the July report in the “July 2010 Report Information” box and the selected January report in the “New April 2010 Report Information” box. The “Existing April 2010 Report Information” box will be blank.
- Check the “Terms and Conditions” box and enter your FRPIN.
- Click “Update Link.”

Further guidance on this functionality is available in Chapter 10 of the FederalReporting.gov user guide. (<https://www.federalreporting.gov/federalreporting/downloads.do#docs>)



When is FederalReporting.gov Reporting Complete?

Recipients must report quarterly until ALL of the below criteria are met:

1. All Recovery funds (that will be received) have been received through draw-down, reimbursement or invoice
2. The project is complete
3. Recipient has submitted a report in FederalReporting.gov that meets both of the following conditions.
 - a. The “Project Status” field is marked “Fully Completed”
 - b. The “Final Report” field is marked “Y”

Note: If a recipient has completed work and invoiced or drawn down all funds by the end of the reporting quarter and the Period of Performance end date is in the future, the Recipient may mark their report as final only if there is no expectation of new future Recovery Act work on this award. Similarly if a Recipient will not receive/spend the entire award, the report is complete if the total received/invoiced and total expenditure (grants only) are consistent with the total amount of the award spent.



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 DOE Recovery Act Clearinghouse is available to answer reporting questions by phone at 888-DOE-RCVY (888-363-7289), Monday through Friday, 9 a.m. to 7 p.m. Eastern Time, or via web submittal form at <https://recoveryclearinghouse.energy.gov/contactUs.htm>.

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

1-888-363-7289