

Sub-Recipient Reporting Forum 6 Q&A

1. Has a date been set for when the XML and XLS files will be available for download?

Yes, we're targeting the end of July to get that done which is not that far away. We've been working very hard on it and one of the holdups for finalizing those templates, the XML and XLS files, is that we really want to run this through the actual systems to make sure there aren't any gotchas after that. We really want to try to avoid having multiple formats of this to cause confusion about which version to use for online submissions. We really need to get this right and so the target date is for the end of July. If we move a little into August I hope you will understand that it's really critical for us to get that right the first time. Because I think once we have a couple of different versions out in public domain it's going to be really tough to get people to use the right one.

2. Once the report is flagged as final, do the primary recipients continue to report in subsequent quarters?

The final report flag is actually a prime recipient question rather than a subrecipient question. In the prime recipient data elements there is a – I'll answer the final one just in case, to make sure we're getting it the two ways. So if it's flagged as a final report by the prime award recipient, that data element, that would be the last report for that award that we would accept for that. So that should have the total funding award or funding level. That would be my assumption on the report. If you're talking about in terms of the monthly cycle which you'll be reporting, that could apply to the subrecipient report. So the final report status at the end of the 29th day, so on day 30 that's the final report, so that essentially becomes the final report until the next reporting cycle. So 90 days past after the end of that quarter which ends that quarter's cycle, the next quarter begins, the cumulative reports are new reports are now required. We are planning on including in the system copy for ward function, so hopefully in subsequent quarters the burden on reporting will decrease as we'll already have posted information and you're just updating the changes to the information, which conveniently will be most of the information. You'll need to go in and take a look at it, check it and make sure it's still current. But a lot of the information will be carried forward.

3. When a subrecipient reports via the excel workbook, will they only fill in the worksheet titled subrecipients?

Yes, it should be very clear. It will either be very clear in the instructions. We've had some discussions with the technical group about how to make that as clear as possible about which pieces need to be submitted. So, as the subrecipient, there

will be some very basic information that needs to be put in for the subrecipient. As a subrecipient reporter, you just fill in the subrecipient tab. That information will be uploaded into the system. The relationship will mean that subrecipient report will be established based on award ID and subaward ID between the subrecipient and the recipient entity so there's a parent/child relationship there. We can handle that without having to doing the additional piece. It will be at least as clear as unique tabs for each of those elements.

4. Will the XML validation services be available for use prior to Oct 1st?

Yes. You've got to have that function available, so that you can figure your systems, so that you have some confidence that you're getting the information out on time. Our target date for that is the end of August. We'd like to have all of this information as complete as we possibly can. There are a lot of pieces to this. Our target date is to have that done by the end of August so that you will have September to work out any issues. Hopefully, that means that you can work on configuring your output in advance, looking at how the data elements match back to your information systems. Trying to match that up with that as best as you can. Work with the schema as best as you can up until that point. So between now and the end of August and then have the end of August to look for any kind of errors running through there and then take a look at the error reports and make adjustments as you need to.

5. Can a prime recipient modify subrecipient's reports that a subrecipient has reported?

No, they can't. They can comment on it back to the subrecipient, but the report is owned by the subrecipient. They've delegated that reporting authority. The subrecipient owns that and the prime recipient would coordinate with the subrecipient to make those changes. That's a very similar relationship as the funding agency is to the prime recipient. There's that hierarchy that I talked about earlier in the presentation. That's part of how that's structured.

6. Can you clarify exactly what would require a subrecipient to register with CCR?

At the beginning of this conversation we talked about the CCR and if you've heard conflicting information, I think that's probably something that we need to get back together and validate. Once again, there are a lot of moving pieces on this. I'm going to answer this question from a technical perspective, not a policy perspective. It's possible from a policy direction there's a different answer on this.

From a technical perspective we can make the connection between the subrecipient and the prime recipient in the parent DUNS and those issues. We can establish those relationships through award and subaward information. I think that you raised this question and we're going to have to circle around it to

make sure that we make that clear. There really are a lot of issues on that subject. Sometimes we think we've got it straight and we may not. So we will circle back on that and make sure. Thanks for the question. Thanks for raising it.

7. Once we register with federalreporting.gov can we report for multiple Recovery Act awards without having to register again for each individual award?

Yes. The key to registration is that it gives you access to the system. Once you register for the system, as long as you're affiliated with those awards, you can report on those awards. You can do it in any available roles. The roles are once again, the prime recipient, the prime recipient reporting for the subrecipient, and then as a subrecipient. Those roles are designated in the relationships between the prime recipients and subrecipients outside the system.

8. Is it possible to download the excel spreadsheet before registration to the website is open so we can use it as a template to collect data from our subrecipients for us to enter in as the prime recipient? We will not delegate reporting authority to the subrecipients but we would like them to use the template to collect the data from.

Our target date for getting the excel spreadsheet completed is the end of July. I think we're shooting past that to have that ready to go current with the update of the data model. It could bleed over a little bit into August but I think we want to make any of this information available as early as we possibly can. So if we have final versions of that we'll post it and make that available. Right now the hard date on that I don't have, but we are shooting for the end of July. We'll try to get that up as soon as possible. Yeah, you can absolutely download it without registration. That's going to be a function that will be available.

9. If we use the XML transmission method, can one state office consolidate reports from multiple prime recipients across the state?

Yes. That shouldn't be a problem. Each award would constitute a separate report, but the information could be consolidated in a central location and that particular person who's registered on the system will essentially be acting as an agent for all the awards. As long as you have one recipient reporting for each award then you're fine. As long as we're not splitting awards. Consolidating into multiple reports by a single entity is fine.

10. We have many questions on the date and time. You note that Oct 10th falls on a Saturday. Does that mean that we can or cannot file the reports on Saturday?

Yeah, we'll take reports on a Saturday. I'm just trying to save your weekend in my own selfish interest in trying to encourage you to report early. I like the way you put it, we'll definitely be taking reports all the way up to 11:59.59 on Saturday. We'll be in here, so think of us.

11. Unclear about the relationship between DUNS number and the CCR. Knows multiple DUNS numbers can exist within those CCRs but not sure how they relate. Can you expand on that relationship?

The key is that the DUNS number, that as a prime recipient, the prime recipient will need to be registered in the CCR. The DUNS number that's used needs to be the DUNS number that is associated with the award. That's probably the closest that I can get on that. If you have multiples you should pick the one that is associated with the award.

12. Can you demonstrate a working example of the XML extract method for reports?

Probably can't. That's going to be essentially the way we would be consuming that file would be just the data itself. The way the extract would work is really dependent on the recipient's information systems and technical capabilities that they have to generate an extract that conforms with that schema. That's not a capability that we'll be able to support internally. That's something that will have to be done on the recipient's side. It all depends on the information system that's involved. If your organization has the technical capability to do it, then do it. If not, then you'll probably have to go with a different reporting.

13. Can a prime recipient who makes multiple subawards delegate some reporting to some subrecipients and fulfill the rest of the reporting themselves?

The way the system is configured for this reporting period, no. It has to be either a prime recipient who is reporting as a subrecipient, which means that they would include reporting for all of the subrecipients or they would delegate subrecipient reporting out to the subrecipients for that award. Now that's based on an award-by-award basis. If you have one award where you decide that the prime will report for the subrecipient and a separate award where the prime chooses not to, that's ok, if the prime is the same. But within awards it needs to be one or the other.