The American Recovery & Reinvestment Act

Section 1512(c) Reporting
Calendar Year Quarter 1 Reporting
March 2010
Sponsored by the Office of Justice Programs, The Office of Audit, Assessment, and Management, Grants Management Division

Agenda

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4. Preparing for April Reporting

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Recovery Act Section 1512(c) Reporting

- DOJ Recovery Act grant recipients with awards of $25,000 or more are required to submit Section 1512(c) reports on a quarterly basis.

- Most data fields are cumulative (report activity from the beginning of the project period to the end of the current reporting period).

- Job data are reported quarterly (report the number of FTEs from January 1, 2010 to March 31, 2010).

Reporting Process Timeline

Recipients have until the 10th day following the end of the quarter to submit the Section 1512(c) data.

- April 1 - 10: **Prime recipients and delegated subrecipients submit reports.**

- April 11 - 12: **Prime recipients review subrecipient submitted reports. Prime and subrecipients correct reports.**

- April 13 - 29: **Federal agencies review and comment on the Section 1512(c) reports. Prime and subrecipients correct reports.**

- April 30: **Recipient data is posted on Recovery.gov.**

- May 3 - June 14: **Prime recipients can continue to modify their data during the Continuous Correction period.**

- July 1: **The next reporting period begins.**

Failure to Submit a Section 1512(c) Report

- Recipients who fail to submit a Section 1512(c) report as required by the terms of their award are considered to be non-compliant. Non-compliant recipients, including those who are persistently late or negligent in their reporting obligations, are subject to Federal action, up to and including the termination of Federal funding or the ability to receive Federal funds in the future.

- Recipients who **do not** submit reports will be identified on the Recovery.gov website.

JAG Special Condition Regarding Failure to Comply with the Section 1512(c) Reporting

- After failure to report Section 1512(c) JAG data for two consecutive reporting periods, the recipient may be—
  - (a) precluded from drawing down funds under any OJP award, and/or
  - (b) deemed ineligible for future discretionary OJP awards, until such time as the recipient becomes current in its Section 1512(c) reporting obligations.

- After failure to report Section 1512(c) JAG data for three consecutive reporting periods, the recipient, upon written demand of the Director of BJA, shall return to OJP any unexpended award funds (including any unexpended interest earned on award funds) within 15 calendar days of the date of the demand notice. Thereafter, the recipient's award shall be converted to a cost-reimbursable grant until such time as the recipient becomes current in its Section 1512(c) reporting obligations, and remains current for not less than two additional consecutive reporting periods.

New FederalReporting.gov Functionality

Functionality Update

1. Recipients have the ability to change incorrect award number and DUNS numbers.

   - Recipients can change incorrect award and DUNS numbers throughout the reporting period by using the "**Change Business Key Information**" function. Chapter 10: *Copy Forward and Copy Functions* user guide can be viewed or downloaded at https://www.federalreporting.gov/federalreporting/downloads.do#docs.
     [Guide updated March 25, 2010 from Chapter 15 to Chapter 10 after webinar recording]

2. Recipients have the ability to "Copy Forward" a previously submitted or saved report.

   - Recipients may update only the necessary data fields for the quarter.

Functionality Update

3. Recipients have the ability to make corrections to the data submitted in the Continuous Correction period from May 3 - June 14, 2010.

4. Validates certain data fields, such as the Congressional district, award amount, and job count.

   – **Warning Messages**: Data questionable; however, the report can still be submitted.

   – **Error Messages**: Data incorrect and must be corrected in order to submit the report.

Copy Forward

- The FederalReporting.gov "Copy Forward" function allows users to copy forward the data submitted in the previous report and update only the relevant data fields.

- The "Copy Forward" functionality can be accessed directly through the Web browser at FederalReporting.gov.

- This new feature has proven to reduce the number of errors submitted in the Section 1512(c) report.

- DOJ highly encourages all Recovery Act recipients to use the "Copy Forward" function on FederalReporting.gov when reporting.

Copy Forward

- Copy Forward can be used if the recipient created a draft or submitted a report in FederalReporting.gov.

- Copy Forward cannot be used if:
  - No prior report has been submitted.
  - An incorrect award type was submitted on a prior report.

How To Copy Forward a Previously Submitted Report

1. Log in to FederalReporting. gov.

2. Click on the Prime Recipient link under the *Quick Links* section.

How To Copy Forward a Previously Submitted Report

3. In the *My Reports* section enter in the following search criteria.

    –   **Calendar Year**: Click the dropdown box and select 2009 calendar year (calendar year the previous report was submitted).

    –   **Quarter:** Select the quarter 4 (previous calendar quarter).

    –   **Report Status**: Select Submitted

4. Click the **Search** button.

My Reports - Prime Recipient View

Search Filters

Award Type:	Award Number:	DUNS Number:
All		

Calendar Year:	Quarter:	Report Status:
2009	4	All

Awarding Agency Code:	CFDA Number:	Govt Contracting Office Code:

Search   Search Tips

How To Copy Forward a Previously Submitted Report

5. Click on the DOJ Award Number link under the *Prime Award #/Order #* section

   (e.g., 2009-xx-xx-xxxx).

6. The selected report will display.

My Reports - Prime Recipient View

Search Filters

Award Type:	Award Number:	DUNS Number:
All		

Calendar Year:	Quarter:	Report Status:
2009	3	

In the search results, you will see the reports that match your input criteria.

Awarding Agency Code:	CFDA Number:	Govt Contracting Office Code:

Search   Search Tips

Search Results   Search Results Legend

9 reports found, displaying 1 to 5.   [First/Prev] **1**, 2 [Next/Last]

Award Type	Prime Award # / Order #	Prime DUNS #	Status	Award Amount	Sub Count
C	Contract_Prime1	123456789	S	$510000.00	0
C	Contract_Prime2	123456789	S	$550000.00	0
C	Contract_PSP1	123456789	S	$35000.00	1
C	Contract_PSP2	123456789	S	$200000.00	1

How To Copy Forward a Previously Submitted Report

7. Click the **Copy Forward** button.

8. Confirmation message, "Are you sure you want to leave this report? You will lose any data that you have updated, including Sub Recipient and Vendor data."

9. Click the **OK** button.

Note: No data will be deleted from the previous report.

How To Copy Forward a Previously Submitted Report

10. The **Copy Report Forward** screen will display the **Copy From** and the **Copy To** section.

Note: User has the option to include all or none of the Sub Recipient reports.

11. To change the business key information, modify any of the editable fields (**Award Number, Prime DUNS, and Order Number**). The new business key information will appear after confirming the copy forward function.

Copy Report Forward

Specify the business key values for the "Copy To" report below. The new report will be generated with this business key. The Calendar Year and Calendar Quarter for the "Copy To" report will automatically be populated with the current reporting year and quarter.

Copy From

Copy all report data from the report identified by the following prime data fields.

Award Number	Contract_PSP1
Prime DUNS	123456789
Order Number	
Award Type	Federally Awarded Contract
Calendar Year / Quarter	2009 / 3

Copy To

Copy to a new report identified by the following prime data fields. Specify whether you wish to include any Sub Recipient Reports associated with this Prime Recipient Report below.

Award Number	Contract_PSP1
Prime DUNS	123456789
Order Number	
Award Type	Federally Awarded Contract
Calendar Year / Quarter	2009 / 4
Include Sub Recipient Reports	☐

Confirm Copy Forward   Cancel

How To Copy Forward a Previously Submitted Report

12. To include the Sub Recipient Reports, click the checkbox.

Note: Grant awards prime vendors will be automatically copied over.

13. Click the **Confirm Copy Forward** button.

Note: If a recipient reported the incorrect award type (contract instead of grant) in a prior reporting period the Copy Forward function can not be used.

Recovery Act Helpdesk: 877-508-7386

Copy Report Forward

Specify the business key values for the "Copy To" report below. The new report will be generated with this business key. The Calendar Year and Calendar Quarter for the "Copy To" report will automatically be populated with the current reporting year and quarter.

Copy From

Copy all report data from the report identified by the following prime data fields.

Award Number Contract_PSP1
Prime DUNS 123456789
Order Number
Award Type Federally Awarded Contract
Calendar Year / Quarter 2009 / 3

Copy To

Copy to a new report identified by the following prime data fields. Specify whether you wish to include any Sub Recipient Reports associated with this Prime Recipient Report below.

Award Number Contract_PSP1
Prime DUNS 123456789
Order Number
Award Type Federally Awarded Contract
Calendar Year / Quarter 2009 / 4
Include Sub Recipient ☐ ← **Optional**
Reports

[Confirm Copy Forward] [Cancel]

Continuous Quality Assurance Process

From May 3, 2010 to June 14, 2010 FederalReporting.gov will be available to recipients and Federal agencies to perform Quality Assurance (QA) checks and to correct errors identified during the QA activities.

- On May 2, 2010, all recipient reports submitted in April will be unlocked and available for recipients and Federal agencies to conduct additional QA. Recipients will be able to correct their reports.

- DOJ will review any updates made during this period and request incorrect data to be modified by inserting a comment in FederalReporting.gov.

- DOJ will also conduct a thorough review of a selection of submitted Section 1512(c) reports. The Federal grant manager may contact recipients to request documentation or clarification of the submitted data.

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Continuous Quality Assurance Process Timeline
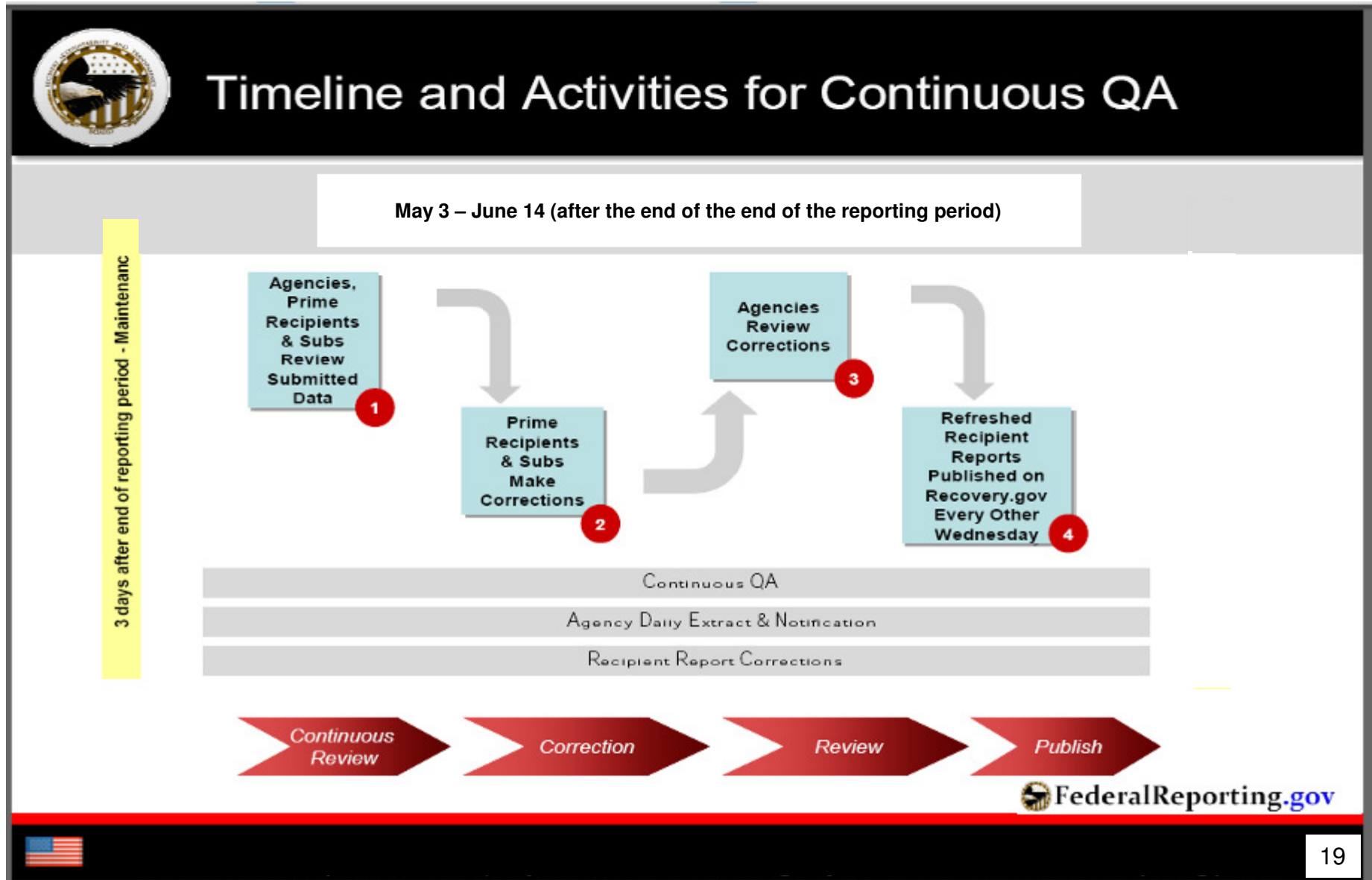
Estimating the Number of Jobs

Jobs Data

Section 1512(c) requires recipients to report the **total number of jobs** funded or partially funded through Recovery Act funding (whether created, retained, or existing).

Note: Some DOJ Recovery Act programs restrict the use of Recovery Act funds in connection with supplanting. The following website 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.

Calculating the Number of Jobs

How do I calculate Recovery Act funded jobs?

- FTEs are calculated as the number of actual Recovery Act-funded hours worked by employees during the reporting period (calendar quarter) divided by the number of hours representing a full time schedule for *this position in your agency* during the reporting period.

Full Time Schedule Example:

If full-time employment for the created/retained job at Recipient Agency A equals 520 hours for the reporting period, then:

1 FTE = 520 hrs for that reporting period

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FTE Calculation Example

Position	*Hours Worked (A)*	*Full Time Schedule (B)*	*Total FTE (A divided by B)*
IT Specialist	52	520	0.1

$$\frac{52 \text{ Hours Worked (A)}}{520 \text{ Hours in Full Time Schedule (B)}} = .01 \text{ FTE}$$

What counts as an FTE?

Do Count

- All existing, created, and retained positions funded directly by Recovery Act dollars or that will be reimbursed using Recovery Act dollars.
  - Compensated employees working in the US or its "outlying areas."
  - Hours worked on or after the award date.
  - Compensated overtime (does not apply to COPS recipients).
  - Compensated as paid leave (PTO, vacation/sick leave, etc.).
  - Employees of the recipient or subrecipient, including personnel hired through a 3rd party (e.g., staffing or temp agency).

Don't Count

- **Support Positions** not directly funding by the Recovery Act that are necessary to support Recovery Act activities (e.g., accounting or HR staff funded through indirect funds).
- **Indirect/Induced Jobs** included retail transactions and contracts with service providers that do not require dedicated personnel.

Reporting Jobs Data

- Recipient must report jobs data on a quarterly basis, **not cumulative**.

- If the Recovery Act funding is **NOT** paying the salary of a staff member from the prime or subrecipient, please report **zero.**

- If Recovery Act funding is only paying for a **portion** of the wage or salary of a staff member, please report only the **portion** of the staff members FTE that is spent working on Recovery Act activities.

- Recipients must report jobs data within two data fields (Number of Jobs and Description of jobs) on the Section 1512(c) report.
  - **Number of Jobs:** Total number of jobs created, retained, and existing in Full-Time Equivalents (FTEs).
  - **Description of Jobs:** A narrative description that includes a breakdown of the numeric data and job description by the prime/subrecipient. Recipients may include the job impact of their project.

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Description of Jobs

Recipients are asked to provide a narrative description in the Description of Jobs Created field to include a breakdown of numeric data by prime/subrecipient and job descriptions. DOJ suggests the following categories to classify the jobs created and retained:

- 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

Project Information

More information about these fields

* Quarterly Activities/Project Description
> The project will be initially be implemented by the local administration staff. The Human Resource manager will advertise and recruit for the

* Project StatusL

* Total Federal Amount ARRA Funds Received/Invoiced $

* Number of Jobs   10.6

* Description of Jobs Created
Prime Recipient (7.3 FTE): 1.6 FTE Administrative/Human Resources, 2.1 FTE Training and Technical Assistance, 3.6 Construction/Manufacturing
Subrecipient A (3.3 FTE): 1.1 FTE Information Technology (IT); 2.2 FTE Law Enforcement;

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

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Calculating the Number of Jobs

Jobs Calculation Tools

- OJP, COPS, and OVW have created a jobs calculation tool to assist recipients and subrecipients to calculate and track jobs funded by the Recovery Act throughout the life of the grant.

  - OJP - http://ojp.usdoj.gov/recovery/recipientreporting.htm

  - COPS - www.cops.usdoj.gov/default.asp?item2284

  - OVW - http://www.ovw.usdoj.gov/recovery.htm

- Recipients can also use the OMB jobs worksheet (see OMB Memorandum M-10-08) or their own customized system to calculate and track jobs.
  http://www.whitehouse.gov/omb/assets/memoranda_2010/m10-08.pdf

- OJP's job guidance on the calculating and reporting of jobs.
  http://www.ojp.usdoj.gov/recovery/pdfs/calculating_and_reporting_job_creation_and_retention.pdf

Preparing for April Reporting

How Do I Prepare for Reporting?

- **Verify CCR, GMS/CMS, and FederalReporting.gov registration data.**

  – Points of Contact

  – DUNS Numbers

  – Recertify CCR information annually (http://www.ccr.gov)

  – FRPIN

- **Coordinate subrecipient data collection and/or delegation.**

- **Document and communicate internal procedures.**

- **Establish separate tracking & accounting mechanisms.**

- **Verify compliance with all Recovery Act Requirements/Special Conditions.**

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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 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

Section 1512(c) Data Troubleshooting

December Reports: Top 10 Key Issues Identified by OJP

DUNS Number	Activity Code
CFDA Number	Project Name or Project/Program Title
Award Date	Funds Expended
Report Marked Final but Grant Not Closed.	Award Description
Job Number	Award Number

Basic award details should match the information in OJP, and OVW's GMS system or the COPS Office CMS system.

DOJ communicates errors identified in Section 1512(c)

OJP will communicate with recipients throughout the preparation submission phases. Below lists the different messages you may be receiving from OJP.

- **Email Reminders from DOJ – March**
  (To GMS POC and Authorized Rep)
    - Critical Errors (e.g., Award Number, DUNS) on December Report
    - Did not submit December Report

- **Quick Reference Email from DOJ – March 24**
  (To GMS POC and Authorized Rep)

- **Official Comments via FederalReporting.gov – April 13-29th**
  (To FR.gov Report Submitter Email)

- **In-Depth Review by DOJ Grant Manager – May/June**
    - Recipients of selected reports may be contacted by their federal grant manager to provide documentation or clarification of submitted data.

DUNS Number

CCR	FR.gov Registration	GMS/CMS	1512(c) Report

- Identify the DUNS number associated with the **legal recipient** of the award (on the award document).

- Create/Update **CCR registration** for legal recipient. (Verify point of contact.)

- Verify/Update **GMS profile.** (GAN required to change DUNS.)

- Verify **FederalReporting.gov registration**. May need to re-register using correct DUNS.

DUNS Number

If your October - December report due January 30 had an <u>incorrect DUNS number</u>, please verify and submit the correct data in your April report.

- DOJ validates the DUNS number with the DUNS number in GMS or CMS.

- If the DUNS number in GMS or CMS is incorrect, please submit a Grant Adjustment Notice in GMS or CMS your GMS profile or CMS profile.

- If the DUNS number in GMS or CMS is correct and the DUNS number in the Section 1512(c) report is incorrect, users can use the "**Change Business Key Information**" function to correct an award number.

CFDA Number and Activity Code

If your October - December report due January 30 had the <u>incorrect CFDA Number or Activity Code,</u> for the April reporting period,

- review the DOJ recommended CFDA Numbers and Activity Codes in the document entitled, "*Activity Code Recommendations and CFDA Numbers,*" to collect the correct CFDA and Activity Code.

    – This document can be viewed and downloaded at http://www.ojp.gov/recovery/pdfs/actcodecfdanumbers.pdf.

Award Date, Award Number, or Project Title

If your October - December report due January 30th had the <u>incorrect Award Date, Award Number, or Project Title</u>,

- **review your DOJ award document and submit the data in your April report.**

Award Information (OJP and OVW)

Department of Justice Office of Justice Programs **Bureau of Justice Assistance**	**Cooperative Agreement**	PAGE 1 OF 10
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 10/01/2009 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

Award Information (COPS)

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

Report Marked Final but Grant Not Closed

If your October - December report due January 30 was incorrectly <u>marked as Final</u>, please review information below and report the correct information on your April report.

- A Section 1512(c) report can be marked and submitted as Final only if
  - the recipient completes all project activities and meets the goals and objectives stated in the approved application,
  - the recipient submits a closeout package in OJP's Grant Management System (GMS), and
  - the closeout package is approved in GMS.

- For detailed directions on how to submit a closeout package, please go to http://www.ojp.usdoj.gov/training/gmstraining.htm.

- The closeout package includes: a final progress report, final SF-425, special condition compliance, financial reconciliation, and a programmatic requirements certification.

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Funds Expended

If your October - December report due January 30 <u>had the incorrect data for Funds Expended,</u> please submit the correct data on your April report.

- The recipient must enter the amount of funds that have been paid out for expenses.

- The data reported on the submitted SF-425 (line 10e) should match the Total Federal Amount of ARRA Expenditure field on the submitted Section 1512(c) report for organizations where the base of accounting is cash.

Award Description

If your October - December report due January 30 had the incorrect data for Award Description, on your April report you

- Must report a narrative description of the overall purpose and expected results of the award including significant deliverables.

Important Data Elements: Agency and TAS Codes

Listed below are the agency codes for all DOJ awards as well as the TAS codes.

DOJ Awarding Agency Code: 1500

DOJ Funding Agency Code: 1500

Program Source (TAS):

OJP: 15-0402   **COPS: 15-0412**

OVW: 15-0411   **ATF: 15-0699**

Additional Recovery Act Requirements

Recovery Act Certifications: Section 1511

Section 1511 of the Recovery Act provides-

– With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars.

Recovery Act Certifications: Section 1511

Section 1511 of the Recovery Act provides-

– Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, **and shall be posted on a website and linked to the website established by section 1526 (Recovery.gov).**

– A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted.

What is a Single Audit?

•   All non-Federal entities that expend $500,000 or more of Federal awards in a year ($300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996, OMB Circular A-133, the OMB Circular Compliance Supplement and Government Auditing Standards.

•   A single audit is intended to provide a cost-effective audit for non-Federal entities in that one audit is conducted in lieu of multiple audits of individual programs.

Reporting Requirements

Report	System
Section 1512(c) Cumulative reporting for Recovery Act awards	FederalReporting.gov
FFR/SF-425 Federal Financial Report (Formerly SF-269)	Grants Management System (GMS) COPS Management System (CMS)
Progress Reports Project activity reports	Grants Management System (GMS) COPS Management System (CMS)
Performance Measures	Performance Measurement Tool (PMT) Grants Management System (GMS) COPS Management System (CMS)
Other Reports (Conference cost reporting, etc.)	Grants Management System (GMS) COPS Management System (CMS)

Additional Requirements

- Please review the DOJ December 17, 2009 webinar for additional information on:
  - The Definition of Infrastructure
  - Buy American
  - NEPA
  - Davis Bacon Wage Rate
  - Limit on Funds
  - Reporting Grant Fraud and Abuse

http://www.ojp.usdoj.gov/recovery/rawebinar.htm

Getting Help

DOJ Recovery Websites

- OJP, OVW, and COPS each have a Recovery Act page to assist recipients in completing their Section 1512(c) reports.

- The OJP, OVW, and COPS Recovery Act page contains current guidance, sample reports, calculators, training resources, and frequently asked questions (FAQ's).

- Information on the Recovery Act page is updated as supplemental Office of Management and Budget (OMB) guidance is received.

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 (Located on award document)**

- **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

  OVW Recovery Email: OVW.Recovery@usdoj.gov

- **DOJ Recovery Act Job Creation/Retention Guidance - http://www.ojp.usdoj.gov/recovery/pdfs/calculating_and_reporting_job_creation_and_retention.pdf**

- **DOJ Recovery Act Webinar - http://www.ojp.gov/recovery/recipientreporting.htm**

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

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

- **GMS Training- http://www.ojp.usdoj.gov/training/gmstraining.htm**

The End