



*Education Department Technical  
Assistance Web Conference Series:*

*American Recovery and Reinvestment Act of 2009*

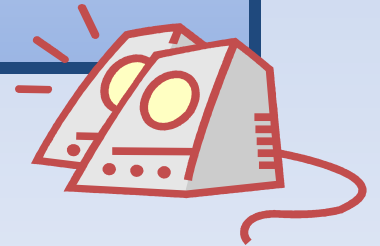
**Education Department  
Clarifying Guidance:  
Reporting Requirements**

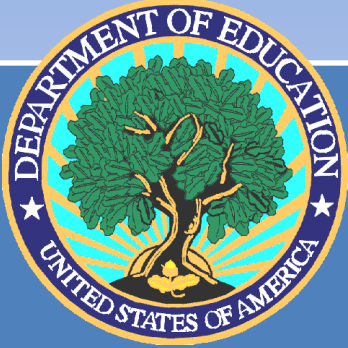


RECOVERY.GOV

# Sound Check

Audio is available via internet  
Please be sure your speakers are  
attached and turned on and  
your volume is up





# *Recovery Act Reporting Requirements – Presenters*

David Cattin, Risk Management Service - Facilitator

Cynthia Brown, Risk Management Service

Connie Davis, Office of the Chief Information Officer (FederalReporting.gov)

Carol Cichowski, Budget Service

Todd Stephenson, Office of Elementary and Secondary Education (ESEA Title I Program)

Lauren Scott, Office of Elementary and Secondary Education (State Fiscal Stabilization Program)

Ruth Ryder, Office of Special Education (Individuals with Disabilities Education Act)

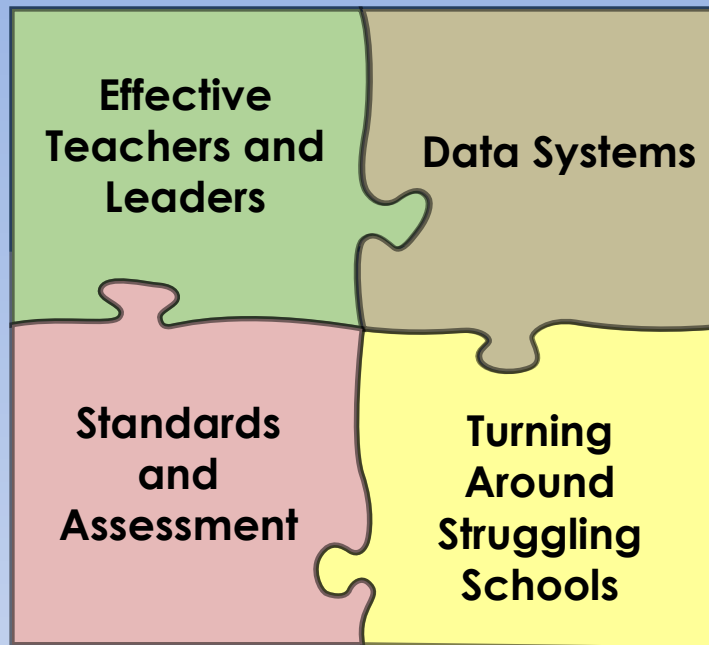
Enid Marshall, Office of Elementary and Secondary Education (Education Technology Program)

Joe Pepin, Rehabilitative Service Administration (Vocational Rehab. & Independent Living programs)

Cathy Schagh, Office of Elementary and Secondary Education (Impact Aid Construction Grants)

# Agenda for Today's Conference

- Review available guidance on the Recovery Act and Section 1512 reporting
- Review registration, reporting and data review process
- Clarify how to calculate jobs created and retained
- Provide program-by-program clarifications
- Answer your questions



## References and Resources

General uses of funds guidance at  
ED.gov > ED Recovery Act >  
Programs

***Using Title I, Part A ARRA Funds for Grants to Local Educational Agencies to Strengthen Education, Drive Reform and Improve Results for Students***

***American Recovery and Reinvestment Act of 2009: Using ARRA Funds Provided Through Part B of the Individuals with Disabilities Education Act (IDEA) to Drive School Reform and Improvement***

***American Recovery and Reinvestment Act of 2009: Using IDEA Part C ARRA Funds to Improve Outcomes for Infants and Toddlers with Disabilities and their Families***

# Available Reporting Guidance



**FederalReporting.gov**

- User Registration Guide
- Recipient Reporting Data Model
- Template for Microsoft Excel
- Custom Software System Extract in XML
- ARRA Recipient Reporting Help Desk



**RECOVERY.GOV**

- Recipient Reporting Information
- Frequently Asked Questions



GENERAL Recipient Reporting Requirements

Overview of the Recovery Act

The American Recovery and Reinvestment Act of 2009 (Recovery Act) was signed into law by President Obama on February 17th, 2009. It is an unprecedented effort... Show more



Government-Wide Guidance

Recovery Act Section 1512 Report Data Dictionary, XML Schema, and Excel Spreadsheet Templates are now available. To assist recipients in reporting on their expenditures of funds received under the Recovery Act, the guidance, reporting documents, and Frequently Asked Questions (FAQs) issued to-date can be found on www.Recovery.gov at: http://www.recovery.gov/?q=content/recipient-reporting

New: ED Clarifying Guidance on Recovery Act Section 1512 Quarterly Reporting:

ED has developed guidance for recipients of ED Recovery Act financial assistance that clarifies and elaborates on OMB's Section 1512 guidance:

- 1. ED Clarifying Guidance on Recovery Act Section 1512 Quarterly Reporting MSWord (286K)
2. ED Clarifying Guidance on Reporting on Jobs Creation/Retention Estimates by Recipients MSWord (604K)

Recovery Act Recipient Reporting Tip Sheets for October 2009

ED Recovery Act LEARN MORE

How Do I Find...?

- Grants to apply for
Grant opportunities
Accreditation
Money for college
Research and statistics
Facts and figures
More...

Related Topics

No Related Topics Found

# Recovery Act-Funded Programs Subject to Section 1512

- Title I - Grants to LEAs
- School Improvement Grants
- Education of Homeless Children and Youth
- Special Education - Grants to States
- Special Education - Preschool Grants
- Special Education - Grants for Infants and Families
- Vocational Rehabilitation State Grants
- Work Study
- Capacity Building for Traditionally Underserved Populations - Voc Rehab Services
- Statewide Data Systems
- Teacher Incentive Fund
- Education Technology State Grants
- State Fiscal Stabilization Fund - Government Services
- State Fiscal Stabilization Fund - Education State Grants
- State Fiscal Stabilization Fund - State Incentive Grants (Race to the Top)
- State Fiscal Stabilization Fund - Innovation Fund (Investing in Innovation)
- Independent Living - State Grants
- Independent Living - Services for Older Blind Individuals
- Independent Living – Centers
- Impact Aid School Construction
- Consolidated Grants for Outlying Areas
- Teacher Quality Enhancement Partnerships

# Technical Tips – Registration and the Review Process

# Registration

Prime recipients:

- DUNS number – *Current!!*
- CCR registration
- FederalReporting.gov

Sub-recipients (includes all LEAs that receive ARRA \$ through state):

- DUNS number and CCR Registration – Regardless of whether they are entering data directly to FederalReporting.gov
- FederalReporting.gov – ONLY if they are going to enter their own data

Vendors (on contract to a prime- or sub-recipient):

- DUNS numbers are optional
- NO grantees' vendors register in FederalReporting.gov

# CCR.gov

Central Contractor Registration (CCR) - Windows Internet Explorer  
https://www.bpn.gov/ccr/

File Edit View Favorites Tools Help

Central Contractor Registration (CCR)


**CENTRAL CONTRACTOR REGISTRATION**

CCR Home CCR Search Federal Agency Registration News Release Notes Request Data Access Help

Contractors Grantees International Registrants Small Businesses Security Notes **595,236 Active Registrants**

**Quick Links**

- Dynamic Small Business Search
- ORCA
- SBA
- Request DUNS Number
- Federal Business Opportunities



## Welcome to Central Contractor Registration (CCR)

**Central Contractor Registration (CCR)** is the primary registrant database for the U.S. Federal Government. CCR collects, validates, stores and disseminates data in support of agency acquisition missions. [Learn more about CCR Policy and Background.](#)

### Existing CCR Users

Log in to CCR

**User ID:**

**Password:**

[Forgot Password](#) [Forgot User ID](#)

---OR---

If you have not yet converted to a User ID and Password, use your DUNS and TPIN to do this before December 21, 2009.

**DUNS / TPIN Access**

**DUNS:**

### New CCR Users

What you need to register

1. DUNS Number
2. Tax Identification Number (TIN) and Taxpayer Name
3. Statistical Information about your business
4. Electronic Funds Transfer (EFT) Information

[View Detailed Descriptions](#)  
[International Registrants](#)


Note: New registrations usually take 1-2 business days to process once completed by the vendor.

https://www.bpn.gov/ccrauth/RetrieveUserName.aspx Internet | Protected Mode: Off 100%

# FederalReporting.gov

Recipient Information - FederalReporting.gov - Windows Internet Explorer  
https://www.federalreporting.gov/federalreporting/home.do?recipient Certificate Error Live Search

File Edit View Favorites Tools Help  
Central Contractor Registr... Recipient Information -... X



## FederalReporting.gov

Home | About | Downloads | FAQ | Help


### Log In

User ID   
Password

[I forgot my password](#)

### Not Registered?

### Download Templates



**LIVE HELP**  
Click Here To Chat

### Messages

- **Registration is ongoing.** Registration for all Federal Agencies and Recipients begins Monday, August 17, 2009. Users are encouraged to register prior to the beginning of the reporting period.
- **Excel and XML Validation Tool Available September 15th:** Registered users of the system will have the ability to test the structure and business rules associated with a sample file to verify compliance before full reporting begins October 1st.
- **Reporting begins Thursday, October 1, 2009.** The FederalReporting.gov system opens for reporting on Thursday, October 1, 2009. The Service Desk will be available from 7 a.m. through 9 p.m. (ET) Monday through Friday throughout October. In addition, the Service Desk will be available from 9 a.m. through 5 p.m. on Saturday October 3rd and Saturday October 10th to assist users.
- **FederalReporting.gov will be unavailable** nightly from 9:30 p.m. through 6 a.m. (ET) for scheduled maintenance now through September 30th.

Home For Agencies For Recipients

### Registering as a Recipient

Recipients are non-Federal entities that receive Recovery Act funding and should register as a **Recipient User**. Recipients may submit reports as a Prime Recipient or a Sub Recipient. At the time of registration, the system does not distinguish between Prime Recipients and Sub Recipients.

When you register to be a Recipient User, you will need to provide the following:

- Your Name
- Your Phone Number
- Your Email Address
- Your Organizational DUNS number (Organizational DUNS number is used to obtain demographic information about your Organization.)

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# Reporting Timeline – Data Entry & Review

- **Prior to the end of the Quarter** - Registration
- **1-10 days** – Prime recipients and sub-recipients enter and submit draft reporting data.
- **11-21 days** – Prime recipients review data submitted. Both prime and subs make corrections - ‘Agencies view only’.
- **22-29 days** – Agencies review and comment on data submitted. Primes and subs make corrections.
- **30 days** – Recipient reports published on Recovery.gov.
- **90 days** – Next quarterly report cycle begins again with cumulative data.

# Data Quality Review

If the Department has a question, or identifies an omission or error in a recipient's report:

- **11-21 days**, the Department may call or email the recipient outside of FederalReporting.gov system. 'Agency View Only'
- **22-29 days**, the Department will use the FederalReporting.gov system to 'unlock' the report and send a comment to the recipient to make a correction.

# Job Creation & Retention

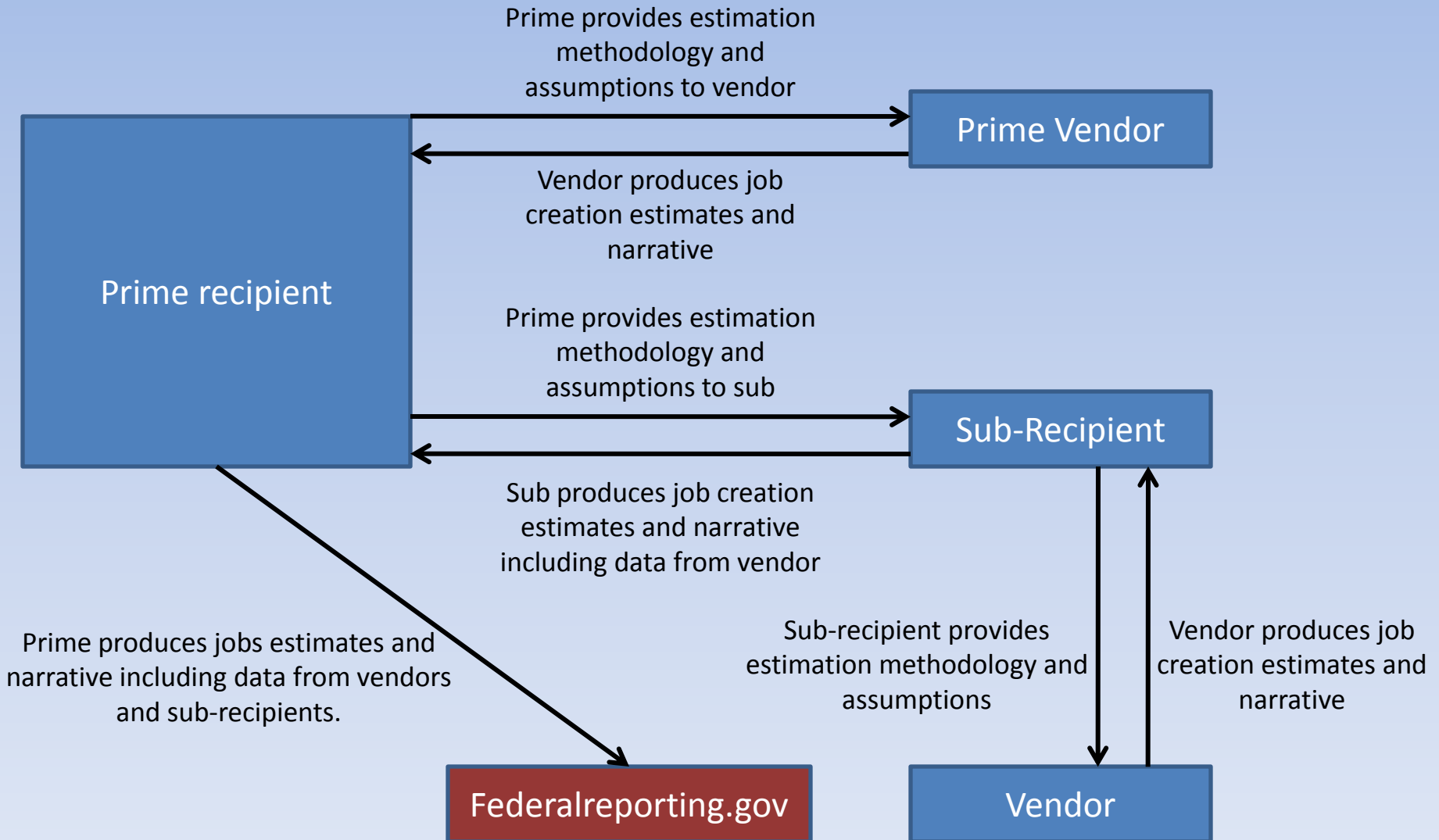
# Prime Recipient Responsibilities – Jobs Creation & Retention Reporting Requirements

- **Prime Recipients:** Responsible for reporting all job creation/retention data on [FederalReporting.gov](https://www.federalreporting.gov).
- **Prime recipients** should provide the assumptions and estimation methodology needed by sub-recipients and vendors to produce jobs creation estimates
- **Prime recipients** are responsible for estimating any jobs they support and for collecting job data from their own vendors and from sub-recipients.
- Job reporting cannot be delegated to sub-recipients – job creation/retention estimates can only be entered in [FederalReporting.gov](https://www.federalreporting.gov) by prime recipients.

## Sub-recipient Responsibilities – Jobs Creation & Retention Reporting Requirements

- **Sub-recipients:** Responsible for producing job creation/retention estimates and a narrative describing the types of jobs (e.g., job titles) using the methodology and assumptions provided by the prime recipient.
- **Sub-recipients** are responsible for collecting job estimates from any vendors with employees directly charged to projects or activities funded by Recovery funds.

# Jobs Reporting Process



# When Should a Job be Reported as Created or Retained?

- In general, a job should be reported as created or retained **if and only if** that position would not have existed or been filled in absence of Recovery Act funds.
  - Jobs do not need to be directly paid for by Recovery Act funds to be reported. For example, Recovery Act funds could be used to pay a bill, freeing up funds that could be used to pay salaries.
  - Jobs that are paid for with Recovery Act funds are not necessarily created or retained jobs. For example, Recovery Act funds could be used to temporarily pay all employee salaries, including employees that would have been employed in absence of the Recovery Act.

# Which Jobs Should be Reported?

- **Recipients should only include direct jobs** in their job creation/retention estimates.
- A direct job is a position that is funded by a prime recipient, sub-recipient, or vendor of a prime or sub-recipient and that is being filled as a result of Recovery Act funding.
- A direct job does not need to be paid for with Recovery Act funds as long as the position has been filled as a result of Recovery Act funding.

# Which Jobs Should Not be Reported?

- **Indirect jobs should not be reported** in job creation/retention estimates.
- Indirect jobs include jobs that are not directly funded by a prime recipient, sub-recipient, or vendor of a prime or sub-recipient.
- Vendor jobs that are not directly supported by a Recovery Act supported contract. **Individuals employed by vendors that are providing materials, equipment, or supplies are not typically considered direct employees and should NOT be included** in job counts, with the possible exception of a contract for materials, equipment or supplies that has a discernible jobs impact on the vendor (e.g., a custom or very large order for which jobs are created /retained to service the order).

# How Should Recipients Estimate Job Creation & Retention?

- Jobs are to be estimated and reported on a quarterly basis, although the initial report in October will cover more than 3 months.
- The goal is to estimate full-time equivalent jobs so that the number of hours worked by the employee must be considered in relation to the number of hours normally worked by a full-time employee in that job. The calculation will convert part-time employees into full-time equivalent (FTE) jobs.
- Reporting will be cumulative from quarter to quarter so that if a sub-recipient reports 2.5 FTE for the first quarter and those employees are retained, the recipient would continue to report 2.5 FTE in the following quarter.

# Sampling

- Sampling is only permitted when direct collection of data by prime recipients is overly costly or burdensome and disrupts the underlying mission of the program.
- The Department recommends that primes with 100 or fewer sub-recipients directly collect data from all sub-recipients.
- The Department is recommending a specific sampling design for sampling school districts.
- Primes may develop their own design subject to approval by NCES.

# Tips for All Programs

# State Agency as Prime Recipient

- Prime is *always* the agency & DUNS number on the Grant Award Notification (GAN)
- All state agencies must be considered 'prime recipient' (except IHEs)
  - Even if another state agency manages or provides services, the state agency named on the GAN is the prime
  - The other state agencies are not sub-recipients
  - Report the total/summary of all state expenditures and activities
  - Report all state agencies' vendors as vendors to the prime recipient

# School Districts and Charter Schools – Prime- or Sub-recipient?

- The Department's direct grantee is the 'Prime Recipient'
- For formula grants to SEAs with sub-grants to LEAs
  - The prime is the state educational agency
  - The local educational agency is the sub-recipient
- Charter schools that receive funds from the state because they are LEAs are sub-recipients
- If a charter school is a school within a school district, the school district—not the charter school—is subject to the reporting requirements

# Can an Agency be a Prime and a Sub?

- School Districts and other agencies that are sub-recipients can also be prime recipients.
- School districts report as prime recipients on grants that they received directly from the Education Department or another federal agency

# Infrastructure Investments

“An infrastructure investment is financial support for a physical asset or structure needed for the operation of a larger enterprise. Therefore, infrastructure investments include support for tangible assets or structures such as roads, public buildings (including schools), mass transit systems, water and sewage systems, communication and utility systems and other assets or structures that provide a reliable flow of products and services essential to the defense and economic security of the United States, the smooth functioning of government at all levels, and society as a whole.”

- Prime recipients need to collect information from sub-recipients about the sub-recipient infrastructure investments
- Report a summary of all infrastructure investment for a grant

# Infrastructure Investments

Funds may be used for infrastructure investments under

- State Fiscal Stabilization, Government Services Fund
- State Fiscal Stabilization, Education Stabilization Fund
- Impact Aid Construction
- IDEA Part B (Sections 611 and 619)
- IDEA Part C
- Vocational Rehabilitation State Grants

# Reporting Expenditures- Prime Recipients

## **‘Total Federal Amount ARRA Funds Received/Invoiced’**

- Report the amount the prime recipient has drawn from its grant (equals GAPS/G5 amount)

## **‘Total Federal Amount of ARRA Expenditures’**

- Report the cumulative total amount of expenditures for the grant - See OMB data dictionary for how to calculate expenditures <http://www.recovery.gov/?q=content/recipient-reporting>
- Within that guidance, the state educational agency (prime) has flexibility to establish its methodology for expenditure calculation
- ED recommends state reports as expenditures the amount it pays out in reimbursements/advances to the sub-recipients and vendors
- Whatever method is chosen, make sure you can reconcile what is reported to the information in your finance system

# Reporting Expenditures- Sub-recipients

## **'Amount of Sub-award'**

- The total of the sub-award from the prime recipient

## **'Total Sub-Award Funds Disbursed'**

- Follow prime recipient guidance or instructions (if available)
- ED recommends reporting funds as disbursed after the sub-recipient has obligated and expended and received its federal funds reimbursement from the prime recipient
- Your state may request you report differently – for example
  - When obligated and paid (before reimbursement is received)
  - Not at all – the state will use information from the finance system
- LEAs with questions on this topic should start by contacting the SEA.

# Program-by-Program Tips

# State Fiscal Stabilization Fund

## Prime Recipient under SFSF

- All state agencies are considered prime recipients.
  - Ex: If the Governor's office receives the grant and gives money to the State Department of Transportation, the DOT is still considered a prime recipient.
- All state agencies receiving funds under SFSF must aggregate their data and report collectively as the prime recipient

# State Fiscal Stabilization Fund

## **IHE Exception**

The only state entities that will not report as a prime recipient under SFSF are public institutions of higher education. Public IHEs are considered sub-recipients and should follow applicable reporting requirements.

# State Fiscal Stabilization Fund

## Sub-Recipients, Vendors and Individuals

- Under the Education Stabilization Fund, LEAs and IHEs will be sub-recipients.
- Under the Government Services Fund, sub-recipients are entities receiving funds beyond the state level (excluding vendors) - counties, cities, LEAs, IHEs, etc.
- See ED guidance for vendor description. Remember that a prime (under Government Services grants) or sub-recipient can have vendors.
- Individuals will *not* be recipients of funds under Education Stabilization grants.
- Individuals could receive funds from Government Services grants. See ED guidance for additional information.

# State Fiscal Stabilization Fund

## **Infrastructure Investments**

- Is an allowable cost within applicable regulations
- Use definition provided in ED tip sheet and guidance
- Don't forget certification required under S. 1511

# State Fiscal Stabilization Fund

## **Phase 2 Reporting**

- Phase 2 funds will be an addition to current grants and not a new grant
- Reporting will continue as in Phase 1

# ESEA Title I Part A and Homeless Children & Youth Grants

## **Prime Recipient and Sub-recipients**

- For Title I, Part A and Homeless Education, SEAs are the prime recipients and LEAs are the sub-recipients

# ESEA Title I Part A and Homeless Children & Youth Grants

## **Reporting Uses of Funds**

- For the purposes of the Section 1512 reports, funds expended on Title I, Part D, Subpart 2 (N&D) activities are reported with Title I, Part A funds
- Activity codes for Title I, Part A and Homeless Education are in the tip sheet: Elementary and Secondary Education and Early Childhood Education

# ESEA Title I Part A and Homeless Children & Youth Grants

## **Infrastructure Investments**

- There should not be any infrastructure expenditures reported for Title I, Part A and Homeless Education

# Title II Part D Educational Technology State Grants (Ed-Tech)

## **Prime Recipient and Sub-recipients**

- Prime Recipients are SEAs
- Sub-recipients are LEAs
- In the case of consortia that receive competitive grant awards, the sub-recipient is the fiscal agent LEA
- If a single LEA receives more than one Ed Tech Recovery Act grant award, treat each grant award as a sub-recipient

## **Infrastructure Investments**

- Infrastructure is not an allowable expenditure under Title II, Part D. There should not be any infrastructure expenditures reported.

# Title II Part D Educational Technology State Grants (Ed-Tech)

## **‘Quarterly Activities/Project Description’**

- Indicate the percent of funds distributed by formula and the percent of funds distributed competitively
- Provide a brief description of the competitive program focus and provide a brief description of SEA non-administrative activities

# IDEA Part B

## **Prime Recipient and Sub-recipients**

- The prime recipient is the SEA
- LEAs are the sub-recipients

## **Infrastructure Investments**

- Is an allowable cost
- Use definition provided
- Includes basic construction
- Provide an activity code and purpose and rationale
- Don't forget certification required under S. 1511

# IDEA Part C

## Prime Recipient, Sub-recipients & Vendors

- The prime recipient is the state lead agency
  - ✓ What if multiple state agencies are involved?
- At the discretion of the state lead agency, EIS programs/EIS providers may be reported as either sub-recipients or vendors

# IDEA Part C

## **Infrastructure Investments –**

- Is an allowable cost
- Use definition provided
- Includes basic construction
- Provide an activity code and purpose and rationale
- Don't forget certification required under S. 1511

# Vocational Rehabilitation & Independent Living

## Prime-recipient, Sub-recipients, Vendors & Individuals

- Prime recipient – VR, IL part B, and OIB grantees
- Sub-recipient – organizations that receive awards from the prime recipient and carry out the mission of the program
  - VR program – No sub-recipients  
Sub-granting funds not provided for the VR legislation
  - IL part B and OIB  
The IL part B program and the OIB programs allow for sub-granting funds for the provision of services

# Vocational Rehabilitation & Independent Living

## **Prime-recipient, Sub-recipients, Vendors & Individuals**

- Vendors – Service Providers for VR, IL part B, or OIB
- Individuals – None  
No individuals benefit personally from the Recovery Act VR, IL part B, or OIB awards

# Vocational Rehabilitation & Independent Living

## Award Description

- Use the language in the tip-sheet
- Quarterly Activities/Project Descriptions
  - Use the language in the tip-sheet followed by the activities your program has undertaken to improve the number of individuals served as well as underserved and un-served populations. For the VR program this may include reducing or eliminating individuals on a waiting list

# Infrastructure for the VR Program

- Infrastructure applies only to the VR Program, not IL part B or OIB
  - Funds could be used for: Acquisition of land, expansion of new or existing buildings, fixed or movable equipment acquired from the purchase of buildings
  - Limit of \$300,000 of federal funds for acquisition of existing buildings for establishment projects
  - No more than 10 percent of a state's allotment may be used for construction

# Impact Aid Construction

- Reporting tips and Grant Award Notification (GAN) contain much of the information needed
- Impact Aid grantees will submit reports for prime recipients and vendors only

# Impact Aid Construction

- Project description should include identification of building system(s) addressed with project
  - Examples: roof, windows, doors, fire safety, lighting, HVAC, telecommunications

# Impact Aid Construction

- Also provide a brief summary of the project focus, such as replacement or repair, upgrading for energy efficiency, ADA compliance, etc.
- All expenditures from Impact Aid grants must be reported as infrastructure investments

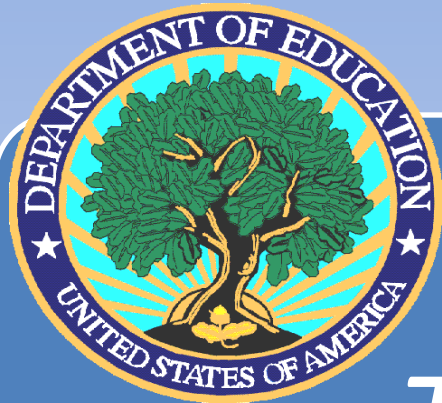
# Impact Aid Construction

- If a project has been completed and the grants fully expended, the October report should be labeled 'Final'
- Impact Aid Program office will contact grantees for documentation needed to close out grants

# Questions



# Answers



*Thank you for attending*

**ED**.gov

ED Recovery Act

LEARN MORE

### **FOR FURTHER ASSISTANCE**

- **FederalReporting.gov** service desk:  
[Support@FederalReporting.gov](mailto:Support@FederalReporting.gov)
- **ED Recovery Act** program e-mail boxes
- **Your Department Grant Officer**

# References and Resources

## [www.ED.gov](http://www.ED.gov)

- General uses of funds guidance by program at: ED Recovery Act > Programs  
<http://www.ed.gov/policy/gen/leg/recovery/programs.html>
- *New: Using Title I, Part A ARRA Funds for Grants to Local Educational Agencies to Strengthen Education, Drive Reform and Improve Results for Students*  
<http://www.ed.gov/policy/gen/leg/recovery/guidance/titlei-reform.pdf>
- *New: American Recovery and Reinvestment Act of 2009: Using ARRA Funds Provided Through Part B of the Individuals with Disabilities Education Act (IDEA) to Drive School Reform and Improvement*  
<http://www.ed.gov/policy/gen/leg/recovery/guidance/idea-b-reform.pdf>
- *New: American Recovery and Reinvestment Act of 2009: Using IDEA Part C ARRA Funds to Improve Outcomes for Infants and Toddlers with Disabilities and their Families*  
<http://www.ed.gov/policy/gen/leg/recovery/guidance/idea-c-reform.pdf>
- All of the Department's guidance on Section 1512 reporting is at:  
<http://www.ed.gov/policy/gen/leg/recovery/section-1512.html>
  - *ED Clarifying Guidance on Recovery Act Section 1512 Quarterly Reporting*
  - *ED Clarifying Guidance on Reporting on Jobs Creation/Retention Estimates by Recipients*
  - *Recovery Act Recipient Reporting Tip Sheets for October 2009 [FederalReporting.gov](http://www.federalreporting.gov) Submission*
  - Links to all the government-wide guidance on Section 1512

## [www.RECOVERY.gov](http://www.RECOVERY.gov)

- Recipient reporting information, including the data dictionary and formats for data entry  
<http://www.recovery.gov/?q=content/recipient-reporting>

## [www.FederalReporting.gov](http://www.FederalReporting.gov)

- Frequently asked questions about registration and reporting  
<https://www.federalreporting.gov/federalreporting/faq.do>