



# United States Department of the Interior

OFFICE OF THE SECRETARY  
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## Department of the Interior Guidance Release ARRA-2010-02

**Subject:** AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009  
(ARRA): REVISED RECIPIENT REPORTING GUIDANCE

**Reference:** Memorandum M-10-08, Updated Guidance on the American Recovery and Reinvestment Act – Data quality, Non-Reporting Recipients, and Reporting of Job Estimates, Office of Management and Budget (OMB), dated December 18, 2009

**Issue Date:** December 22, 2009

### 1. Purpose:

This release incorporates the latest OMB guidance on ARRA recipient reporting with the purpose of clarifying procedures with regard to data quality, non-reporting recipients, and reporting of job estimates.

### 2. Effective Date:

Effective upon issuance.

### 3. Background and Explanation:

The “Updated Guidance on the American Recovery and Reinvestment Act – Data Quality, Non-Reporting Recipients, and Reporting of Job Estimates,” Memorandum M-10-08, issued by OMB December 18, 2009, addresses several lessons learned from the first ARRA reporting period that ended September 30, 2009; and incorporates recommendations from the Government Accountability Office regarding reporting of job creation and overall data quality of recipient reporting. The memorandum describes steps Federal agencies must take to identify non-reporting recipients and take action to bring recipients into compliance. The memorandum also outlines a simplified process for recipient job estimate calculation and reporting.

### 4. Action Required:

Bureaus must take the following steps to implement the revised recipient reporting guidance.

- Provide the Attachment 1 or Attachment 2 Clarifying Guidance, as appropriate for contractors or financial assistance recipients, to all existing recipients of ARRA

funding. In addition, provide the guidance to all new ARRA recipients at time of award, incorporating the material into the award documents as appropriate.

- Provide the following “Key Award Information” to all recipients along with the award document to facilitate accurate reporting. Bureaus may, at their discretion, combine key award information when issuing multiple awards to a single recipient.

**Key Award Information:**

1. Award Type (identify to the recipient either: (1) Grant, (2) Loan, or (3) Federally Awarded Contract. Any other type of federal financial assistance that is neither a grant nor a loan should be identified, for purposes of Award Type, as a Grant)

2. Award Number

3. Order Number for Federally Awarded Contracts, if applicable

4. Funding Agency Code (four characters)

5. Awarding Agency Code (four characters)

6. Government Contracting Office Code, if a federally awarded contract (6 characters or less)

7. Award Date

8. Amount of Award (For Grants: The total amount of Federal dollars on the award. For Loans: The total amount of the loan obligated by the Federal Agency. This is the face value of the loan. For Federally Awarded Contracts: The total amount of dollars obligated by the Federal Agency).

9. Catalogue of Federal Domestic Assistance (CFDA) Number (for Grants and Loans only)

10. Activity Code (NAICS or NTEE-NPC, as applicable to the award and available through agency systems). [Agencies should review the Recipient Reporting Data Model at the “Downloads” tab at [FederalReporting.gov](http://FederalReporting.gov) to determine which applies.]

11. Program Source (TAS) Code (format will be two digits, a hyphen, and then four digits, for example, “13-0554”)

- Ensure awarding officials review the following financial assistance and contracts procedures for addressing noncompliance with ARRA reporting requirements, as well as the Attachments 1 and 2 Clarifying Guidance, and take action as necessary to enforce the requirements and implement penalties:

## **FINANCIAL ASSISTANCE RECIPIENT NONCOMPLIANCE**

Noncompliance with this reporting requirement will be treated as failure to comply with the terms and conditions of award and will be subject to the enforcement actions depending on the severity and duration of the noncompliance (TITLE 43 PUBLIC LANDS PART 12 Subparts C and F). Recipients will be given an opportunity to correct the deficiencies before bureaus and offices take enforcement actions. A bureau or office may take proactive action to protect the Federal government's interests when it is determined that a recipient is noncompliant with Section 1512 Reporting requirements, by placing special conditions on awards or precluding the grantee from obtaining future awards for a specified period; or by taking action designed to prevent future noncompliance, such as closer monitoring. Also, bureaus and offices have the discretion to withhold, suspend or terminate payment of funds for noncompliance with the reporting requirements.

Prime recipients or sub-recipients delegated to complete reporting requirements will be considered noncompliant with Section 1512 beginning on the 22<sup>nd</sup> day of the reporting period.

- First missed report – Awarding official sends a cure notice or other strong letter to remind the recipient that reporting is mandatory, and failure to report will result in the withholding of payments, award termination for default, or suspension or debarment.
- Second missed report – Award official will initiate termination action or other strong sanction, including suspension or debarment.

## **CONTRACT RECIPIENT NONCOMPLIANCE**

Noncompliance with this reporting requirement will be treated as failure to comply with the terms and conditions of award and will be subject to the enforcement actions depending on the severity and duration of the noncompliance. Recipients will be given an opportunity to correct the deficiencies before bureaus and offices take enforcement actions.

Prime recipients or sub-recipients delegated to complete reporting requirements will be considered noncompliant with Section 1512 beginning on the 22<sup>nd</sup> day of the reporting period.

- First missed report – Awarding official sends a cure notice or other strong letter to remind the recipient that reporting is mandatory, and failure to report will result in the withholding of payments, award termination for default, or suspension or debarment.
- Second missed report – Award official will initiate termination action or other strong sanction, including suspension or debarment.

**5. Additional Information:**

If you have questions about this guidance, please contact Tiffany Schermerhorn, Office of Acquisition and Property Management (PAM) at (202) 513-0747 or [Tiffany\\_Schermerhorn@ios.doi.gov](mailto:Tiffany_Schermerhorn@ios.doi.gov) . You may also contact Anita Hairston of PAM at (202) 208-3433 or [Anita\\_Hairston@ios.doi.gov](mailto:Anita_Hairston@ios.doi.gov) with questions about ARRA assistance guidance.



Debra E. Sonderman  
Director, Office of Acquisition and Property Management  
and Senior Procurement Executive

Attachments

# Attachment 1 to DIG ARRA-2010-02

U.S. Department of the Interior

## Clarifying Guidance on American Recovery and Reinvestment Act Section 1512

### Quarterly Reporting For Financial Assistance Recipients



Version 2.0  
December 2009

#### Document Change History

Version	Date	Change Description
1.0		
2.0	December 2009	<ul style="list-style-type: none"><li>• Updates for OMB M-10-08, Updated Guidance on the ARRA - Data Quality, Non-Reporting Recipients, and Reporting of Job Estimates</li><li>• Addition of Specific Data Element Instructions</li><li>• Addition of Appendix B - Checklist</li></ul>

**Note:** The DOI Recipient Reporting Guidance for Financial Assistance Recipients will be updated as needed to address new requirements.

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## **SECTION I: INTRODUCTION**

### **A. Purpose**

This document establishes guidance pertaining to the reporting responsibilities and processes for recipients reporting under Section 1512 of the American Recovery and Reinvestment Act of 2009 (Recovery Act). This guidance is directed towards **prime recipients** and **sub-recipients** receiving Federal Financial Assistance awards, including grants, loans, tribal agreements, cooperative agreements and other forms of assistance. This document does not provide guidance to recipients of Federal contract awards.

The Department of the Interior (the Department) and its bureaus and offices awarding Recovery Act funds are responsible for ensuring recipients are aware of reporting requirements. The Department is also responsible for validating the information provided by recipients to ensure accuracy of reporting data.

The Department highly encourages all Recovery Act Recipient Reporter to review Recovery Act Reporting guidance and FAQs available on [www.federalreporting.gov](http://www.federalreporting.gov) (go to Downloads and FAQs pages on [www.FederalReporting.gov](http://www.FederalReporting.gov)). This guidance document provides high level Recovery Act Recipient reporting guidance in addition to specific Department level guidance. It is not intended to replace more detailed registration and reporting guidance provided on [www.FederalReporting.gov](http://www.FederalReporting.gov).

### **B. Background**

The American Recovery and Reinvestment Act of 2009 (Recovery Act), was passed and signed into law by President Barack H. Obama on February 17, 2009. The Recovery Act states that taxpayer dollars spent in our economic recovery must be subject to transparency and accountability. In accordance with the Section 1512I of the Recovery Act, recipients of Federal financial assistance awards of \$25,000 or greater are required to report quarterly on the expenditure of those funds. In order to streamline and standardize Recovery Act reporting, the Office of Management and Budget developed the FederalReporting.gov website, which was designed as the Web-based portal for recipient 1512 quarterly reporting. Recipients are expected to report: the total amount of funds received, and of that, the amount spent on projects and activities; a list of those projects and activities funded by name to include a description, completion status, and estimates of jobs created or retained; and, details on sub-awards and other payments.

The Office of Management and Budget (OMB) and the Recovery Accountability and Transparency Board (RATB) has deployed a nationwide data collection system at the website [www.federalreporting.gov](http://www.federalreporting.gov) to enable recipients of Recovery Act funding to fulfill their reporting responsibilities under Recovery Act Section 1512.

### **C. Consequences for not reporting**

Recipients who have failed to submit a Section 1512 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.

## SECTION II: WHO IS REQUIRED TO REPORT

### A. Recipients Types & Reporting Requirements

Recipient Type	Definition	Reporting Requirement
<b>Prime Recipient</b>	<ul style="list-style-type: none"> <li>Non-federal entities that receive Recovery Act funding as Federal awards in the forms of grants, loans, or cooperative agreements directly from the Federal government.</li> <li>The Department's direct awardee.</li> </ul>	<ul style="list-style-type: none"> <li>Ultimately responsible for the reporting of all data required by Section 1512 of the Recovery Act.</li> <li>Prime recipients may delegate certain reporting requirements to sub-recipients.</li> <li>Prime recipients must report three additional data elements associated with any vendors receiving funds from the prime recipient for any payments greater than \$25,000 (DUNS number, the amount of the payment, and a description of what was obtained in exchange for the payment).</li> </ul>
<b>Sub-recipient</b>	Non-federal entities that expend Federal awards received from another entity to carry out a Federal program. Specifically, sub-recipients are awarded Recovery funding through a legal instrument from a <b>prime recipient</b> to support the performance of any portion of the substantive project or program for which the <b>prime recipient</b> received the Recovery funding.	<ul style="list-style-type: none"> <li>Terms and conditions of the Federal award are carried forward to the sub-recipient. Sub-recipients that receive all or a portion of Recover funding from a <b>prime recipient</b> <i>may</i> be delegated the responsibility by the prime recipient to report information to the central reporting solution at <a href="http://www.federalreporting.gov">www.federalreporting.gov</a>.</li> <li>Must also report one data element associated with any vendors receiving funds from that sub-recipient for any payments greater than \$25,000 (DUNS number).</li> </ul>
<b>Vendor - Prime Recipient</b>	A dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of a Federal program. Prime recipients or sub-recipients may purchase goods or services needed to carry out the project or program from vendors.	<ul style="list-style-type: none"> <li>Vendors are not awarded funds by the same means as sub-recipients and are not subject to the terms and conditions of the Federal financial assistance award.</li> </ul>
<b>Vendor - Sub-recipient</b>	A dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of a Federal program. Prime recipients or sub-recipients may purchase goods or services needed to carry out the project or program from vendors.	<ul style="list-style-type: none"> <li>Vendors are not awarded funds by the same means as sub-recipients and are not subject to the terms and conditions of the Federal financial assistance award.</li> </ul>

While "individuals" do not have to submit reports directly to FederalReporting.gov, prime recipients are required to capture and report specific information regarding sub-awards made to individuals.

### B. Applicability to Public Law 93-638, *Indian Self-Determination and Education Assistance*

Activities that are funded by the Recovery Act and executed under PL 93-638 contracting mechanisms are subject to Recovery Act reporting requirements. With the exception of a few statutory exemptions, tribal contracts and contract addenda are subject to the reporting requirements because they are not exempt from the requirements of Section 1512 of the Recovery Act. The Recovery Act contract and contract addendum includes a list of reporting responsibilities for tribes or tribal organizations that accept Recovery Act funds.

## SECTION III: REGISTRATION

### A. Who Should Register

Recipient Type	Delegation Status	CCR Registration	FederalReporting.gov Registration
Prime Recipient	Not applicable. Prime recipients must report.	Yes	Yes
Sub-recipient	Not delegated responsibility to report by the Prime Recipient.	No	No
Sub-recipient	Delegated responsibility to report by the Prime Recipient	Yes	Yes
Vendor - Prime Recipient	Not applicable. Vendors do not have to report via FederalReporting.gov	No	No
Vendor - Sub-recipient	Not applicable. Vendors do not have to report via FederalReporting.gov	No	No

Generally, prime recipients enter their own data into FederalReporting.gov. A prime recipient *may* delegate reporting responsibility to its sub-recipients, or the prime recipient may collect and enter the sub-recipients' data in FederalReporting.gov. If the prime recipient enters the data about its sub-recipients, the prime recipient must collect data from its sub-recipients, including data on the sub-recipients' vendors. Prime recipients should communicate reporting expectations with sub-recipients well in advance of the reporting cycle to ensure the availability of information and guarantee timely reporting.

Prime recipients and sub-recipients may register with FederalReporting.gov at any time. Registration in advance of the reporting cycle is highly encouraged as it may 3 - 5 days to complete the registration process.

### B. Preparing to Register

To register as a Recipient User, the user will need the following prerequisites:

#### 1. Email address

- Recipient Users must enter their valid email address to register as a user.

#### 2. DUNS number

- Recipient Users must know their organization's DUNS number to register. If the user's organization does not have a DUNS number, the organization must visit Dun & Bradstreet via <http://fedgov.dnb.com/webform> to begin the DUNS number registration process. DUNS number is required for both prime recipients and sub-recipients.

#### 3. Central Contractor Registration (CCR)

- Both Financial Assistance (i.e., grants and loans) Prime recipients and sub-recipients must be registered in CCR. Register with CCR at <http://www.ccr.gov>.

The Department highly encourages all FederalReporting.gov reporting users to read and review the ***FederalReporting.gov User Guide*** available on [www.FederalReporting.gov](http://www.FederalReporting.gov) prior to registration and reporting. To access the User Guide from the FederalReporting.gov homepage, click on Downloads, then proceed to the Documentation section on the Downloads page.

### **C. Registration Process**

Steps in the registration process:

- Enter the Web address for FederalReporting.gov in your web browser. Click the "Register Now" box on the left-hand side of the screen
- **Step 1 - Personal Information:** Enter your first name, last name, e-mail address and phone number.
- **Step 2 - Word Verification:** Complete the word verification by typing in a randomly generated sequence of letters.
- **Step 3 - Security Information:** Complete the security questions. These will be used in the event you forget your password. Answers are not case sensitive.
- **Step 4 - Organization Information:** Select "Award Recipient" and enter the DUNS number from your award and click "Proceed."
- **Step 5 - Verify Information:** Review all of the submitted registration information. Select "Go Back" if you need to correct anything. If all the information is accurate, click the "Register Now" button.
- **Registration Confirmation screen:** A temporary password will be sent to the e-mail address supplied in Step 1. You will be prompted to change your password upon initial log-in. Press "OK" to return to the home page.

### **D. Requesting FRPIN(s)**

FederalReporting.gov users must have a FRPIN to report data to FederalReporting.gov. The FRPIN is a unique number assigned to the Recipient Point of Contact for distribution to individuals within his/her organization. This is necessary to ensure the individuals submitting data are authorized to report such on behalf of their organization.

For more information on the FRPIN process, please refer to the following chapter in the *FederalReporting.gov User Guide*: Chapter 3 - User Registration and FRPIN Request.

### **E. FederalReporting.gov Recipient Point of Contact**

For those entities that must report under Section 1512 of the Recovery Act (either as a prime recipient, sub-recipient who have been delegated reporting responsibilities or both), at least one user for the organization must register to submit and view reports. When the first user for a given DUNS number registers at FederalReporting.gov, the system creates the Point of Contact user(s). FederalReporting.gov identifies the individual(s) listed in CCR as the Government Business Primary Point of Contact and the Electronic Business Primary Point of Contact for that DUNS number as the FederalReporting.gov Point of Contact users for the organization. These two individuals are automatically registered as the Point of Contact User(s) in FederalReporting.gov.

Recipient Point of Contact(s), may perform all the functions of a Recipient User. In addition, Recipient Points of Contact may perform the following functions:

- Assign one or more DUNS administrator
- Remove a user from your organization identified by the DUNS number
- Administer FRPIN
  - Approve/Issue FPRIN in response to user request
  - Deny FPRIN in response to user request
  - Reset/change FPRIN

### **F. Technical Assistance**

FederalReporting.gov provides support services for [www.federalreporting.gov](http://www.federalreporting.gov) technical issues. For live help, please contact the FederalReporting.gov service desk at:

Phone: 1-877-508-7386

TTY: 1-877-881-5186

E-mail: [Support@FederalReporting.gov](mailto:Support@FederalReporting.gov)

Chat: Live Person Support (upon access to [www.federalreporting.gov](http://www.federalreporting.gov) click on the "Live Help" icon)

## SECTION IV: WHEN TO REPORT, REVIEW, AND CORRECT DATA

### A. Who Needs to Report

Recipients start reporting on a grant at the end of the first reporting period in which they received the grant award, even if there are no expenditures during the reporting period. For example, a recipient that receives a new Recovery Act grant in November 2009 will report for the first time on that grant by January 10, 2010 (for the period ending December 31, 2009). If the recipient did not expend any funds on that grant by December 31, 2009, it enters the grant information (such as the award number and the award amount) and reports zero expenditures.

### B. Recipient Reporting Cycle

TASK	REPORTING PERIOD			
	10/01/2009 - 12/31/2009	01/01/2010 - 03/31/2010	04/01/2010 - 06/30/2010	07/01/2010 - 09/30/2010
<b>Registration</b>				
New Prime Recipients and Sub-recipients (delegated reporting responsibilities) must register at <a href="http://www.federalreporting.gov">www.federalreporting.gov</a> before they can report.	Ongoing	Ongoing	Ongoing	Ongoing
<b>Report (Days 1 - 10)</b>				
Prime Recipients and reporting Sub-recipients enter/upload reporting data via <a href="http://www.federalreporting.gov">www.federalreporting.gov</a>	January 1 - January 10	April 1 - April 10	July 1 - July 10	October 1 - October 10
<b>Recipient Report Review (Days 11 - 21)</b>				
<ul style="list-style-type: none"> <li>• Prime recipients validate entered/uploaded reporting data or prime recipient and reporting sub-recipients.</li> <li>• DOI may notify prime recipients of reporting errors and omissions.</li> <li>• Prime recipients and Sub-recipients correct reports.</li> </ul>	January 11 - January 21	April 11 - April 21	July 11 - July 21	October 11 - October 21
<b>DOI Report Review (Day 16 - Day 21)</b>				

TASK	REPORTING PERIOD			
	10/01/2009 - 12/31/2009	01/01/2010 - 03/31/2010	04/01/2010 - 06/30/2010	07/01/2010 - 09/30/2010
<ul style="list-style-type: none"> <li>• DOI has the ability to view reports.</li> <li>• DOI performs data review using automated and manual checks to identify any significant errors or material omissions.</li> </ul>	January 16 - January 22	April 16 - April 21	July 16 - July 21	October 11 - October 21
<b>DOI Comment Period (Days 22 - 29)</b>				
<ul style="list-style-type: none"> <li>• DOI provides comments to Prime Recipients and Sub-recipients.</li> <li>• Prime Recipients and Sub-recipients make corrections.</li> </ul>	January 22 - January 29	April 22 - 29	July 22 - July 29	October 22 - October 29
<b>Final Reports</b>				
Final recipient reports posted to <a href="http://Recovery.gov">Recovery.gov</a>	January 30	April 30	July 30	October 30

### C. Reporting Procedures

FederalReporting.gov will open for recipient reporting beginning the day after the Federal government's fiscal quarter closes.

#### **Report Input Methods**

There are three methods for recipients to submit reports:

1. **Online:** Recipients can log on to [www.federalreporting.gov](http://www.federalreporting.gov) and enter reporting data using an online/web form. This is the only method where a report can be saved as "draft" in the system.
2. **Microsoft Excel spreadsheet:** From FederalReporting.gov users can download a Microsoft Excel spreadsheet template in which data can be entered. The spreadsheet can then be uploaded to FederalReporting.gov. The spreadsheet is "locked" to restrict modification of the spreadsheet and allow data entry only in the required fields. Recipients must not modify the structure of the spreadsheet or risk non-compliance due to invalid submission. DOI will provide Prime Recipients with Microsoft Excel templates pre-populated with basic award information to prevent data errors. DOI will also provide the same award information in an e-mail in the case that recipients choose to not report with the Microsoft Excel template.
3. **XML:** Recipients can download an XML format template from [www.federalreporting.gov](http://www.federalreporting.gov), enter their report data, and then upload the formatted XML data to the website when complete.

To log into an existing FederalReporting.gov account, perform the following procedures:

1. Navigate to <http://www.FederalReporting.gov>;
2. Input log-in information on the left-hand side of the home page;
3. Accept the "Terms and Conditions" and proceed; and
4. Advance to the user account home page

On the user account home page, users are able to "Create a Report" or "Upload a Report" from a template.

### ***Report Structure Validation Utility***

Prior to submitting a report, recipients have the option to validate a report on FederalReporting.gov with the "Validate File Utility." The utility tests the basic structure and certain business rules associated with a sample file. The utility will ensure that your report file structure is compliant with the required report schema and will be accepted by the system. The Validate File Utility is available after log-in to FederalReporting.gov and can be accessed by clicking on the Validate File button in the left-hand menu.

### ***Updating and Viewing Submitted Report(s)***

Once a Recipient User has entered an initial report, the report can be updated. New information may become available, requiring an update to a report. A comment may be made by a Prime Recipient User or Awarding Federal Agency User, requiring a revision to a submitted report. Any Recipient User who has access to the FRPIN for a given DUNS Number can submit an updated report for that DUNS number. An ARRA report for a given Award may be updated multiple times within the reporting period. Updating of reports is always performed only by Recipient Users. At no time will an Awarding Federal Agency User who is charged with reviewing reports make any changes or updates to a report directly. Recipient Users can choose to update a report by submitting a report by any of the three methods available within FederalReporting.gov—updating data in the online Web form, update a report via upload of a new Excel spreadsheet, or update a report via upload of a new XML file.

**It is important for all users to understand that each time a report is submitted, the previous version of that report is replaced.** This applies to both Prime Recipient reports and the Sub Recipient reports that are included in the Prime report.

### ***More Information***

For more information about log-ins, user account home pages, submitting a report, the Validate File Utility, and updating reports, please refer to the following chapters in the FederalReporting.gov User Guide. The FederalReporting.gov User Guidance and other reference materials are available on the Downloads page of FederalReporting.gov.

- Chapter 4 - Personal User Information
- Chapter 7 - Report Submission Overview
- Chapter 8 - Report Submission via Online Web Form
- Chapter 9 - Report Submission via Excel Spreadsheet Upload

- Chapter 10 - Report Submission via XML Upload
- Validation Utility Quick Reference Card
- Chapter 13 - Updating Reports

#### **D. Data Correction**

During days 11 - 22 following the end of the reporting quarter, prime recipients ensure that complete and accurate reporting information is provided prior to the Federal agency comment period beginning on the 22nd day. Prime recipients will perform a data quality review. Prime recipients are responsible for verifying submitted information for all Recovery funds for which they are responsible, for notifying sub-recipients of reporting errors or omissions, and for ensuring any data corrections are completed in a timely manner. Prime recipients will be responsible for coordinating with sub-recipients on any identified data corrections.

#### **E. Late Submissions**

In cases where the prime recipient or sub-recipient submits the Initial Submission Report after the end of the 10<sup>th</sup> day of the reporting period, FederalReporting.gov will require additional information in the form of a justification. The justification for late report submission will be captured for all reports after the end of the 10<sup>th</sup> day. New Initial Submission Reports can only be entered as late submissions during the days 11 through 21 of the reporting period. On the 22<sup>nd</sup> day of the reporting period, prime recipients or sub-recipients delegated to complete reporting requirements will be considered non-compliant with Section 1512 of the Recovery Act.

## SECTION V: WHAT TO REPORT

### A. Data Fields

The specific data elements to be reported by prime recipients and sub-recipients are included in the data dictionary contained in the *Recipient Reporting Data Model* (available on FederalReporting.gov on the Downloads page). Through its recipient outreach program, the Department will provide Prime Recipients with information for the following key data fields. This information will be provided in an e-mail and also in the pre-populated Excel template.

- Award Type (Grant, Loan or Federally Awarded Contract. Any other type of federal financial assistance that is neither a grant nor loan should be identified, for purposes of Award Type, as a Grant)
- Award Number
- Funding Agency Code (four characters)
- Awarding Agency Code (four characters)
- Award Date
- Amount of Award (For Grants: The total amount of Federal dollars on the award).
- Catalogue of Federal Domestic Assistance (CFDA) Number (Grants and Loans Only)
- Activity Code (to the extent available in Interior systems, otherwise the recipient may use the look-up features in the template)
- Program Source (TAS) Code (format will be two digits, a hyphen, and then four digits, for example "14-1610")

Recipients are responsible for completing all remaining data elements.

### B. Specific Data Element Instructions

#### ***Project Status***

The "Project Status" is the performance-based progress towards project completion for the corresponding ARRA award. The four levels of completion are:

- Not Started
- Less Than 50% Completed
- Completed 50% or more
- Fully Completed.

The completion status is measured as of the end of each Fiscal Quarter and the evaluation is based on performance progress and is **not** related to any financial milestones.

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

The amount of Recovery Act funds received through draw-down, reimbursement or invoice. The amount reported should be the cumulative amount received over the life of the Recovery Act award.

#### ***Number of Jobs***

Each Prime Recipient<sup>1</sup> is required to report the number of jobs created or retained as a direct result of Recovery Act funding. Prime recipients should begin reporting Number of Jobs when

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<sup>1</sup> Note that Number of Jobs is not a data element required on the Sub-recipient and Vendor portions of Recovery Act reporting models. Only Prime Recipients are responsible for reporting Number of Jobs. Prime Recipients are, however, expected to include an estimate of jobs created and retained on projects and activities managed by their funding recipients (i.e., sub-recipients) in the numeric and narrative jobs data fields.

any work that is currently or will be paid with Recovery Act funds has been initiated. Thus, it is possible to report Number of Jobs although no invoice has been generated or draw-down of funds completed.

### What is a job created or retained?

A job created is a new position created and filled, or an existing unfilled position that is filled, that is funded by the Recovery Act. A job retained is an existing position that is now funded by the Recovery Act. A funded job is defined as one in which the wages or salaries are either paid for or will be reimbursed with Recovery Act funding. Only compensated employment in the United States or outlying areas should be counted.

### Revised OMB Guidance on Jobs Created or Retained

On December 18, 2009, OMB published revised guidance (M-10-08) on the Number of Jobs data element and replaced Section 5 of M-09-21 - Reporting on Jobs Creation Estimates by Recipients of Grants, Loans and other forms of Federal Assistance. OMB revised their guidance such that: (1) the job estimate calculation now equals the hours worked in the reporting quarter divided by the hours in a full-time schedule in that quarter<sup>2</sup>; and (2) the updated guidance eliminates the subjective judgment on whether a given job would have existed were it not for the Recovery Act by defining jobs created or retained as those [hours] funded in the quarter by the Recovery Act<sup>3</sup>. **Only jobs that are funded in whole or in part by the Recovery Act are counted as created or retained.**

### How to Calculate Jobs Created/Retained

The requirement for reporting jobs is based on a simple calculation used to avoid overstating the number of other than full-time, permanent jobs. This calculation converts part-time or temporary jobs into fractional "full-time equivalent" jobs. Full-time equivalent (FTE) employment is a standard concept used by the Office of Personnel Management. In order to perform the calculation, a recipient will need the total number of hours worked that are funded by the Recovery Act for each quarter (regardless if the employee is a part-time employee or full-time employee). The recipient will also need the number of hours in a full-time schedule for a quarter. For instance, if a full-time schedule is 2,080 hours/year, the number of hours in a full-time schedule for a quarter is 520 (2080 hours/4 quarters = 520).

Because jobs are reported per quarter, both the numerator and the denominator will be exclusive to that quarter. The formula for reporting can be represented as follows:

$$\frac{\text{Total Number of Hours Worked and Funded by ARRA within Reporting Quarter}}{\text{Quarterly Hours in a Fulltime Schedule}} = \text{FTE}$$

### **Reporting Period Quarters are defined as:**

Quarter 1: January 1- March 31

Quarter 2: April 1 – June 30

Quarter 3: July 1 – September 30

Quarter 4: October 1- December 31

---

<sup>2</sup> OMB guidance published on 12/18/2009 changes Number of Jobs calculation so that it is no longer cumulative from quarter to quarter.

<sup>3</sup> Updated Number of Jobs guidance dated 12/18/09 is not intended to be retroactive to the quarter ending September 30, 2009. Recipients who reported for that quarter are not required to re-calculate and/or correct job estimate totals for the quarter ending September 30, 2009 based on OMB's 12/18/09 guidance.

**Example:** Assume that a recipient's Recovery Act funds paid for two full-time employees and one part-time employee working half days for the quarter. Also assume that the recipient's full-time schedule for the quarter is 520 hours (2,080 hours in a work-year divided by 4). To convert hours worked to number of FTE for the quarterly report, aggregate all hours worked and divide by the number of hours in a full-time schedule for the quarter. In this example, two full-time employees each worked 520 hours (1,040 hours combined) + one employee worked half-time or 260 hours for a total of 1,300 hours worked. Divide total number of hours worked by the number of hours in a full-time schedule for the quarter:  $1,300 \div 520 = 2.5$  FTE reported for jobs.

#### Prime Recipients Must Include an estimate of Jobs Created and Retained on Projects and Activities Managed by their Funding Recipients

Prime recipients must include an estimate of jobs created and retained on projects and activities managed by their funding recipients (i.e., sub-recipients) in the "Number of Jobs" field. Prime recipients are required to generate estimates of job impact by directly collecting specific data from sub-recipients and vendors on the total FTE resulting from the sub-award. To the maximum extent practicable, information should be collected from all sub-recipients and vendors in order to generate the most comprehensive and complete job impact numbers available. Job estimates regarding vendors of prime or sub-recipients should be limited to direct job impacts for the vendor and not include employment impact on materials supplier and central service providers (so-called "indirect jobs) or on the local community ("induced" jobs).

Recipients are no longer permitted to request the use of statistical sampling.

#### Documentation Requirements

Recipients must use reasonable judgment in determining how best to estimate the job impact of Recovery dollars, including the appropriate sources of information used to generate such estimate. Where such written evidence exists, it can be an important resource for validating the job estimates reported.

#### ***Description of Jobs Created***

The recipient is required to report on the details of the jobs created and retained. This includes all of the different jobs to be identified from the "Number of Jobs" calculation. Jobs can be identified by job title, labor category, or the recipient's existing practice for describing jobs, as long as the terms are widely understood and describe the general nature or work.

#### ***Corrections to Data***

Effective February 2, 2010, the FederalReporting.gov solution will be open for corrections of all data submitted for the quarter ending December 31, 2009. Recipients will have the ability to make corrections up until the start of the next reporting period. For example, from February 2, 2010 through March 31, 2010, recipients will have the ability to correct data for the quarter ending December 31, 2009.

## SECTION VI: DATA QUALITY REVIEW

### A. Data Quality Requirements

Primary responsibility for ensuring submitted reports are complete and accurate rests with the prime recipient. Sub-recipients delegated to report on behalf of prime recipients share in this responsibility. Federal agencies, including the Department and its bureaus provide a layer of additional oversight that augments recipient data quality.

Lack of data quality for the purposes of Recovery Act review, are categorized into three key areas:

#### 1) Significant Errors

Federal agencies are required to report significant errors in recipient reports. There are four significant errors:

- a) *Federal amount of the award:*** Federal amount of the award reported is incorrect
- b) *Number of jobs created or retained:*** Number of jobs created or retained is an outlier and recipient does not provide a reasonable explanation of why the data is not incorrect.
- c) *Federal award number:*** Federal award number reported is incorrect. ***Note, in this recipient reporting cycle, recipients will be able to change incorrect award numbers during the comment period.***
- d) *Recipient Name:*** Recipient name does not match federal records.

#### 2) Material Omissions

Federal agencies are required to report material omissions. There are two primary material omissions:

- a) *Failure of a Federal ARRA award recipient to report on a received award as required by the terms of the award.*** All missing recipients are provided to the Office of Management and Budget and to the Recovery Accountability and Transparency Board. The list of non-reporters is published on Recovery.Gov.
- b) *Data in a Report is not responsive to a specific data element:*** For instance, where a recipient is required to provide a narrative description such as description of jobs created or retained, award description, or quarterly activities, the description must be sufficiently clear to facilitate understanding by the general public.

For a guidance on how Recovery Act reporting recipients can perform steps to prevent material omissions and significant reporting errors, please refer to OMB guidance, M-09-21, *Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009, Section 4 - Data Quality Requirements.*

For insight as to the data quality requirements that the Department and other Federal agencies must adhere to during recipient reporting, please refer to OMB guidance, M-10-08, *Updated Guidance on the American Recovery and Reinvestment Act - Data Quality, Non-Reporting Recipients, and Reporting of Jobs Estimates, Part 1 - Data Quality Requirements and Guidance for Non-Reporting Recipients.*

## **SECTION VII: RISK MANAGEMENT & INTERNAL CONTROLS**

The Department of the Interior recommends the following steps to mitigate risks associated with data collection, data quality, and reporting:

- Design control procedures for data entry. Ensure the prime recipient can control the data entry both by its own staff and by sub-recipient agencies; design checks for duplicated reporting; and ensure that individuals assigned responsibility for reporting have backup, and the backups are registered in FederalReporting.gov.
- Interior bureaus or offices will check whether the draws recorded in the financial system are reasonable given the expected expenditure rate for the program. The Department recommends that direct recipients conduct a similar review of their sub-recipients' expenditure rates.
- Identify the sources of data for each data field. Ensure that the data can be drawn from the Award Notice, financial system or grants management system. Design a data collection system or modify existing systems to add any elements that are not currently captured (for example, the DUNS numbers of sub-recipients are currently not captured by most grantees).
- Maintain documentation of the data quality procedures. Bureaus and offices can review grantees' procedures as part of regular program monitoring.
- If the prime recipient identifies material omissions or significant reporting errors in its reports (or that of its sub-recipients), take action to correct the deficiencies. If the report cannot be corrected or if a known deficiency cannot be remedied, contact the bureau or office Awarding Official to advise it of the deficiencies and the actions being taken to correct the deficiency, and for technical assistance. See OMB guidance, M-09-21 - *Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009*, Sections 4.3 through 4.6 for additional guidance for conducting data quality reviews and associated requirements.

## SECTION VIII: 1512 RESOURCE LIST

### A. Department & Bureau Resources

- Your awarding official.
- Department of the Interior Recovery Act Office
  - General registration and reporting help: [InteriorRecoveryReporting@ios.doi.gov](mailto:InteriorRecoveryReporting@ios.doi.gov)
- Bureau Tiger Teams
  - Bureau of Indian Affairs: Kathy Davidson, [Kathy.Davidson@bia.gov](mailto:Kathy.Davidson@bia.gov)
  - Bureau of Land Management: Heidi Hubbell, [Heidi\\_Hubbell@blm.gov](mailto:Heidi_Hubbell@blm.gov)
  - Bureau of Reclamation: Wilson Orvis, [worvis@usbr.gov](mailto:worvis@usbr.gov)
  - U.S. Fish and Wildlife Service: Matthew Dwyer, [matthew\\_dwyer@fws.gov](mailto:matthew_dwyer@fws.gov)
  - National Park Service: Antonia Giammo, [antonia\\_giammo@nps.gov](mailto:antonia_giammo@nps.gov)
  - U.S. Geological Survey: Laura Mahoney, [lmahoney@usgs.gov](mailto:lmahoney@usgs.gov)
  - NBC: Jennifer Tyler, [jennifer.tyler@aqd.nbc.gov](mailto:jennifer.tyler@aqd.nbc.gov)
  - Central Utah Project Completion Act: Annette Marvin, [AMarvin@usbr.gov](mailto:AMarvin@usbr.gov)

### B. [FederalReporting.gov](http://www.federalreporting.gov/federalreporting/home.do) (<http://www.federalreporting.gov/federalreporting/home.do>)

- FAQs for Recipients of Grants, Loans, and other forms of assistance
- Downloads:
  - Templates
  - Recipient Reporting Model
  - Webinars
  - Documentation, [FederalReporting.gov](http://www.federalreporting.gov) User Guide
  - Documentation, User Registration Guide
  - Documentation, Recipient Point of Contact Guide
  - Documentation, Registration Quick Reference Card
  - Documentation, Validation Utility Quick Reference Card
  - Reference Data and Additional Links, Activity Codes Reference
  - Reference Data and Additional Links, Agency Codes Reference
  - Reference Data and Additional Links, CFDA Number Reference
  - Reference Data and Additional Links, Program Source TAS Reference

### C. Office of Management and Budget Recovery Act Web Page ([http://www.whitehouse.gov/omb/recovery\\_default/](http://www.whitehouse.gov/omb/recovery_default/))

- M-10-08, Updated Guidance on the American Recovery and Reinvestment Act - Data Quality, Non-Reporting Recipients, and Reporting of Job Estimates (December 18, 2009)
- M-10-05, Improving Compliance in Recovery Act Recipient Reporting (November 30, 2009)
- M-10-03, Payments to Grantees for their Administrative Costs for Recovery Act Funding - Alternative Allocation Methodologies (October 13, 2009)
- [FederalReporting.gov](http://www.federalreporting.gov) Recipient Reporting System Webinars
- M-09-30, Improving Recovery Act Recipient Reporting (September 11, 2009)

- M-09-21, Implementing Guidance for the Reporters on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009 (June 22, 2009)
- M-09-21, Supplement 1 - List of Programs Subject to Recipient Reporting
- M-09-21, Supplement 2 - Recipient Reporting Data Model
- M-09-18, Payments to State Grantees for Administrative Costs of Recovery Act Activities (May 11, 2009)
- M-09-15, Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009 (April 3, 2009)
- M-09-10, Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009 (February 18, 2009)
- Recovery FAQs

**D. Recovery.gov (<http://www.recovery.gov/Pages/home.aspx>)**

**E. Other**

- Title 2 Code of Federal Regulations, "Award Terms For Financial Assistance Agreements that Include Funds under the American Recovery and Reinvestment Act of 2009, Public Law 111-5," Subpart A, Section 176.50, Reporting and Registration Requirements Under Section 1512 of the Recovery Act.

## APPENDIX A: CHECKLIST

Complete	Prime Recipient	Delegated Sub-Recipient	Reporting Month			
			January	April	July	October
	Register early on FederalReporting.gov (refer to Registration section)	Register early on FederalReporting.gov (refer to Registration section)	Ongoing	Ongoing	Ongoing	Ongoing
	If applicable, communicate with Sub-recipients expectations and deadlines for recipient reporting, including: <ul style="list-style-type: none"> <li>• Delegation of reporting responsibilities</li> <li>• Reporting guidance (if applicable)</li> </ul>		Before December 31	Before March 31	Before June 30	Before September 30
	Collect relevant information for each Sub-recipient contracted by Prime Recipient for each ARRA award (refer to 'Data Elements' and 'Specific Data Elements Instructions'), including: <ul style="list-style-type: none"> <li>• Sub-recipient reporting data elements (if not delegated)</li> <li>• Number of Jobs Data</li> <li>• Jobs Description</li> </ul>		Before December 31	Before March 31	Before June 30	Before September 30
	Collect relevant information for each Vendor receiving funds greater than \$25,000 contracted by Prime Recipient for each ARRA award including: <ul style="list-style-type: none"> <li>• Vendor DUNS number</li> <li>• Vendor Name</li> <li>• Vendor ZIP code</li> <li>• Product Service Description</li> <li>• Payment Amount</li> </ul>	Collect relevant information for each Vendor receiving funds greater than \$25,000 contracted by Prime Recipient for each ARRA award including: <ul style="list-style-type: none"> <li>• Vendor DUNS number</li> <li>• Vendor Name</li> <li>• Vendor ZIP code</li> <li>• Product Service Description (optional)</li> <li>• Payment Amount (optional)</li> </ul>	Before December 31 or immediately following	Before March 31 or immediately following	Before June 30 or immediately following	Before September 30 or immediately following

Complete	Prime Recipient	Delegated Sub-Recipient	Reporting Month			
			January	April	July	October
	Recipients have the option to validate pre-populated data elements in MS Excel templates. Collect all relevant additional data required for ARRA award.	Recipients have the option to validate pre-populated data elements in MS Excel templates. Collect all relevant additional data required for ARRA award.	Before December 31	Before March 31	Before June 30	Before September 30
	Submit your reports and identify and correct any data errors in MS Excel templates, if identified.	Submit your reports and identify and correct any data errors in MS Excel templates, if identified.	January 1 - January 10	April 1 - April 10	July 1 - July 10	September 1 - September 30
	Make corrections to data based upon self-identified issues or issues communicated by DOI during interim review on FederalReporting.gov	Make corrections to data based upon self-identified issues or issues communicated by your Prime Recipient.	January 11 - January 21	April 11 - April 21	July 11 - July 21	September 11 - September 21
	Address any comments provided by DOI or bureau officials during the "Federal Agency Comment" period and submit on FederalReporting.gov		January 22 - January 29	April 22 - April 29	July 22 - July 29	September 22 - September 29

Note: the above checklist assumes that the reporting recipient is using the MS Excel template method of reporting.

# Attachment 2 to DIG ARRA-2010-02

## U.S. Department of the Interior

### Clarifying Guidance on American Recovery and Reinvestment Act Section 1512

#### Quarterly Reporting For Federal Contract Recipients



**Version 1.0  
December 2009**

#### Document Change History

Version	Date	Change Description
1.0	December 2009	
2.0		

**Note:** The DOI Recipient Reporting Guidance for Federal Contract recipients will be updated as needed to address new requirements.

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## SECTION I: INTRODUCTION

### B. Purpose

This document establishes guidance pertaining to the reporting responsibilities and processes for recipients reporting under Section 1512 of the American Recovery and Reinvestment Act of 2009 (Recovery Act). In accordance with FAR Clause 52.204-11, American Recovery and Reinvestment Act - Reporting Requirements, the following responsibilities are required as a recipient of a federal award funded by Recovery Act monies. This guidance is directed towards **prime recipients** receiving Federal contract awards. This document does not provide guidance to recipients of Federal assistance awards (e.g., grants, loans cooperative agreements).

The Department of the Interior (the Department) and its bureaus and offices awarding Recovery Act funds are responsible for ensuring recipients are aware of reporting requirements. The Department is also responsible for validating the information provided by recipients to ensure accuracy of reporting data.

The Department highly encourages all Recovery Act Recipient Reporter to review Recovery Act Reporting guidance and FAQs available on [www.federalreporting.gov](http://www.federalreporting.gov) (go to Downloads and FAQs pages on [www.FederalReporting.gov](http://www.FederalReporting.gov)). This guidance document provides high level Recovery Act Recipient reporting guidance in addition to specific Department level guidance. It is not intended to replace more detailed registration and reporting guidance provided on [www.FederalReporting.gov](http://www.FederalReporting.gov).

### C. Background

The American Recovery and Reinvestment Act of 2009 (Recovery Act), was passed and signed into law by President Barack H. Obama on February 17, 2009. The Recovery Act states that taxpayer dollars spent in our economic recovery must be subject to transparency and accountability. In accordance with the Section 1512I of the Recovery Act, recipients of Federal financial assistance awards of \$25,000 or greater are required to report quarterly on the expenditure of those funds. In order to streamline and standardize Recovery Act reporting, the Office of Management and Budget developed the FederalReporting.gov website, which was designed as the Web-based portal for recipient 1512 quarterly reporting. Recipients are expected to report: the total amount of funds received, and of that, the amount spent on projects and activities; a list of those projects and activities funded by name to include a description, completion status, and estimates of jobs created or retained; and, details on sub-awards and other payments.

In accordance with FAR 52.204-11 all Prime Recipients receiving Federally Awarded Contracts **are required to report on behalf of their Sub-recipients**. Reports are required by recipients no later than the 10th day after the end of each calendar quarter. When published on [www.Recovery.gov](http://www.Recovery.gov), recipient reporting is aimed at providing transparency to the public into the timely, prudent, and effective use of ARRA funding. The Office of Management and Budget (OMB) and the Recovery Accountability and Transparency Board (RATB) has deployed a nationwide data collection system at the website [www.federalreporting.gov](http://www.federalreporting.gov) to enable recipients of Recovery Act funding to fulfill their reporting responsibilities under Recovery Act Section 1512.

### D. Consequences for not reporting

Recipients who have failed to submit a Section 1512 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.

## SECTION II: WHO IS REQUIRED TO REPORT

### C. Recipients Types & Reporting Requirements

Recipient Type	Definition	Reporting Requirement
<b>Prime Recipient</b>	Non-Federal entities that receive Recovery Act funding through Federal awards. The terms "prime recipient" and "recipient" are interchangeable. For Federal contracts subject to reporting under FAR clause 52.204-11, these terms translate to "Federal contractor."	<ul style="list-style-type: none"><li>• Ultimately responsible for the reporting of all data required by Section 1512 of the Recovery Act.</li><li>• Prime recipients may NOT delegate certain reporting requirements to sub-recipients.</li></ul>
<b>Sub-recipient</b>	Non-Federal entities that are awarded Recovery funding through a legal instrument from a Prime Recipient. For Federal contracts subject to reporting under FAR clause 52.204-11, the term translates to "first-tier subcontractor."	<ul style="list-style-type: none"><li>• Subcontractors do not use FederalReporting.gov</li><li>• Prime Recipients may not delegate reporting responsibilities to Sub-recipients</li><li>• Sub-recipients will provide Prime Recipients with key data elements to report.</li></ul>

While "individuals" do not have to submit reports directly to FederalReporting.gov, prime recipients are required to capture and report specific information regarding sub-awards made to individuals.

## SECTION III: REGISTRATION

### F. Who Should Register

Recipient Type	Delegation Status	CCR Registration	FederalReporting.gov Registration
Prime Recipient	Not applicable. Prime recipients must report.	Yes	Yes
Sub-recipient	Not delegated responsibility to report by the Prime Recipient.	No	No

Generally, prime recipients enter their own data into FederalReporting.gov. A Federal contract prime recipient **may not** delegate reporting responsibility to its sub-recipients, or the prime recipient may collect and enter the sub-recipients' data in FederalReporting.gov. Prime recipients should communicate reporting expectations with sub-recipients well in advance of the reporting cycle to ensure the availability of information and guarantee timely reporting.

Prime recipients may register with FederalReporting.gov at any time. Registration in advance of the reporting cycle is highly encouraged as it may 3 - 5 days to complete the registration process.

### G. Preparing to Register

To register as a Recipient User, the user will need the following prerequisites:

#### 4. Email address

- Recipient Users must enter their valid email address to register as a user.

#### 5. DUNS number

- Recipient Users must know their organization's DUNS number to register. If the user's organization does not have a DUNS number, the organization must visit Dun & Bradstreet via <http://fedgov.dnb.com/webform> to begin the DUNS number registration process. DUNS number is required for both prime recipients and sub-recipients.

#### 6. Central Contractor Registration (CCR)

- Federal contract prime recipients must be registered in CCR. . Register with CCR at <http://www.ccr.gov>.

The Department highly encourages all FederalReporting.gov reporting users to read and review the ***FederalReporting.gov User Guide*** available on [www.FederalReporting.gov](http://www.FederalReporting.gov) prior to registration and reporting. To access the User Guide from the FederalReporting.gov homepage, click on Downloads, then proceed to the Documentation section on the Downloads page.

## H. Registration Process

Steps in the registration process:

- Enter the Web address for FederalReporting.gov in your web browser. Click the "Register Now" box on the left-hand side of the screen
- **Step 1 - Personal Information:** Enter your first name, last name, e-mail address and phone number.
- **Step 2 - Word Verification:** Complete the word verification by typing in a randomly generated sequence of letters.
- **Step 3 - Security Information:** Complete the security questions. These will be used in the event you forget your password. Answers are not case sensitive.
- **Step 4 - Organization Information:** Select "Award Recipient" and enter the DUNS number from your award and click "Proceed."
- **Step 5 - Verify Information:** Review all of the submitted registration information. Select "Go Back" if you need to correct anything. If all the information is accurate, click the "Register Now" button.
- **Registration Confirmation screen:** A temporary password will be sent to the e-mail address supplied in Step 1. You will be prompted to change your password upon initial log-in. Press "OK" to return to the home page.

## I. Requesting FRPIN(s)

FederalReporting.gov users must have a FRPIN to report data to FederalReporting.gov. The FRPIN is a unique number assigned to the Recipient Point of Contact for distribution to individuals within his/her organization. This is necessary to ensure the individuals submitting data are authorized to report such on behalf of their organization.

For more information on the FRPIN process, please refer to the following chapter in the *FederalReporting.gov User Guide*: Chapter 3 - User Registration and FRPIN Request.

## **J. FederalReporting.gov Recipient Point of Contact**

For those entities that must report under Section 1512 of the Recovery Act, at least one user for the organization must register to submit and view reports. When the first user for a given DUNS number registers at FederalReporting.gov, the system creates the Point of Contact user(s). FederalReporting.gov identifies the individual(s) listed in CCR as the Government Business Primary Point of Contact and the Electronic Business Primary Point of Contact for that DUNS number as the FederalReporting.gov Point of Contact users for the organization. These two individuals are automatically registered as the Point of Contact User(s) in FederalReporting.gov.

Recipient Point of Contact(s), may perform all the functions of a Recipient User. In addition, Recipient Points of Contact may perform the following functions:

- Assign one or more DUNS administrator
- Remove a user from your organization identified by the DUNS number
- Administer FRPIN
  - Approve/Issue FPRIN in response to user request
  - Deny FPRIN in response to user request
  - Reset/change FPRIN

## **G. Technical Assistance**

FederalReporting.gov provides support services for [www.federalreporting.gov](http://www.federalreporting.gov) technical issues. For live help, please contact the FederalReporting.gov service desk at:

Phone: 1-877-508-7386

TTY: 1-877-881-5186

E-mail: [Support@FederalReporting.gov](mailto:Support@FederalReporting.gov)

Chat: Live Person Support (upon access to [www.federalreporting.gov](http://www.federalreporting.gov) click on the "Live Help" icon)

## SECTION IV: WHEN TO REPORT, REVIEW, AND CORRECT DATA

### F. Who Needs to Report

Recipients start reporting on a Federal contract at the end of the first reporting period in which they were awarded the contract and have invoiced the Federal agency for that contract. Recipients that have been awarded a Recovery Act Federal contract award, but have not yet invoiced against that award are not required, but highly encouraged to report. For example, a Federal contract recipient that awarded a contract in December 2009, but has yet to invoice against that contract *may* report for the first time on that contract by January 10, 2010 (for the period ending December 31, 2009), but is not required to do so. The recipient would report zero expenditures in the report provided.

### G. Recipient Reporting Cycle

TASK	REPORTING PERIOD			
	10/01/2009 - 12/31/2009	01/01/2010 - 03/31/2010	04/01/2010 - 06/30/2010	07/01/2010 - 09/30/2010
<b>Registration</b>				
New Prime Recipients must register at <a href="http://www.federalreporting.gov">www.federalreporting.gov</a> before they can report.	Ongoing	Ongoing	Ongoing	Ongoing
<b>Report (Days 1 - 10)</b>				
Prime Recipients enter/upload cumulative reporting data via <a href="http://www.federalreporting.gov">www.federalreporting.gov</a>	January 1 - January 10	April 1 - April 10	July 1 - July 10	October 1 - October 10
<b>Recipient Report Review (Days 11 - 21)</b>				
<ul style="list-style-type: none"> <li>• Prime recipients validate entered/uploaded reporting data.</li> <li>• DOI may notify prime recipients of reporting errors and omissions.</li> <li>• Prime recipients correct reports.</li> </ul>	January 11 - January 21	April 11 - April 21	July 11 - July 21	October 11 - October 21
<b>DOI Report Review (Day 16 - Day 21)</b>				

<ul style="list-style-type: none"> <li>• DOI has the ability to view reports.</li> <li>• DOI performs data review using automated and manual checks to identify any significant errors or material omissions.</li> </ul>	January 16 - January 22	April 16 - April 21	July 16 - July 21	October 11 - October 21
<b>DOI Comment Period (Days 22 - 29)</b>				
<ul style="list-style-type: none"> <li>• DOI provides comments to Prime Recipients.</li> <li>• Prime Recipients make corrections.</li> </ul>	January 22 - January 29	April 22 - 29	July 22 - July 29	October 22 - October 29
<b>Final Reports</b>				
Final recipient reports posted to Recovery.gov	January 30	April 30	July 30	October 30

## H. Reporting Procedures

FederalReporting.gov will open for recipient reporting beginning the day after the Federal government's fiscal quarter closes.

### **Report Input Methods**

There are three methods for recipients to submit reports:

1. **Online:** Recipients can log on to [www.federalreporting.gov](http://www.federalreporting.gov) and enter reporting data using an online/web form. This is the only method where a report can be saved as "draft" in the system.
2. **Microsoft Excel spreadsheet:** From FederalReporting.gov users can download a Microsoft Excel spreadsheet template in which data can be entered. The spreadsheet can then be uploaded to FederalReporting.gov. The spreadsheet is "locked" to restrict modification of the spreadsheet and allow data entry only in the required fields. Recipients must not modify the structure of the spreadsheet or risk non-compliance due to invalid submission. DOI will provide Prime Recipients with Microsoft Excel templates pre-populated with basic award information to prevent data errors. DOI will also provide the same award information in an e-mail in the case that recipients choose to not report with the Microsoft Excel template.
3. **XML:** Recipients can download an XML format template from [www.federalreporting.gov](http://www.federalreporting.gov), enter their report data, and then upload the formatted XML data to the website when complete.

To log into an existing FederalReporting.gov account, perform the following procedures:

5. Navigate to <http://www.FederalReporting.gov>;
6. Input log-in information on the left-hand side of the home page;
7. Accept the "Terms and Conditions" and proceed; and
8. Advance to the user account home page

On the user account home page, users are able to "Create a Report" or "Upload a Report" from a template.

### ***Report Structure Validation Utility***

Prior to submitting a report, recipients have the option to validate a report on FederalReporting.gov with the "Validate File Utility." The utility tests the basic structure and certain business rules associated with a sample file. The utility will ensure that your report file structure is compliant with the required report schema and will be accepted by the system. The Validate File Utility is available after log-in to FederalReporting.gov and can be accessed by clicking on the Validate File button in the left-hand menu.

### ***Updating and Viewing Submitted Report(s)***

Once a Recipient User has entered an initial report, the report can be updated. New information may become available, requiring an update to a report. A comment may be made by a Prime Recipient User or Awarding Federal Agency User, requiring a revision to a submitted report. Any Recipient User who has access to the FRPIN for a given DUNS Number can submit an updated report for that DUNS number. An ARRA report for a given Award may be updated multiple times within the reporting period. Updating of reports is always performed only by Recipient Users. At no time will an Awarding Federal Agency User who is charged with reviewing reports make any changes or updates to a report directly. Recipient Users can choose to update a report by submitting a report by any of the three methods available within FederalReporting.gov—updating data in the online Web form, update a report via upload of a new Excel spreadsheet, or update a report via upload of a new XML file.

**It is important for all users to understand that each time a report is submitted, the previous version of that report is replaced.**

### ***More Information***

For more information about log-ins, user account home pages, submitting a report, the Validate File Utility, and updating reports, please refer to the following chapters in the FederalReporting.gov User Guide. The FederalReporting.gov User Guidance and other reference materials are available on the Downloads page of FederalReporting.gov.

- Chapter 4 - Personal User Information
- Chapter 7 - Report Submission Overview
- Chapter 8 - Report Submission via Online Web Form
- Chapter 9 - Report Submission via Excel Spreadsheet Upload
- Chapter 10 - Report Submission via XML Upload
- Validation Utility Quick Reference Card
- Chapter 13 - Updating Reports

### **I. Data Correction**

During days 11 - 22 following the end of the reporting quarter, prime recipients ensure that complete and accurate reporting information is provided prior to the Federal agency comment period beginning on the 22nd day. Prime recipients will perform a data quality review. Prime recipients are responsible for verifying submitted information for all Recovery funds for which they are responsible and for ensuring any data corrections are completed in a timely manner.

### **J. Late Submissions**

In cases where the prime recipient submits the Initial Submission Report after the end of the 10<sup>th</sup> day of the reporting period, FederalReporting.gov will require additional information in the form of a justification. The justification for late report submission will be captured for all reports after the end of the 10<sup>th</sup> day. New Initial Submission Reports can only be entered as late submissions during the days 11 through 21 of the reporting period. On the 22<sup>nd</sup> day of the reporting period, prime recipients will be considered non-compliant with Section 1512 of the Recovery Act.

## SECTION V: WHAT TO REPORT

### C. Data Fields

The specific data elements to be reported by prime recipients and sub-recipients are included in the data dictionary contained in the *Recipient Reporting Data Model* (available on FederalReporting.gov on the Downloads page). Through its recipient outreach program, the Department will provide Prime Recipients with information for the following key data fields. This information will be provided in an e-mail and also in the pre-populated Excel template.

- Award Type (Grant, Loan or Federally Awarded Contract. Any other type of federal financial assistance that is neither a grant nor loan should be identified, for purposes of Award Type, as a Grant)
- Award Number
- Order Number (for Federally Awarded Contracts only)
- Funding Agency Code (four characters)
- Awarding Agency Code (four characters)
- Government Contracting Office Code (if a federally awarded contract)
- Award Date
- Amount of Award (Federally awarded contracts: The total amount of dollars obligated by the Federal agency).
- Activity Code (to the extent available in Interior systems, otherwise the recipient may use the look-up features in the template)
- Program Source (TAS) Code (format will be two digits, a hyphen, and then four digits, for example "14-1610")

Recipients are responsible for completing all remaining data elements.

### D. Specific Data Element Instructions

#### ***Project Status***

The "Project Status" is the performance-based progress towards project completion for the corresponding ARRA award. The four levels of completion are:

- Not Started
- Less Than 50% Completed
- Completed 50% or more
- Fully Completed.

The completion status is measured as of the end of each Fiscal Quarter and the evaluation is based on performance progress and is **not** related to any financial milestones.

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

The "Total Federal Amount of ARRA Funds Received/Invoiced" data field must be populated based on the total amount of funds invoiced by the Prime Recipient. The recipient is to report the cumulative balance of funds invoiced from the inception of the project through the end of each Fiscal Quarter. At the end of year Fiscal Quarter, the Prime Recipient must report the cumulative invoiced amount.

## ***Number of Jobs***

Each Prime Recipient<sup>4</sup> is required to report the number of jobs created or retained as a direct result of Recovery Act funding. Prime recipients should begin reporting Number of Jobs when any work that is currently or will be paid with Recovery Act funds has been initiated. Thus, it is possible to report Number of Jobs although no invoice has been generated or draw-down of funds completed.

### What is a job created or retained?

A job created is a new position created and filled, or an existing unfilled position that is filled, that is funded by the Recovery Act. A job retained is an existing position that is now funded by the Recovery Act. A funded job is defined as one in which the wages or salaries are either paid for or will be reimbursed with Recovery Act funding. Only compensated employment in the United States or outlying areas should be counted.

### Revised OMB Guidance on Jobs Created or Retained

On December 18, 2009, OMB published revised guidance (M-10-08) on the Number of Jobs data element and replaced Section 5 of M-09-21 - Reporting on Jobs Creation Estimates by Recipients of Grants, Loans and other forms of Federal Assistance. OMB revised their guidance such that: (1) the job estimate calculation now equals the hours worked in the reporting quarter divided by the hours in a full-time schedule in that quarter<sup>5</sup>; and (2) the updated guidance eliminates the subjective judgment on whether a given job would have existed were it not for the Recovery Act by defining jobs created or retained as those [hours] funded in the quarter by the Recovery Act<sup>6</sup>. **Only jobs that are funded in whole or in part by the Recovery Act are counted as created or retained.**

### How to Calculate Jobs Created/Retained

The requirement for reporting jobs is based on a simple calculation used to avoid overstating the number of other than full-time, permanent jobs. This calculation converts part-time or temporary jobs into fractional "full-time equivalent" jobs. Full-time equivalent (FTE) employment is a standard concept used by the Office of Personnel Management. In order to perform the calculation, a recipient will need the total number of hours worked that are funded by the Recovery Act for each quarter (regardless if the employee is a part-time employee or full-time employee). The recipient will also need the number of hours in a full-time schedule for a quarter. For instance, if a full-time schedule is 2,080 hours/year, the number of hours in a full-time schedule for a quarter is 520 (2080 hours/4 quarters = 520).

Because jobs are reported per quarter, both the numerator and the denominator will be exclusive to that quarter. The formula for reporting can be represented as follows:

$$\frac{\text{Total Number of Hours Worked and Funded by ARRA within Reporting Quarter}}{\text{Quarterly Hours in a Fulltime Schedule}} = \text{FTE}$$

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<sup>4</sup> Note that Number of Jobs is not a data element required on the Sub-recipient portions of Recovery Act reporting models. Only Prime Recipients are responsible for reporting Number of Jobs.

<sup>5</sup> OMB guidance published on 12/18/2009 changes Number of Jobs calculation so that it is no long cumulative from quarter to quarter.

<sup>6</sup> Updated Number of Jobs guidance dated 12/18/09 is not intended to be retroactive to the quarter ending September 30, 2009. Recipients who reported for that quarter are not required to re-calculate and/or correct job estimate totals for the quarter ending September 30, 2009 based on OMB's 12/18/09 guidance.

**Reporting Period Quarters are defined as:**

Quarter 1: January 1- March 31

Quarter 2: April 1 – June 30

Quarter 3: July 1 – September 30

Quarter 4: October 1- December 31

**Example:** Assume that a recipient's Recovery Act funds paid for two full-time employees and one part-time employee working half days for the quarter. Also assume that the recipient's full-time schedule for the quarter is 520 hours (2,080 hours in a work-year divided by 4). To convert hours worked to number of FTE for the quarterly report, aggregate all hours worked and divide by the number of hours in a full-time schedule for the quarter. In this example, two full-time employees each worked 520 hours (1,040 hours combined) + one employee worked half-time or 260 hours for a total of 1,300 hours worked. Divide total number of hours worked by the number of hours in a full-time schedule for the quarter:  $1,300 \div 520 = 2.5$  FTE reported for jobs.

**Documentation Requirements**

Recipients must use reasonable judgment in determining how best to estimate the job impact of Recovery dollars, including the appropriate sources of information used to generate such estimate. Where such written evidence exists, it can be an important resource for validating the job estimates reported.

***Description of Jobs Created***

Recipients should provide a narrative description of the employment impact of work funded by the Recovery Act. This narrative should be cumulative for each calendar quarter and only address the impact on the contractor's workforce. At a minimum, the contractor shall provide a brief description of the types of jobs created and jobs retained in the United States and outlying areas. This description may rely on job titles, broader labor categories, or the contractor's existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work.

***Corrections to Data***

Effective February 2, 2010, the FederalReporting.gov solution will be open for corrections of all data submitted for the quarter ending December 31, 2009. Recipients will have the ability to make corrections up until the start of the next reporting period. For example, from February 2, 2010 through March 31, 2010, recipients will have the ability to correct data for the quarter ending December 31, 2009.

## SECTION VI: DATA QUALITY REVIEW

### B. Data Quality Requirements

Primary responsibility for ensuring submitted reports are complete and accurate rests with the prime recipient. Federal agencies, including the Department and its bureaus provide a layer of additional oversight that augments recipient data quality.

Lack of data quality for the purposes of Recovery Act review, are categorized into three key areas:

#### 3) Significant Errors

Federal agencies are required to report significant errors in recipient reports. There are four significant errors:

**a) Federal amount of the award:** Federal amount of the award reported is incorrect

**b) Number of jobs created or retained:** Number of jobs created or retained is an outlier and recipient does not provide a reasonable explanation of why the data is not incorrect.

**c) Federal award number:** Federal award number reported is incorrect. **Note, in this recipient reporting cycle, recipients will be able to change incorrect award numbers during the comment period.**

**d) Recipient Name:** Recipient name does not match federal records.

#### 4) Material Omissions

Federal agencies are required to report material omissions. There are two primary material omissions:

**c) Failure of a Federal ARRA award recipient to report on a received award as required by the terms of the award.** All missing recipients are provided to the Office of Management and Budget and to the Recovery Accountability and Transparency Board. The list of non-reporters is published on Recovery.Gov.

**d) Data in a Report is not responsive to a specific data element:** For instance, where a recipient is required to provide a narrative description such as description of jobs created or retained, award description, or quarterly activities, the description must be sufficiently clear to facilitate understanding by the general public.

For a guidance on how Recovery Act reporting recipients can perform steps to prevent material omissions and significant reporting errors, please refer to OMB guidance, M-09-21, *Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009*, Section 4 - Data Quality Requirements.

For insight as to the data quality requirements that the Department and other Federal agencies must adhere to during recipient reporting, please refer to OMB guidance, M-10-08, *Updated Guidance on the American Recovery and Reinvestment Act - Data Quality, Non-Reporting Recipients, and Reporting of Jobs Estimates*, Part 1 - Data Quality Requirements and Guidance for Non-Reporting Recipients.

## **SECTION VII: RISK MANAGEMENT & INTERNAL CONTROLS**

The Department of the Interior recommends the following steps to mitigate risks associated with data collection, data quality, and reporting:

- Design control procedures for data entry. Ensure the prime recipient can control the data entry; design checks for duplicated reporting; and ensure that individuals assigned responsibility for reporting have backup, and the backups are registered in FederalReporting.gov.
- The bureau or office will check whether the invoices recorded in the financial system are reasonable given the expected expenditure rate for the contract. The Department recommends that direct recipients conduct a similar review of their sub-recipients' invoices.
- Identify the sources of data for each data field. Ensure that the data can be drawn from the Award Notice, financial system or contracts management system. Design a data collection system or modify existing systems to add any elements that are not currently captured.
- Maintain documentation of the data quality procedures.
- If the prime recipient identifies material omissions or significant reporting errors in its reports (or that of its sub-recipients), take action to correct the deficiencies. If the report cannot be corrected or if a known deficiency cannot be remedied, contact the bureau or office Contracting Officer to advise it of the deficiencies and the actions being taken to correct the deficiency, and for technical assistance. See OMB guidance, M-09-21 - *Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009*, Sections 4.3 through 4.6 for additional guidance for conducting data quality reviews and associated requirements.

## SECTION VIII: 1512 RESOURCE LIST

### F. Department & Bureau Resources

- Your Contracting Officer
- Department of the Interior Recovery Act Office
  - General registration and reporting help: [InteriorRecoveryReporting@ios.doi.gov](mailto:InteriorRecoveryReporting@ios.doi.gov)
- Bureau Tiger Teams
  - Bureau of Indian Affairs: Kathy Davidson, [Kathy.Davidson@bia.gov](mailto:Kathy.Davidson@bia.gov)
  - Bureau of Land Management: Heidi Hubbell, [Heidi\\_Hubbell@blm.gov](mailto:Heidi_Hubbell@blm.gov)
  - Bureau of Reclamation: Wilson Orvis, [worvis@usbr.gov](mailto:worvis@usbr.gov)
  - U.S. Fish and Wildlife Service: Matthew Dwyer, [matthew\\_dwyer@fws.gov](mailto:matthew_dwyer@fws.gov)
  - National Park Service: Antonia Giammo, [antonia\\_giammo@nps.gov](mailto:antonia_giammo@nps.gov)
  - U.S. Geological Survey: Laura Mahoney, [lmahoney@usgs.gov](mailto:lmahoney@usgs.gov)
  - NBC: Jennifer Tyler, [jennifer.tyler@aqd.nbc.gov](mailto:jennifer.tyler@aqd.nbc.gov)
  - Central Utah Project Completion Act: Annette Marvin, [AMarvin@usbr.gov](mailto:AMarvin@usbr.gov)

### G. FederalReporting.gov (<http://www.federalreporting.gov/federalreporting/home.do>)

- Downloads:
  - Templates
  - Recipient Reporting Model
  - Webinars
  - Documentation, FederalReporting.gov User Guide
  - Documentation, User Registration Guide
  - Documentation, Recipient Point of Contact Guide
  - Documentation, Registration Quick Reference Card
  - Documentation, Validation Utility Quick Reference Card
  - Reference Data and Additional Links, Activity Codes Reference
  - Reference Data and Additional Links, Agency Codes Reference
  - Reference Data and Additional Links, GCO Codes
  - Reference Data and Additional Links, Program Source TAS Reference

### H. Federal Acquisition Regulation (FAR) (<http://www.acquisition.gov/far/>)

- FAR Clause 52:204-11, American Recovery and Reinvestment Act - Reporting Requirements

### I. Office of Management and Budget Recovery Act Web Page ([http://www.whitehouse.gov/omb/recovery\\_default/](http://www.whitehouse.gov/omb/recovery_default/))

- M-10-08, Updated Guidance on the American Recovery and Reinvestment Act - Data Quality, Non-Reporting Recipients, and Reporting of Job Estimates (December 18, 2009)

- M-10-05, Improving Compliance in Recovery Act Recipient Reporting (November 30, 2009)
- FederalReporting.gov Recipient Reporting System Webinars
- Office of Federal Procurement Policy Memo, Interim Guidance on Reviewing Contractor Reports on the Use of Recovery Act Funds in Accordance with FAR Clause 52.204-11 (September 30, 2009)
- M-09-30, Improving Recovery Act Recipient Reporting (September 11, 2009)
- M-09-21, Implementing Guidance for the Reporters on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009 (June 22, 2009)
- M-09-21, Supplement 1 - List of Programs Subject to Recipient Reporting
- M-09-21, Supplement 2 - Recipient Reporting Data Model
- M-09-15, Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009 (April 3, 2009)
- M-09-10, Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009 (February 18, 2009)
- Recovery FAQs for Federal Contractors on Reporting

**J. Recovery.gov (<http://www.recovery.gov/Pages/home.aspx>)**

## APPENDIX A: CHECKLIST

Complete	Prime Recipient	Reporting Quarters			
		January	April	July	October
	Register early on FederalReporting.gov (refer to Registration section)	Ongoing	Ongoing	Ongoing	Ongoing
	If applicable, communicate with Sub-recipients expectations and deadlines for recipient reporting	Before December 31	Before March 31	Before June 30	Before September 30
	Collect relevant information for each Sub-recipient contracted by Prime Recipient for each ARRA award	Before December 31	Before March 31	Before June 30	Before September 30
	Recipients have the option to validate pre-populated data elements in MS Excel templates. Collect all relevant additional data required for ARRA award.	Before December 31	Before March 31	Before June 30	Before September 30
	Submit your reports and identify and correct any data errors in MS Excel templates, if identified.	January 1 - January 10	April 1 - April 10	July 1 - July 10	September 1 - September 30
	Make corrections to data based upon self-identified issues or issues communicated by DOI during interim review on FederalReporting.gov.	January 11 - January 21	April 11 - April 21	July 11 - July 21	September 11 - September 21
	Address any comments provided by DOI or bureau officials during the "Federal Agency Comment" period and submit on FederalReporting.gov.	January 22 - January 29	April 22 - April 29	July 22 - July 29	September 22 - September 29

Note: the above checklist assumes that the reporting recipient is using the MS Excel template method of reporting.