State of Iowa

Iowa Financial and Results Reporting System

American Recovery & Reinvestment Act
Reporting Procedures and Guidance

Iowa Department of Management
3/4/2011

Overview

The State of Iowa is responsible for reporting the use of funding received by Iowa State Enterprise through the American Recovery and Reinvestment Act of 2009 (ARRA), and Education Jobs and Medicaid Assistance Act of 2010 (portion known as Education Jobs Fund). The use of funds, as well as, the financial, result and job information is shared with our citizens and reported to FederalReporting.gov on a quarterly basis. The purpose of quarterly reporting is to provide answers to questions such as:

- Who is receiving ARRA and Education Jobs Fund dollars and in what amounts?
- What projects or activities are being funded with ARRA and Education Jobs Fund dollars?
- What is the completion status of such projects and activities and what impact have they had on jobs?

The State of Iowa is a centralized reporting state and uses a centralized reporting system (reporting.iowa.gov) to collect information from all agencies, recipients and vendors of ARRA and Education Jobs funds that flows through any Iowa State agency or institution. State agencies and institutions are required to use the State's centralized reporting system, and do not report directly to FederalReporting.gov. The centralized reporting system is designed to facilitate collection of project, financial and job information from state agencies and institutions themselves, as well as organizations they award money to whether it is in the form of a grant, contract or loan.

The information collected via the centralized reporting system (reporting.iowa.gov) will not only fulfill Iowa's reporting requirements, but will facilitate making the use of funding transparent and accessible to Iowans on the recovery.iowa.gov website.

How do I use this document?

The Iowa Reporting Procedures and Guidance document is a reference manual, not a training document. It is intended to assist users with quarterly reporting, as shown in Figure 1, by:

1. Documenting steps and actions the users of Iowa's centralized reporting system must take to complete reporting;
2. Defining the meaning of reporting data elements: and
3. Providing guidance pertaining to when information is needed and how it should be collected.

Each section is framed as a question with the content of the section answering the question asked. The best approach for using this document is to review the section headings in the Table of Contents, and see which one best fits the issue you are facing.

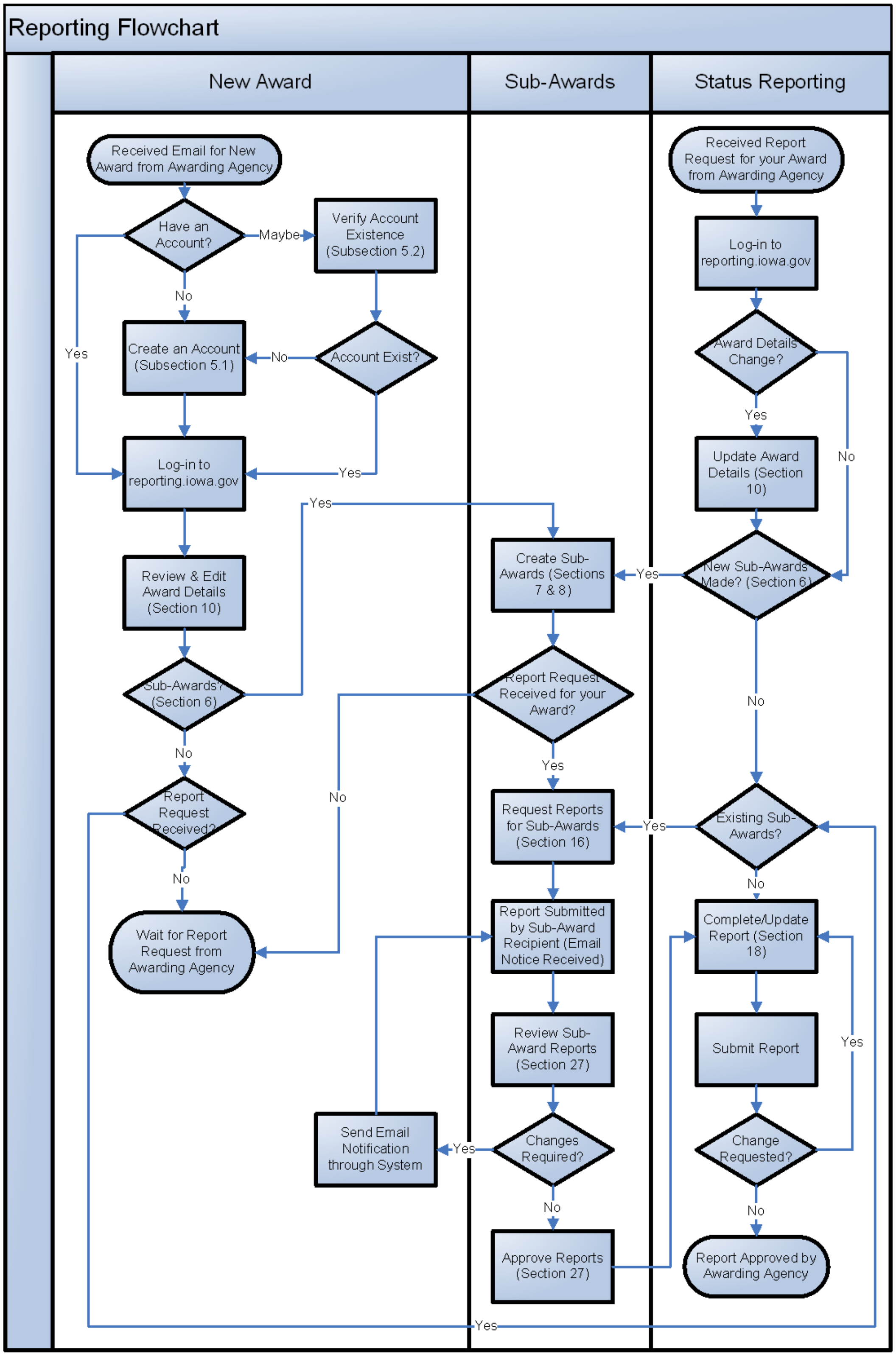

Figure 1. Reporting Flowchart. Section references refer to corresponding sections and sub-sections in the guidance document.

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1 Who is required to use Iowa's centralized reporting system?

Iowa's centralized reporting system is intended to include information on federal grants or contracts funded by ARRA, as well as the Education Jobs Fund. Prime recipients[1] of these federal funds have the responsibility to report on funding received, and the reporting responsibility is further extended to internal recipients[2], sub-recipients[3] and vendors[4] receiving funding, where applicable, to ensure the State of Iowa provides the most comprehensive set of data to our citizens.

Programs identified in Division A of ARRA are subject to Section 1512 reporting requirements, and will have reports submitted to FederalReporting.gov on a quarterly basis. Programs identified in Division B of ARRA are not subject to section 1512 reporting requirements, and such data will be retained at the state-level for transparency purposes. Additional exceptions to the 1512 reporting requirements are entitlement or other mandatory programs, loan guarantees (unless 100% FFB financed), and awards to individuals (see OMB List of Programs subject to Section 1512). Programs not subject to 1512 requirements will still be reported on in the state system, so that the state has a comprehensive set of ARRA-related data for the State of Iowa. If you are not sure whether the federal award you received is subject to 1512 reporting requirements, you should contact your federal grant officer for verification.

2 What do I do when a new federal award is received?

State agencies and institutions directly receiving ARRA-funded federal awards should first set-up accounting codes to separate ARRA funding from non-ARRA funding, and secondly must request the creation of a prime recipient award in the system.

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[1] Prime recipients are non-Federal entities that receive Recovery Act funding as Federal awards in the form of grants, loans, or cooperative agreements directly from the Federal government. Only state agencies directly receiving the federal award should be denoted as prime recipients in Iowa's centralized reporting system.

[2] Internal recipients are either: state agencies who receive an award or transfer of funds from another state agency; or sub-units of other recipients done to facilitate management of ARRA funding or to reflect major programs or project types being covered by ARRA funding. Setting up internal recipients also allows organizations to separate expenses associated with administrative costs from those associated with sub-awards made to other organizations.

[3] Sub-recipients are any non-state entities that expend Federal awards received from another entity to carry out the mission of the Federal program. Sub-recipients do not include individuals who are beneficiaries of Federal programs.

[4] Vendors are dealers, distributors, merchants or other sellers providing goods or services that are required by the program, where goods and services are similar to those purchased by many other organizations, are provided within a competitive environment, and are ancillary to the federal program being implemented. Prime, Internal and Sub Recipients may all have vendors.

2.1 *How do I set up accounting codes?*

It is important that ARRA funds are closely tracked, and kept separate from any non-ARRA funding received. Each accounting code established should have a unique ARRA Award ID. The approach used to set up accounting codes is going to be dependent on your internal accounting policies. The following paragraphs are applicable to those agencies utilizing the state I/3 accounting system.

2.1.1 I/3 General Coding Requirements

All transactions involving ARRA funds must include a Program Code as part of the accounting string.

2.1.2 Department Program Code Creation and Submission

Departments will submit requests to create Program Codes to the Department of Administrative Services- State Accounting Enterprise – I/3 Team. Departments will determine the name of their Program Codes. Requests will be submitted on the prescribed form. Departments who routinely use Program Codes (pre-ARRA) will establish the Major Program and Program Period to be associated with each Program Code. For departments who have not previously utilized Program Codes, the I/3 Team will establish the appropriate Major Program and Program Period for the Program Code if requested.

2.1.3 Program Specific Information Needed for Reconciliation Purposes

For each ARRA program, departments will submit brief write-ups of how the programs will receive revenues and make expenditures. These write-ups will be used by the Department of Administrative Services- State Accounting Enterprise (DAS-SAE) to reconcile revenues and expenditures for each program and explain variances. Please send write-ups to DAS-SAE.

2.1.4 Administrative Program Code Process Set-Up

In addition to assisting departments with setting up Program Codes, the I/3 Team will also establish the necessary Program Code roll-ups. The roll-ups are as follows:

- Program Category = ARRA
- Program Class = the Federal department who awarded the funds. This is a four digit number that is equal to two zeros, plus the first 2 digits of the award's CFDA number
- Program Group = the Program. This is a four digit number that is equal to a zero, plus the last 3 digits of the award's CFDA number.

2.1.5 Departments Receiving ARRA Funds from another Department

If a department receives ARRA funds as an internal recipient of another department, these funds are also required to include Program Codes in the accounting string. The funds must be transferred on an IET document using transfer revenue codes (class 204) and transfer expenditure codes (class 407). The expenditure of these funds by the internal recipient must also include Program Codes in the accounting string.

2.2 How do I create an award for a prime recipient?

A new prime recipient or top-level award can only be created by the administrator of the centralized reporting system. The following information must be provided to the Department of Management for the award to be set up in the system, along with phone numbers of primary and alternate contacts for the award:

1. Award ID
2. Award Date
3. Award Type
4. Award Amount
5. CFDA Number
6. Funding Distribution (Formula, Competitive or Demand)
7. Project Name
8. Project Grant Period (start – end)
9. Recipient Name
10. Recipient Contact (e-mail)
11. Alternate Contact (e-mail)
12. State Agency Code (if applicable)

See Section 33 for descriptions of the award detail data elements.

In addition to the elements noted above, the following information should be provided:

1. I/3 program code(s) associated to the award, if applicable;
2. Estimates on the number of sub-awards (sub-recipients and vendors) associated with the award;
3. Information regarding how data will be collected on these sub-awards, and their sub-awards where applicable – such as whether or not you are intending to delegate reporting responsibilities;
4. Identify persons or general groups responsible for submitting sub-award data; and
5. Identify persons or groups of people responsible for reviewing sub-award data.

2.3 When should award details be completed?

Once notification has been received, the recipient contact for the award should update the award details to ensure all information pertaining to the award is accurate and complete. See Section 33 for information that must be provided for reporting. Steps for completing or editing award details are provided Section 10.

3 Do I register on FederalReporting.gov?

State agencies who are prime recipients of federal awards subject to Section 1512 of ARRA should not register on FederalReporting.gov. The State of Iowa has been approved and registered to access and utilize the batch submission utility for FederalReporting.gov. We have been advised that states with central reporting systems should establish a policy restricting registration on FederalReporting.gov. In states with centralized systems, currently, there is no system way of preventing/restricting agencies from updating information on FederalReporting.gov directly. The policy is intended to ensure updates are done through the state system so that both our system and FederalReporting.gov will contain the same data. As such, individual agencies should not register on FederalReporting.gov independently. If your state agency or institution had previously registered on FederalReporting.gov, please ensure that updates are only made via reporting.iowa.gov, and not in FederalReporting.gov directly.

4 Is the reporting.iowa.gov inclusive of all required reporting?

No. The state's centralized reporting application is designed to collect information required as part of Section 1512 reporting, and supports Iowa being more transparent on how ARRA funding was utilized within the State. Federal agencies can and will likely require grant status reporting that includes information outside of what is required for Section 1512 reporting, and detailed in the centralized system. These reporting requirements will be handled by the specific state agency or institution receiving the award using the process as determined by the federal awarding agency.

Additionally, the state’s centralized reporting application does not accommodate all facets of contractual monitoring that state agencies must do to ensure entities they awarded money conform to performance expectations, and comply with applicable legal requirements.

5 How do I log-in to reporting.iowa.gov?

From the reporting.iowa.gov web site, click the “Sign In” button in upper right hand corner. This brings you to Enterprise A&A, which provides authentication and authorization services for the reporting.iowa.gov centralized reporting application. Enter your account ID and password in the boxes provided, then click the “Sign In” button. You will then be redirected back to the Dashboard of reporting.iowa.gov.

Figure 2 - Sign In button. The sign in button is available in top right corner, and opens a web form where the account ID and password are entered.

Many state employees will be able to use their email as the account ID and the password normally used to log into their work computer. If that option is not available, they should use the same account ID and password used to access the “Iowa Online Payroll Warrant.”

If you don’t already have an account, or can’t remember your account ID or password, please refer to the sections below.

5.1 I don't have an A&A account - how do I create one?

From the reporting.iowa.gov web site, click the "Sign In" button in upper right hand corner. This brings you to Enterprise A&A, which provides authentication and authorization services for the reporting.iowa.gov centralized reporting application. From here, you can click the "Create an Account," as shown in Figure 3.

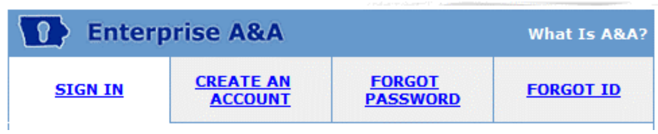


Figure 3 - Enterprise A&A tab options. After click "Sign In" button, Enterprise A&A provides a number of tabs that may address the issues you are encountering.

The Create Account page consists of the following elements: Account ID, First Name, Last Name & Email. You must enter your email twice, to make sure you haven't mistyped something. You may not create an account using an Account Id (e.g. firstname.lastname@iowaid) or Email address that is currently in use by another account. Once the Account Details are successfully saved the user will receive an email with instructions on how to verify and use the account.

By clicking the link found in the Account Confirmation Email you will:

1. Enter the Registration Confirmation Token found in the Account Confirmation Email, if not already pre-populated.
2. Enter the alphanumeric code value you see in the captcha[5] image, see Figure 4.
3. Click the "Confirm My Account" button.

Figure 4 - Captcha example.

After you confirm your A&A account, you will be required to set up your Identity Baseline information. The Identify Baseline is set of questions and answers you enter the first time you use your account. These questions and answers are secrets you can use to reset your password if you ever forget. The Baseline consists of three questions. For the first two, select a question from the list and type in your answer. For the remaining question, you can enter both the question and the answer. You must enter your answer twice for each question, to make sure you haven't mistyped something. You must remember these answers. If you can't answer these questions, you won't be able to manage your account if you forget your password.

After saving your baseline for the first time, you'll be allowed to establish your password and then be required to log in. All of these steps help to protect your account at the beginning, when it is the easiest to steal or break into. You can come back anytime you like (using the "Take me to my Account Options..." check box on Logon Screen) and re-enter the baseline questions to keep yourself up-to-date with the answers.

[5] A challenge-response security implementation process used to deter the computer automation of a given process. Most will recognize this as a random set of numbers and letters that appear in kind of wavy.

5.2 What do I do if my email is already used with an existing A&A account?

It is OK to use the existing A&A account for the reporting.iowa.gov application – just log-in to the system as instructed. If you cannot remember your account ID or password for the existing account, follow the steps outlined below:

1. From the reporting.iowa.gov web site, click the "Sign In" button. This brings you to Enterprise A&A, which provides authentication and authorization services for the reporting.iowa.gov centralized reporting application.
2. Click the "Forgot ID" link – see Figure 3
3. Type in your email in the box provided.
4. Click the "Retrieve A&A Id" button.
5. An email reminder will be sent to the email you entered with the Account ID.

After you have received the email reminder, click the "Forgot Password" link, then follow the steps below:

1. Type your account ID in the box provided.
2. Click the "Retrieve Password" button.
3. Answer the baseline identity questions.
4. Click the "Continue" button.
5. Enter and confirm your new password in boxes provided.
6. Click the "Save New Password" button.

If you need further assistance, contact the DAS-ITE Service Desk by email at ITE.Servicedesk@iowa.gov or phone at 515-281-5703 or 1-800-532-1174.

5.3 What do I do if my email has changed?

If you have an existing account and are assigned as the primary contact or alternate contact for awards currently in the system, the first thing you will need to do is log-in to the system and change the email on the awards for which you are a contact for. Once you have changed the email on the award or awards, you will no longer have access to the award until you change the email associated with you A&A account. You can change the email on your A&A account by:

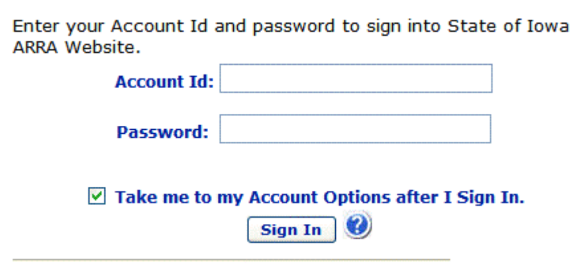


Figure 5 – Sign in. Checking the "Take me to my Account Options after I Sign In" gives you the ability to change the email tied to the account as well as change your password.

1. From the reporting.iowa.gov web site, please click the 'Sign In' button
2. Enter your account ID and password in the boxes provided.

3. Check the checkbox labeled "Take me to my Account Options after I Sign In," as shown Figure 5.
4. Click the “Sign In” button.
5. In the "Change Account Details" section, change your email address to your work e-mail and re-enter it in the confirm email address textbox.
6. Click the ‘Save’ button.
7. After it is saved, click the “Continue” button next to "to State of Iowa ARRA Website."

5.4 What do I do if I can’t see my Awards after I log-in?

If you are not able to view your awards, verify your email address on your A&A account matches the email address in the awards that are assigned to you (e.g. the email address at which you received your notification should match email address used on your A&A account). You can check the email associated with your account by hovering over your name, in the upper right hand corner. This will bring up a pop-up with your account details, as shown in Figure 6.

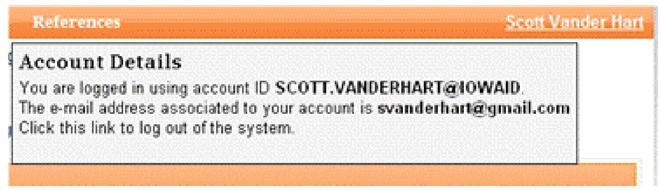


Figure 6 – Account Details Pop-up. Hovering over your name (after you are logged in, gives you the account ID and email that are currently being used to access the system.

If your awards do not appear following log-in, more likely than not the two emails do not match and your account is associated with an old email. You will need to change your e-mail on your A&A account – see Subsection 5.3 for directions.

6 What are sub-awards and when do I need to create them?

Sub-awards provide information on recipients of ARRA funding. They describe what the award is for, who the award is to, for how much the award is for, when the work related to the award will be started and completed, and where the work under the award will take place. This information that is not likely to change while the award is open, and should be captured once at the time the award is executed. ***Sub-awards need only be created in the system once, and can be updated as needed*** (see Section 8). Whether sub-awards must be entered into the system is dependent on whether the recipient is an organization, and if the amount of the award exceeds a specific threshold, as described below.

Sub-awards should be created when you have awarded ARRA money by way of a grant, loan or contract to any of the following:

1. Another organization (sub-recipients, see definition in footnote 3) or state agency (internal recipient, see definition in footnote 2) in order to directly carry out the mission of the program funded by ARRA;
2. Vendors (see definition in footnote 4) that provide necessary products and/or services essential to the implementation of the program; and

3. Sub-units within your organization to separately track the revenue, expenditures, and job information associated with program administration, or track unique projects being funded by the award received (see definition of internal recipient in footnote 2). Setting up sub-awards for sub-units is optional, but is encouraged where your organization's award includes both administrative costs, and making sub-awards to other entities. This will allow a better representation of the expenses associated with the work hours funded within your organization.

Sub-awards for entities described above must only be established if the ARRA award amount or estimated total ARRA payments are:

1. Equal to or greater than $5,000 for services or products provided within one year timeframe;
2. Equal to or greater than $15,000 for services or products provided over a multiyear period; or
3. Equal to or greater than $25,000 when services or products are acquired through a master contract of the State of Iowa.

Information on sub-awards should be entered into reporting.iowa.gov at the beginning of the report cycle covering the report period in which they were executed.

7 Who's responsible for reporting on sub-awards?

Generally, the manager within the organization receiving the sub-award who is responsible the work, services, and/or products to be delivered by the sub-award is responsible for reporting implementation and status updates. This manager should list a designee to serve as an alternate contact for their award to serve as a back-up in case they are absent during a crucial part of the reporting cycle.

However, the awarding organization may elect to report on behalf of the organizations they are awarding ARRA funding to. This is most often done when the awarding organization already has an existing data/reporting system set up to collect the required information. Where this is the case, the staff person assigned to report on behalf of the organization receiving the sub-award should be the same person responsible for monitoring the grant, contract or loan. The awarding organization should also clearly document where they obtain the information used for reporting purposes. If the awarding agency is manually entering data into reporting.iowa.gov, the staff person who submits reports on behalf of an organization receiving a sub-award, must not be the same person who approves those same reports. If your organization intends to report on behalf of your sub-awards, please refer to Section 29 about the bulk upload process.

The centralized reporting system is based on a delegation model, and state agencies and institutions are strongly encouraged to delegate reporting to those who are completing projects or are funding work hours with ARRA funding. This puts ownership of reporting on the organizations that receive the funding, and reduces the possibility of incorrectly transferring data from some other data source – whether it be a database or paper report.

8 How do I create sub-awards?

There are two different ways to set-up sub-awards in the centralized reporting application – both are done by starting in the “My Awards” tab of the Dashboard, see Figure 7. The first is using the web form, which is the best approach when you have just two or three sub-awards to add. The second is using an XLS template and upload, which is ideal when you have multiple sub-awards you need to set up at one time.

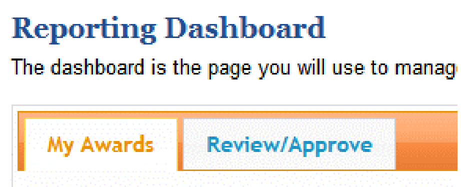
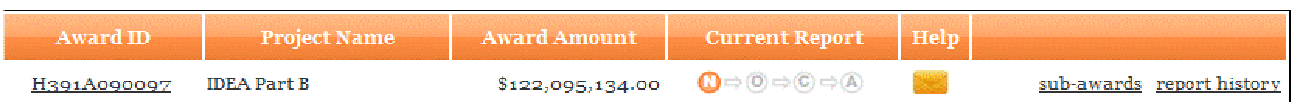


Figure 7 – Reporting Dashboard Tabs. The Reporting Dashboard has two tabs. The Review/Approve tab is only visible to those who have set up sub-awards. The tab you are on is highlighted with orange text.

8.1 How do I create sub-awards using the web form?

1. Click the “Sub-awards” link in the “My Awards” tab of the Dashboard on the same row as the award you want to create sub-awards for, see Figure 8.
2. On the sub-award page, click the “Create a new award” button in the bottom right hand corner of the sub-award table, see Figure 9.



Award ID	Project Name	Award Amount	Current Report	Help	
H391A090097	IDEA Part B	$122,095,134.00	N ⇨ O ⇨ C ⇨ A		sub-awards report history

Figure 8 - Award in “My Awards.” The “My Awards” Tab contains one row for each award that is currently open (i.e. has not filed a “final report.”). You are able to access the award detail form by clicking the Award ID. By clicking the Status Indicator (under Current Report column) you are able to access the report that requires completion. The envelope allows you to send an email to the contacts on your parent award. The “sub-awards” opens a page where sub-awards can be viewed, edited or created. Lastly, report history lists all of the reports filed for the specific award.

3. Complete web-form using instructions provided on form.
4. Click the “Save” button.
5. The system will send notifications to the contact and alternate contact of your sub-awards.

Figure 9 – Sub-Awards Table. The sub-awards table allows you to edit the award details by clicking the Award ID link; create, edit, and delete sub-awards underneath these awards listed by clicking the "sub-awards" link; view reports related to the sub-award by clicking the "reports" link; delete the award by clicking the "delete" link; and add new sub-awards by clicking "Create a new Award" button. If there are more than 20 awards listed, you will be able to page through or do a keyword search using the search box.

8.2 How do I create sub-awards using XLS template and upload?

1. Click "Sub-awards" link in the "My Awards" tab of the Dashboard on the same row as the award you want to create sub-awards for, see Figure 8.
2. On the sub-award page, click the "Download XLS" button, see Figure 10.
3. Complete one row of information for each sub-award; make sure to copy "ParentAwardID" to all rows with data. You may reorganize columns. ***However, don't change or reformat names in column headings, or change the names on tabs.*** Doing so will cause submittal problems. Please refer to the notes on the column headings for what to include in each cell. You may also refer to Section 33 for descriptions of the data elements.
4. Save file to hard drive. File name can be one of your choosing.
5. Below sub-awards table select and upload file (using the "Browse" and "Upload File" button).

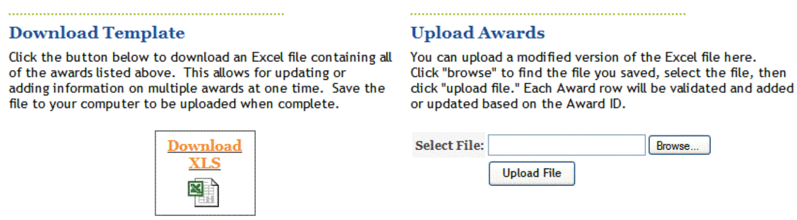


Figure 10 – Sub-Award XLS Template. On the sub-awards page, you are able to download and upload an XLS template to create or edit multiple sub awards at a time.

6. After upload, a message at the top of the page will let you know if it was successful or if there are issues.
7. If you have items to correct on your spreadsheet, you can correct those on the spreadsheet – then re-upload the spreadsheet.
8. The system will send notifications to the contact and alternate contact of your sub-awards.

8.3 What data elements are required to create sub-awards?

The following information must be provided for each sub-award to set it up in the system:

1. Award ID
2. Parent Award ID (if using the xls template, automatically provided in web form)

3. Award Date
4. Award Type
5. Reporting Frequency
6. Award Amount
7. Project Grant Period (start – end)
8. Project Name
9. Recipient Name
10. Recipient Type
11. Recipient Contact (e-mail)

See Section 33 for descriptions of the data elements. Other data elements required for sub-recipients, vendors and internal recipients can be provided at the time of set up if known. Otherwise, they will need to be completed by the recipient contact for the sub-award, as described below.

Once notification has been received the recipient contact for the sub-award should update the award details to ensure all information pertaining to the award is accurate and complete. Steps for completing or editing award details are provided in Section 9.

9 How do I edit or delete sub-awards?

9.1 How do I edit sub-awards?

Information on sub-awards may be edited by following the steps provided below.

1. Click the Award ID link in the "Review/Approve" tab of the Dashboard on the same row as the sub-awards you need to edit, see Figure 11.

Award ID	Recipient Name	Project Name	Current Report	1	
RIB1390018	Adair-Casey	Grants to school districts for…	N ➡ O ⇨ C ⇨ A	edit delete	history
RIB1250027	Adel DeSoto Minburn	Grants to school districts for…	N ⇨ O ⇨ C ⇨ A	request	history

Figure 11 – Sub-Award Rows on "Review/Approve" tab. The "Review/Approve tab of the Dashboard contains sub-awards that you are responsible for monitoring that are still open (i.e. have not filed a final report). From this tab, you are able to edit award details by clicking the Award ID link for the specific sub-award. You may also enter the current report, by clicking the status indicator. You are also to edit report requests by clicking the "edit" link, delete reports by clicking the "delete" link, and request reports for the sub-award by clicking the "request" link. The request link is only available when there are no reports for the award or the current report is in approved status. Previous reports for the award may be viewed by clicking the "history" link.

2. Edit information on the award details using instructions provided on form.
3. Click the "Save" button.

9.2 How do I delete sub-awards?

If you have mistakenly created a sub-award, and want it removed from the system, you can delete them by following the steps outlined below:

1. Click the "Sub-awards" link in the "My Awards" tab of the Dashboard on the same row as the award containing the sub-awards you need to delete to open the sub-award page, see Figure 8.
2. On the sub-award page, click the "delete" link on the row of the sub-award you want to delete from the system, see Figure 9 above.
3. Follow the instructions on the confirmation page. Please note: You will not be able to delete an award that has a report tied to it. If a report exists for the sub-award, it may be deleted first by following the steps outlined in Subsection 17.3.

10 How do I complete or edit my award details?

You may verify, complete and edit award information by following the steps below:

1. Click the award ID associated with award you intend to edit in the "My Awards" tab of the Dashboard, see Figure 8 above.
2. Complete web-form using instructions provided on form, and ensure all information is accurate and complete. For top-level awards (prime recipients) – although we validate against a list of treasury accounting symbols, and agency codes, you will need to contact your federal grant officer and/or refer to specific federal agency guidance to ensure you are using the one they expect to see in the report.
3. Click the "Save" button.

11 How do I download my award details?

You can download award details, and those related to your sub-awards, by following the steps outlined below:

1. From "My Awards" tab of the Dashboard, under the "Download" section, select "Awards" in the dropdown list.
2. If you also want to include the award details of sub-awards you are responsible for monitoring, check the "Include Sub-awards" checkbox, as shown in Figure 12.
3. Click the "Download XLS" button.

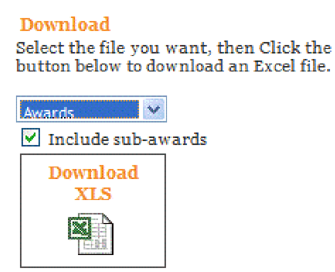


Figure 12 – Award details download. You may download your award data with or without sub-award information.

12 Does my organization need a DUNS number, and how do I attain one?

The requirement to obtain a DUNS number is only applicable to ARRA awards subject to 1512 reporting requirements. Where 1512 reporting is applicable, all prime recipients and sub-recipients whose award amount is equal to or greater than $25,000 need to have a valid Data Universal Numbering System (DUNS) number. Although DUNS numbers for vendors are not specifically required, if the vendor has a DUNS number, they should be encouraged to provide it in the system. DUNS numbers is used as part of the FederalReporting.gov to identify information on specific organizations, and is used to validate some of the information we are required to report.

Dun & Bradstreet maintains a database containing this information. A DUNS number is a unique 9-digit identification number for each physical location of an organization. Obtaining a number is free for all organizations required to register with the U.S. Federal government for contracts or grants. Information on how to obtain a DUNS number is available at the D&B online webform process.

Please note: The address associated with the DUNS number **must** be the same address listed on the award details for the award.

13 Does my organization need to register on Central Contractor Registry?

All prime recipients, whose awards are subject to 1512 reporting requirements, must also be registered on Central Contractor Registration (CCR). There is no cost to register on CCR, however it may take some time to complete the registration process.

13.1 What information will I need to register?

You will need to submit detailed information on your organization in various categories:

1. General Information – Includes, but is not limited to, DUNS number, CAGE Code, company name, Federal Tax Identification Number (TIN), location, receipts, employee numbers, and web site address.
2. Corporate Information – Includes, but is not limited to, organization or business type and SBA-defined socioeconomic characteristics.
3. Goods and Services Information – Includes, but is not limited to, NAICS code, SIC code, Product Service (PSC) code, and Federal Supply Classification (FSC) code.
4. Financial Information – Includes, but is not limited to, financial institution, American Banking Association (ABA) routing number, account number, remittance address, lock box number, automated clearing house (ACH) information, and credit card information.
5. Point of Contact (POC) Information – Includes, but is not limited to, the primary and alternate points of contact and the electronic business, past performance, and government points of contact.

6. Electronic Data Interchange (EDI) Information[6] – Includes, but is not limited to, the EDI point of contact and his or her telephone, e-mail, and physical address.

13.2 What are the steps to register on CCR?

Registration includes the following steps:

1. Access the CCR online registration through the CCR home page.
2. Click on "Start New Registration." You must have a Data Universal Numbering System (DUNS) number in order to begin the registration process.
3. Complete and submit the online registration. If you already have the necessary information outlined above, the online registration takes, according to CCR, approximately one hour to complete, depending upon the size and complexity of your business or organization.

14 How do I determine the place of performance for my award?

The place of performance (POP) is intended to reflect the area where project being funded by the specific award or sub-award is physically taking place. This will help associate the impact of ARRA – specific projects and work hours funded with a geographic location or area.

1. For purposes of section 1512 reporting, a city and zip code must be provided. If the award covers a broader regional area, consider using the zip code of the city hall, county seat, school district office, or zip code associated with the recipient if recipient is within the same general geographic location.

2. Recognizing that a specific zip code may not be an accurate reflection of where work is being done, a location must also be identified for awards and sub-awards to better associate the funded project to geographic areas/regions within the state. These areas/regions include: cities, counties, Area Education Agencies, Local Education Agencies (school districts), Council of Governments, Regional Transit Authorities, Area Agencies on Aging, Community Action Agencies, Judicial Districts, Drug Task Forces, local Community Empowerment areas, and Resource Conservation & Development areas. A keyword search is available to get the most applicable option. With top-level awards, the "State of Iowa" will be the most logical selection unless the award is focused on a specific area within the state. An “Out of State” option is also provided for any sub-awards made to sub-recipients or vendors conducting work outside of the State of Iowa (e.g. bus manufacturers with plants in other states, out-of-state universities conducting collaborative research on their own campus).

[6] EDI Information is optional and may be provided only for businesses interested in conducting transactions through EDI.

15 When is the status report for my organization's award due?

Recipients will be asked to report the status of their awards every quarter while their award remains open. Status reports includes information such as how much of the project funded has been completed, how much ARRA funding has been received and expended, and how many work hours have been paid for. Report requests will be sent to the contact and alternate listed on the award in advance of the quarterly report deadlines. These requests will be initiated by the organization that funded your award, and will provide a date by which the report is due, and the amount they have disbursed to your organization since the beginning of your award/grant period. In the case of prime recipients, the Iowa Department of Management will initiate report requests.

16 How do I request reports for my organization's sub-awards?

You will only request reports if you have awarded ARRA funding to another agency (see Section 6). Reports may be requested in the "Review/Approve" tab of the Dashboard. This tab is only available if your awards have sub-awards associated to them. If you have not set up sub-awards you need to set them up first by following the steps provided in Section 8. Report requests should be sent out early enough to ensure your sub-award recipients have adequate time to complete and submit reports. Report requests for sub-awards should not be initiated until after the prime recipient reports have been requested.

There are two different ways to request reports – both of which are done within the "Review/Approve" tab of the dashboard. The first is using the web form, which is the best approach when you have just two or three sub-awards to request reports from. The second is using an XLS template and upload, which is ideal when you have multiple sub-awards you need to request reports from at one time.

16.1 How do I request reports using the web form?

1. In the "Review/Approve" tab of the Dashboard, click the "request" link on the same row as the sub-award you need a report for, see Figure 11 above.
2. Complete web-form using instructions provided above the form. The due date for the report should be set after consulting the reporting timeline, and the due date for your report.
3. Click the "Submit" button.
4. The system will send a notification and make the report available to the contact and alternate contact of the applicable sub-award.

16.2 How do I request reports using XLS template and upload?

1. In the "Review/Approve" tab of the Dashboard, filter sub-awards as necessary. Download will only contain the filtered data.
2. Select "Report Requests" in the drop down box in the download section, see below.

3. Click the “Download XLS” button, see Figure 13. Please work from this XLS template, as it contains information to ensure reports are properly associated with the sub-award, and that the report is made available to the appropriate contact.
4. Complete one row of information for each sub-award. You may reorganize columns. ***However, don’t change or reformat names in column headings, or change the names on tabs.*** Doing so will cause submittal problems. Please refer to the notes on the column headings for what to include in each cell. You may also refer to Section 34 for more information. The due dates for the reports should be set after consulting the reporting timeline and due date for your report.
5. Save file to hard drive. File name can be one of your choosing.

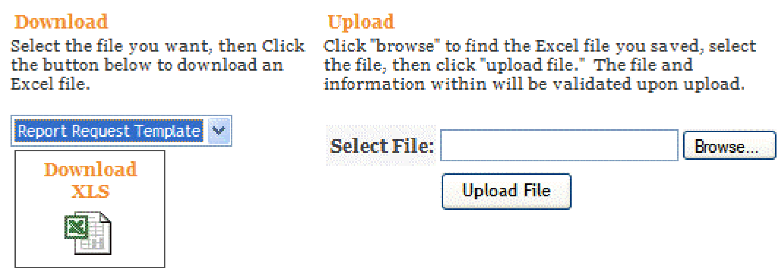


Figure 13 – Download & Upload Sections on Review/Approve Tab.

6. Upload file (using the “Upload File” button) on the “Review/Approve” tab of the Dashboard, as shown in Figure 13.
7. The system will send notifications and make reports available to the contact and alternate contact of your sub-awards.

17 How do I edit or delete report requests?

Report requests can by edited in the “Review/Approve” tab of the Dashboard in a couple of different ways. The first is using the web form, which is the best approach if you have two or three report requests to edit. The second is using an XLS template and upload, which is ideal where multiple report requests are in need of corrections.

17.1 How do I edit report requests using the web form?

1. Click the “Edit” link in the “Review/Approve” tab of the Dashboard on the same row as the report request you need to edit – the “Edit” link is not available on approved reports, see Figure 11 above.
2. Edit the contents of the web-form.
3. Click the “Submit” button.
4. The system will re-send a notification to the contact and alternate contact of the applicable sub-award.

17.2 How do I edit report requests using XLS template and upload?

1. In the "Review/Approve" tab of the Dashboard, filter sub-awards as necessary. Download will only contain the filtered data, see Figure 14.
2. Select "Report Request Template" in the drop down box in the download section, as shown in Figure 13 above.
3. Click the "Download XLS" button at the bottom. Please work from this XLS template, as it contains information to ensure reports are properly associated with the sub-award, and that the report is made available to the appropriate contact.
4. Delete rows associated with report requests that do not require changes.
5. Edit the contents on rows associated with report requests you need to modify. You may reorganize columns. ***However, don't change or reformat names in column headings, or change the names on tabs.*** Doing so will cause submittal problems. Please refer to the notes on the column headings for what to include in each cell. You may also refer to Section 34 for more information.
6. Save file to hard drive. File name can be one of your choosing.
7. On "Review/Approve" tab select and upload file (using the "Browse" and "Upload File" button), as shown in Figure 13 above.
8. The system will re-send a notification to the contact and alternate contact of the applicable sub-award.

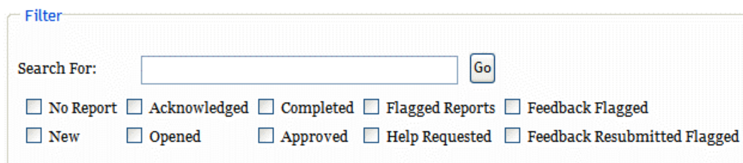


Figure 14 – Filtering in "Review/Approve" tab of Dashboard. If reviewers have over 20 sub-awards they are responsible for monitoring, filtering the list will present a more manageable number to look at. The list can be filtered by: using a keyword search, checking report status of the current report (or by whether an award has a report) and/or by various flagged conditions.

17.3 How do I delete report requests?

Reports can be deleted by the person initiating the report for the sub-award (contact or alternate contact of the parent award) if needed by following the steps outlined below:

1. Click the "delete" link in the "Review/Approve" tab of the Dashboard on the same row as the report request you need to delete, see Figure 11 above.
2. Confirm that you want to delete the specific report.
3. Click the "delete" button.

18 How do I complete my status report?

Once you have received a report request for the awards you are responsible for reporting on, you may complete the "current report" for the awards you are responsible for. If you have not received a request to complete a report, you should contact your awarding agency to have them initiate the reporting process. You can do this from the “My Awards” tab of the Dashboard by clicking the envelop icon on the row of the award that does not have a current report associated to it (i.e. the status indicator will be grayed out).

Completing reports for your awards can be completed in a couple of different ways – both within the “My Awards” tab of the Dashboard. The first is using the web form, which is the best approach if you have a small number of reports to complete. The second is using an XLS template and upload, which is ideal where multiple reports are in need of completion.

18.1 How do I complete my status report using the web form?

1. In the “My Awards” tab, click the status indicator under the Column “Current Report” on the same row as award you need to report for, see Figure 8 above. This will send you to the report page.
2. Complete web-form using instructions provided on the form. The form will be pre-populated with data from your previous report where applicable. You may also refer to Section 35, for more information.
3. Click the “Save Report” button, which is available at the top and bottom of the report page.
4. After saving the report, a message at the top of the page will let you know if it was successful or if there were issues.
5. If you have items to correct, make necessary corrections on the web form – then click the “Save Report” again. If no items require correction, proceed to step 6.

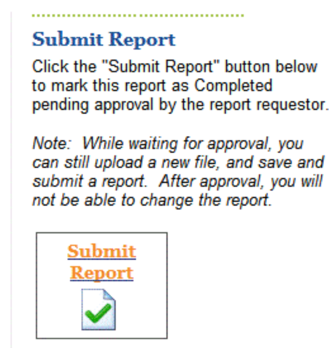


Figure 15 – Submit Report. The “Submit Report” button is only available when reports are in “Open” status.

6. Re-enter the report, as described in Step 1.
7. Review the data on the page to ensure it is accurate, and then click the “Submit Report” button at the bottom of the report page. The “Submit Report” button will not be available until a report has been saved in the system – see Figure 15.
8. You may need to complete or correct information on your award details (see Section 10) before you are able to submit your report. If you award details need editing, complete edits and repeat steps 6 & 7. Additionally, you will not be able to “submit” your report for the following reasons:
    a. You have sub-award reports (if applicable) that have not been either approved or marked incomplete; and
    b. You have sub-awards (if applicable) that do not have a current report or a final report from a previous report cycle. If either of these situations exists, see Sections 27 and 28 to address – then return to step 6.
9. On reports for prime recipient awards, if validation flags exist, reporters will be taken to a “Flagged Reports” page where all validation messages will be presented. If these flags do not require corrections, you may click “continue” button to complete report submittal. If they require corrections, click “cancel” button to return to the report page, and repeat steps 5 - 8.

10. Once the report has been submitted, it will be made available to the person responsible for review and approval. Corrections can be made to the report at anytime by repeating steps 1-7 until it has been approved – indicated by an “A” under “Current Report.” If it has been approved, refer to the Subsection 30.2 on how to make corrections.

18.2 How do I complete my status report using XLS template and upload?

1. On the “My Awards” tab of the Dashboard, select “Report Template” in the dropdown box under downloads, as shown in Figure 16.
2. Click the “Download XLS.”
3. Save file to hard drive, or a shared directory where it can be shared with staff person to complete the report. File name can be one of your choosing. All the reports you are responsible for completing on will be contained in this file.
4. Provide data for each report (one per row) contained in the spreadsheet. You may reorganize columns. However, don’t change or reformat names in column headings, or change the names on tabs. Doing so will cause submittal problems. Complete required data on each tab, please refer to the notes on the column headings for what to include in each cell:

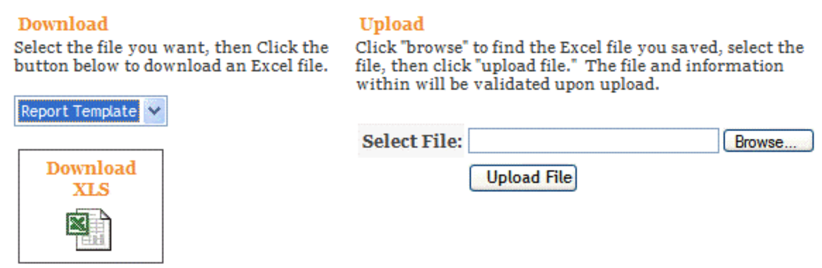


Figure 16 - Download & Upload Section on “My Awards” tab.

   a. Complete “RecipientReports” tab of spreadsheet (see Section 35, to identify those you have to complete. Most sub-awards will only need to complete white columns).
   b. Complete “EntityOfficers” tab of the spreadsheet for an award if you meet all of the criteria spelled out in the heading note on “OfficerReportingRequired.” If you do not meet all of the criteria, leave cells on this tab null.
   c. Complete the “JobCreationItems” tab of the spreadsheet if you have directly funded work hours of staff on your organization’s payroll (see Section 21). You need to group your job data by Standard Occupational Classifications (SOC) Minor groups[7]. If you have different types of positions (i.e. different SOC Minor groups) funded you will need to create another row, and copy the Report ID of the appropriate report to that row. SOC

[7] Standard Occupational Classification (SOC) system is used to classify workers into occupational categories for the purpose of collecting, calculating, or disseminating data. All workers are classified into one of over 820 occupations according to their occupational definition. To facilitate classification, occupations are combined to form 23 major groups, 96 minor groups, and 449 broad occupations. Each broad occupation includes detailed occupation(s) requiring similar job duties, skills, education, or experience. For ARRA reporting purposes, the minor group level is used for categorization.

information can be found on our reference data page (you will need to be logged in to access it.). You can use the keyword search to find the most appropriate occupational group, make sure you use the second number provided (e.g. 25-1000). If you have not directly funded hours for a specific award, leave cells null. Default values are provided for work start and end dates. However, these dates should be changed to reflect the date work started (i.e. the beginning of the first pay period where ARRA funds were used to compensate employees), and date the work ended (i.e. end of the last pay period where ARRA funds were used to compensate employees, or the report period end date if work is still on-going).

5. Once the file is complete, you can select and upload file (using the "Browse" and "Upload File" button) at the bottom of the "My Awards" tab of the Dashboard, as shown in Figure 16.
6. After upload, a message at the top of the page will let you know if it was successful or if there are issues.
7. If you have items to correct on your spreadsheet, you can correct those on the spreadsheet – then re-upload the spreadsheet, or complete those requiring corrections using the web form as described above. If no items require correction, proceed to step 8.
8. In the "My Awards" tab, after you upload your report data, you can click the status indicator under the Column "Current Report" on the same row as award report you need to review (this will open the report page), review the data on the page to ensure it is accurate, and then click the "Submit Report" button at the bottom of the page, as shown in Figure 15 above. The "Submit Report" button is only available for reports that have been saved in the system.
9. You may need to complete or correct information on your award details (see Section 10) before you are able to submit your report. If you award details need editing, complete edits and repeat step 8. Additionally, you will not be able to "submit" your report for the following reasons:
   a. You have sub-award reports (if applicable) that have not been either approved or marked incomplete; and
   b. You have sub-awards (if applicable) that do not have a current report or a final report from a previous report cycle. If either of these situations exists, see Sections 27 and 28 to address – then return to step 8.
10. On report s for prime recipient awards, if validation flags exist, reporters will be taken to a "Flagged Reports" page where all validation messages will be presented. If these flags do not require corrections, you may click "continue" button to complete report submittal. If they require corrections, click "cancel" button to return to the report page, and repeat steps 7 - 9.
11. Once the report has been submitted, it will be made available to the person responsible for review and approval. Corrections can be made to the report at anytime by following web form steps 1-6 described above until it has been approved – indicated by an "A" under "Current Report." If it has been approved, refer to the Subsection 30.2 on how to make corrections.

19 Which data elements are quarterly, and which are cumulative?

The only reporting data elements that are reported on a quarterly basis are the fields associated with the job creation and retention data – SOC Minor, Description, Work Start Date, Work End Date, and Hours Worked. All other reporting data elements are cumulative in nature, and are updated on a quarterly basis.

20 How should I report financial information if ARRA is only a portion of the total costs?

If an award made to an organization includes both ARRA (or Education Jobs Fund) and non-ARRA funding and/or if the funded project utilizes local match to fund a portion of the total project costs, the financial information reported should only reflect the portion attributable to ARRA, as described below.

1. The Award Amount (see Subsection 33.9) should only reflect the ARRA funding included in the total award amount. If the total award made to an organization was for $100,000, but only $60,000 was ARRA funding, then the Award Amount is $60,000.
2. Total ARRA Disbursed (see Subsection 34.10), and Total ARRA Received (see Subsection 35.10) should only reflect the ARRA $ disbursed and received as part of the award. The simplest way to calculate this is multiply the total funding disbursed and received by the % of ARRA funding (% ARRA funding = $ ARRA Funding Awarded/Total $ Awarded). Based on the example in item #1, the % ARRA funding = 60%. If the total $ disbursed was $10,000, then the ARRA $ disbursed would be $6,000. Same principle applies for funding received.
3. The Total ARRA Expenditure (see Subsection 35.11) should only reflect the portion of total project expenses covered by ARRA funds. If a percentage of the total project expenses must be supported with local match, then the portion of the project expenses that can be invoiced to your awarding agency should be multiplied by % ARRA funding (described in item 2 above) to determine the amount that should be reported. If the total project expenditure is $10,000, and the project requires 25% local contribution, the total amount that you would invoice is $7,500. If the % ARRA Funding is 60% (as in the examples above), then the Total ARRA Expenditure reported would be $4,500.

The items noted above are based on scenarios where you disburse and expend non-ARRA and local match funding proportionately to ARRA funding. If the total project costs change during the implementation of a project, then proportion applied to ARRA should be adjusted beginning in the quarter the change occurred and any subsequent quarter.

21 Am I required to collect job information?

State agencies and institutions with awards subject to 1512 reporting requirements are expected to directly and comprehensively collect job information from all sub-recipients and vendors receiving funding under their federal award.

The collection of job information is not required:

1. Where the ARRA money received is not used to compensate employees of your organization;
2. Where the ARRA contribution to your award is less than $5,000 for an annual agreement, less than $15,000 for a multiyear agreement, less than $25,000 for a State of Iowa master contract; or
3. From vendors, regardless of amount of ARRA contribution, if the purchase is for standard products typically part of a vendor's existing inventory and available at time of purchase, or for standard services (i.e. have set rates/services) that are not uniquely tailored to the project funded by the award. In these cases, it is assumed that ARRA did not have a significant impact in the vendor creating or retaining jobs.

Job information must be reported at the level it occurred (e.g. school districts), and should not be aggregated and reported at a higher level (e.g. Department of Education). Job information will be rolled up in the system (see Section 23), doing this on your own will result in us overstating the job impact. Reports for any given award should only contain job information related to the organization receiving the award. Additionally, if job information is not reported at the level it occurred it may not be reflected in the most appropriate geographical location.

22 How do I determine the reported work hours?

The number of hours worked reported should include those that have either been paid for or will be reimbursed by Recovery Act funding (see also Subsection 35.31). You can determine reported work hours by following the steps provided below:

1. Identify pay periods included in the reported quarter – please note all pay periods must end within the applicable reported quarter, or the date range for which work hours are based – must be exclusive to the reported quarter [8] (see also Subsections 35.29 and 35.30);

2. Verify employees assigned to the project or program funded by your ARRA award within each Standard Occupational Classification –minor group (SOC) (or more specific grouping) for the applicable reported quarter;

[8] Reporting quarters are defined as:

1. Quarter 1: January 1 – March 31
2. Quarter 2: April 1 – June 30
3. Quarter 3: July 1 – September 30
4. Quarter 4: October 1 – December 31

3. Determine the total work hours (and approved paid leave)[9] for each employee identified in step 2 during the reported quarter by either:
    a. summing work hours (and approved paid leave hours) from each pay period identified in step 1; or
    b. counting the total days of service (as defined in teacher contracts) for the employee within the timeframe identified in step 1 then multiplying total days of service by eight;

4. If an employee is not on the funded project or program full-time and the proportion is not already identified by use of time codes, then multiply the employee's work hours by the percentage of time they spend on the funded project or program (e.g. If an employee spends half of their time on the project, then their total work hours should be multiplied by 0.5);

5. Sum the work hours of employees (determined in steps 3 & 4) within each SOC minor group (or more specific grouping) to report the total within the reported grouping; and

6. If the project or program is not fully supported by ARRA, then multiply total work hours for each group determined in Step 5 by the percentage of the total project or program costs supported by ARRA to determine the reported work hours (e.g. If total project/program expenses for the quarter is $2,000, and the ARRA portion is $1,000, then total work hours should be multiplied by 0.5).

23 How are FTE calculated in the reporting system?

Full-Time Equivalents are calculated for each job record (based on SOC or more specific grouping) reported in an award's status report using the following calculation: FTE = Reported Work Hours /520 hours. The total FTE for the report is the sum of the FTE calculated for each job record. FTE is rolled up in the system to show the total for given report, the sum of all sub-awards underneath that specific award, and then the sum of the two, as shown in Figure 17. Because of this, it is important to only report hours worked at the level that they occurred (e.g. do not report the hours worked for your sub-awards on your award's status report) – otherwise you will contribute to the double counting of FTE.

[9] Hours should be reported within the quarter they are worked, and not the quarter in which they are reimbursed.

SOC Minor	Description	Work Start	Work End	Hours Worked	Jobs
11-1000: Top Executives	**Weatherization Director**	10/1/2009	12/31/2009	520	1.000
15-1100: Computer Occupations	**Computer support**	10/1/2009	12/31/2009	520	1.000
13-1000: Business Operations Specialists	**Training & Compliance specialist**	10/1/2009	12/31/2009	1,800	3.462

Sub-award Job Information

The section shows a summary of job information reported by the recipients of sub-awards that have been approved under this award.

SOC Minor	SOC Minor Name	Hours Worked	Jobs
11-1000	Top Executives	1153	2.217
11-3000	Operations Specialties Managers	717	1.379
11-9000	Other Management Occupations	1641	3.156
13-1000	Business Operations Specialists	2	0.004
43-1000	Supervisors of Office and Administrative Support Workers	2174	4.181
43-3000	Financial Clerks	123	0.237
43-6000	Secretaries and Administrative Assistants	1380	2.654
43-9000	Other Office and Administrative Support Workers	2367	4.552
47-1000	Supervisors of Construction and Extraction Workers	1854	3.565
47-2000	Construction Trades Workers	22403	43.083
47-4000	Other Construction and Related Workers	23645	45.471
49-9000	Other Installation, Maintenance, and Repair Occupations	453	0.871

	Jobs
Current Report	5.462
Sub-Award Reports	111.370
Total	116.832

Figure 17 – Reported Job Information. Reports show each job record reported within the specific report, as well as sub-award job information grouped by standard occupational classification minor groups. Data is only included on sub-awards whose reports have been approved. For prime recipient reports, the sub-award job information, and the information on the report are combined to form the data used for jobs and job narrative on the 1512 report submitted to FederalReporting.gov.

24 When do I mark my report as final?

Reports may be marked as a final report under the following conditions:

1. All ARRA funds have been expended, and/or all work related to the award is deemed complete by the awarding agency or organization;
2. All sub-awards underneath the award have already submitted a final report either in the current report period or a prior report period; and
3. Project status is complete (i.e. 100%).

Reports may also be marked complete if the award has been terminated or cancelled. Prime recipient reports cannot be marked final until the award period has ended.

Once a report has been marked final, the award will not be available in the reporting dashboard during future reporting cycles.

25 I still have questions, who do I go to for answers?

Any questions you have should be directed to your awarding agency contact. You can do this from the "My Awards" tab of the Dashboard by clicking the envelope icon on the row of the award for which you have a question, as shown in Figure 8 above. This will send an email to the appropriate person. You can also use the email form provided on the report page. The report page is accessible by clicking the status indicator under the Column "Current Report" for the particular award you have a question about.

25.1 How are issues escalated?

If your awarding agency contact is unable to answer the question posed, he or she may escalate it to their awarding agency contact (if they are not a state agency or institution), or to a subject matter expert (SME) within their organization (if they are a state agency or institution). The Iowa Department of Management and/or the Iowa Department of Administrative Services, Information Technology Enterprise will respond to questions that state agencies or institutions are unable to respond to internally.

25.2 Is my state agency or institution required to have a SME?

All state agencies may elect to have an individual trained to be a subject matter expert on the centralized reporting system, and processes associated with it. The SME is intended to be the second level to which support issues are escalated. If your agency has just a few sub-awards under the federal grants you have been awarded and/or if you are reporting on behalf of your sub-award recipients, this second level of support is not necessary. State agencies must have at least ***one person per 100 unique sub-award recipients trained as an SME*** to help support the centralized reporting system by providing timely responses to system user questions.

26 Who can access and edit information on my awards and reports?

Generally access to award and report information for editing purposes is limited to the contact and alternate contact of the award. Authentication and authorization for the reporting.iowa.gov centralized reporting application is based on unique emails. Log-in is compared to emails listed as contact and alternate contact on each award for access control. The contacts for your awarding agency also have the ability to modify data elements associated with your award details and reports as necessary.

If you are unable to access or edit your awards or reports, please see the directions provided Section 5.

27 How do I review reported information for completeness and accuracy?

Ensuring the information in the system is complete and accurate is critical to ensuring Iowa has quality data to report to FederalReporting.gov and present to Iowans. You will only review reported information if you have awarded ARRA funding to another organization, and have requested reports from them (see Section 16).

Reports will be made available for your review and approval once the person providing the requested report has clicked the “Submit Report” button. You will receive an e-mail notification once a report has been submitted for your review and approval. You can review and approve reports by following the steps below:

1. From the "Review/Approve" tab of the dashboard, click the status indicator under the Column "Current Report" on the same row as the report you are interested in looking at. You will only need to review those where "C" is highlighted (this indicates the report is complete and ready for your review). If you have a lot of reports to review, you can filter the list for those that are "Completed." You may also want to further filter those reports that are flagged. A report is flagged if it did not meet certain system business rules (see Sections 33, 34 & 35).

2. Review the data on the report to ensure the information's accuracy seems reasonable. The system has a number of data validations and business rules established to help ensure data provided is complete and accurate (see Sections 33, 34 & 35). Your agency should outline data quality checks/protocols being implemented outside of the controls and data validations internal to the centralized reporting system. As a reviewer, it is your responsibility to:

    a. Review flags and ensure the data provided is accurate;
    b. Ensure the project status description is reasonable and consistent with the other information provided and allowable uses of funding provided;
    c. Submit follow-up questions regarding the information provided to reporters; and
    d. Ensure your questions have been adequately answered.

3. If the data seems reasonable, and nothing has been flagged, then you should click the "Approve Report" button at the bottom of the report screen, as shown in Figure 18. Notification will be sent to the contact and alternate contact of the sub-award for whose report you just approved.

4. If the report is a final report, you will be required to confirm it is a final report. Please review the information in Section 24.

5. If some of the information provided seems questionable, you are able to send feedback on the report, by completing the email form provided in the right hand corner of the screen. This will send an email to the individual(s) responsible for submitting the report. Your comment will also be tied to the report for future reference. Request that the reports submit any response via the system (on the report page), so that it is tied to the report for future review. The reporter can make corrections to the report at any time until the report has been approved.

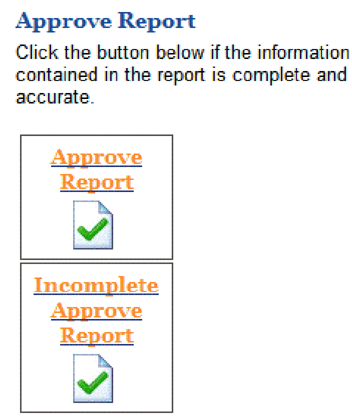


Figure 18 – Approve Report & Incomplete Approve Report Buttons. The approve report buttons are only available once reporters have submitted their reports for review.

6. Once the report has been corrected, or questionable information has been explained, then click the “Approve” button at the bottom of the report screen. Notification will be sent to the contact and alternate contact of the sub-award for whose report you just approved.

You can download reported data for the sub-awards you are responsible for monitoring by following the steps outlined below:

1. From the “Review/Approve” tab of the Dashboard, filter sub-awards as desired – see Figure 14.
2. Under the “Download” heading, select “Reported Data” in the dropdown list – see Figure 13.
3. Click the “Download XLS” button.

28 What do I do if a recipient of a sub-award does not report?

To ensure information available on a sub-recipient or vendor is included in the 1512 report, it must have a report within the system that is in approved status. In cases where a recipient has not reported, you should mark the report as approved, but incomplete. This will allow the system to pull key information (such as Award Amount, Recipient Location information, and Total ARRA Disbursed), and will flag the report for future follow-up and corrections. To mark a report as incomplete, you should follow the steps provided below:

1. Enter the “Review/Approve” tab of your dashboard.
2. Review reports that are not in approved status. In most cases, these reports will still be marked as “New.” If it is marked as “Open,” they have actually saved data to the database, and may have forgotten to submit their report. If this is the case, you should confirm that that report is complete, and ask them to log-in to the system, and re-enter the report to submit it. You can then complete the steps outlined in Section 27. Otherwise, continue to step 3.
3. Click the status indicator under the Column “Current Report” on the same row as the report you are interested in looking at. If the status indicator is grayed out, you will need to request a report by following the steps outlined in Section 16. Otherwise, continue to step 4.
4. Update any information you are able to. You may have gathered some of this information from other sources, or obtained it by calling the recipient of the funding. If you are unable to obtain updated job information, delete any job records, by clicking the X in the red circle on each row, as this information relates to the previous quarter.
5. Click the “Save Report” button, which is available at the top and bottom of the report page – this will retain the financial information provided in the previous report submitted or will contain zeros if no other report was previously filed – unless you were able to update them. The Total ARRA Disbursed will reflect the value contained on the report request.
6. After the report is saved, the system will send you back out to the dashboard. You will need to re-enter the report as described in step 1 in order to submit the report. You may submit the report by clicking the “Submit Report” button on the lower left hand corner of the report page.

7. If you receive the following message “All Sub-Award reports must be Approved or Incomplete Approved before submitting this report” after clicking the “Submit Report” button, you will need to return to the “Review/Approve” tab of your dashboard, then click the “dashboard” link on the line of the sub-award report you were attempting to complete. This will provide a view of all current reports for their children awards (i.e. their sub-awards). If any of those have reports that are not in approved status, follow steps 2 – 8 outlined in this section for any that have not been approved. If any of the current status indicator bars are grayed out, you will need to request a report first by clicking the “request” link before completing steps 2 – 8. Once these reports are marked Incomplete Approved, then repeat step 6, for the immediate sub-award report you were attempting to complete.
8. After the report is submitted, the system will send you back out to the dashboard. You will need to re-enter the report as described in step 3 in order to approve the report or approve the report as incomplete. If you were able to obtain all required data elements, then click the “Approve Report” button. Otherwise, you should mark the report as incomplete by clicking the “Incomplete Approve Report” button on the lower central part of the page next to the email form, as shown in Figure 18.
9. If the report was marked as “Incomplete,” you should work with the recipient to correct the report, as described in Section 30.

29 What is the bulk upload, and how do I use it?

The bulk upload allows state agency officials to report on behalf of their sub-recipients if they already had a reporting process in place. This allows them to bypass the reporting workflow in place for submitting and reviewing reports. This is a special privilege and must be requested from the Department of Management. Follow the steps below to utilize the bulk upload process:

1. From your Review & Approve tab of the Dashboard, download Reported Data. This will provide you with last quarter’s data to start with. If you are reporting for multiple levels, your account email will need to be on the parent awards for those you intend to report for. Please note that when using the bulk upload even gray columns will read into the system.
2. Add Award IDs for awards created since the previous quarterly report.
3. Change Report IDs to “0” on all three tabs. New Report IDs are established when the file is uploaded in the same manner as report requests.
4. Change the Reporting Period End Date to reflect the current quarter.
5. Clear the Approval Date.
6. Change the Due Date to reflect today’s date.
7. Edit and add information as required.
8. Save the file to your hard drive or shared directory. You can name it anything you would like. It is not necessary to close the file.

9. From the Review & Approve tab, upload saved file, check “Bulk upload with verification before approval,” then click “Upload File” button. PLEASE NOTE: the system runs validations on the file, so if you are uploading many reports, it may take some time.
10. After the system has processed the file, you will receive a list of errors that must be corrected. Correct the appropriate reports (rows) on your saved file, and return to Step 8.
11. If your file has no errors, you will receive a list of validation warnings. Correct appropriate reports (rows) on your saved file if necessary by clicking the “cancel” button, and returning to Step 8. If corrections are not required, then click the “continue” button.
12. If you have final reports in your saved file, you will have to confirm they are final by checking the box next to the listed award. If any of the listed awards are not final, then click the “cancel” button, make the correction on your saved file and return to Step 8. If all awards are confirmed as final, then click the “confirm” button.
13. Compare your saved file to the summary information provided on the bulk verify page. You can do this by summing the appropriate columns in you saved file. If corrections are required, click the “cancel” button, make the corrections on your saved file, and return to Step 8. If no corrections are required, then click the “Submit Bulk Upload Reports for Approval” button.
14. You’ll receive a message at the top of the page indicating that the reports were approved.

30 How do I correct or modify a report?

Correcting a report can be done in a manner of ways, but mostly depends on whether you need to correct a current report or if it has already been improved. The following subsections outline various scenarios routinely encountered in the system.

30.1 How do I correct or modify a report I just submitted?

Corrections can be made to your report at anytime if the current report is still in “C” or “completed” status. Follow the steps below:

1. Follow the steps for completing a report, as outlined in Subsection 18.1 – the web form is best approach for correcting a single report.
2. The report will then need to be reviewed and approved as described in Section 27.

30.2 How do I correct or modify a current report that has been approved?

Before you can modify the report, you need to request the report be “un-approved.” This is done using the following steps:

1. From the “My Awards” tab of the Dashboard, click the envelope on the row of the report you need to correct.
2. Complete the email form indicating that you need to make a correction to your report. Explain what you need to modify.

The person at your awarding agency would need to do the following steps:

1. From the "Review/Approve" tab of the dashboard, click the status indicator under the Column "Current Report" on the same row as the report you need to un-approve. If you have more than 20 sub-awards you may need to page through the sub-awards, or use the key word search to find the sub-award you need to un-approve a report for. You can also filter the list for those in "A" or approved status.
2. Click the "Un-Approve Report" button at the bottom of the page.
3. The system will send a notification and make the report available to the contact and alternate contact of the sub-award.

Once the notification has been received, the report may be modified as described Subsection 30.1.

30.3 How do I correct historical reports (i.e. from previous quarters)?

For those awards subject to 1512 reporting, please keep in mind that any changes to historical reports cannot be reflected in federalreporting.gov, as this system will only accept corrections up until roughly 15 days before the end of the subsequent quarter. Corrections to historical reports should be reserved for times where the report is either incomplete, or where substantive changes need to be made.

If you are aware that one of your reports requires corrections, you will need to contact your awarding agency to have them un-approve your report.

1. From the "My Awards" tab of the Dashboard, click the envelope on the row of the award you need to correct a historical report for.
2. Complete the email form indicating that you need to make a correction to your report. Explain what you need to modify, and which report requires modification.

Your awarding agency will need to take the following steps to open the report up for changes, once they receive your request, or if they identify a needed correction:

1. From the "Review/Approve" tab of the dashboard, click the "history" link on the line of the award with a report requiring correction.
2. In the report listing for the award, click the "enter" link for the report requiring correction.
3. On the report, click the "Un-approve Report" button in the lower left hand corner.

Once the report is un-approved, it is open for you to make changes. You will need to edit the report by following the steps below:

1. On the "My Awards" tab of your dashboard, click the "report history" link on the line of the award with a report requiring correction.
2. In the report listing for the award, click the "enter" link for the report requiring correction (it will be in open status).

3. Once in the report, change the necessary data elements on the report, and click the "save report" button at the top or bottom of the report page.
4. Once the report has been saved, repeat steps 1 & 2 to access the report.
5. On the report, click the "Submit Report" button in the lower left hand corner.

Once the report has been submitted, your report's reviewer will need to follow the steps below to approve the report:

1. From the "Review/Approve" tab of their dashboard, click the "history" link on the line of the award whose report was corrected.
2. In the report listing for the award, click the "enter" link for the report just corrected (it will be in completed status).
3. On the report, click the "Approve Report" button centered toward the bottom of the page.

30.4 How do I correct reports using the bulk upload process?

The process for updating reports is very similar to process outlined in Section 29 – with a few exceptions. It is not necessary to un-approve reports, just follow the steps provided below:

1. From your Review & Approve tab of the Dashboard, download Reported Data. Please note that when using the bulk upload even gray columns will read into the system.
2. Clear the Approval Date.
3. Change the Due Date to reflect today's date.
4. Edit information as required.
5. Save the file to your hard drive or shared directory. You can name it anything you would like. It is not necessary to close the file.
6. From the Review & Approve tab, upload saved file, check "Bulk upload with verification before approval," then click "Upload File" button. PLEASE NOTE: the system runs validations on the file, so if you are uploading many reports, it may take some time.
7. After the system has processed the file, you will receive a list of errors that must be corrected. Correct the appropriate reports (rows) on your saved file, and return to Step 8.
8. If your file has no errors, you will receive a list of validation warnings. Correct appropriate reports (rows) on your saved file if necessary by clicking the "cancel" button, and returning to Step 8. If corrections are not required, then click the "continue" button.
9. If you have final reports in your saved file, you will have to confirm they are final by checking the box next to the listed award. If any of the listed awards are not final, then click the "cancel" button, make the correction on your saved file and return to Step 8. If all awards are confirmed as final, then click the "confirm" button.
10. Compare your saved file to the summary information provided on the bulk verify page. You can do this by summing the appropriate columns in you saved file. If corrections are required, click the "cancel" button, make the corrections on your saved file, and return to Step 8. If no corrections are required, then click the "Submit Bulk Upload Reports for Approval" button.

11. You'll receive a message at the top of the page indicating that the reports were approved.

The process for correcting historical reports is virtually the same. However, you will not be able to download reported data in the same way as described in Step 1, as it will give you the most recent quarter reported. We would recommend after you complete the bulk approval process for the first time any given quarter, that you download the reported data file available through your Review & Approve tab of the Dashboard, name the file (suggest including the report period end date), and save it to your hard drive or some shared directory. This will make a file with the appropriate report IDs to be available in case there is the need to make corrections in the future.

31 How do I address federal comments received?

This section is only applicable to those awards that are subject to 1512 reporting requirements. Only prime recipients (state agencies and institutions) will be the ones to receive federal comments.

If federal comments are received via FederalReporting.gov, the following steps will be followed:

1. Comments made by federal agencies will be uploaded to reporting.iowa.gov. You will be able to view these comments by clicking the "Show Federal Comment" link available on the specific report for which comments were made.
2. If the comment suggests changes are required for the report, the Department of Management will un-approve the report for the award.
3. The award contact or alternate contact will make the changes as requested (see Subsection 30.2), and submit a comment explaining the reason for the error, or submit a comment through reporting.iowa.gov stating why a change is not required.
4. The Department of Management and DAS-ITE will resubmit the file to FederalReporting.gov once corrected report has been approved.

If federal comments are sent to the prime recipient directly, the correction process will be handled in the same manner as described in Subsection 30.2. The Department of Management will re-file report with FederalReporting.gov if allowed at that point in time during the federal review cycle. If the report is locked for changes, the Department of Management will re-file the report once FederalReporting.gov opens for the continuous correction period.

32 How are the State of Iowa's 1512 reports reconciled?

This section is applicable to awards subject to 1512 reporting requirements.

DAS-SAE will set up worksheets, by prime award, to reconcile the 1512 reports to the I/3 accounting system. The worksheets will include a comparison of (1) I/3 revenues to 1512 revenues, (2) I/3 expenditures to 1512 expenditures, (3) I/3 transfers in to I/3 transfers out, (4) I/3 revenues over/under I/3 expenditures and (5) 1512 revenues over/under 1512 expenditures.

The reconciliation worksheets will be sent to financial managers of the prime recipient state agencies with instructions requesting that variances exceeding $1,000 be documented and explained. Additionally, if the prime recipient state agency passes funds on to another department on I/3 (internal recipients), the prime recipient state agency is expected to coordinate the overall reconciliation of the prime award.

Departments will be given approximately one week to review and explain variances exceeding $1,000. Detailed explanations must be typed into the reconciliation worksheets. Once complete, the reconciliation worksheets must be returned to DAS-SAE for review. Reconciliation worksheets will be made available to state and federal auditors on reporting.iowa.gov.

All agencies and institutions must correct reporting errors identified during the reconciliation process by following directions contained in Subsection 30.2.

33 Award Details Definitions & Business Rules

Award Details data elements are one-time data elements that are entered into the database upon the receipt of a federal award or at the beginning of the report cycle covering the report period in which the grant, loan or contract to a sub-recipient or vendor was executed.

Key:				
	Data element is system-generated	Data element is system-generated, but may require user association.	Data element is for prime recipients only.	Data element for prime recipients only and for awards primarily dedicated to infrastructure projects.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.1 Award ID	The grant or other identifying number assigned by the awarding federal agency.	Parent Award ID plus department number or org number.	The contract, grant or loan number assigned by the awarding organization.		Value entered must be unique among all awards. This value can only be set by the recipient contact or alternate contact of the parent award.

Data Elements		Definition by Recipient Type				Business Rules
		Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.2	Parent Award ID	NA	Derived from the Award ID of the parent award. User association may be required in Excel templates, as Parent Award ID is only provided on first row.			Value must be an Award ID in the system.
33.3	CFDA Number	The Catalog of Federal Domestic Assistance (CFDA) number provided on the award document or provided by the Federal awarding agency.	NA	NA	NA	Value selected from searchable Catalog of Federal Domestic Assistance and validated against it.
33.4	Funding Agency Code	The four digit code for the federal agency responsible for funding/distributing funds to ARRA recipients.	NA	NA	NA	Value selected from searchable list of federal agency codes and validated against it.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	**Internal Recipient**	**Sub-Recipient**	**Vendor**	
33.5 Awarding Agency Code	The four digit code for the federal agency responsible for administering the award on behalf of the funding agency.	NA	NA	NA	Defaults to Funding Agency Code value. Value selected from searchable list of federal agency codes and validated against it.
33.6 Funding TAS	The Agency Treasury Account Symbol (TAS) that identifies the funding Program Source.	NA	NA	NA	Value selected from searchable OMB TAS list and validated against it.
33.7 Funding Distribution	All prime recipient awards are categorized into formula, demand or competitive awards, as defined below: 1) Formula - Funding is allocated by an established federal formula to States and localities. 2) Demand - Funding responds directly to demand from eligible individuals. The dollar amount Iowa receives will vary according to the number of people who qualify and receive the funding. 3) Competitive - Funding was allocated through competitive solicitations federally.	NA	NA	NA	This value can only be set and edited by the system admin.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.8 Award Type	This specifies the type of award. "G" = Grant, "C" = Contract, "L" = Loan, or "I" = Internal transfer. Other types of federal financial assistance not specifically identified above should be reported under the award type of Grant. Internal transfer is only applicable from any recipient to internal recipient.				This value can only be set by the recipient contact or alternate contact of the parent award.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.9 Award Amount	For grants, this is the total amount of dollars authorized in the award document. For loans, this is the face value of the loan. For contracts, this is the total amount obligated.	This should reflect the ARRA portion of the total amount authorized in grant award documents, total face value of a loan, or total amount obligated in a contract. For internal recipients, this is the ARRA portion of the amount appropriated, specified in an interagency agreement, or budgeted if reflecting a sub-unit of any recipient.			This value can only be set by the recipient contact or alternate contact of the parent award. Can only be $0 where Fixed Amount is "N." Updated to equal Total ARRA Disbursed on report where Fixed Amount is "N".

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.10 Fixed Amount	NA	NA	NA	This is a flag to Indicate whether or not the award amount is subject to change on a quarterly basis.	Default to “Yes.” This value can only be set by the recipient contact or alternate contact of the parent award.
33.11 Award Date	Enter the date of award as provided on the award documentation. For internal transfers, this could be the beginning of the fiscal year.				This value can only be set by the recipient contact or alternate contact of the parent award.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.12 Cancelled Date	Optional field documenting the date the award was cancelled or terminated without fulfilling contract, grant or loan conditions.				If a date is entered, then the next report should be marked as a final report - regardless of project status. This value can only be set by the recipient contact or alternate contact of the parent award.
33.13 Award Description	The title and a description of the overall purpose of the federal award received. For example, ''community development,'' ''comprehensive community mental health services to adults with a serious mental illness,'' etc.	NA	NA	NA	

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.14 Recipient Type	Selection of recipient type. "P" for prime recipient, an "I" for internal, an "S" for sub-recipient, or "V" for vendor. Recipient types, as defined below: 1) Prime recipients are non-Federal entities that receive Recovery Act funding as Federal awards in the form of grants, loans, or cooperative agreements directly from the Federal government. Only state agencies directly receiving the federal award should be denoted as prime recipients. 2) Internal recipients are either: state agencies who receive an award or transfer of funds from another state agency; or sub-units of other recipients done to facilitate management of ARRA funding or to reflect major programs or project types being covered by ARRA funding. Setting up internal recipients also allows organizations to separate expenses associated with administrative costs from those associated with sub-awards made to other organizations. 3) Sub-recipients are any non-state entities that expend Federal awards received from another entity to carry out the mission of the Federal program. Sub-recipients do not include individuals who are beneficiaries of Federal programs. 4) Vendors are dealers, distributors, merchants or other sellers providing goods or services that are required by the program, where goods and services are similar to those purchased by many other organizations, are provided within a competitive environment, and are ancillary to the federal program being implemented. Prime, Internal and Sub Recipients may all have vendors.				This value can only be set by the recipient contact or alternate contact of the parent award.
33.15 Workgroup	This field is used to broadly categorize grants into the following: Education, Health Care, Workforce, Transportation, Housing, Environment, Scientific Research, Energy and Public Safety.	NA	NA	NA	This value can only be set and edited by the system admin.
33.16 Recipient Name	The name of the organization receiving the award as listed on the contract, or grant or loan agreement.				

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.17 Women Business Enterprise	NA		A women business enterprise is a proprietorship, partnership, corporation or joint-venture that is 51% owned, operated and controlled by United States citizens that are female.		
33.18 Minority Business Enterprise	NA		A minority business enterprise is a proprietorship, partnership, corporation or joint-venture that is 51% owned, operated and controlled by United States citizens who are members of the following racial groups: African American, Asian American, Hispanic American and Native American.		

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.19 Recipient DUNS Number	The 9-digit Data Universal Numbering System (DUNS) number listed on the federal award document.	NA	The 9-digit Data Universal Numbering System (DUNS) number for the location receiving the award.		DUNS number must be provided for all Prime Recipient awards, and Sub-Recipient awards where the Award Amount is greater than or equal to $25,000.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.20 Recipient Contact (E-Mail)	E-mail address of the person responsible for the award's execution, or assigned responsibility for reporting on the award.				E-mail address is compared to each logged-in user for access control. This value can only be set by the recipient contact or alternate contact of the parent award.
33.21 Recipient Contact Phone	Phone number of the person responsible for the award's execution, or assigned responsibility for reporting on the award.				
33.22 Alternate Contact (E-Mail)	E-mail address of the person serving as back-up to the recipient contact. Prime recipients must provide a back-up person.				E-mail address is compared to each logged-in user for access control.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.23 Alternate Contact Phone	Phone number of the person serving as back-up to the recipient contact. Prime recipients must provide a back-up person.				
33.24 Agency	The I/3 department number where applicable.		NA	NA	Values must be valid I/3 department numbers.
33.25 Recipient Account Number	Optional field for reference purposes to help associate financial information to the specific award.				This value can only be set by the recipient contact or alternate contact of the parent award.
33.26 Recipient Address	Physical location of the recipient: street address, city, state and zip code. For sub-recipients requiring a DUNS number, the address listed should be consistent with the address provided on their DUNS record.				Compare against address validation service.
33.27 Recipient Congressional District	U.S. Congressional district derived from zip code provided in Recipient Address.				Provided through address validation service.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.28 Project Name	Short name for the project or program funded.				
33.29 Infrastructure	Indicates whether the primary intent of the federal award, as specified by the federal funding agency is to support infrastructure projects. "Y" = yes, funding is primarily for infrastructure projects; or "N" = no, funding is not for infrastructure projects.	NA	NA	NA	
33.30 Project Description	A brief narrative description of the program, project or service. The description should highlight the program, project or service's overall purpose and expected results. The purpose and results may be stated in broad terms if a program covers a broad array of projects. Significant or key deliverables and, if appropriate, units of measures should be outlined.			A description of the product and/or service provided by the vendor.	Narrative should contain more than 25 characters.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.31 Activity Code	The appropriate numeric or alphanumeric codes. The North American Industry Classification System (NAICS) six-digit codes are required for infrastructure projects (Drill down chart: http://www.census.gov/cgi-bin/sssd/naics/naicsrch?chart=2007). The core Nonprofit Program Classification (NPC) system codes are required for non-infrastructure projects (Definitions: http://nccsdataweb.urban.org/PubApps/nteeSearch.php?gQry=all-core&codeType=NPC). Classification is based on the type of project, activity or service provided, rather than the recipient of the funds.	NA	NA	NA	Value selected from searchable NAICS or NPC system codes lists. NAICS list is used when Infrastructure = "Y". Uploads validated against appropriate list.
33.32 Activity Description	Description derived from the Activity Code.	NA	NA	NA	
33.33 Project Grant Period Start	The date on which the awarded project, or groups of projects may begin, as set forth in the award document, or internal budget document where appropriate.				This value can only be set by the recipient contact or alternate contact of the parent award.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.34 Project Grant Period End	The date on which the awarded project, or groups of projects may end, as set forth in the award document or internal budget document where appropriate.				Date must be after the Project Grant Start Period. This value can only be set by the recipient contact or alternate contact of the parent award.
33.35 Reporting Frequency	Denotes whether reporting for the award will be required on a quarterly, monthly, only once, or on some custom frequency. "Only once" means that work related to the award was completed within the same quarter the award was executed, and the first status report will be the final report. Quarterly relates to quarters ending 6/30, 9/30, 12/31, or 3/31.				Value should default to quarterly. This value can only be set by the recipient contact or alternate contact of the parent award.

Data Elements		Definition by Recipient Type				Business Rules
		Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.36	Place of Performance (POP) Address	Physical location of the primary place of performance: street address, city, state and zip code. If the award covers a broader regional area, consider using the zip code of the city hall, county seat, school district office, or zip code associated with the recipient if recipient is within the same general geographic location. This is intended to represent the physical location where work is actually being done.				Zip code must be provided. POP City and State derived from zip code. POP country always equals "US".
33.37	POP Location Code	This is intended to represent the broader regional area where work is actually being done. Codes associated with various geographic regions including: cities, counties, Area Education Agencies, Local Education Agencies (school districts), Council of Governments, Regional Transit Authorities, Area Agencies on Aging, Community Action Agencies, Judicial Districts, Drug Task Forces, local Community Empowerment areas, and Resource Conservation & Development areas. Includes "State of Iowa" option if award is not focused on a specific geographic region. An "Out of State" option is also available if the actual work for the award is conducted outside of Iowa.				POP Location Code must be provided. Compare against location table to validate user input. Required for all entity types.
33.38	POP Location Title	Name of city, county or regional area derived from the POP Location Code.				
33.39	POP Location Type	Location type categorizing the various geographic regions outlined in POP Location Code. Derived from POP Location Code.				

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.40 Latitude	An optional field that provides the north/south coordinate of a point representing the Place of Performance. Should be entered in decimal degrees with + for North, and – for South. Values must be between -180 and 180.				Enforce decimal degrees formatting. Must be filled in if value is provided for longitude.
33.41 Longitude	An optional field that provides the east/west coordinate of a point representing the Place of Performance. Should be entered in decimal degrees with + for East, and – for West. Values must be between -180 and 180.				Enforce decimal degrees formatting. Must be filled in if value is provided for latitude.
33.42 POP Congressional District	U.S. Congressional district derived from zip code provided in POP Address.				Provided through address validation service.
33.43 Infrastructure Contact Name	Contact person familiar with the decision making process used to select projects funded with ARRA dollars.	NA	NA	NA	Required if Infrastructure = “Y”

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
33.44 Infrastructure Contact Organization	Name of contact's organization.	NA	NA	NA	Required if Infrastructure = "Y"
33.45 Infrastructure Contact E-mail	E-mail of listed contact.	NA	NA	NA	Required if Infrastructure = "Y"
33.46 Infrastructure Contact Phone	Phone number of the appropriate contact.	NA	NA	NA	Required if Infrastructure = "Y"
33.47 Infrastructure Contact Ext	Optional phone number extension of the appropriate contact.	NA	NA	NA	
33.48 Infrastructure Contact Address	Mailing address of the appropriate contact.	NA	NA	NA	Required if Infrastructure = "Y"
33.49 Infrastructure Rationale	Rationale for funding the infrastructure investment with funds made available under the Recovery Act. Explanation of how the infrastructure investment will contribute to one or more purposes of the Recovery Act.	NA	NA	NA	Required if Infrastructure = "Y"

34 Report Request Definitions & Business Rules

Report Request data elements are those data elements that require periodic updates (i.e. quarterly), and are completed by the awarding organization.

Key: Data element is system-generated

Data Elements		Definition by Recipient Type				Business Rules
		Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
34.1	Report ID	Unique identifier for a report record. Automatically assigned by the system.				
34.2	Award ID	See 33.1.				
34.3	Project Name	See 33.28.				
34.4	Recipient Name	See 33.16.				
34.5	Report Description	Description of the report, e.g., "3Q 2009 Reporting Cycle for Iowa Arts Jobs Preservation Grants", "Mid-Summer Status Report for Green Project Reserves", etc – as specified by the person initiating the report request. Description should be clear so that person responsible for reporting will know what it is for, as they may have multiple reports to complete.				
34.6	Create Date	Date the report request was created.				Date based on upload of report request file or submittal of a report request.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
34.7 Due Date	Date report is due for review and approval.				Due date must be earlier than due date for the parent award.
34.8 Reporting Period End Date	The person initiating the report indicates the end date of the reporting period (i.e. the date for financial transactions and Cumulative Hours Worked to be reported through). The frequency of required reporting is quarterly.				For quarterly reports, the following calendar quarter reporting period end dates shall be used: 6/30, 9/30, 12/31, or 3/31.
34.9 Approval Date	Date on which the report was approved by the person requesting the report.				A report may not be edited after this date, unless the report is unapproved.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
34.10 Total ARRA Disbursed	System will set to be equal to Total ARRA Received as reported by recipient.	Cumulative total payments, amounts of cash disbursed to the internal recipient, sub-recipient or vendor as of the reporting period end date. This value is treated as the target amount for the report.			Value should not exceed the Award Amount. Flag value if less than Total ARRA Disbursed in most recent approved report for the award. If Reporting Frequency is "Only Once," then Award Amount should be used as the default value.

35 Report Definitions & Business Rules

Reporting data elements are those data elements that require periodic updates (i.e. quarterly), are completed by the recipient organization.

Key: Data element is system-generated | Data element is system-generated, but may require user association. | Data element is for prime recipients and internal recipients who are state agencies.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Recipient Reports Tab					
35.1 Award ID	See 33.1.				
35.2 Report ID	See 34.1.				
35.3 Report Description	See 34.5.				
35.4 Reporting Period End Date	See 34.8.				
35.5 Due Date	See 34.7.				

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
35.6 Final Report	Final Project Report Indicator (i.e. no future reports) – a "yes" or "no" as specified by the person submitting the report. Reports may be marked as a final report when all ARRA funds have been expended, and/or all work related to the award is deemed complete by the awarding agency or organization; or the award has been terminated or cancelled. ***When value is "yes" award is removed from reporting dashboard in future reporting cycles.***				When value is "yes", subsequent reports cannot be filed. All sub-awards underneath the award have already submitted a final report either in the current report period or a prior report period If Reporting Frequency is "Only Once" for the award, value should be "yes."

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
35.7 Project Status	Overall percentage of project completion (0-100%), in whole numbers, as specified by the person completing the report. Where appropriate, the percentage should be based on defined project milestones.				The project status should be flagged if project completion is not within +/- 10% of the ARRA expenditures expressed as a percentage of the award amount. The project status should 100 If Final Report = Y.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
35.8 Project Status Description	Narrative description of significant activities funded, services performed and/or deliverables achieved during the reporting period. This will supplement narrative contained in the Project Description. This field is intended to highlight actual deliverables completed, and measured results achieved. This should provide a summary of all sub-awards. The description is intended to provide meaning to the percentage of project completion as reported in the Project Status. Please be concise, use limited technical jargon, and avoid referencing other documents.	Narrative description of significant activities funded, services performed and/or deliverables achieved during the reporting period. Information contained here should be specific, and contain measured results achieved where applicable. This description is intended to provide meaning to the percentage of project completion as reported in the Project Status. It should provide a clear understanding of how the recipient used the funding. Please be concise, use limited technical jargon, and avoid referencing other documents.		Same as sub-recipient, not required when Reporting Frequency is “Only Once”	Narrative should be provided in Project Status Description if Project Status is greater than 5. If Project Status Description is required, it should contain more than 25 characters. Not required when Recipient Type = V and Reporting Frequency is “Only Once.”
35.9 Total ARRA Disbursed	See 34.10.				

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
35.10 Total ARRA Received	The amount of Recovery Act funds received through draw-down, reimbursement, or invoice. This is the cumulative value from the beginning of the award.	The amount received through internal transfer or invoice by the end of the reporting period end date. This is the cumulative value from the beginning of the award.	The amount received through reimbursement or invoice by the end of the reporting period end date. This is the cumulative value from the beginning of the award.	NA	Value should not exceed award amount. Flag value if not equal to Total ARRA Disbursed or is less than Total ARRA Received in most recent approved report for the award.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
35.11 Total ARRA Expenditure	The total expenditures made by the recipient during the implementation of the grant project through the reporting period end date, including payments to sub-recipients and vendors, and reported expenditures of internal recipients. Transfers to internal recipients (i.e. transfers from one state agency to another) should not be included in the total, as the money has not left the recipient organization (i.e. the Executive Branch of the State of Iowa). This is the cumulative value from the beginning of the award.		The total expenditure made by the recipient by the reporting period end date. This is the cumulative value from the beginning of the award.	NA	Value should not exceed award amount. Value should be greater than the sum of Total Amount Individual Sub-awards, Total Amount Small Vendor, and Total Amount Small Sub-awards. Flag value if less than Total ARRA Expenditure in most recent approved report for the award, or less than sum of Total ARRA Disbursed to immediate sub-awards Flag value if Final Report = Y, and Total ARRA Expenditure does not equal Total ARRA Received.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
35.12 Officer Reporting Required	Indicator for required officer reporting. If yes, then officer data is required for this report. Per OMB guidance to answer yes the following conditions were met: (i) In the recipient's preceding fiscal year, the recipient received 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and sub-grants) and cooperative agreements; and $25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and sub-grants) and cooperative agreements; and (ii) The public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.			NA	
35.13 Total Number Individual Sub-awards	Total Number of Sub-awards to individuals. This does not include reimbursements made to employees of recipient organization. Required only for internal recipients who are state agencies. This value is cumulative from the beginning of the award.		NA	NA	Flag if value is less than previous reported quarter.
35.14 Total Amount Individual Sub-awards	Total Amount of Sub-awards to individuals. This does not include reimbursements made to employees of recipient organization. Required only for internal recipients who are state agencies. This value is cumulative from the beginning of the award.		NA	NA	Value should be less than both Award Amount and Total ARRA Expenditure. Flag if value is less than previous reported quarter.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
35.15 Total Number Small Vendor	Total Number of vendors less than $25,000/award. Required only for internal recipients who are state agencies. This value is cumulative from the beginning of the award.		NA	NA	Flag if value is less than previous reported quarter.
35.16 Total Amount Small Vendor	Total amount to vendors less than $25,000/award. Required only for internal recipients who are state agencies. This value is cumulative from the beginning of the award.		NA	NA	Value should be less than both Award Amount and Total ARRA Expenditure. Flag if value is less than previous quarter.
35.17 Total Number Small Sub-awards	Total number of sub-awards to ENTITIES (sub-recipient organizations) less than $25,000/award. Required only for internal recipients who are state agencies. This value is cumulative from the beginning of the award.		NA	NA	Flag if value is less than previous quarter.
35.18 Total Amount Small Sub-awards	Total amount of sub-awards to ENTITIES (sub-recipient organizations) less than $25,000/award. Required only for internal recipients who are state agencies. This value is cumulative from the beginning of the award.		NA	NA	Value should be less than both Award Amount and Total ARRA Expenditure. Flag if value is less than previous quarter.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
Entity Officers Tab (Highly-Compensated Officers)					
35.19 Award ID	Identifier for the award. Automatically assigned by the system. User may be required in Excel template to associate the Award ID with each entity officer record (five rows total) as the Award ID is only provided on one row.				
35.20 Report ID	Unique identifier for a report record. Automatically assigned by the system. User may be required in Excel template to associate the Report ID with each entity officer record (five rows total) as Report ID is only provided on one row.				
35.21 Report Description	Report description as provided in the report requests.				
35.22 Officer Name	Name of one of the five most highly compensated officers of the recipient for the calendar year in which the award is awarded.			NA	Only required if Officer Reporting Required is yes.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
35.23 Officer Compensation	Total compensation of the highly compensated officers listed. ''Total compensation,'' as defined by OMB, means the cash and noncash dollar value earned by the executive during the sub recipient's past fiscal year of the following (for more information see 17 CFR 229.402(c)(2)): (i) Salary and bonus. (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R. (iii) Earnings for services under nonequity incentive plans. Does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. (v) Above-market earnings on deferred compensation which are not tax-qualified. (vi) Other compensation. For example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the value for the executive exceeds $10,000.			NA	Only required if Officer Reporting Required is yes.
Job Creation Items Tab (Job Creation and Retention Data for the Report)					
35.24 Award ID	Identifier for the award. Automatically assigned by the system. User may be required in Excel template to associate the Award ID if multiple SOC minor groups or job creation records are associated with the award.				

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
35.25 Report ID	Unique identifier for a report record. Automatically assigned by the system. User may be required in Excel template to associate the Report ID if multiple SOC minor groups or job creation records are associated with the award.				
35.26 Report Description	Report description as provided in the report requests.				
35.27 SOC Minor	Describes the type of occupations funded with ARRA, and allows individuals with similar occupations to be grouped into the same job information record. 2010 Standard Occupational Classification (SOC) information can be found on our reference data page (you will need to be logged in to access it.). You can use the keyword search to find the most appropriate occupational group, make sure you use the second number provided (e.g. 25-1000).				Value validated against a list of SOC Minor Groups.
35.28 Description	For the reporter's use to describe jobs or positions within their organization included in SOC minor group, such as job title, classification type or function. Reporters should not use individual employee names. This information is not submitted to the Federal government, and is for reference purposes only.				
35.29 Work Start Date	Establishes the beginning of the date range for which reported hours worked is based. The date entered should be: (i) The start of the first pay period for which the reported hours worked were based – provided that first pay period ended within the reported quarter; (ii) The first day of the reported quarter (e.g. 4/1, 7/1, 10/1, 1/1); or (iii) The actual date work began if it occurred after the start of the reported quarter.				May not be more than 14 days earlier than the Reporting Period End Date of the previous report cycle.

Data Elements	Definition by Recipient Type				Business Rules
	Prime Recipient	Internal Recipient	Sub-Recipient	Vendor	
35.30 Work End Date	Establishes the end of the date range for which reported hours worked is based. The date entered should be: (i) The end of the last pay period for which the reported hours worked were based – provided that the last pay period ended prior to the report period end date; (ii) The report period end date (e.g. 3/31, 6/30, 9/30, 12/31); or (iii) The actual date work ended if it concluded before the report period end date.				May not be later than the Reporting Period End Date or the Project Grant Period End Date, whichever is earlier.
35.31 Qtrly Hours Worked	Hours worked are those where: (i) The work fell within the reported quarter (i.e. April 1, 2010 – June 30, 2010), or within pay periods ending in the reported quarter; (ii) Wages and salaries for the work hours were funded with Recovery Act funds, or initially funded with non-Recovery Act funds, but will be reimbursed by the Recovery Act funding; and (iii) The work was carried out by employees or contracted employees of the recipient organization.				May not enter hours worked if Total ARRA Expenditure is zero.