

**3.4. ARRA Checklists & Tutorials**  
**Tuesday, December 15, 2009**

Good Afternoon,

Effective immediately, agencies should use the Program-CF Value Change Request Form ([available here](#)) when requesting new program codes for American Recovery and Reinvestment Act reporting. Steps for requesting program codes are below.

1. Determine appropriate coding structure with your OBM analyst;
2. Complete Program-CF Value Change Request Form and email it to [OBM.CHARTFIELD@OBM.STATE.OH.US](mailto:OBM.CHARTFIELD@OBM.STATE.OH.US) and copy [ARRA.Support@obm.state.oh.us](mailto:ARRA.Support@obm.state.oh.us);
3. You will receive confirmation from OAKS and your analyst.

Once you receive your new program codes, you will continue to use them for all associated ARRA revenue and expenditures.

Thanks for your ongoing efforts.

The ARRA Reporting Team

Attachments: List of Business Rules for Subs.xlsx  
Non-Financial 1512 Reporting Quicksteps.docx  
Vendor\_sub Checklist.docx  
XML Validation Tutorial.docx  
Financial Reporting Quicksteps.docx

<b>Prime Award Number</b>	
<b>CFDA Number</b>	
<b>OAKS Vendor ID</b>	This must be 10 digits
<b>Sub Recipient DUNS Number</b>	This must be 9 digits. If the lead number is a zero it will have an apostrophe on the front.
<b>Subaward Number</b>	The program code should have the following format: GRANT/PROJECT NUMBER_PROGRAM_VENDOR. Check to see if the vendor matches the vendor number in Column C. The project/grant code can be missing, but the program code and the vendor code must be there.
<b>Sub recipient Legal Name</b>	Must be 55 characters or less. To check this, insert a new column and type to function =len(), selecting the field for legal name. Use the filter function to identify any rows whose name exceeds the 55 character limit. Abbreviate if necessary.
<b>Sub recipient City</b>	
<b>Sub recipient Type</b>	
<b>Sub recipient Congressional District</b>	This must be two digits, from 01 to 18.
<b>Amount of Subaward</b>	
<b>Subaward Date</b>	
<b>Subaward Project/Grant Period</b>	This must be a range of the form 01/01/2009-01/01/2010
<b>Sub recipient Primary Place of Performance - Street Address 1</b>	
<b>Sub recipient Primary Place of Performance - Street Address 2</b>	
<b>Sub recipient Place of Performance - State</b>	This must be all caps: OH. It will not read Ohio or Oh
<b>Sub recipient Place of Performance – Country</b>	This must be US. NOT United States or USA. No periods
<b>Sub recipient Place of Performance – Zip Code + 4</b>	No dashes. Use the replace all to remove them. If there are only 5 digits, contact the agency. We must have 9 digits.
<b>Sub-Recipient Place of Performance County</b>	This must have the word County following the name. Use the function =proper(concatenate(field," County")). Make sure there is a space between the quote and the word County.
<b>Sub recipient Place of Performance - City</b>	
<b>Sub recipient Place of Performance - Congressional District</b>	This must be a two digit code.

Sub Recipient indication of reporting applicability	Must be filled out. Replace all caps FALSE for N or No Replace all caps TRUE for Y or Yes
Sub Recipient Highly Compensated Name (1) Name	If "reporting applicability" in row 21 is FALSE, this field will be blank.
Sub Recipient Highly Compensated Compensation (1) Total Comp	If "reporting applicability" in row 21 is FALSE, this field will be blank.
Sub Recipient Highly Compensated Name (2) Name	If "reporting applicability" in row 21 is FALSE, this field will be blank.
Sub Recipient Highly Compensated Compensation (2) Total Comp	If "reporting applicability" in row 21 is FALSE, this field will be blank.
Sub Recipient Highly Compensated Name (3) Name	If "reporting applicability" in row 21 is FALSE, this field will be blank.
Sub Recipient Highly Compensated Compensation (3) Total Comp	If "reporting applicability" in row 21 is FALSE, this field will be blank.
Sub Recipient Highly Compensated Name (4) Name	If "reporting applicability" in row 21 is FALSE, this field will be blank.
Sub Recipient Highly Compensated Compensation (4) Total Comp	If "reporting applicability" in row 21 is FALSE, this field will be blank.
Sub Recipient Highly Compensated Name (5) Name	If "reporting applicability" in row 21 is FALSE, this field will be blank.
Sub Recipient Highly Compensated Compensation (5) Total Comp	If "reporting applicability" in row 21 is FALSE, this field will be blank.
Buy American Provision	Must be filled out. Replace all caps FALSE for N or No Replace all caps TRUE for Y or Yes
Buy American Provision Comments	If the preceding column is TRUE, this must be filled out, otherwise it will be blank.
Prevailing Wage	Must be filled out. Replace all caps FALSE for N or No Replace all caps TRUE for Y or Yes
Prevailing Wage Comments	If the preceding column is TRUE, this must be filled out, otherwise it will be blank.
County	This must have the word County following the name. Use the function =proper(concatenate(field," County")). Make sure there is a space between the quote and the word County.
State	This must be all caps: OH. It will not read Ohio or Oh



## Non-Financial 1512 Prime Reporting Quicksteps

The Prime Recipient data provided to FederalReporting.gov is the sum of all ARRA activity occurring under a specific award to a state agency. It is the State's responsibility, and specifically OBM as the central reporting agency, to collect this and transmit the report to the federal government as provided by Section 1512 of the American Recovery & Reinvestment Act of 2009.

To ensure that the reports can be properly transmitted to the federal system via FederalReporting.gov data must be transmitted in a specific format and follow a number of business rules. As a central reporting coordinator, we are also reviewing specific elements of the ARRA reports to ensure that the information seem sensible.

To perform your high-level review, complete each of the following steps to before the final report transmission.

- Compare the 1512 Program data with the agency award letter uploaded to the ARRA Hub. Ensure the following fields are the same in both locations.
  - Award number
  - Recipient DUNS number
  - CFDA number
  - Award date
- Check to see if the Congressional District is correct (most state agencies will be in the 15<sup>th</sup> Congressional District) and that the district listed is a valid district (Ohio only has districts 1-18).
- Find the total number of jobs created or retained and divide this number by the total expenditures for the program. Do the expenditures per job appear to be a living wage?
- Check the zip code listed in the Prime Recipient table. Is the zip code 9 digits long with no hyphen? Are the final 4 numbers coherent (not 0000)?
- Are the activity codes correct?  
Verify the entry is appropriate:
  - Infrastructure projects should have [NAICS codes](#) (usually a 2-6 digit numeric code).
  - Non-Infrastructure projects should have [NTEE-NPC codes](#) (usually a code starting with a letter followed by numbers).
- Compare the "Total Federal Amount of ARRA Expenditure" field in the "Prime Recipient" report with the Life Time Total in the "GL Information by CFDA" report. Ensure that both totals are the same.



## Sub-recipient and Vendor Quicksteps

Prime recipients are required to report certain information about the sub-recipients and vendors in their project. They upload spreadsheets into the Hub, which is later integrated with OAKS AP data coded to the specific CFDA through an OAKS program code. These quicksteps will help you to identify errors that occur when there are omissions, duplicates, general typos and/or business rule violations in the Sub-recipient and vendor database.

Setting up the reports for comparison (See [PowerPoint](#) for screenshots to help you navigate)

- Some CFDA's have both vendors and sub-recipients, some have one or the other, and some will have neither.
- Open both the "sub recipient/vendor report" under the General Reports and the "SharePoint export report" (see the Power Point for detailed instructions to download these reports)
- Do this for both the Sub reports and the Vendor reports
- Make sure the SharePoint export report is filtered by the CFDA number for which you ran the "sub recipient report"
- Sort by the "Sub-award number" field, this is the unique field for each row, then by amount

### Check List

- If the Financials from the GL do not match the financials from the AP, compare the two reports to determine if a sub/vendor has been omitted (See the other Financials Quickstep to determine if these do not match)
- Check for duplicates in the Sub-award number field.
  - Use conditional formatting (in Excel, under the Home < Styles < Highlight Cell Rules < Duplicate)
- Spot check the sub-award numbers to see if they are consistent  
The sub award number format: **GRANT/PROJECT NUMBER** **PROGRAM** **VENDOR**  
**GRANT/PROJECT NUMBER** Some may have none, some may be long  
**PROGRAM** 5 digits (usually 4 numeric 1 alpha)  
**VENDOR** 10 numeric digits

### Making Corrections

- For minor errors, business rules, etc. make the corrections yourself and make a note for your own reference as needed
- For other more substantial errors, i.e duplicate vendor information or vendors/subs with \$0.00 expenditures, please inform the agency



- Do they have an explanation or what the corrections should be?
  - Ask them to make the corrections in the Hub where applicable and to let you know when they have been completed
- If you would like to make corrections on the agency's behalf, follow the steps included below.
- Keep a list of any substantial corrections you make for your own reference
- If both you and the agency are unsure of what the correction should be, contact the ARRA reporting team

#### Technical instructions: Making corrections

- [Open the Access database:](#)
- Enable the content (below the main toolbar there is a tab that Says: Security Warning...Options)
- For Sub-recipients open the table: ARRA 1512 Section 3
- For Vendors open the table called Vendors
- You may make modifications directly in the Access Table
- For deletions, select the entire row and right click for the delete option
- If you make a deletion and realize later that it is was not needed. You CAN undo the action.
  - Go to the recycle bin in the SharePoint hub and restore the selection

# XML Validation Tutorial

## Getting Started

1. Be sure to register with [FederalReporting.gov](http://FederalReporting.gov). The validation tool requires an email address and a valid DUNS #. You should use your email address in order to receive the correct notifications. The state's DUNS # is 809031776. If you have already registered skip to Step 2.

Friday, December 11, 2009 Text **A** **A** **A**

# FederalReporting.gov

Home | About | Downloads | FAQ | Help

### Log In

User ID

Password

[I forgot my password](#)

### Not Registered?

### Download Templates

### LIVE HELP

Click Here To Chat

### Messages

- **FederalReporting.gov Webinars now available on YouTube.** Go to the Webinars section on the Downloads page of FederalReporting.gov for links to these instructional videos.
- **FederalReporting.gov Recipient Reporting Data Dictionary and System User Guide now available on Downloads Page.** Go to the Downloads page to access these important documents.
- **FederalReporting.gov Service Desk is ready to help with registration or reporting questions.** During January, the Service Desk will be available from 7 a.m. through 9 p.m. (ET) Monday through Friday. The Service Desk will be open on Saturday January 2 and 9, 2010 from 9 a.m. through 5 p.m. to provide user support.

[Top 10 Tips for FederalReporting.gov](#)

**Home** | For Agencies | For Recipients

### Reporting

The next Reporting Period begins on January 1, 2010.

Registration for all Federal Agencies and Prime Recipients and Sub Recipients is ongoing. You must register to submit or review a report.

If you are registering as a Federal Agency and have questions, click on the "For Agencies" tab.

If you are a recipient and have questions about reporting, click on the "For Recipients" tab.

Accessibility | Copyright Information | Privacy Policy

To register, follow the “Register Now” link and input your information and select your security questions and answers. Upon completion, FederalReporting.gov will send you a temporary password that you will use to activate you account and create your own unique password.

2. Once you registered with FederalReporting.gov login from the Homepage and accept the Terms and Conditions.



The screenshot shows the FederalReporting.gov website interface. At the top left is the site logo, a circular emblem with a scale of justice and a sword. To its right is the text "FederalReporting.gov" in a blue serif font. Below the logo and text is a horizontal navigation bar with links for "Home", "About", "Downloads", "FAQ", and "Help", each separated by a vertical line. The main content area is titled "FederalReporting.gov Terms and Conditions" in a bold black font. Below this title is a red banner with the text "FederalReporting.gov Terms and Conditions" in white. The main text begins with a warning: "LOG OFF IMMEDIATELY if you do not consent to the conditions stated in the following notice. Otherwise click 'Accept' to accept the terms and proceed." This is followed by three sections: "I. Usage Agreement", "II. Privacy Act Routine Uses (5 USC § 522a as amended)", and "III. Disclosure". Each section contains detailed text regarding system usage, data collection, and sharing. At the bottom of the text area are two buttons: "Accept" and "Decline".

**FederalReporting.gov Terms and Conditions**

**LOG OFF IMMEDIATELY** if you do not consent to the conditions stated in the following notice. Otherwise click "Accept" to accept the terms and proceed.

**I. Usage Agreement**

This is a Federal computer system and is the property of the United States Government. It is for authorized use only. Users (authorized or unauthorized) have no explicit or implicit expectation of privacy in anything viewed, created, downloaded, or stored on this system, including e-mail, Internet, and Intranet use. Any or all uses of this system (including all peripheral devices and output media) and all files on this system may be intercepted, monitored, read, captured, recorded, disclosed, copied, audited, and/or inspected by authorized FederalReporting.gov personnel, the Office of Inspector General (OIG), and/or other law enforcement personnel, as well as authorized officials of other agencies. Access or use of this computer by any person, whether authorized or unauthorized, constitutes consent to such interception, monitoring, reading, capturing, recording, disclosure, copying, auditing, and/or inspection at the discretion of authorized Federal Reporting Personnel, law enforcement personnel (including the OIG), and/or authorized officials of other agencies. Unauthorized use of this system is prohibited and may constitute a violation of 18 U.S.C. 1030 or other Federal laws and regulations and may result in criminal, civil, and/or administrative action. By continuing to use this system, you indicate your awareness of, and consent to, these terms and conditions and acknowledge that there is no reasonable expectation of privacy in the access or use of this computer system.

**II. Privacy Act Routine Uses (5 USC § 522a as amended)**

Vendor Information: Vendor-provided information, including email addresses and company information, will be used to establish user accounts for submitting subcontracting reports, and to forward items of interest to the email address provided. Vendor-provided information may also be used by Federal contracting officials to assist in the resolution of any errors and data discrepancies. Federal Users: Federal user information, including name, telephone number and email address, is used by this system to set up profiles of user accounts for Federal procurement officials authorized to manage, administer and/or perform Federal Reporting Personnel activities. FederalReporting.gov user accounts support user authentication and access controls for FederalReporting.gov.

**III. Disclosure**

Disclosure: Collected information on individuals may be shared and protected as necessary for authorized law enforcement, homeland security and national security activities. Except for such authorized activities, we do not share any information we receive with any outside parties.

3. By now you should have received an XML from your agency from their Non-Financial / Sub-Recipient & Vendor Validation process. The first step in your review process is to validate the file on the FederalReporting.gov website. This process will determine if the file format submitted by the agencies adheres to the federal XML business rules standard. To begin this validation, download the XML files emailed to you by the agency and save it on your computer. Next click on the “Validate File” link as highlighted below.

 **FederalReporting.gov**

Home | About | Downloads | FAQ | Help

Hello, Nikolei Kaplanov  
(Recipient User)

[You have 267 unread messages.](#)

**Logoff**

**Current Reporting Cycle**  
Quarterly Reports Published -  
Recipient Reports published on  
Recovery.gov.

Reports cannot be submitted  
until the beginning of the next  
quarter, however users can  
validate files to begin preparing  
for the next round of reporting.

**Validate File**

**Quick Links**  
**My Reports**

- [Prime Recipient](#)
- [Sub Recipient](#)

**Administration**

- [My Account](#)
- [My Work Queue](#)
- [Request FRPIN](#)
- [My DUNS Extract](#)

**Messages**

- **FederalReporting.gov Webinars now available on YouTube.** Go to the Webinars section on the Downloads page of FederalReporting.gov for links to these instructional videos.
- **FederalReporting.gov Recipient Reporting Data Dictionary and System User Guide now available on Downloads Page.** Go to the Downloads page to access these important documents.
- **FederalReporting.gov Service Desk is ready to help with registration or reporting questions.** During January, the Service Desk will be available from 7 a.m. through 9 p.m. (ET) Monday through Friday. The Service Desk will be open on Saturday January 2 and 9, 2010 from 9 a.m. through 5 p.m. to provide user support.

[Top 10 Tips for FederalReporting.gov](#)

**FederalReporting.gov Reporting**

**Welcome to FederalReporting.gov**

The next reporting period begins January 1, 2010.

During this time, Prime Recipients of awards from programs subject to Section 1512 of the Recovery Act will submit reports. Prime recipients may choose to delegate certain reporting requirements to Sub Recipients.

Awarding Federal Agencies will view and comment on reports only. Federal Agency users will not submit reporting data.

**If you are a Federal Agency User,** you will be able to view and comment on reports for your agency. Federal Agency Users can view reports once they are submitted as Initial Submission. Deadline for Initial Submission is the 10th day of the reporting period. The view and comment period ends the end of the 29th day of the reporting period.

**If you are a Prime Recipient User,** you will need the following to report:

- Awarding Agency Name
- Award number (case and character sensitive)
- Your DUNS number (as shown on your award)
- The FRPIN for that DUNS Number
- Applicable data relative to your federally awarded contract, grant, or loan as detailed in the Recipient Reporting Data Model. (The most current version of the Recipient Reporting Data Model can be

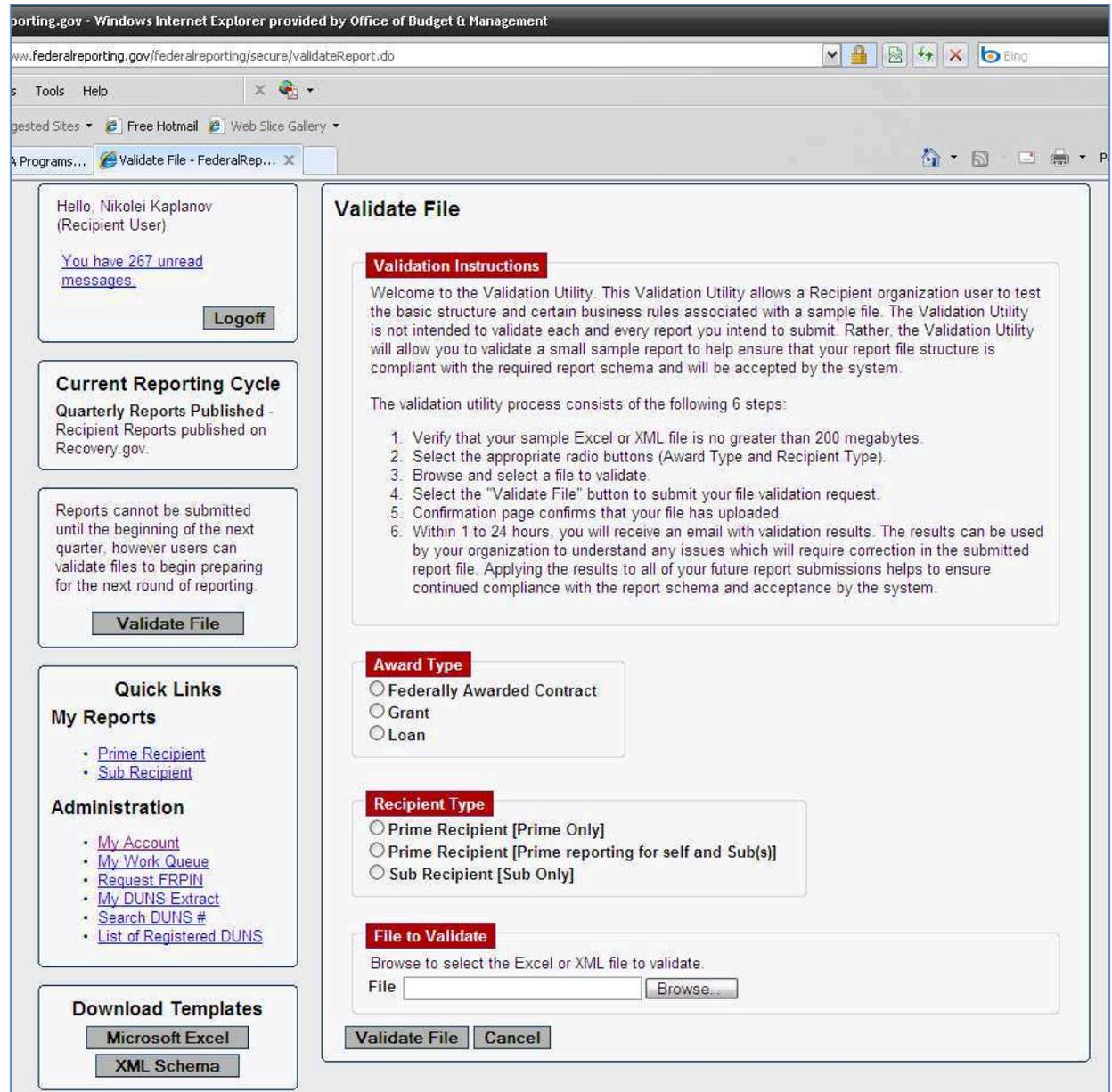
4. On the Validate File page there are three data entry points necessary for the file to be validated.

The **Award Type** for nearly all files reviewed will be “Grant.” If you specifically have another award type, you may indicate as such.

The **Recipient Type** is usually one of two options in Ohio’s case. Select either “Prime Recipient [Prime Only]” or “Prime Recipient [Prime reporting for self and Sub(s)].” If one option does not work, try the other option.

The **File to Validate** is the file received from the agency as part its validation. Select the “Browse” button to locate the file on your computer.

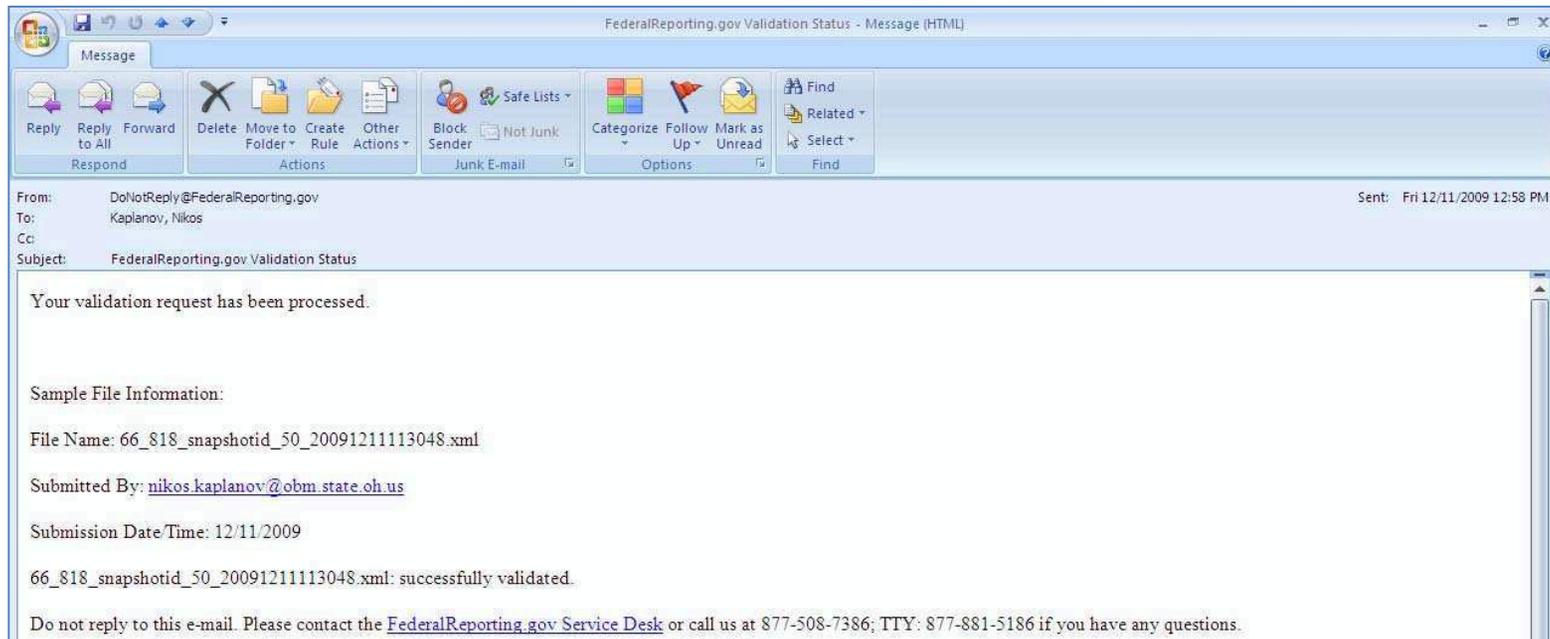
5. Once you have completed this process, click on the “Validate File” link to have FederalReporting.gov review the business rules for the XML report.



- 6. Once you successfully uploaded your report, you should see the [Validation Request Submitted Successfully](#) page. FederalReporting.gov will quickly review the uploaded report to check for any business rule errors.



- 7. Upon completion, you should receive an email indicating the Validation Status of your submitted report. If the report details any errors, continue on to Step 8. If the report has been successfully validated, please convey this information to the agency and work with them on any changes they make before the end of the reporting period.



8. If there are errors in the XML Validation, it is your responsibility to work with the agency to make corrections. Errors in the validation will prevent an entire report from being submitted.

There are two types of errors that you may encounter - agency input errors or ARRA Hub translation errors. Use the following steps to determine which error you might encounter.

- a. Agency input error –If the data in the ARRA Hub is the same as the error field then the agency has entered incorrect data or data in an improper format. Please check the Data Dictionary and Federal Award Letter for the report to determine the proper information.
  - b. ARRA Hub translation error – If the data in the ARRA Hub is different that the error in the error identified in the Validation Status email, then the error is probably a result of an XML translation issue. This is where the information is correct in the Hub, but the XML file is transmitting a different record. Please work with Derek, Nikos or Adam to determine the problem and make a system correction.
9. Once you have determined the errors or lack thereof, please alert the agency.
    - a. For reports without errors you will need to let the agency know that it passed the business rule validation but any modifications to the Prime Recipient, Sub-Recipient, or Vendor tables could cause a business rule error.
    - b. For reports with errors, you will need to either work with the agency or internally (depending on the error type) to make corrections and have the agency resubmit a new XML validation file until there are no errors identified from the FederalReporting.gov portal.



## Financial Reporting Quicksteps

The Financial Reporting data is the culmination of all of the revenue and spending data by program submitted to FederalReporting.gov. It is the State's responsibility, and specifically OBM as the central reporting agency, to collect this and transmit the report to the federal government as provided by Section 1512 of the American Recovery & Reinvestment Act of 2009.

To validate the financial information for each ARRA reporting period, begin by running the following reports:

1. Run OAKS Query  
In OAKS Fin navigate to the Reporting Tool > Query > [Query Viewer](#) and search for:
  - ✓ "DB\_STIMEXP\_PUB" for the stimulus expenditures report; and
  - ✓ "DB\_STIMREV\_PUB" for the stimulus revenue report.Filter the reports for your respective ARRA programs.
2. In the ARRA Hub, follow the link *OAKS Financial Reports for CFDA*: in the "OAKS Financial Data (URL)" section and run the following reports.
  - ✓ "GL Information by CFDA"
  - ✓ "OAKS Vendor List by CFDA" *CSV extract*
  - ✓ "Sub Recipient Report" *CSV extract*
  - ✓ "Vendor Report" *CSV extract*

To perform your financial review, complete each of the following steps to before the final report transmission.

- Compare the "GL Information by CFDA" report with the "DB\_STIMEXP\_PUB" and "DB\_STIMREV\_PUB" reports for the ARRA programs. Are the total revenues and expenditures the same for each report?
- Calculate the Total Payment Amount from the "Vendor Report" *CSV extract*. Calculate the Total Sub Award Funds Disbursed from the "Sub Recipient Report" *CSV extract*. Does the sum of these two numbers add up to the total expenditures in the "GL Information by CFDA" report?
- If not, is the difference accounted for by the administrative expenses for the program?

**Note:** If there is not sufficient administrative costs to cover the differing amounts, there is probably a sub-recipient or vendor that is not accurately registered or an improperly coded expenditure.

- Review the "OAKS Vendor List by CFDA" *CSV extract* and compare it with the "Sub Recipient Report" *CSV extract* and the "Vendor Report" *CSV extract*. Do all of the



vendors in the “OAKS Vendor List by CFDA” appear on either one or the other *CSV extracts*?

- Does the Grant Total of the “OAKS Vendor List by CFDA” equal the sum of the Total Payment Amount from the “Vendor Report” *CSV extract* plus the Total Sub Award Funds Disbursed from the “Sub Recipient Report” *CSV extract*? **If not, that means there is something missing.**