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 and copy 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

Prime Award Number	
CFDA Number	
OAKS Vendor ID	This must be 10 digits
Sub Recipient DUNS Number	This must be 9 digits. If the lead number is a zero is will have an apostrophe on the front.
Subaward Number	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.
Sub recipient Legal Name	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.
Sub recipient City	
Sub recipient Type	
Sub recipient Congressional District	This must be two digits, from 01 to 18.
Amount of Subaward	
Subaward Date	
Subaward Project/Grant Period	This must be a range of the form 01/01/2009-01/01/2010
Sub recipient Primary Place of Performance - Street Address 1	
Sub recipient Primary Place of Performance - Street Address 2	
Sub recipient Place of Performance - State	This must be all caps: OH. It will not read Ohio or Oh
Sub recipient Place of Performance – Country	This must be US. NOT United States or USA. No periods
Sub recipient Place of Performance – Zip Code + 4	No dashes. Use the replace all to remove them. If there are only 5 digits, contact the agency. We must have 9 digits.
Sub-Recipient Place of Performance 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.
Sub recipient Place of Performance - City	
Sub recipient Place of Performance - Congressional District	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 15th 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

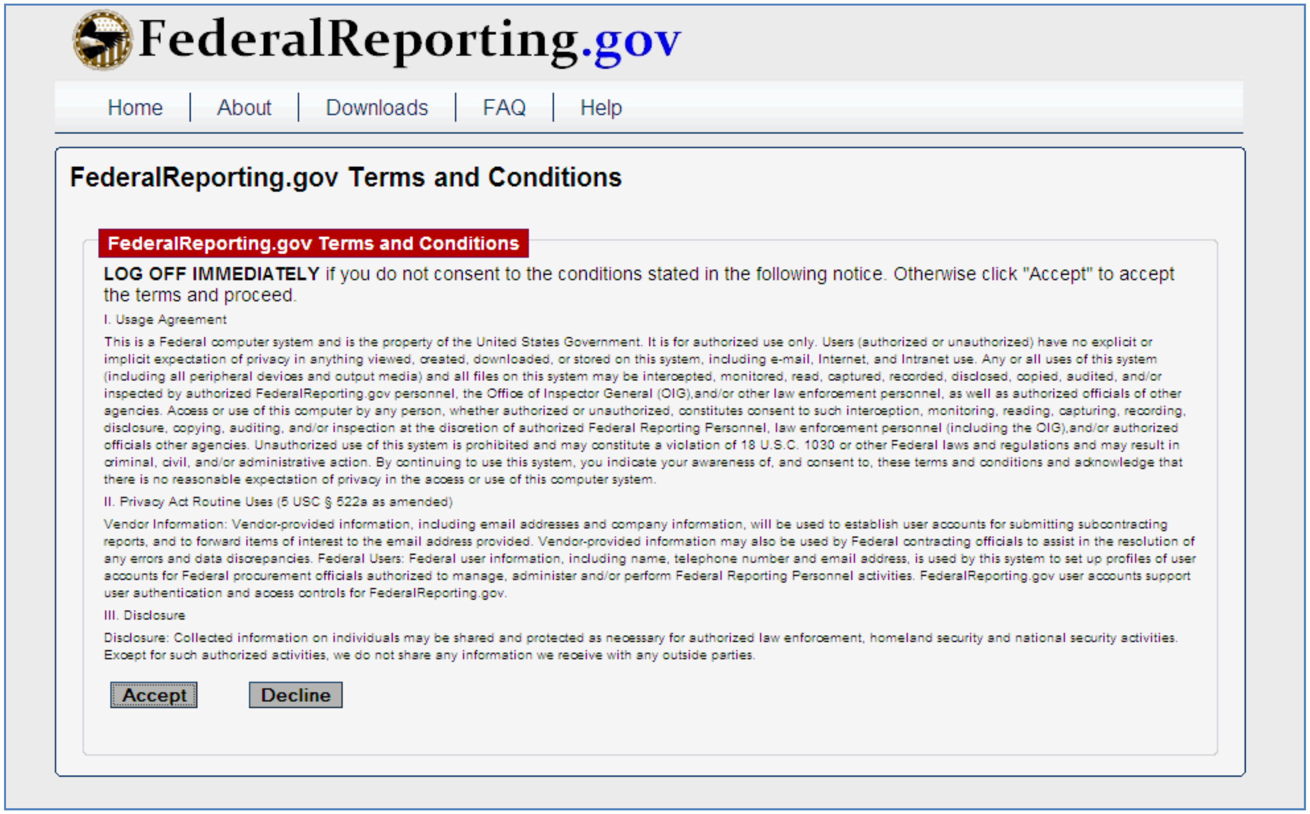
XML Validation Tutorial

Getting Started

1. Be sure to register with FederalReporting.gov. 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.

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.



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.

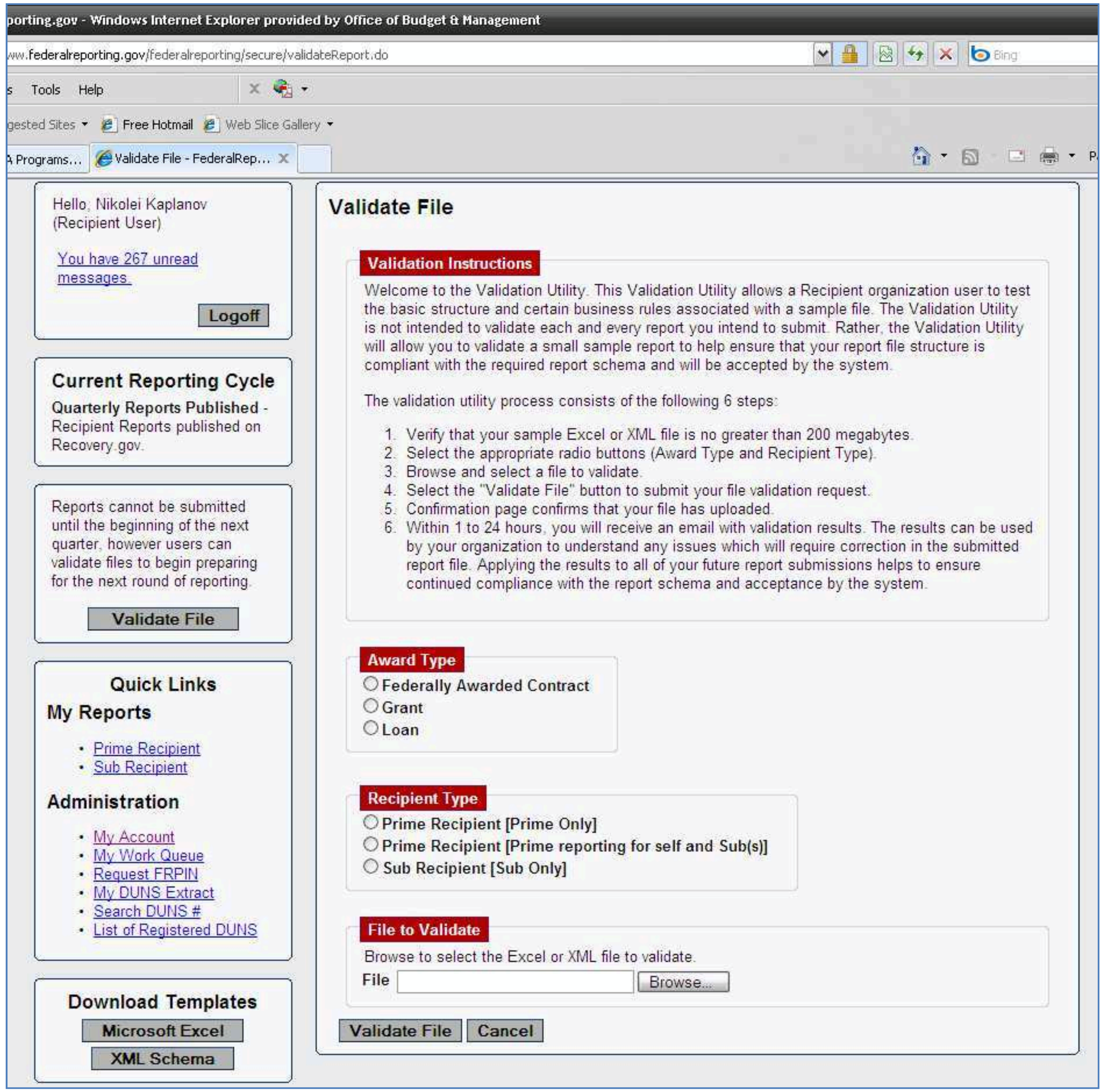
4. On the Validate File page there are three data entry points necessary for the file to be validated.

   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.

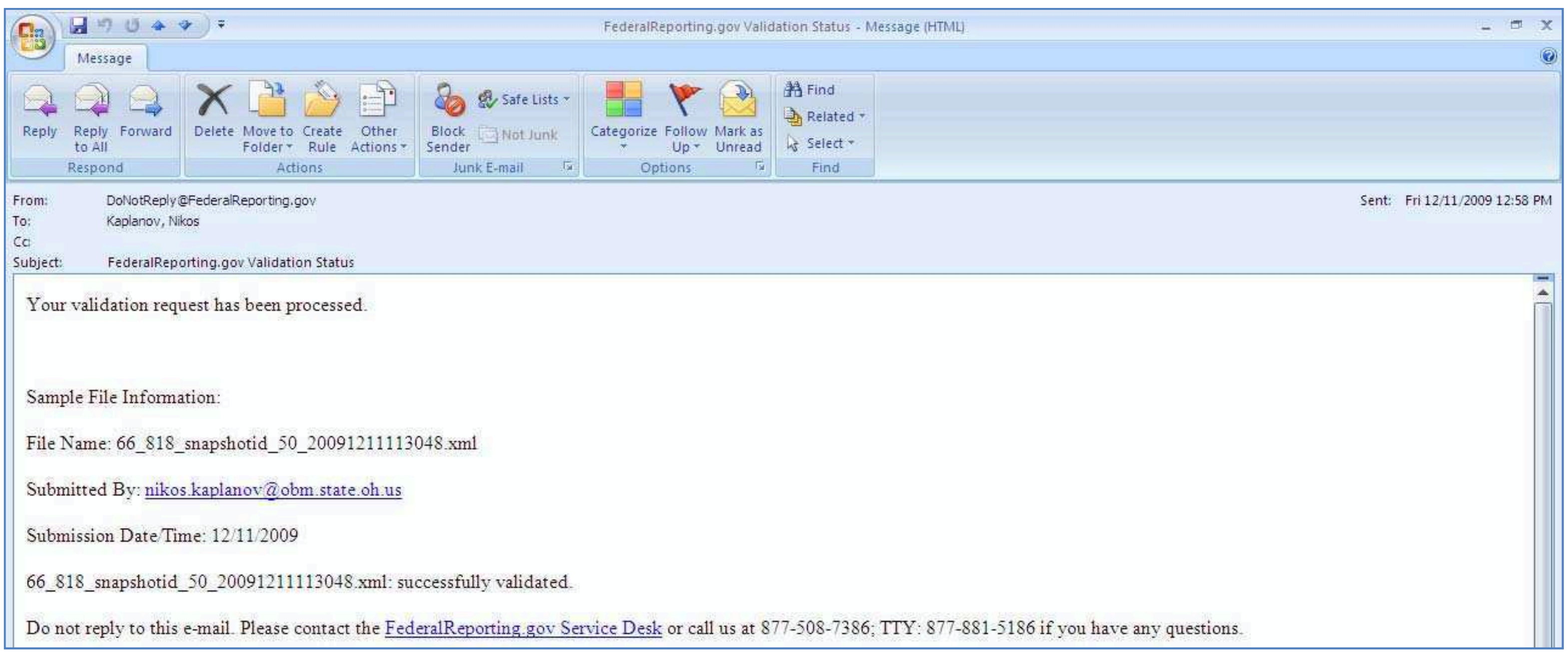
   The **File to Validate** is the file received from the agency as part its validation. Select the “Browse” button to locate the file on your computer.

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.