



Part 1- Registration and Reporting

General Overview: Basic Principles and Requirements:

ARRA grantees are required to report Section 1512 and Section 1609 Recovery Act activities using the following data collection systems:

Recovery Act	General Description of Reporting Required	Data Collection System
Section 1512	Recipients and sub-recipients are to report quarterly on: <ul style="list-style-type: none"> • Funding received and expended • Description of projects undertaken and their completion status • Number of jobs created or retained. • Details on payments made to sub-awards or vendors 	FederalReporting.gov
Section 1609	Recipients of HUD Recovery Act funds are to report quarterly on the status of compliance with the National Environmental Policy Act (NEPA) for all Recovery Act funded projects and activities in accordance with HUD’s environmental regulations at: <ul style="list-style-type: none"> • 24 CFR Part 50 • 24 CFR Part 58 Compliance information is to be entered into HUD’s Recovery Act Management and Performance System (RAMPS)	RAMPS
The reporting required by Sections 1512 and 1609 of the Recovery Act does not take the place of the existing reporting requirements of the Office of Healthy Homes and Lead Hazard Control including the Quarterly Progress Reporting System (QPRS), financial reports, or other required reports.		

A. Section 1609 NEPA Registration and Reporting Requirements Using RAMPS

Section 1609 requires agencies to report quarterly on the status of compliance with the National Environmental Policy Act (NEPA) for all Recovery Act-funded projects and activities. In order to provide this information to the Council on Environmental Quality (CEQ), HUD grantees who complete National Environmental Policy Act (NEPA) reviews according to Part 58 must report related data directly into the HUD-administered Recovery Act Management and Performance System (RAMPS). For environmental reviews performed by HUD staff according to Part 50, HUD will report the necessary data directly. Currently, the primary function of RAMPS is to collect required NEPA reporting data.



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How will Office of Healthy Homes and Lead Hazard Control ARRA grantees comply with Section 1609 requirements and register and report NEPA data using RAMPS?

OHHLHC ARRA grantees subject to the environmental review requirements found in 24 CFR Part 58 are not required to register or report directly into RAMPS. The designated OHHLHC Program Environmental Clearance Officer and at least one alternate OHHLHC staff person are registered users and will report NEPA related data directly into RAMPS *for each ARRA grant*. Environmental review data is entered into RAMPS after the tiered environmental review, Request for Release of Funds and Environmental Certification is approved. Alternatively, if the responsible entity (unit of government with land use authority of the target area to receive grant assistance) determines that the grant is exempt from environmental review, the OHHLHC Program Environmental Clearance Officer will review the determination, and if properly assessed, approve the written environmental determination and enter the environmental review data into RAMPS.

OHHLHC ARRA grantees subject to environmental review requirements found in 24 CFR Part 50 are not required to register or report directly into RAMPS at this time. The designated OHHLHC Program Environmental Clearance Officer and at least one alternate staff person are registered users and report NEPA related data directly into RAMPS *for each grant-assisted project*. Environmental review data is entered into RAMPS after the form HUD-4128 *Environmental Assessment and Compliance Findings for the Related Laws* worksheet is fully completed. Alternatively, if the OHHLHC Program Environmental Clearance Officer determines that the grant is exempt from environmental review; environmental review data is then entered into RAMPS.

B. Section 1512 Registration and Reporting Requirements Using FederalReporting.gov

Section 1512 of the Recovery Act requires recipients and sub-recipients to report quarterly on the nature of the projects undertaken with Recovery Act funds, the amount of funds expended for these projects (including details on any sub-awards and vendor payments), the completion status for the project and the number of jobs created or retained. This information **MUST** be reported to FederalReporting.gov, the centralized data collection system created by the Office of Management and Budget (OMB) and the Recovery Accountability and Transparency Board (RATB). OMB administers the system.

Who needs to register and report using FederalReporting.gov?

Direct recipients receiving Recovery Act funds must report quarterly to FederalReporting.gov. These prime recipients may require any sub-recipients to report directly to FederalReporting.gov, or may collect sub-recipient data and report it directly. Vendors (as defined by OMB) are exempt from directly reporting into FederalReporting.gov.

****OHHLHC ARRA Grantees ARE NOT to delegate this reporting requirement to sub-recipients but are to collect sub-recipient data and report it to FederalReporting.gov on their behalf.**



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OMB provides the following descriptions for Prime Recipients, Sub-recipients, and Vendors:

Prime Recipients – Non-Federal entity that receives Recovery Act funding as Federal awards in the form of grants, loans, or cooperative agreements directly from the Federal government must register to submit reports. Prime Recipients must also track and monitor reporting that has been delegated to their Sub-Recipients.

Subrecipients – Non-Federal entity that expends Federal awards from another entity to carry out a Federal program. Sub-grantees or sub-recipients are awarded Recovery funding through a legal instrument from the prime recipient to support the performance of any portion of the substantive project or program for which the prime recipient received the Recovery funding. Additionally, the terms and conditions of the Federal award are carried forward to the sub-recipient. Users from organizations that receive Recovery Act awards from Prime Recipients and that have been delegated to report on Recovery Act projects by the Prime Recipient must report to FederalReporting.gov. **If your Prime Recipient will be reporting on your behalf, you will not need to register (see page 3).**

Vendors - are entities or individuals from which the prime recipient or sub-recipient procures goods or services needed to carry out the project or program. Vendors are not awarded funds by the same means as sub-recipients and are not subject to the terms and conditions of the federal financial assistance award. Vendors do not register or report using FederalReporting.gov.

How do I determine whether an entity/organization is a sub-recipient or a vendor? What guidance is available to help in the determination? Why is it necessary to determine whether sub-recipients or vendors provide services for the ARRA grant program?

ARRA grantees are to determine whether a sub-recipient or vendor relationship exists for each entity/organization that receives ARRA funds from your organization. (Use the Sub-recipient and Vendor Determination Worksheet in the Attachment to document the relationship that exists)

The following are the most important considerations in determining whether a sub-recipient or vendor relationship exists between an entity/organization and the prime recipient (grantee):

- The characteristics of a Federal award or payment for goods and services
- The terms and conditions of the grant agreement being carried forward
- The use of judgment in making the determination

Since ARRA grantees provide many grant program services through a number of different organizations, the type of relationship that exists between the prime recipient and the entity/organization determines whether the organization/entity is required to register and report using FederalReporting.gov.

This distinction is necessary to ensure that your grant program correctly and accurately reports on FederalReporting.gov and meets other applicable terms and conditions of the grant.



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What guidance is available to help ARRA grantees make the distinction?

Based on previous grant program experience, OHHLHC expects that most of the entities/organizations providing services for the grant program will be vendors. (See the Attachment “*Sub-recipient and Vendor Determination Worksheet*” for a list of the types of services that may be provided by your program).

Key provisions of OMB guidance and Circulars on this subject can help ARRA grantees make the correct determination for each organization/entity that provides “goods and/or services” in support of your grant program.

These key provisions of the OMB guidance and Circulars below should be reviewed carefully before making the determination. This determination should be documented using the “Sub-recipient and Vendor Determination Worksheet” in the Attachment.¹

Key Provisions of OMB guidance and Circular A-133 for sub-recipient and vendor determination

Below are key provisions identified from OMB’s guidance and OMB Circular A-133 that factor into consideration in distinguishing whether subrecipients or vendors provide services for your grant program.

Section 2.2 of OMB’s guidance (OMB M-09-21, June 22, 2009) defines a “**vendor**” as a dealer, distributor, merchant or other seller providing goods or services that are required for the conduct of a Federal program. Prime recipients or sub-recipients may purchase goods or services needed to carry out the project or program from vendors. Vendors are not awarded funds by the same means as sub-recipients and are not subject to the terms and conditions of the Federal financial assistance award.

The characteristics of a vendor that make it distinct from a sub-recipient are summarized below. A vendor:

1. Provides the goods and services within normal business operations;
2. Provides similar goods or services to many different purchasers;
3. Operates in a competitive environment;
4. Provides goods or services that are ancillary to the operation of the Federal program; and
5. Is not subject to compliance requirements of the Federal program.

Similarly, but not identical to OMB guidance, is OMB Circular A-133 that defines “subrecipient” as “a non-Federal entity that expends Federal awards received from a pass-through entity to carry out a Federal program, but does not include an individual that is a beneficiary of such a program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

OMB Circular A-133 defines “vendor” as “a dealer, distributor, merchant or other seller providing goods or services that are required for the conduct of a Federal program. These goods or services may be for an organization's own use or for the use of beneficiaries of the Federal program. Additional guidance on distinguishing between a sub-recipient and a vendor is provided in § ___.210.

¹ Determinations can be grouped according to the type of service provided by similar entities (e.g. testing firms, or rehabilitation lead-based paint contractors, laboratory services, data collection services, etc.)



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Section __.210 provides:

(a) **General.** An auditee may be a recipient, a subrecipient, and a vendor. Federal awards expended as a recipient or a sub-recipient would be subject to audit under this part. The payments received for goods or services provided as a vendor would not be considered Federal awards. The guidance in paragraphs (b) and (c) of this section should be considered in determining whether payments constitute a Federal award or a payment for goods and services.

(b) **Federal award.** Characteristics indicative of a Federal award received by a sub-recipient are when the organization:

- (1) Determines who is eligible to receive what Federal financial assistance;
- (2) Has its performance measured against whether the objectives of the Federal program are met
- (3) Has responsibility for programmatic decision making;
- (4) Has responsibility for adherence to applicable Federal program compliance requirements; and
- (5) Uses the Federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity.

(c) **Payment for goods and services.** Characteristics indicative of a payment for goods and services received by a vendor are when the organization:

- (1) Provides the goods and services within normal business operations;
- (2) Provides similar goods or services to many different purchasers;
- (3) Operates in a competitive environment;
- (4) Provides goods or services that are ancillary to the operation of the Federal program; and
- (5) Is not subject to compliance requirements of the Federal program.

(d) **Use of judgment in making determination.** There may be unusual circumstances or exceptions to the listed characteristics. In making the determination of whether a sub-recipient or vendor relationship exists, the substance of the relationship is more important than the form of the agreement. It is not expected that all of the characteristics will be present and judgment should be used in determining whether an entity is a sub-recipient or vendor.

(e) **For-profit sub-recipient.** Since this part does not apply to for-profit sub-recipients, the pass-through entity is responsible for establishing requirements, as necessary, to ensure compliance by for-profit sub-recipients. The contract with the for-profit sub-recipient should describe applicable compliance requirements and the for-profit sub-recipient's compliance responsibility. Methods to ensure compliance for Federal awards made to for-profit sub-recipients may include pre-award audits, monitoring during the contract, and post-award audits.

(f) **Compliance responsibility for vendors.** In most cases, the auditee's compliance responsibility for vendors is only to ensure that the procurement, receipt, and payment for goods and services comply with laws, regulations, and the provisions of contracts or grant agreements. Program compliance requirements normally do not pass through to vendors. However, the auditee is responsible for ensuring compliance for vendor transactions which are structured such that the vendor is responsible for program compliance or the vendor's records must be reviewed to



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determine program compliance. Also, when these vendor transactions relate to a major program, the scope of the audit shall include determining whether these transactions are in compliance with laws, regulations, and the provisions of contracts or grant agreements.

C. FederalReporting.gov - Registration Requirements:

On August 14, 2009 ARRA grantees were instructed to register on the FederalReporting.gov website www.FederalReporting.gov. **Registration began on Monday, August 17, 2009**, and OHHLHC ARRA grantees were expected to register before the October 10, 2009, deadline date for the submission of the initial quarterly report in compliance with Section 1512 of the Recovery Act.

If you have not yet registered, you will need to have a Data Universal Numbering System (DUNS) number and Central Contractor Registration (CCR) registration before you can register on www.FederalReporting.gov. If you do not have a DUNS or CCR registration, you will first need to register for these before you can be registered for FederalReporting.gov. The chart below provides the necessary information to obtain a DUNS number and CCR registration.

**Section 1512 Registration Requirements
 FederalReporting.gov**

Registration Requirements FederalReporting.gov	If a DUNS Number of CCR Registration Required Prior to FedReporting.gov Registration	Time Frame to Complete
DUNS Number	To obtain a DUNS number please visit the Duns and Bradstreet website: www.dnb.com/us/ and register under the tab “ <i>D&B D-U-N-S Number</i> ”	1-2 days
Central Contractor Registration (CCR)	For CCR Registration please visit: www.bpn.gov/ccr/ and on the right hand side of the screen for New CCR users, click “ <i>Start New Registration</i> ”. You will need to provide the following: <ul style="list-style-type: none"> • DUNS number • Taxpayer or Employer ID Number (TIN/EIN) • Statistical Information about your business • Other information (Electronic funds transfer, information for invoice payments, etc) More complete descriptions of these requirements are available on the website	Up to 2 days (if required data available) Up to 8 days (if new TIN/EIN needed)
Valid Email Address		

If you have a DUNS number, your CCR registration and a valid email address you can register at www.FederalReporting.gov.



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Can other individuals within my organization register and use FederalReporting.gov?

Yes. However, if multiple individuals will register, we encourage you to carefully coordinate and control access and use of the site within your organization so that report submissions and corrections made to submitted reports are clearly assigned responsibilities.

Confirmation of Registration for FederalReporting.gov

Once you have your DUNS number, Central Contractor Registration (CCR) and a valid email address submit your registration at www.FederalReporting.gov. You will receive a confirmation email* with a temporary password and logon instructions if your registration is successful.

***Please inform your GTR and Healthy Homes Representative of your successful registration(s).**

D. Reporting Recipient Data (Data Model 3.0)²

What needs to be reported using FederalReporting.gov?

OHHLHC ARRA Grantees are required by Section 1512 of the Recovery Act to provide the following information and data on FederalReporting.gov:

- The amount of Recovery Act dollars received and expended
- A description of the projects or activities being funded with Recovery Act dollars
- The completion status of the projects or activities funded with Recovery Act dollars
- The impact that Recovery Act dollars have on job creation and retention

How will an ARRA Grantee submit reports to FederalReporting.gov?

FederalReporting.gov will allow three basic methods for submitting reports online. They are:

1. Online data entry in the Web browser
2. Excel spreadsheet
3. Custom software system extract in XML (extensible markup language)

Specific details and downloads for the excel spreadsheet and XML schema is available on the website: www.FederalReporting.gov

Please note that all upload submissions require an “FRPIN”. You will need to log into the system and click "Request FRPIN" to obtain your DUNS FRPIN.

Sample Excel spreadsheets for the Lead-Based Paint Hazard Control Program, the Lead Hazard Reduction Demonstration Program, the Healthy Homes Demonstration Program and the Healthy Homes Technical Studies Program can be accessed on the OHHLHC ARRA Website (<http://www.hud.gov/offices/lead/arra.cfm>).

² This model is intended for use for the quarter ending September 30, 2009. This model and the report submission templates may not be wholly applicable to future reporting cycles. ARRA grantees will be provided guidance and updates in the event there are changes in future reporting requirements.



What data elements will I specifically be required to submit for reporting under the Recovery Act?

FederalReporting.gov will collect approximately 80 data elements. Most of these elements focus on funding amounts, project details, and job creation. Some of these data elements may be optional. The complete list of data elements can be viewed by viewing and/or downloading the [Data Dictionary](#).

How do I report on Jobs Created or Retained?

Recovery Act grantees are to report on the number of jobs created and jobs retained to support or carry out Recovery Act projects and activities. ARRA grantees are to include the number of jobs created and retained by sub-recipients and vendors. Jobs created or retained are defined as:

Jobs Created – New positions created and filled, or previously existing unfilled positions that are filled, as a result of Recovery Act funding.

Jobs or Positions Retained – Previously existing filled positions that are retained as a result of Recovery Act funding.

- Descriptions may rely on job titles, broader labor categories, or the recipients existing practice for describing jobs as long as the terms used are widely understood and explain the general nature of the work.
- A job cannot be reported as both created and retained.

The number of jobs created and retained shall be expressed as “full-time equivalent” (FTE).

*****OMB is to provide with additional reporting instructions for documenting the number of jobs created or retained. OHHLHC will provide ARRA grantees with this information as soon as it is available.³**

E. Section 1512 FederalReporting.gov Reporting Due Dates and Data Review Process

Grantees are required to report their *cumulative*⁴ data on a quarterly basis, with the initial report due no later than October 10, 2009, for the calendar year period ending September 30, 2009. ARRA grantees will report on activities for each subsequent quarter throughout their 36 month period of performance.

Report deadline dates for each calendar year quarter: **January 10, April 10, July 10, and October 10.**

Note: ARRA grantees should begin entering data as soon as possible after the end of the previous quarter and not wait until the deadline due date to submit their report. Reporting using FederalReporting.gov can begin on the first day after the end of the previous quarter.

The information on the next page provides the details of the timeline and activities that will be followed for the initial and subsequent review of the data submitted online each quarter at FederalReporting.gov:

³ As of September 17, 2009, the OMB guidance is not available.

⁴ To include the cumulative data as reported in the July 10, 2009, ARRA QPRS Report



<u>Time Line</u>	<u>Activity</u>
1-10 days after end of quarter	Prime Recipients (ARRA Grantee) and Sub-recipients (if applicable) submit report to FederalReporting.gov.
11- 21 days after end of quarter	Prime Recipients (ARRA Grantee) review data submitted and make corrections.
22 - 29 days after end of quarter	HUD and OHHLHC will review the data submitted and make comments and recommendations for corrections. Recipients are to make the corrections.
30 days after end of quarter	Recipient (ARRA Grantee) report is published on Recovery.gov.

F. Key Recovery Act Benchmark

The Recovery Act has specific 50% and 100% expenditure benchmarks for funds awarded. They are:

1. Recipients of Recovery Act funds “shall expend at least 50 percent of the funds...within 2 years of the date on which funds became available...”*
2. Recipients of Recovery Act funds are to “expend 100 percent of such funds within 3 years of such date.”

** The Recovery Act also provides that, “If the recipient fails to comply with the 2 year expenditure requirement the Secretary shall recapture all remaining funds awarded to the recipient and reallocate such funds to recipients that are in compliance with those requirements.”*

G. Resources and Support for Entering Data Using FederalReporting.gov website:

Grantees and sub-recipients should take full advantage of the resources available to meet the requirements for reporting data on job creation, funding expenditures and program activities using the www.FederalReporting.gov website. Below is a synopsis of the available resources available to help you in registering and reporting ARRA data in FederalReporting.gov. Specific resource links for each of the Webinars and Recovery Act Reporting is included in the Attachment.

Webinars and FAQs

Recipients of ARRA funds can familiarize themselves with FederalReporting.gov reporting by viewing training webinars posted on the White House website:
www.whitehouse.gov/Recovery/WebinarTrainingMaterials/

Each of the 7 webinars includes an audio file and power point presentation with screen shots and specific instructions for agency, prime recipient and sub-recipient users. You are strongly encouraged to familiarize yourself with these materials in advance of the reporting deadline of Saturday October 10, 2009 (firm date)



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There are also FAQs published on: www.whitehouse.gov/omb/recovery_faqs where you should read these to become familiar with the reporting requirements and processes.

HUD Recovery Act Information

Additional information on HUD Recovery Act reporting can be obtained by visiting the HUD Recovery Act Reporting Home Page: <http://www.HUD.gov/RECOVERY/Reporting>. Questions pertaining to reporting can also be directed to: Reportinghelp@hud.gov.

Office of Healthy Homes and Lead Hazard Control ARRA Webpage

<http://www.hud.gov/offices/lead/arra.cfm>

ARRA grantees should visit the OHHLHC website to obtain the most recent updates of information related to the Recovery Act, OMB Memoranda, and additional guidance developed to assist you in implementing your program, in meeting benchmark milestones, and in completing required reports.

H. Troubleshooting and Support

As the administrators of FederalReporting.gov, OMB will provide technical support for users experiencing difficulty navigating the site. HUD does not have administrative access to the system and therefore will be unable to answer technical questions about the system. If you need help with registering as a user, submitting a report, reviewing a report, or other website functions, contact the FederalReporting.gov Service Desk. Please visit: www.federalreporting.gov/federalreporting/help.do for assistance or contact the Service Desk directly.

FederalReporting.gov Service Desk Information

- Phone: 877-508-7386 (toll free)
- TTY: 877-881-5186 (toll free)
- Email: Support@FederalReporting.gov
- Live Chat:
<https://server.iad.liveperson.net/hc/35342396/?cmd=file&file=visitorWantsToChat&site=35342396&byhref=1&imageUrl=https://server.iad.liveperson.net/hcp/Gallery/ChatButton-Gallery/English/General/1a/>

Service Desk Hours of Operation

The service desk hours of operation will vary according to the schedule below:

Begin Date	End Date	Hours (EST)	Days / Week
August 17, 2009	September 30, 2009	7 AM - 9 PM ET	Monday – Friday
October 1, 2009	October 31, 2009	24 Hours	7 days/week
November 1, 2009	December 31, 2009	8 AM - 6 PM ET	Monday – Friday
January 1, 2010	January 21, 2010	24 Hours	7 days/week
January 22, 2010	March 31, 2010	8 AM - 6 PM ET	Monday – Friday
April 1, 2010	April 21, 2010	24 Hours	7 days/week
April 22, 2010	June 30, 2010	8 AM - 6 PM ET	Monday - Friday



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OHHLHC will provide additional program support to resolve programmatic questions pertaining to using FederalReporting.gov and RAMPS, as well as address other issues or questions related to the Recovery Act and your grant program. Please contact your Healthy Homes Representative and/or GTR for any questions you have. You may also send questions or concerns to: ARRA-HealthyHomes@hud.gov.

To ensure that your question can be directed to the appropriate person for a response, please include in the subject line: Your ARRA Grant # , Organization Name, and general topic description. For example:

Subject: ARRA Grant WALHB12345-08, Healthy Homes Program, RE: (e.g. 1512 Reporting, RAMPS, Davis Bacon, sub-recipient-vendor determination etc.)