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NEW YORK STATE  
OFFICE OF CHILDREN & FAMILY SERVICES  
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Commissioner

## Local Commissioners Memorandum

<b>Transmittal:</b>	09-OCFS-LCM-14
<b>To:</b>	Local District Commissioners
<b>Issuing Division/Office:</b>	Division of Child Care Services Division of Administration
<b>Date:</b>	November 6, 2009
<b>Subject:</b>	<b>New York State Child Care Block Grant Supplemental American Recovery and Reinvestment Act Allocations for the Period October 1, 2008 through September 30, 2010</b>
<b>Contact Person(s):</b>	Eileen M. Mahoney (518) 473-0711 E-mail: <a href="mailto:Eileen.Mahoney@ocfs.state.ny.us">Eileen.Mahoney@ocfs.state.ny.us</a>
<b>Attachments:</b>	A: American Recovery and Reinvestment Act Local District Child Care Subsidy Allocations B: CCDF Specific Guidance to ARRA Section 1512 Reporting C: Subrecipient Report Form D: Steps to Obtain a DUNS Number and Register in the Central Contractor Registration
<b>Attachment Available Online:</b>	Yes (as part of 09-OCFS-LCM-14)

### I. PURPOSE

The purpose of this Local Commissioners Memorandum (LCM) is to inform social services districts (districts) of the first issuance of district allocations of the federal child care stimulus funds that New York State received under the American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5. The LCM also provides program and claiming requirements associated with these federal funds.

As discussed in 09-OCFS-LCM 05 issued by the Office of Children and Family Services (OCFS) on May 6, 2009, New York State has received a one-time award of ARRA child care funds in the

amount of \$96,785,640. This ARRA award is a federal fiscal year (FFY) 2008-09 appropriation of supplemental discretionary funding under the Child Care and Development Fund (CCDF) that the State must obligate by September 30, 2010 and expend by September 30, 2011. These supplemental ARRA discretionary child care funds have been assigned a special Federal Index or Catalog of Federal Assistance (CFDA) number of 93.713. Of the \$96,785,640, OCFS is allocating a total of \$84,150,757 to districts. The remainder, or \$12,634,883, is funding that has been earmarked by the federal government to support quality expansion and infant and toddler activities and, as such, is being retained by OCFS to implement on a statewide basis.

OCFS intends to allocate the \$84,150,757 to districts in two separate issuances. This LCM allocates the first issuance of \$42,075,379 for the period October 1, 2008 through September 30, 2010. The delay in issuing the final district allocations of the first issuance was caused by the delay in receiving policy directives, instructions and clarifications from the federal government agencies on the requirements for administering the ARRA funds in general and the specific reporting requirements for the ARRA child care funds. OCFS recognizes that this has impacted the expenditure and claiming of these funds. Therefore, the date for expenditure of the first issuance of the ARRA funds by the districts has been extended to September 30, 2010 from the initial anticipated date of September 30, 2009. Unlike the allocations of New York State Child Care Block Grant (NYSCCBG) funds which must be used for child care subsidies, districts may use some or all of their allocated ARRA child care funds for child care quality improvement projects, provided approval is first obtained from the OCFS Division of Child Care Services. Regardless of whether allocations are used for subsidies or for quality improvement activities, districts should give preference to activities that can be started and completed expeditiously.

OCFS intends to issue a second allocation of the ARRA funds to districts for the period October 1, 2009 through March 31, 2011. However, districts should not anticipate that the amount they will receive in the second allocation will be the same as their allocations for the period October 1, 2008 through September 30, 2010.

## **II. PROGRAM IMPLICATIONS**

### **Allocation Information**

Attachment A sets forth the first issuance of district allocations of the ARRA child care funds for the period beginning October 1, 2008 and ending September 30, 2010. Districts have until September 30, 2010 to expend these funds.

Not all districts are receiving an allocation from the first issuance of these funds. The ARRA child care allocation methodology for this initial issuance first considered a district's FFY 2007-08 New York State Child Care Block Grant (NYSCCBG) spending level as a percentage of the statewide FFY 2007-08 NYSCCBG spending level, and then applied that percentage against the ARRA funds made available in this initial allocation. As a next step, the methodology reduced to \$0 the ARRA allocation to those districts that rolled an amount forward from FFY 2007-08 into FFY 2008-09 in excess of 15 percent of their SFY 2008-09 NYSCCBG allocations. As a result, \$4.05 million became available for distribution to other districts. This \$4.05 million adjustment was redistributed to those districts whose FFY 2007-08 NYSCCBG claims exceeded their FFY 2007-08 NYSCCBG

allocation, plus any FFY 2007-08 funds transferred to NYSCCBG from the district's FFFS allocation.

### **Programmatic Requirements**

In order to utilize the ARRA funds allocated to its district, the commissioner of the social services district must agree to comply with the program requirements of the NYSCCBG as set forth in Title 5-C of the Social Services Law (SSL) and Title 18 of the New York State Codes, Rules and Regulations (NYCRR) Parts 358, 404, 405, 407, 415, and 628 and other OCFS child care policy directives including Administrative Directives (ADMs), LCMs, and Informational Letters (INFs). Districts also must agree to comply with the legal assurances of their Child and Family Services Plans as well as the other requirements for the federal CCDF and the special terms and conditions for the ARRA grant award including the special claiming and reporting requirements, which are described later in this LCM.

Among the mandates for using these funds to provide child care subsidies is Section 410-x(4) of the SSL, which requires OCFS to establish, in regulation, the applicable market-related payment rates that will establish the ceilings for State and federal reimbursement for payments made under the NYSCCBG. The amount to be paid or allowed for child care assistance funded under the NYSCCBG, which now includes the ARRA funds, and under Title XX shall be the actual cost of care but no more than the applicable rate established in regulations. Please note, as districts were previously advised, OCFS recently issued emergency regulations establishing new market rates effective October 1, 2009. Local districts must pay the applicable market rate unless the actual cost of care is less, in which case, districts must pay the actual cost of care.

As mentioned above, each district has the option to expend these funds for quality improvement projects, or other child care services activities that benefit families served under the NYSCCBG. A district that chooses to use some or all of its allocation of ARRA funds for activities other than child care subsidies must submit to the OCFS Division of Child Care Services a request for approval containing a description of the project, including the objectives, anticipated benefits, and the method of distribution of funds; a description of how the project supports the purposes of preserving and creating jobs and promoting economic recovery; a description of the types of direct jobs that will be created or retained; and the amount of funds to be allocated to the project from the district's ARRA allocation. A district may not expend funds for a quality improvement project until the project has been approved by the OCFS Division of Child Care Services.

### **Eligible Families**

To simplify the federal and State claiming process, the State has decided that child care claims for families applying for or receiving public assistance are not eligible for reimbursement under ARRA funds. OCFS believes that each district's NYSCCBG allocation provides sufficient funding to meet the child care needs of public assistance applicants and recipients that are included in the child care guarantee. Therefore, ARRA funds can not be use for child care subsidies for these families. The families eligible for child care subsidies funded under ARRA are those families other than public assistance recipients served under the NYSCCBG as stated in 18 NYCRR Section 415.2 and identified in each social services district's approved Child and Family Services Plan for 2007-2009 and Annual Plan Update. A district choosing to expand eligibility beyond the families currently identified in its Plan must amend the Plan in accordance with 18 NYCRR Part 407.

**Parental Choice**

As with all NYSCCBG funded child care services, social services districts must inform parents or caretakers requesting child care services that they may:

- choose to have care provided by one of the child day care providers with whom the social services district has contracted for the provision of child care services; or
- request a child care certificate which enables the parents or caretakers to select from a full range of child care arrangements including care by regulated child care providers and providers of legally exempt child care.

The child's parents or caretakers must be given discretion in selecting or arranging for the purchase of child care services from any eligible provider. The case record should document that parents or caretakers have been apprised of the full range of providers eligible for payment and of their right to elect to use a child care certificate. Districts must allow parents to select, and must have a method to pay, any and all legal providers with whom they do not contract. A contract with the district can not be made a condition of a child care provider receiving payment from ARRA funds.

**Special ARRA Federal Reporting Requirements**

As previously indicated, Section 1512 of ARRA requires special reporting requirements for the use of certain ARRA funds, including the ARRA CCDF funds. The federal law includes a clear expectation that states will be held accountable for how the funds are expended. The federal ARRA statute established several different federal agencies and positions to audit and otherwise monitor the expenditure of these funds. Under Section 1512 of ARRA, OCFS must report regularly to the federal government on behalf of the State as the prime recipient of the ARRA funds and on the behalf of districts as the subrecipients of the funds. The reports must be submitted by the tenth day following the end of each quarter and must contain information on the ARRA funds that were reimbursed by the State to the districts during the relevant quarter.

By accepting an allocation of ARRA funds, a district must follow all of the federal requirements on ARRA reporting. Social services districts are responsible for ensuring use of the most recent requirements and definitions. These requirements can be found on [www.whitehouse.gov/omb](http://www.whitehouse.gov/omb). To assist the districts, the most recent specific guidance issued by the federal Department of Health and Human Services Administration for Children and Families for Section 1512 ARRA reporting for the CCDF is provided as Attachment B. At the time the federal Administration for Children and Families issued the guidance at the end of September, it informed the states that the Office of Management and Budget (OMB), which is administering the Section 1512 reporting requirements government-wide, has indicated that the data reporting model and elements are subject to adjustment for future reporting cycles. Therefore, while the attached guidance governed the first Section 1512 reports that were due October 10, 2009, the guidance is subject to adjustment for future quarters.

The federal guidance includes the most current instructions for the CCDF ARRA reporting elements including those that OCFS will report on as the recipient of the funds as well as those that a district must report on to OCFS as a subrecipient of the funds. Districts must follow the provisions in this guidance along with the other federal ARRA reporting requirements when reporting on their uses of ARRA funds.

Because of the special ARRA reporting requirements, a district must claim for ARRA funds on an LDSS-3922 “Reimbursement Claim for Special Projects” separately from its claims for other CCDF funds in accordance with the Special ARRA Claiming Instructions set forth below in the this LCM. When a district submits its LDSS-3922(s) to OTDA for ARRA funds, it also must complete a Subrecipient Section 1512 Report Form (provided as Attachment C), in accordance with the federal ARRA reporting requirements, and submit it along with a copy of the LDSS-3922(s) to the OCFS Division of Child Care Services. **The district must certify it has reviewed and verified the information on the Subrecipient Section 1512 Report Form and that the information is true and accurate.**

Both the LDSS-3922(s) and Subrecipient Section 1512 Report Form must be submitted no later than 20 days after the last day of the month in which the district expenditures were made. **Expenditures claimed through an LDSS-3922 will not be reimbursed until a complete and accurate Subrecipient Section 1512 Report Form is submitted.**

Districts should note that, as subrecipients of ARRA funds, they must have a Data Universal Number System (DUNS) number and register with the federal Central Contractor Registration (CCR). Provided as Attachment D of this LCM are instructions on how to obtain a DUNS number and register with the CCR, if the district does not have a DUNS number or has not registered with the CCR.

In accordance with the federal ARRA reporting requirements, districts must report on the number of jobs “directly” created or retained as a result of the expenditure of ARRA funds. Additional information regarding when the federal government considers a “direct” job to have been created or retained and how to calculate and report on the number of jobs created or retained is set forth in Attachment B. In general, for the purpose of ARRA reporting, a job created includes a new position created and filled or an existing vacant position that was filled. A job retained includes an existing position that would not continue to have been filled without the use of ARRA funds. Note that under these definitions, payment of overtime to an existing employee cannot be counted as a job retained. In addition, increased services to clients under ARRA funded programs do not result in job creation if existing staff are handling the increased workload.

The attached federal guidance on ARRA CCDF reporting requirements states that the numbers of jobs for parents or caretakers that were created or retained through the provision of child care subsidies to families are not reportable in the Number of Jobs data element on the Subrecipient Section 1512 Report Form. In addition, child care providers paid through ARRA-funded certificates or vouchers are not considered vendors and any provider jobs created or retained through certificates or vouchers are not reportable in the Number of Jobs data element on the Subrecipient Section 1512 Report Form. However, if a family whose child care subsidy is funded under ARRA chooses a child care provider that has a contract with the district to provide child care services, then the provider is considered a vendor of the district for federal ARRA jobs reporting purposes. In such cases, the district must ascertain if the provider will receive more than \$25,000 in ARRA funds in total in the applicable federal quarter. If so, the district must obtain and verify the number of direct jobs created or retained by the provider as a result of receiving payments under the provider’s contract with the

district for families funded with ARRA dollars and report the jobs information in the Number of Jobs data element on the Subrecipient Section 1512 Report Form.

Additionally, as previously indicated, districts, with OCFS approval, may use ARRA funds for child care quality improvement activities. If, as a result of the quality improvement activities, a district contractor will receive more than \$25,000 in total ARRA funds in a quarter (including any ARRA funds that are being received through families that choose to use provider for subsidies services provided under a contract with the district), the district must obtain and verify from the contractor, the number of direct jobs created or retained in accordance with federal reporting requirements. Districts must ascertain with these “vendors” whether a direct job was created or retained for each reporting period covered by the grant or contract for quality improvement activities and report the number of jobs on the Subrecipient Section 1512 Report Form. Further, the district must also report the number of direct jobs that the district creates or retains with ARRA funds to administer ARRA funds on the Subrecipient Section 1512 Report Form.

The number of jobs created or retained as a direct result of the expenditure of ARRA funds is to be expressed as full time equivalents (FTE) on the Subrecipient Section 1512 Report Form. The definitions and instructions for determining FTE are set forth in Attachment B- Federal Guidance on Section 1512 Reporting Requirements and Attachment C- Subrecipient Report Form. All data contained in each monthly report must be cumulative in order to encompass the total FTEs to date.

#### *Subrecipient Section 1512 Report Form*

Under the current federal guidance, in order to be in compliance with ARRA reporting requirements, the below information, at a minimum, must be compiled by each district receiving ARRA funds as subrecipients and submitted to OCFS on a monthly basis along with the district’s LDSS-3922(s) for expenditures made during that month. **If a district receiving ARRA funds has not expended any ARRA funds before the end of November 2009, the district still must complete and submit to OCFS on or before December 20, 2009 the subrecipient information requested in question 1 and questions 3 through 6 on the Subrecipient Section 1512 Report Form. OCFS will complete question 2 for the district. For subsequent Subrecipient Section 1512 Report Forms, a district does not need to complete questions 1, 4a, 4b, 5a and 5b unless the answer to the question has changed from the last time the district answered the question.**

#### District Information

- Subrecipient DUNS Number
- Subrecipient Contract Number
- Subrecipient Name (legal name as registered in the CCR)
- Subrecipient Address
- Subrecipient City
- Subrecipient State
- Subrecipient Zip Code +4
- Subrecipient County
- Subrecipient Congressional District (physical location of the primary place of performance)
- If in the previous fiscal year, the subrecipient received 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and \$25,000,000.00 or more in annual gross revenues from Federal

contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; **and** 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; report the:

- Subrecipient Officer Name (for the five most highly compensated officers)
- Subrecipient Officer Total Compensation (for the five most highly compensated officers)
- Subrecipient Project Status (evaluation of the status of the work that has been completed)
- Subrecipient Number of Jobs Created and Retained (an estimate of the number of jobs created and retained in the United States and outlying areas. This estimate shall include any new positions created and any existing filled positions that were retained to support or carry out Recovery Act projects, activities, or federally awarded projects)
- Subrecipient Description of Jobs Created and Retained (a brief description of the types of jobs created and retained in the United States and outlying areas)
- Subrecipient Additional Employment Related Impacts (an estimate and description of additional employment related activities supporting the ARRA purposes of preserving and creating jobs and promoting economic recovery that did not result in the creation or retention of direct jobs)

#### District Information for Vendors Receiving More than \$25,000 in ARRA funds in a Quarter

- Vendor Contract Number
- Vendor DUNS Number
- Vendor Primary Address (Zip Code +4)
- Vendor Name
- Description of Product or Service the Vendor provided to the district
- Amount Paid to the Vendor by the district
- Vendor Number of Jobs Created and Retained (an estimate of the number of jobs created and retained in the United States and outlying areas. This estimate shall include any new positions created and any existing filled positions that were retained to support or carry out Recovery Act projects, activities, or federally awarded projects)
- Vendor Description of Jobs Created and Retained (a brief description of the types of jobs created and retained in the United States and outlying areas)
- Vendor Additional Employment Related Impacts (an estimate and description of additional employment related activities supporting the ARRA purposes of preserving and creating jobs and promoting economic recovery that did not result in the creation or retention of direct jobs)

#### **Special ARRA Claiming Instructions**

As previously indicated, the federal government requires that the State separately identify and report on ARRA expenditures. Therefore, districts must claim their ARRA subsidy and/or quality expenditures, as well as administrative expenditures, using the LDSS-3922 “Reimbursement Claim for Special Projects.” All expenditures must be claimed on the form LDSS-3922 “Reimbursement Claim for Special Projects” and submitted to the Office of Temporary and Disability Assistance (OTDA) Bureau of Financial Services with a copy sent to the OCFS Division of Child Care Services, no later than 20 days after the last day of the month in which expenditures were made.

Each district may expend, for administrative activities, no more than five percent of its ARRA allocation. The Fiscal Reference Manual, Volume 3 Chapter 9, (Volume 4 for New York City) identifies the allowable and unallowable expenditures under NYSCCBG, of which ARRA is a part.

For subsidies, the project name must be entered as: **ARRA Child Care Subsidy**. The subsidy costs must be claimed on line 15 (Other) and the administrative costs must be claimed on the appropriate lines 1-11. Administrative costs must be accumulated in the F-17 function of the Schedule D and transferred to the Schedule D-17. The total project costs must be completed on line 17 of the LDSS-3922 and carried to line 18 Federal Share.

Note that child care subsidy payments would normally appear on the Schedule G "Title XX Services for Recipients (LDSS-1372)" or Schedule H "Non-Title XX Services for Recipients (LDSS-4283)" composite and claim form. Districts must develop procedures to identify the subsidy payments funded under ARRA to prevent submitting claims for those costs on Schedules G or H since they are to be claimed on the LDSS-3922.

As previously indicated, there are additional federal ARRA reporting requirements for payments for child care subsidies that are made under ARRA funding to child care providers with whom the district has a contract. These federal reporting requirements are referenced in the section of this LCM titled Special ARRA Federal Reporting Requirements. As an alternative to tracking individual cases that are paid to contract providers and reporting specific provider information and provider job creation and retention numbers, districts may want to consider applying ARRA funds only toward those payments under the NYSCCBG for low-income families not receiving public assistance that were made to non-contract providers and/or issued directly to parents or caretakers. If a district can identify, for audit purposes, that it has sufficient claims for expenditures under the NYSCCBG for low-income families not receiving public assistance for payments to non-contracted child care providers through certificates or vouchers and/or for payments issued directly to parents or caretakers that exceed the amount it intends to use for subsidies from its ARRA allocation, then the district can claim those expenditures as ARRA funds on the LDSS-3922, without separately tracking and reporting specific cases and providers for federal ARRA reporting purposes. The districts would note on the LDSS-3922 that all the claims for child care subsidies are for payments made to non-contract providers and/or parents and caretakers. A district that chooses this option, by submitting the LDSS-3922, is certifying that the information on the claim is accurate including that it has sufficient claims for non-contracted care to cover all of the ARRA funds it is dedicating to subsidies.

Should a district decide to claim child care subsidies under ARRA but either cannot demonstrate, for audit purposes, that it has sufficient expenditures claimed under NYSCCBG for low-income families who are not receiving public assistance for payments to non-contract providers or payments made directly to parents or caretakers in an amount that exceeds its intended claim under ARRA or the district otherwise chooses to use its ARRA funds for expenditures for contracted providers under NYSCCBG, the district must comply with the special ARRA federal jobs reporting requirements described above in this LCM. The completion of the LDSS-3922 titled ARRA Child Care Subsidy would require that a notation be in place that the claims on this form include expenditures made to contract providers. To assist in tracking cases for such purposes, districts might wish to consider using a distinct case number prefix or suffix sequence to identify such cases in the Welfare Management System similar to some districts that have had to track and claim expenditures for

special child care demonstration funds separately on the LDSS-3922. For example, a district can use a case number for a child care subsidy case funded under ARRA that starts with "SARRA" followed by its regular numeric sequence. These cases will come out as a block on the BICS case composite report. Districts would then total up the expenditures for these cases, back the expenditures out of Schedule H, and then report the claims on the LDSS-3922. This is one method that has been used. Districts may develop other procedures and supports as appropriate to fit their own systems.

A district must claim any expenditures for quality improvement activities funded with ARRA dollars that have been approved by the OCFS Division of Child Care Services, on a separate LDSS-3922 "Reimbursement Claim for Special Projects". The project name must be entered as: **ARRA Child Care Quality**. The quality project costs must be claimed on line 15 (Other) and the administrative costs must be claimed on the appropriate lines 1-11. Administrative costs must be accumulated in the F-17 function of the Schedule D and transferred to the Schedule D-17. The total project costs must be completed on line 17 of the LDSS-3922 and carried to line 18 Federal share. As previously indicated, there are special ARRA reporting requirements for quality improvement activities that are referenced in the section of the LCM titled Special ARRA Federal Reporting Requirements and in Attachment B.

For each district, the expenditures reported for the **ARRA Child Care Subsidy** and the **ARRA Child Care Quality** projects combined will be reimbursed by the State up to the amount of the district's ARRA allocation.

To receive reimbursement, claims for expenditures of ARRA funds for the period October 1, 2008 through September 30, 2009 must be submitted by the district by March 31, 2010. Claims for expenditures of the district's ARRA allocation issued in this LCM for the period October 1, 2009 through September 30, 2010 must be submitted by the district by March 31, 2011.

#### **Administration of ARRA Funds**

Non-compliance with the all the federal requirements including the special reporting requirement established under Section 1512 of ARRA is considered a violation of the federal award agreement. As previously indicated, the federal government has established special oversight of ARRA funding. Should there be a finding of noncompliance, the federal agencies have several avenues of recourse including recouping or withholding funds, terminating participation in the CCDF program, or suspension and debarment, as appropriate.

As with all State and federal funding, districts must prepare and submit accurate reports and claims for reimbursement. Districts must maintain adequate claiming and reporting records, retain appropriate documentation in the recipients' case files, and make appropriate records available for audit by State and federal agencies.

OCFS will recoup from a social services district any federal disallowance or sanction that results from the failure of a social services district to comply with applicable federal or State requirements, including, but not limited to, failure to properly provide required ARRA claiming and reporting data.

#### **IV. SYSTEMS INFORMATION**

Procedures for the authorization of payment in the Welfare Management System (WMS) for child care services funded under ARRA are the same as used for services funded under the NYSCCBG. There are no special claiming categories in WMS to identify ARRA funds. As noted above, districts must develop procedures to identify the subsidy payments funded under ARRA to prevent submitting claims for those costs on Schedules G or H since they are to be claimed on the LDSS-3922.

Districts may, at their option, utilize the DSS-2970 WMS Services Authorization for child care for eligible families not applying for or receiving public assistance. There is no special coding to designate ARRA funding in WMS. Districts must use the value "R-Block Grant DC 100%" as the Purchase of Service Type Suffix Code (Data Element #23021) on the DSS-2970 WMS Services Authorization, which designates child care services funded under NYSCCBG for non-public assistance families and reimbursed at 100 percent federal and State share up to the district's ARRA allocation. Districts have the option to authorize payments for ARRA eligible families not applying for or receiving public assistance on the DSS-3209 for Food Stamps and Medical Assistance only cases.

WMS Services continues to support the monitoring of the issuance and return of child care certificates. Instructions for the child care certificates are included in 92 LCM-138 and in the Benefits Issuance and Control System (BICS) Operations Manual, page A-82, BICS Production Request 32, and Request for Self-Selected Day Care Certs, in the addition dated April 1, 1993. Information is also provided in the BICS Services Payment Processing Manual, Chapter 2, Authorizations, Self-Selected Day Care Certificates.

#### **V. CONTACT PERSONS**

If you have any child care subsidy program or ARRA Section 1512 reporting questions regarding information contained in this LCM, please contact Eileen Mahoney of the Division of Child Care Services at (518) 473-0711. Ms. Mahoney also may be contacted via e-mail at [EILEEN.MAHONEY@ocfs.state.ny.us](mailto:EILEEN.MAHONEY@ocfs.state.ny.us)

If you have any claiming questions, please contact the Office of Temporary and Disability Assistance (OTDA) Bureau of Financial Services:

Regions 1 - 4 – James Carroll at 1-800-343-8859, ext. 4-7549, or (518) 474-7549;  
E-mail: [James.Carroll@otda.state.ny.us](mailto:James.Carroll@otda.state.ny.us)

Region 5 - Michael Borenstein at (631) 854-9704;  
E-mail: [Michael.Borenstein@otda.state.ny.us](mailto:Michael.Borenstein@otda.state.ny.us).

Region 6 - Marian Borenstein at (212) 961-8250;  
E-mail: [Marian.Borenstein@otda.state.ny.us](mailto:Marian.Borenstein@otda.state.ny.us).

If you have WMS/Services questions, please contact Dan McCarthy of the OCFS IT Operations at 800-342-3727; E-mail: [Dan.McCarthy@ocfs.state.ny.us](mailto:Dan.McCarthy@ocfs.state.ny.us)

If you have WMS/IM questions, please contact Tully Lenihan of OTDA at (518) 474-8749; E-mail: [Tully.Lenihan@otda.state.ny.us](mailto:Tully.Lenihan@otda.state.ny.us).

**Issued By:**

*/s/ Thomas Tipple*

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Thomas Tipple  
Deputy Commissioner  
Division of Administration

*/s/ Janice M. Molnar*

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Janice M. Molnar  
Deputy Commissioner  
Division of Child Care Services

**ATTACHMENT A****AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009****Local District Child Care Allocations  
October 1, 2008 through September 30, 2010**

<b>District</b>	<b>Allocation</b>	<b>District</b>	<b>Allocation</b>
Albany	\$ 795,355	Oneida	\$ 0
Allegany	64,216	Onondaga	731,031
Broome	302,744	Ontario	0
Cattaraugus	0	Orange	428,842
Cayuga	0	Orleans	0
Chautauqua	321,095	Oswego	0
Chemung	291,457	Otsego	45,758
Chenango	0	Putnam	0
Clinton	0	Rensselaer	0
Columbia	60,267	Rockland	425,384
Cortland	0	St. Lawrence	0
Delaware	0	Saratoga	0
Dutchess	437,395	Schenectady	380,932
Erie	0	Schoharie	48,057
Essex	0	Schuyler	0
Franklin	0	Seneca	0
Fulton	0	Steuben	0
Genesee	0	Suffolk	2,493,706
Greene	0	Sullivan	0
Hamilton	0	Tioga	80,688
Herkimer	0	Tompkins	113,414
Jefferson	150,195	Ulster	0
Lewis	0	Warren	118,181
Livingston	0	Washington	84,805
Madison	0	Wayne	56,071
Monroe	2,979,898	Westchester	1,787,752
Montgomery	0	Wyoming	0
Nassau	1,903,870	Yates	33,483
Niagara	0		
		New York City	\$27,940,783
		State Total	\$42,075,379



## ATTACHMENT B

### CCDF Specific Guidance to ARRA Section 1512 Reporting

The Child Care Bureau has developed this guidance in order to provide Lead Agencies with information to assist them in meeting the government-wide reporting requirements included in Section 1512 of the American Recovery and Reinvestment Act (ARRA) of 2009.

#### **About ARRA Section 1512 Reporting**

Section 1512 of ARRA requires reports on the use of ARRA funding by recipients no later than the 10<sup>th</sup> day after the end of each calendar quarter. The first reporting deadline is **October 10, 2009**. Aimed at providing transparency on the use of ARRA funds, Section 1512 requires quarterly grantee reports that include the following information:

- Total amount of funds received; and of that the amount spent on projects and activities;
- A list of those projects and activities funded by name to include:
  - Description
  - Completion Status
  - Estimates of jobs created retained; and
- Details of sub-awards and other payments.

Prime recipients (States, Territories, and Tribes) of CCDF ARRA funds are responsible for reporting the information required by Section 1512. **Lead Agencies with ARRA awards of less than \$25,000 are not required to file a Section 1512 report.** Prime recipients may choose to delegate certain reporting requirements to sub-recipients (such as a county). If a Lead Agency chooses not to delegate sub-recipient reporting, the Lead Agency is required to report on the expenditures by their sub-recipient. Lead Agencies may not delegate jobs reporting to sub-recipients.

Both prime recipients and sub-recipients must report specific data elements associated with first-level vendors receiving payments of ARRA funds greater than \$25,000. Prime recipients and sub-recipients may not delegate reporting to vendors.

Lead Agencies may aggregate and report lump sums on 1) sub-awards to sub-recipients less than \$25,000; 2) sub-awards to individuals; and 3) payments to vendors less than \$25,000. Lead Agencies should provide a separate aggregate dollar total for each of the three categories.

Lead Agencies and those sub-recipients that have been designated reporting responsibilities must register on [www.FederalReporting.gov](http://www.FederalReporting.gov). Registration is currently open, and Lead Agencies are encouraged to register early. In order to register, one must

have an email address, a DUNS number, and be registered in the Central Contractor Registration (CCR). Information on obtaining a DUNS number and registering in CCR is available at [www.FederalReporting.gov](http://www.FederalReporting.gov).

Lead Agencies have three options for submitting reports into [www.FederalReporting.gov](http://www.FederalReporting.gov). These include:

1. **Online data entry in a Web browser:** The website provides a straightforward data entry form, available via the user's Web browser, for report data entry.
2. **Excel spreadsheet:** A Microsoft Excel spreadsheet is available for report submission. The user can download this spreadsheet, open the spreadsheet in Microsoft's Excel spreadsheet program, and fill it in. The spreadsheet can then be uploaded to the website with the user's browser at [www.FederalReporting.gov](http://www.FederalReporting.gov). The spreadsheet is "locked" to restrict modification of the spreadsheet and allow data entry only in the required fields.
3. **Custom software system extract in XML:** Organizations with sufficient technical experience may choose to submit a properly formatted Extensible Markup Language (XML) file for their report submission. A service for validating the structure of XML extracts will be available on [www.FederalReporting.gov](http://www.FederalReporting.gov) prior to the submission period to ensure extracts are properly formatted. Recipients are strongly encouraged to test their report structures prior to the reporting period.

This guide provides suggestions for completing the Section 1512 report through [www.FederalReporting.gov](http://www.FederalReporting.gov). The quality of data and timely submission of the reports is ultimately the responsibility of the Lead Agency.

### **About the CCDF Specific Guidance for ARRA Section 1512 Reporting**

This Guidance provides a CCDF specific data dictionary that walks through each data element included in Recipient Reporting Data Model v3.0 issued by OMB for the quarter ending September 30, 2009. Each piece of the dictionary includes the data element name, the OMB definition, and the CCB guidance. Data elements that will be completed by the system are in *italics*. Data elements that will need to be completed by the reporter are in **bold**.

In addition to the data dictionary, the following documents are attached:

- Attachment A: Jobs, including a worksheet on calculating the jobs created or retained
- Attachment B: Sub-recipients and vendors
- Attachment C: Key Reporting Dates
- Attachment D: Key Reporting Terms
- Attachment E: Frequently Asked Questions (FAQs)

**Recipient Data Elements - Data Dictionary<sup>1</sup>**

<b>OMB Data Element</b>	<b>OMB Definition</b>	<b><u>CCB Guidance</u></b>
<b>Funding Agency Code</b>	Numeric Code of Federal Agency that is responsible for funding/distributing the ARRA funds to recipients	ACF code: 7590
<i>Funding Agency Name</i>	Federal Agency name corresponding to the Federal Agency Code used.	SYSTEM PROVIDED  Administration for Children and Families
<b>Awarding Agency Code</b>	Numeric code of the agency that awarded and administering the award on behalf of the Funding Agency.	ACF code: 7590
<i>Awarding Agency Name</i>	The Federal Agency name corresponding to the Awarding Agency Code used.	SYSTEM PROVIDED  Administration for Children and Families
<b>Program Source (TAS)</b>	Agency Treasury Account Symbol (TAS) – Program Source	75-1516
<b>Award Number</b>	Federal Grant or Other Identifying Number Assigned by the awarding Federal Agency. For grants: agency assigned award number.	This information will be listed as the Document Number on the Notice of Grant Award Letter.  This field is case, space, and special character sensitive. It should be the same as it appears in the federal award document.
<b>Order Number</b>	This data element only applies to Contract.	This is an optional field and should be left blank by CCB grantees.
<b>Recipient DUNS Number</b>	Unique Identifier of Entity (DUNS No.) The prime recipient organization's 9 digit Data	More information, including how to get a DUNS Number is available at <a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a> . The same DUNS Number can be used for multiple reports.

<sup>1</sup> OMB "Transparency, Accountability, and Oversight," Recipient Reporting Data Model V3.0, Final for Quarter Ending 9/30/2009.

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	Universal Numbering System (DUNS).	
<i>Parent Duns Number</i>	Unique Identifier of Parent Organization / Company (DUNS No.)	SYSTEM PROVIDED
<i>Recipient Type</i>	This data element is inferred from CCR. The field inferred is “Business Type” in CCR.	SYSTEM PROVIDED
<b>CFDA Number</b>	The Catalog of Federal Domestic Assistance (CFDA) number is the number associated with the published description of Federal assistance program in the Catalog of Federal Domestic Assistance.	93.713 ARRA – Child Care and Development Block Grant
<b>Government Contracting Office Code</b>	The agency supplied code of the contracting office that executes the transaction.	This is an optional field that only applies to federally awarded contracts. CCB grantees should leave this field blank.
<i>Government Contracting Office Name</i>	The government contracting office name inferred from the government contracting office code used.	SYSTEM PROVIDED  This is an optional field that only applies to federally awarded contracts. The system will leave it blank.
<i>Recipient Legal Name</i>	Recipient Name and Address of Organization. The legal and DBA (Doing-Business-As) name of recipient organization and address, including zip code. This should be the same name and address that appears in recipient’s Central Contractor Registration profile.	SYSTEM PROVIDED
<i>Recipient DBA Name</i>		
<i>Recipient Address 1</i>		
<i>Recipient Address 2</i>		
<i>Recipient Address 3</i>		
<i>Recipient City</i>		
<i>Recipient State</i>		
<i>Recipient Zip Code</i>		

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
<i>Recipient Country</i>		
<b>Recipient Congressional District</b>		<p>Lead Agencies should provide Congressional District information for address listed above. Congressional District information can be found by entering state and zip code at <a href="https://writerep.house.gov/writerep/welcome.shtml">https://writerep.house.gov/writerep/welcome.shtml</a>. The two digit number after the state abbreviation is the only thing that should be included in this data element.</p> <p>For example, for the 16<sup>th</sup> District of Texas (TX-16), report 16.</p>
<b>Recipient Account Number (optional)</b>	<p>Recipient’s internal account number for project/award. The account number or any other identifying number assigned by the recipient to the award. This number is strictly for the recipient’s use only and is not required by the awarding Federal agency.</p>	<p>This field provides the Lead Agency a space to include an internal account number for their records. The field is optional.</p>
<b>Final Report</b>	<p>Final Project Report Indicator (i.e. no future reports) (Y or N) Check “Y” only if this is the final report for the project/grant period specified.</p>	<p>-Y, if final report (once all ARRA funds are liquidated) -N, if not final report</p>
<b>Award Type</b>	<p>Transaction Type – Grant, Loan, or Federally Awarded Contract</p> <p>Other types of federal financial assistance not specifically identified above should be</p>	<p>Grant</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	reported under the award type of Grant.	
<b>Award Date</b>	Award Date (Date Signed)	April 9, 2009 04/09/2009
<b>Award Description</b>	<b>For Grants and Loans:</b> Award title and description with purpose of each funding action if any. The description should capture the overall purpose of the award. For example, “community development,” “comprehensive community mental health services to adults with a serious mental illness,” etc.	Lead Agencies should use the following standard language to complete this data element:  <i>“Title: ARRA Supplemental Funding for the Child Care and Development Fund (CCDF); Description: Provide child care financial assistance to low-income working families and fund activities to improve the quality of child care.”</i>  The <b>Project Description</b> field will provide space to elaborate on details, goals, and measurements related to ARRA funded activities.
<b>Project Name or Project/Program Title</b>	The brief descriptive title of the project or activity funded in whole or in part with Recovery funds.	Child Care and Development Fund (CCDF)
<b>Quarterly Activities/ Project Description</b>	<b>For Grants and Loans:</b> A description of the overall purpose and expected outputs and outcomes or results of the award and first-tier Sub-award(s), including significant deliverables and, if appropriate, units of measure. For an award that funds multiple projects such as a formula block grant, the purpose and outcomes or results may be stated	Lead Agencies should list all projects and activities funded wholly or in part using supplemental CCDF Discretionary ARRA funds. This should include policy changes that were made as a result of additional ARRA funds, such as increasing payment rates to child care providers.  This field also provides Lead Agencies the opportunity to report quantitative results, such as the specific number of children who did not lose subsidies or number of children removed from a waiting list. Lead Agencies should quantify the amount of ARRA funding (in dollar terms) for each activity, if possible.

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	in broad terms.	<p>Lead Agencies are encouraged to use the “standardized” broad descriptions below and to list additional categories or add details as needed.</p> <p>Examples of how Lead Agencies might describe projects/activities/policy changes funded in whole or in part using ARRA supplemental funds include:</p> <p>-Serving families by:</p> <ul style="list-style-type: none"> <li>• <i>Decreasing parental co-payments</i></li> <li>• <i>Increasing income eligibility limits</i></li> <li>• <i>Providing child care services to families on a waiting list</i></li> <li>• <i>Extending job search for families receiving child care assistance</i></li> <li>• <i>Increasing child care provider payment rates</i></li> </ul> <p>-Investing in infrastructure systems, such as:</p> <ul style="list-style-type: none"> <li>• <i>A time and attendance system</i></li> <li>• <i>A provider training registry</i></li> <li>• <i>An IT database system for case management</i></li> <li>• <i>An Electronic Benefits Transfer (EBT) system</i></li> </ul> <p>-Investing in quality initiatives, such as:</p> <ul style="list-style-type: none"> <li>• <i>Child care provider training and professional development opportunities</i></li> <li>• <i>Scholarships, bonuses, and other financial incentives to child care providers</i></li> <li>• <i>A new or enhanced quality rating and improvement system (QRIS)</i></li> <li>• <i>Enforcement of licensing or regulation standards</i></li> </ul>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
		<ul style="list-style-type: none"> <li>• <i>Grants, technical assistance, and supports to help providers meet standards</i></li> <li>• <i>Infant and Toddler network Specialists</i></li> </ul> <p>-Increasing access to child care information by:</p> <ul style="list-style-type: none"> <li>• <i>Translating child care brochures/materials for Limited-English proficient parents and provider</i></li> <li>• <i>Creating or updating consumer education materials</i></li> <li>• <i>Supporting Child Care Resource &amp; Referral agencies</i></li> </ul> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Served families by increasing income eligibility from 150% of Federal Poverty Level (FPL) to 200% FPL to serve 1000 additional children (\$5 million).</li> <li>• Invested in quality initiatives by providing bonuses to child care providers. The dollar amount of each bonus was based on the quality rating achieved by the provider (\$500,000).</li> </ul>
<b>Project Status</b>	<p>Evaluation of completion status of the project or activity. The status of the work that has been completed. This evaluation should be based on performance progress reports and other relevant non-financial performance information. Options for selection: Not started; Less than 50% completed; Completed 50% or more; Fully Completed.</p>	<p>Lead Agencies should indicate the completion status of the projects or activities described in the <b>Project Description</b> data element. The projects or activities should be considered as a package, rather than listing the completion status of each individual activity. The Lead Agency should use the categories below:</p> <ul style="list-style-type: none"> <li>-Not started</li> <li>-Less than 50% completed</li> <li>-Completed 50% or more</li> <li>-Fully Completed</li> </ul>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	For awards funding multiple projects such as formula block grants, provide your best estimate of completion of all projects based on any aggregate data and information.	
<b>Activity Code (NAICS or NTEE-NPC)</b>	Description of Project or Activity (NAICS code(s) or NTEE-NPC code(s)). For awards primarily funding infrastructure projects or activities, as defined by the awarding agency, provide the North American Industry Classification System (NAICS) code(s) that described the Recovery Act projects or activities under this award. A searchable code list is at <a href="http://www.census.gov/naics/">http://www.census.gov/naics/</a> . For all other awards, provide the National Center for Charitable Statistics "NTEE-NPC" code(s) that describe the Recovery Act projects or activities under this award. A searchable code list is <a href="http://nccsdataweb.urban.org/PubApps/nteeSearch.php?gQry=all-core&amp;codeType=NPC">http://nccsdataweb.urban.org/PubApps/nteeSearch.php?gQry=all-core&amp;codeType=NPC</a>	NTEE-NPC Code: P02.03- Child Care
<i>Activity description</i>	Description of the Activity Code for NAICS or NTEE-NPC.	SYSTEM PROVIDED (Inferred from Activity Code above.)

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
<p><b>Number Of Jobs</b></p>	<p>Jobs created and retained. An estimate of the number of jobs created and jobs retained in the United States and outlying areas. At a minimum, this estimate shall include any new positions created and any existing filled positions that were retained to support or carry out Recovery Act projects, activities, or federally awarded contracts managed directly by the recipient or federal contractor. For grants and loans, the number shall include the number of jobs created and retained by sub recipients and vendors. The number shall be express as “full-time equivalent” (FTE), calculated cumulatively as all hours worked divided by the total number of hours in a full-time schedule, as defined by the recipient or federal contractor.</p> <p>For instance, two full-time employees and one part-time employee working half days would be reported as 2.5 FTE in each calendar quarter. A job cannot be reported as both created and retained. As used in this</p>	<p>Lead Agencies are asked to provide an estimate of the number of <i>direct</i> jobs created and jobs retained through supplemental ARRA funding. A job cannot be counted as both created and retained. Lead Agencies should include jobs created or retained at the prime recipient (State, Territory, or Tribe), sub-recipient, and vendor level whenever possible.</p> <p>This number should be expressed as a “full-time equivalent” (FTE). FTE is calculated as total hours worked in jobs created or retained divided by the total number of hours in a full-time schedule, as defined by the Lead Agency.</p> <p>See <i>Attachment A: Jobs</i> for more details on calculating number of jobs created or retained and more details on converting them into FTE estimates.</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	<p>instruction, United States means the 50 States and the District of Columbia, and outlying areas means-</p> <ul style="list-style-type: none"> <li>(1) Commonwealths.                             <ul style="list-style-type: none"> <li>(i) Puerto Rico.</li> <li>(ii) The Northern Mariana Islands;</li> </ul> </li> <li>(2) Territories.                             <ul style="list-style-type: none"> <li>(i) American Samoa.</li> <li>(ii) Guam.</li> <li>(iii) U.S. Virgin Islands; and</li> </ul> </li> <li>(3) Minor outlying islands.                             <ul style="list-style-type: none"> <li>(i) Baker Island.</li> <li>(ii) Howland Island.</li> <li>(iii) Jarvis Island.</li> <li>(iv) Johnston Atoll.</li> <li>(v) Kingman Reed.</li> <li>(vi) Midway Islands</li> <li>(vii) Navassa Island.</li> <li>(viii) Palmyra Atoll.</li> <li>(ix) Wake Atoll.</li> </ul> </li> </ul>	
<p><b>Description of Jobs Created</b></p>	<p>A narrative description of the employment impact of the Recovery Act funded work. This narrative is cumulative for each calendar quarter and at a minimum, will address the impact on the recipient's or federal contractor's workforce (for grants</p>	<p>Narrative Description</p> <p>Lead Agencies should include a brief description of the types of jobs directly created/retained with supplemental ARRA funding. This description may rely on job titles, broader labor categories, or the Lead Agency's existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work.</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	<p>and loans, recipients shall also include the impact on the workforces of sub recipients and vendors).</p> <p>At a minimum, provide a brief description of the types of jobs created and jobs retained in the United States and outlying areas. “Jobs or positions created” means those new positions created and filled, or previously existing unfilled positions that are filled, as a result of Recovery Act funding. “Jobs or positions retained” means those previously existing filled positions that are retained as a result of Recovery Act funding. This description may rely on job titles, broader labor categories, or the recipient’s existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work.</p> <p>ALTERNATE METHOD FOR GRANT AND LOAN RECIPIENTS: In those circumstances where the recipient employs an approved statistical</p>	<p>Child care plays an important role as a service that supports employment for working parents (See Schaefer, Kreader, and Collins <i>Parental Employment and the Use of Child Care Subsidies</i> 2006 <a href="http://researchconnections.org/SendPdf?resourceId=8725">http://researchconnections.org/SendPdf?resourceId=8725</a>). Lead Agencies are encouraged to include available data regarding parental employment in the <b>Description of Jobs Created</b> field. However, these figures should not be included in the calculation of <b>Number Of Jobs</b> field. Lead Agencies may also include information about the number of provider jobs supported through ARRA funded certificates/vouchers. However, these are indirect jobs and should not be included in the <b>Number of Jobs</b> field.</p> <p>Lead Agencies may not employ a statistical method to determine the number of jobs created or retained.</p> <p>See <i>Attachment A: Jobs</i> for additional information and examples.</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	methodology to generate estimates of job impact, thereby collecting data from a smaller subset of sub-recipients and vendors in order to extrapolate an estimate of job impact to all applicable sub-recipients and vendors, the recipient must provide a description of the methodology used.	
<b>Amount of Award</b>	<b>For Grants:</b> The total amount of Federal dollars on the award	Lead Agencies should list the total ARRA federal funding amount listed on the award document.
<b>Total Federal Amount ARRA Funds Received/Invoiced</b>	<b>For Grants and Loans:</b> The amount of Recovery Act funds received through draw-down, reimbursement or invoice.	Lead Agencies should include the dollar amount of ARRA funds that have been drawn-down by the CCDF Lead Agency through the Payment Management System (PMS). The Lead Agency may choose to contact its fiscal office in order to complete this data element.
<b>Total Federal Amount of ARRA Expenditure</b>	Amount of recovery funds received that were expended to projects or activities (“Federal Share of Expenditures”). The cumulative total for the amount of Federal fund expenditures. For reports prepared on a cash basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense charged; the value of third-party in-kind contributions applied; and the amount of cash advance	Lead Agencies should indicate the total cumulative amount of CCDF ARRA funds that have been expended (liquidated) through the end of the reporting quarter. <b>For States and Territories</b> , this amount should equal the amount reported on the Lead Agency’s ACF-696, Column E “ARRA” fund expenditures reported for the same quarter end date.  Total Federal Amount of ARRA Expenditure should not exceed the <b>Amount of Award</b> .

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	<p>payments and payments made to subcontractors and sub-awardees. For reports prepared on an accrual basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense incurred; the value of in-kind contributions applied; and the net increase or decrease in the amounts owed by the recipient for (1) goods and other property received; (2) services performed by employees, contractors, subcontractors, sub-awardees, and other payees; and (3) programs for which no current services or performance are required. Do not include program income expended.</p>	
<p><b>Total Federal ARRA Infrastructure Expenditure (Conditional)</b></p>	<p><b>This is for grants and loans only.</b> Total federal ARRA infrastructure expenditure</p>	<p>Lead Agencies should identify in this data element any expenditure of CCDF ARRA funds on infrastructure investments such as case management systems, professional development databases, or other IT systems costs for the CCDF program using ARRA funds. <b>States and Territories</b> may wish to refer to the ACF-696, Column E – 1(h)(1) Non-Direct Services “Systems” categorical line item. As with regular CCDF funds, supplemental ARRA funds can only be used for minor renovations, not construction or major renovations.</p> <p>Tribes may use funds for construction or major renovation upon</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
		<p>application and approval.</p> <p>Lead Agencies only need to complete this data element if ARRA funds were used for infrastructure projects.</p>
<p><b>Infrastructure Purpose and Rationale</b></p>	<p>Purpose and rationale of funds received for infrastructure investment with funds made available under the Recovery Act. Identify the purpose and explain how the infrastructure investment will contribute to one or more purposes of the Recovery Act: Purposes: (1) To preserve and create jobs and promote economic recovery. (2) To assist those most impacted by the recession. (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health. (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.</p>	<p>Lead Agencies should provide a narrative description and rationale for using CCDF ARRA funds to invest in infrastructure in the context of the stated purposes of the Recovery Act. For example, adopting EBT for tracking subsidies will increase economic efficiency by minimizing delays in payment to providers.</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>	
<b>Infrastructure Contact Name</b>	Name, phone number, address, and email address of the appropriate contact.		
<b>Infrastructure Contact Street Address 1</b>			
<b>Infrastructure Contact Street Address 2</b>			
<b>Infrastructure Contact Street Address 3</b>			
<b>Infrastructure Contact City</b>			
<b>Infrastructure Contact State</b>			
<b>Infrastructure State/Local Contact Zip Code + 4</b>			
<b>Infrastructure Contact Email</b>			
<b>Infrastructure Contact Phone</b>			
<b>Infrastructure Contact Extn</b>			
<b>Primary Place of Performance- Street Address 1 (optional)</b>	Recipient Primary Place of Performance (city, state, congressional district, and country) physical location of primary place of performance	The Lead Agency should list the municipality impacted by the largest portion of the ARRA funds. In the event that it is not possible to determine a single place, the Lead Agency should list the capitol (or headquarters) of the State, Territory, or Tribe for the primary place of performance.	
<b>Primary Place of Performance- Street Address 2 (optional)</b>			
<b>Primary Place of Performance- State</b>			Street Address is optional.
<b>Primary Place of Performance- Country</b>			Lead Agencies must provide Congressional District information for Primary Place of Performance. Congressional District information can

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
<p><b>Primary Place of Performance- Zip Code + 4</b></p> <p><b>Primary Place of Performance- City</b></p> <p><b>Primary Place of Performance- Congressional District</b></p>		<p>be found by entering state and zip code at <a href="https://writerep.house.gov/writerep/welcome.shtml">https://writerep.house.gov/writerep/welcome.shtml</a>. The two digit number after the state abbreviation is the only thing that should be included in this data element. For example, for the 16<sup>th</sup> District of Texas (TX-16), report 16.</p>
<p><b>Prime Recipient indication of reporting applicability</b></p>	<p>Names and total compensation of each of the five most highly compensated officers of the recipient for the calendar year in which the award is awarded if-</p> <p>(i) In the recipient’s preceding fiscal year, the recipient received-</p> <p>(A) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and</p> <p>(B) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and</p> <p>(ii) The public does not have access to information about the</p>	<p>Yes or No Field. The Lead Agency should answer Yes if all of these conditions apply. If all of them do not apply, answer No.</p> <p>In this field, Lead Agencies should use the criteria provided in the OMB definition to determine if they need to report the names and compensation of the five most highly compensated officers.</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	<p>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.S. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.</p>	
<p><b>Prime Recipient Highly Compensated Name (5) (conditional)</b></p>	<p>Name each of the five most highly compensated officers of the recipient for the calendar year in which the award is awarded if-</p> <p>(i) In the recipient’s preceding fiscal year, the recipient received-</p> <p>(A) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and</p> <p>(B) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and</p> <p>(ii) The public does not have access to information about the compensation of the senior executives through periodic</p>	<p>This is a conditional field based on the “Prime Recipient indication of reporting applicability” data element.</p> <p>If the Lead Agency answered Yes in that field, then this data element must be completed. If the Lead Agency answered No, then this element can be left blank.</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	<p>reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.S. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.</p>	
<p><b>Prime Recipient Highly Compensated Compensation (5) (conditional)</b></p>	<p>For the five most highly compensated officers of the recipient: total compensation. “Total compensation” is defined for <b>Grants and Loans</b>: “Total compensation” 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)):</p> <ul style="list-style-type: none"> <li>(i) Salary and bonus.</li> <li>(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.</li> <li>(iii). Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executive,</li> </ul>	<p>This is a conditional field based on the “Prime Recipient indication of reporting applicability” data element.</p> <p>If the Lead Agency answered Yes in that field, then this data element must be completed. If the Lead Agency answered No, then this element can be left blank.</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	<p>and are available generally to all salaried employees.</p> <p>(iv). Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.</p> <p>(v). Above-market earnings on deferred compensation which are not tax-qualified.</p> <p>(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.</p>	
<b>Total Number of Sub-awards to individuals</b>	Total number of Sub-awards to individuals.	Enter the number of sub-awards (such as grants and contracts) to individuals. CCDF certificates/vouchers do not count as sub-awards to individuals. Therefore, in most instances the number in the field will be zero (0).
<b>Total Amount of Sub-Awards to individuals</b>	Total amount of sub-awards to individuals.	Enter the number of sub-awards (such as grants and contracts) to individuals. CCDF certificates/vouchers do not count as sub-awards to individuals. Therefore, in most instances the number in the field will be zero (0). However, all expenditures on certificates/vouchers must be included in the <b>Total Federal Amount of ARRA Expenditure</b> data element.
<b>Total Number of payments to vendors less than \$25,000/award</b>	<b>For Grants and Loans Only</b> Total number of payments to vendors less than \$25,000.	The Lead Agencies should report the total number of payments to vendors valued less than \$25,000. Multiple payments to the same vendor should count as separate awards.

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
		See <i>Attachment B: Sub-recipients and vendors</i> for more information on how to categorize an organization.
<b>Total Amount of payments to vendors less than \$25,000/award</b>	<b>For Grants and Loans Only</b> Total amount of payments to vendors less than \$25,000/award for the reporting quarter.	The Lead Agencies should report the total dollar amount of payments to vendors valued less than \$25,000. If multiple payments were made to the same vendor, as long as they were each under \$25,000 even if the total is greater than \$25,000, should be included in this field. They do not have to be reported out separately.
<b>Total Number of Sub-Awards less than \$25,000/award</b>	Total number of sub-awards less than \$25,000	Lead Agencies should report the total number of sub-awards to sub-recipients valued less than \$25,000. Multiple sub-awards to the same recipient should count as separate awards  See <i>Attachment B: Sub-recipients and vendors</i> for more information on how to categorize an organization.
<b>Total Amount of Sub-awards less than \$25,000/award</b>	Total Amount of sub-awards less than \$25,000/award for the reporting quarter.	Lead Agencies should report the total dollar value of sub-awards to sub-recipients valued less than \$25,000 per award in the reporting quarter. Multiple sub-awards to the same sub-recipient should count as separate awards.  See <i>Attachment B: Sub-recipients and vendors</i> for more information on how to categorize an organization.
<b>SUB RECIPIENT DATA ELEMENTS</b> (See <i>Attachment B: Sub-recipients and vendors</i> for more information on how to categorize an organization.)		
<b>Sub Recipient DUNS number</b>	The sub recipient organization’s 9-digit Data Universal Numbering System (DUNS) number.	More information, including how to get a DUNS Number is available at <a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a> . The same DUNS Number can be used for multiple reports.
<b>Sub-award Number</b>	Sub-award Number or Other Identifying Number Assigned by the Recipient Entity	This number is assigned by the prime recipient, the State, Territory, or Tribe, and will likely be found on the award letter or contract.

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
<i>Sub Recipient Legal Name</i>	The legal name of sub recipients as registered in CCR or D&B	SYSTEM PROVIDED  This field is system provided based on what is in CCR or D&B.
<i>Sub recipient DBA Name</i>	The Doing-Business-As (DBA) name of sub recipient as registered in CCR or D&B	SYSTEM PROVIDED  This field is system provided based on what is in CCR or D&B.
<i>Sub recipient Address 1</i>	Sub recipient Location. Physical location as listed in the Central Contractor Registration (CCR).	SYSTEM PROVIDED
<i>Sub recipient Address 2</i>		
<i>Sub Recipient Address 3</i>		
<i>Sub Recipient City</i>		
<i>Sub Recipient State</i>		
<i>Sub Recipient Zip code+4</i>		
<i>Sub recipient Country</i>		
<b>Sub Recipient Congressional District</b>	Congressional District of sub recipient's physical location.	Provide Congressional District information for address listed above. Congressional District information can be found by entering state and zip code at <a href="https://writerep.house.gov/writerep/welcome.shtml">https://writerep.house.gov/writerep/welcome.shtml</a> . The two digit number after the state abbreviation is the only thing that should be included in this data element. For example, for the 16 <sup>th</sup> District of Texas (TX-16), report 16.
<i>Sub Recipient Type</i>	This data element is inferred from CCR. The field inferred is "Business Type" in CCR.	SYSTEM PROVIDED
<b>Amount of Sub-award</b>	The anticipated amount of funds to be disbursed to the sub-awardee over the life of the award.	Total amount of sub-award.
<b>Total Sub-award Funds Disbursed</b>	<b>For Grants and Loans Only.</b> Amount of Sub-award disbursed. The cumulative amount of cash disbursed to the sub-awardee as of	Cumulative dollar value of amount that has been received by sub-recipient at time of reporting. The funds do not have to have been liquidated yet, just received.

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	the reporting period end date.	
<b>Sub-award Date</b>	Sub-award Date. The data the Sub-award was signed (yyyymmdd).	This date is on the sub-award document. For example, July 1, 2009 would read 20090701.
<b>Sub recipient Primary Place of Performance-Street Address 1 (optional)</b>	Sub recipient Place of Performance (city, state, congressional district and country). The physical location of primary place of performance.	Address of physical location of Primary Place of Performance. Street address is optional.
<b>Sub recipient Primary Place of Performance-Street Address 2 (optional)</b>		
<b>Sub recipient Place of Performance- State</b>		
<b>Sub recipient Place of Performance- Country</b>		
<b>Sub recipient Place of Performance- Zip code+4</b>		
<b>Sub recipient indication of reporting applicability</b>	<p>Names and total compensation of each of the five most highly compensated officers of the sub recipient for the calendar year in which the award is awarded if-</p> <p>(i) In the sub recipient’s preceding fiscal year, and the sub recipient received-</p> <p>(A) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative</p>	<p>This is a Yes or No field. Enter Yes if all of the conditions in the definition apply to the sub-recipient and report in the highly compensated field. If all of the conditions do not apply, then enter No and do not answer highly compensated field.</p> <p>In this field, sub-recipients should use the criteria provided in the OMB definition to determine if they need to report the names and compensation of the five most highly compensated officers.</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	<p>agreements; and                      (B) \$25,000,000 or more in annual gross revenues from Federal contracts (and subgrants) 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.</p>	
<p><b>Sub recipient Highly Compensated Name (5) (conditional)</b></p>	<p>Names of each of the five most highly compensated officers of the sub recipient for the calendar year in which the award is awarded if-</p> <p>(i) In the sub recipient’s preceding fiscal year, the sub recipient received-</p> <p>(A) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and                      (B) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans,</p>	<p>This is a conditional field and only needs to be completed if reporting recipient or sub recipient answered “Yes” in the applicability data element.</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	<p>grants (and subgrants) 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.</p>	
<p><b>Sub recipient Highly Compensated Compensation (5) (conditional)</b></p>	<p>For the five most highly compensated officers of the sub recipient: total compensation. “Total compensation” is defined for</p> <p><b>Grants and Loans:</b></p> <p>“Total Compensation” 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)):</p> <ul style="list-style-type: none"> <li>i. Salary and bonus.</li> <li>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</li> </ul>	<p>Total value of compensation.</p> <p>This is a conditional field and only needs to be completed if reporting recipient or sub recipient answered “Yes” in the applicability data element.</p>

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	<p>123R.</p> <p>iii. Earnings for services under non-equity 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.</p> <p>iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.</p> <p>v. Above-market earnings on deferred compensation which are not tax-qualified.</p> <p>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.</p>	
<b>VENDOR DATA ELEMENTS</b> (See <i>Attachment B: Sub-recipients and vendors</i> for more information on how to categorize an organization.)		
<b>Award Number-Prime Recipient Vendor</b>	<b>For Grants and Loans Only:</b> Identifying Number Assigned by the prime recipient	Complete this field if submitting Prime Recipient (State, Territory, or Tribe) vendor information.
<b>Sub-award Number-Sub recipient Vendor</b>	<b>For Grants and Loans Only:</b> Award Number or other	Complete this field if submitting sub recipient vendor information.

OMB Data Element	OMB Definition	<u>CCB Guidance</u>
	identifying number assigned by the sub-recipient	
<b>Vendor DUNS Number</b>	<b>For Grants and Loans Only:</b> Vendor Duns Number. The vendor's 9 digit Data Universal Numbering System (DUNS) number.	More information, including how to get a DUNS Number is available at <a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a> . The same DUNS Number can be used for multiple reports. If DUNS is unavailable, must provide vendor's zip code and vendor name.
<b>Vendor HQ Zip Code+4</b>	<b>For Grants and Loans Only:</b> The zip code of the Vendor's headquarters	Vender Headquarters zip code is required if DUNS number is unavailable.
<b>Vendor Name</b>	<b>For Grants and Loans Only:</b> The name of the vendor.	Vendor Name if DUNS number is unavailable.
<b>Product and Service Description</b>	<b>For Grants and Loans Only:</b> A description of the product and/or service provided by the vendor. This field is optional for vendors of sub-recipients.	Very brief description of product and/or service provided by vendor. Sub recipients are not required to report this information for their vendors.
<b>Payment Amount</b>	<b>For Grants and Loans Only:</b> The amount invoiced to the vendor (aggregated) that will be paid with ARRA funds. This field is optional for vendors of sub-recipients.	Aggregate dollar amount invoiced to the vendor. Sub-recipients are not required to report this information for their vendors.

## Attachment A: Jobs

This attachment provides detailed information about counting and reporting the number of jobs created or retained due to funds provided by the American Recovery and Reinvestment Act (ARRA) of 2009.

### **Jobs Created or Retained**

In the data elements **Number of Jobs** and **Description of Jobs Created**– Lead Agencies are asked to report on jobs *directly* created or retained as a result of ARRA funding. These may include:

- Staff positions within the State, Territorial, or Tribal government; and
- Jobs created or retained directly through subawards to sub-recipients and vendors.

A job cannot be counted as both created and retained. Lead Agencies do not need to differentiate between jobs created and jobs retained for the **Number of Jobs** field. Instead, Lead Agencies should report the total number of jobs funded through ARRA.

Lead Agencies should not report under the **Number of Jobs** data element the number of jobs for parents that were created or retained through the provision of child care subsidies to families. While subsidies often support a parent’s ability to obtain/maintain employment, OMB guidance instructs that this data element is not intended to capture indirect or induced job creation/retention. However, Lead Agencies may report any available information on parental jobs in the **Description of Jobs Created** narrative data element.

Lead Agencies should not report under the **Number of Jobs** data element the number of child care provider jobs that were created or retained through payments of certificates/vouchers. These jobs are considered indirect jobs. However, Lead Agencies may report any available information on child care provider jobs funded by certificates/vouchers in the **Description of Jobs Created** narrative data element.

Examples of job descriptions that may be counted in the **Number of Jobs** data element and may be used in the **Description of Jobs Created** data element are:

- Administrative jobs
- Eligibility determination workers
- Licensors/inspectors
- Trainers
- Technical assistance providers
- Child care providers
- Other

### **Full-Time Equivalent (FTE)**

Jobs must be reported in terms of Full-Time Equivalent (FTE).

FTE is calculated by adding the total ARRA funded hours worked by all employees in the quarter, and dividing by the total hours in a full-time schedule.

FTE Example

- Assume that a recipient is preparing its first quarterly report and the recipient’s ARRA dollars funded two full-time employees and one part-time employee working half days for the quarter.
- Also assume that the recipient’s full-time schedule for the quarter is 520 hours (2080 hours in a work-year divided by 4).
- To convert hours worked to number of FTE for the first quarterly report, aggregate all hours worked and divide by the number of hours in a full-time schedule for the quarter.
- In this example, full-time hours worked (520 hrs x 2 employees = 1040) + part-time hours worked (260) / number of hours in a full-time schedule for the quarter (520 hours) = 2.5 FTE reported in the first quarterly report ((1040+260)/520=2.5).
- Because hours worked are reported cumulatively each quarter, this same number of FTE would be reported for the second quarter if the same number of employees worked the same number of hours.

The table below shows the FTE calculations through the lifecycle of the above example.

**Table 1. Full-Time Equivalent (FTE) Table**

Year	2009		2010			
Period	3 <sup>rd</sup> Qtr	4 <sup>th</sup> Qtr	1 <sup>st</sup> Qtr	2 <sup>nd</sup> Qtr	3 <sup>rd</sup> Qtr	4 <sup>th</sup> Qtr
<b>Full-time schedule</b>	<b>520</b>	<b>1040</b>	<b>1560</b>	<b>2080</b>	<b>2600</b>	<b>3120</b>
Full-time employee 1	520	1040	1560	2080	2600	3120
Full-time employee 2	520	1040	1560	2080	2600	3120
Part-time employee (half time)	260	520	780	1040	1300	1560
Temporary employee (650 hours)	0	0	130	390	650	650
<b>Total hours worked</b>	<b>1300</b>	<b>2600</b>	<b>4030</b>	<b>5590</b>	<b>7150</b>	<b>8450</b>
FTE (Total hours worked/full-time schedule)	2.50	2.50	2.58	2.69	2.75	2.71

Additional Notes regarding FTE

- As shown in the example above, temporary employees should be included in the calculations.
- Paid vacation and sick time should also be included in the calculation, as long as the person would have been on the ARRA funded project.
- The Quarterly FTE is based on cumulative number of hours worked. However, when reporting FTE in the **Number of Jobs** data element, do not add the new FTE to the figure reported the

previous quarter. Simply enter the newly-calculated FTE. This rule helps to avoid double counting of jobs.

### **State, Territorial, and Tribal Government Positions**

States, Territories, or Tribes may choose to hire or retain staff with funds provided through ARRA. Any staff work hours funded with ARRA dollars should be included in the direct jobs count reported in the **Number of Jobs** data element. Tribes should also include child care work hours at tribally-operated child care centers. Work hours used for administering parts of ARRA but not funded by ARRA should not be included in the **Number of Jobs** data element.

### **Sub-recipients and Vendors**

On a quarterly basis, the Lead Agency needs to collect information from sub-recipients and vendors about jobs created and retained and has discretion for determining the method of collection. Lead Agencies cannot delegate jobs reporting to sub-recipients<sup>2</sup>.

To collect information on the number of jobs created or retained through ARRA funds, the Lead Agency may choose to:

- Contact a sub-recipient or vendor directly;
- Require sub-recipients and vendors to provide information as a condition of funding;
- Use personnel records from Counties and other sub-recipients; and/or,
- Use invoices from vendors which include the number of hours worked during the invoice period.

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<sup>2</sup> OMB Guidance Memorandum 09-21 “Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009” (June 22, 2009), p. 34 states, “Recipients of grants, cooperative agreements, and loans, must include in the aggregate number and their narrative description an estimate of the number of jobs created or retained on projects and activities managed by their funding recipients.”  
[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21.pdf)

**Worksheet for Calculating Jobs Created or Retained**

The purpose of this worksheet is to provide Lead Agencies with a tool for calculating the number of jobs created or retained with ARRA funds, as well as to collect information on the types of jobs created or retained. The use of this worksheet is optional, and Lead Agencies may modify it to fit their needs.

**Quarter Ending:** \_\_\_\_\_  
MM/DD/YYYY

**Section 1. Calculating Full-Time Equivalent (FTE).** Complete each field to calculate the Full-Time Equivalent (FTE) of the estimated number of jobs created and retained for each job type.

**Table 1. State, Territory, and Tribal Government Jobs**

<b>A.</b>	<b>Number of ARRA funded State, Territory, or Tribal government work hours.</b>	
<b>B.</b>	<b>Number of hours in a full-time schedule for State, Territory, or Tribal jobs.</b> Because this field is cumulative, use the figure that corresponds to the number of quarters in the reporting period. Refer to Table 10 for suggested figures.	
<b>C.</b>	<b>Number of State, Territory, or Tribal FTEs.</b> Divide the value in Line A by the value in Line B of this table.	

**Table 2. Child Care Provider Jobs from Grants/Contracts**

<b>A.</b>	<b>Number of Child Care Provider work hours from ARRA funded grants/contracts.</b>	
<b>B.</b>	<b>Number of hours in a full-time schedule for child care providers funded by grants/contracts.</b> Because this field is cumulative, use the figure that corresponds to the number of quarters in the reporting period. Refer to Table 10 for suggested figures.	
<b>C.</b>	<b>Number of Child Care Provider FTEs funded by grants/contracts.</b> Divide the value in Line A by the value in Line B of this table.	

**Table 3. Local Government Jobs**

<b>A.</b>	<b>Number of local government work hours.</b>	
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<b>B.</b>	<b>Number of hours in a full-time schedule for local government jobs.</b> Because this field is cumulative, use the figure that corresponds to the number of quarters in the reporting period. Refer to Table 10 for suggested figures.	
<b>C.</b>	<b>Number of local government FTEs.</b> Divide the value in Line A by the value in Line B of this table.	

**Table 4. Resource and Referral Agency Jobs**

<b>A.</b>	<b>Number of resource and referral agency work hours.</b>	
<b>B.</b>	<b>Number of hours in a full-time schedule for resource and referral agency jobs.</b> Because this field is cumulative, use the figure that corresponds to the number of quarters in the reporting period. Refer to Table 10 for suggested figures.	
<b>C.</b>	<b>Number of resource and referral agency FTEs.</b> Divide the value in Line A by the value in Line B of this table.	

**Table 5. Eligibility Determination and Administration Jobs**

<b>A.</b>	<b>Number of eligibility determination and administration work hours.</b>	
<b>B.</b>	<b>Number of hours in a full-time schedule for eligibility determination and administration jobs.</b> Because this field is cumulative, use the figure that corresponds to the number of quarters in the reporting period. Refer to Table 10 for suggested figures.	
<b>C.</b>	<b>Number of eligibility determination and administration FTEs.</b> Divide the value in Line A by the value in Line B of this table.	

**Table 6. Quality Improvement Jobs**

<b>A.</b>	<b>Number of quality improvement work hours.</b>	
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<b>B.</b>	<b>Number of hours in a full-time schedule for quality improvement jobs.</b> Because this field is cumulative, use the figure that corresponds to the number of quarters in the reporting period. Refer to Table 10 for suggested figures.	
<b>C.</b>	<b>Number of quality improvement FTEs.</b> Divide the value in Line A by the value in Line B of this table.	

**Table 7. Research, Evaluation, and Other Related Jobs**

<b>A.</b>	<b>Number of work hours for research, evaluation, and other related activities.</b> One example would be the market rate survey.	
<b>B.</b>	<b>Number of hours in a full-time schedule for research and evaluation jobs.</b> Because this field is cumulative, use the figure that corresponds to the number of quarters in the reporting period. Refer to Table 10 for suggested figures.	
<b>C.</b>	<b>Number of research and evaluation FTEs.</b> Divide the value in Line A by the value in Line B of this table.	

**Table 8. Other Jobs**

<b>A.</b>	<b>Other work hours not included in any of the above categories.</b>	
<b>B.</b>	<b>Number of hours in a full-time schedule for other jobs.</b> Because this field is cumulative, use the figure that corresponds to the number of quarters in the reporting period. Refer to Table 10 for suggested figures.	
<b>C.</b>	<b>Number of other FTEs.</b> Divide the value in Line A by the value in Line B of this table.	

**Section 2. Calculating Number of Jobs Created or Retained.** Complete the fields with the FTEs calculated in Section 1. The final sum should be entered in the **Number of Jobs** data element.

**Table 9. Total FTEs**

<b>A.</b>	<b>Number of State, Territory, or Tribal FTEs.</b> From Table 1, Line C.	
<b>B.</b>	<b>Number of Child Care Provider FTEs funded by grants/contracts.</b> From Table 2, Line C.	
<b>C.</b>	<b>Number of local government FTEs.</b> From Table 3, Line C.	
<b>D.</b>	<b>Number of resource and referral agency FTEs.</b> From Table 4, Line C.	
<b>E.</b>	<b>Number of eligibility determination and administration FTEs.</b> From Table 5, Line C.	
<b>F.</b>	<b>Number of quality improvement FTEs.</b> From Table 6, Line C.	
<b>G.</b>	<b>Number of research and evaluation FTEs.</b> From Table 7, Line C.	
<b>H.</b>	<b>Number of other FTEs.</b> From Table 8, Line C.	
<b>I.</b>	<b>Total Number of ARRA funded FTEs.</b> Sum Line A through Line I of this table.  *This value should be entered in the <b>Number of Jobs</b> data element.*	

The table below provides the number of hours in a full-time schedule based on a 40-hour work week to assist in calculating ARRA funded FTEs. Use appropriate number of hours if full-time is defined differently for the position being considered.

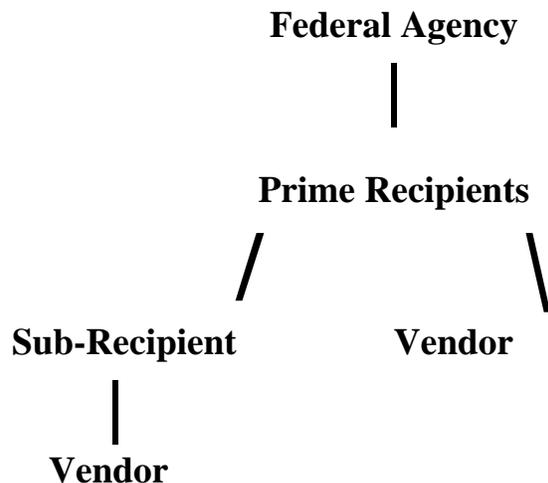
**Table 10: Number of Hours in a Full-time Schedule for Line B of Each Table.**

<b>Number of Quarters</b>	<b>Number of Hours in Full-time Schedule</b>
1	520
2	1040
3	1560
4	2080
5	2600
6	3120
7	3640
8	4160
9	4680
10	5200

## Attachment B: Sub-recipients and Vendors

Prime Recipients (States, Territories, and Tribes) of ARRA funds may provide funds through grants or contracts to **sub-recipients**, **vendors**, and **individuals**. This attachment provides an explanation of each type of awardee and differentiates each for purposes of Section 1512 reporting.

The illustration below demonstrates the basic framework for prime recipient and sub-recipient reporting.



### Sub-Recipients

A **sub-recipient** is a non-Federal entity that expends Federal awards received from another entity to carry out a Federal program but does not include an individual who is a beneficiary of such a program<sup>3</sup>.

The terms and conditions of the Federal award are carried forward to the **sub-recipient**. It is possible that a sub-recipient for one award may also be a prime recipient of another Federal award provided directly from the Federal Government.<sup>4</sup> **Sub-recipients** that receive all or a portion of Recovery funding from a prime recipient may be delegated the responsibility by the prime recipient to report information into the central reporting solution at [www.FederalReporting.gov](http://www.FederalReporting.gov). This reporting requirement only extends to first-level **sub-recipients**, those that have received a contract or grant directly from the Lead Agency. Second-level **sub-recipients** that receive contracts or grants from first-level **sub-recipients** are not subject to Section 1512 reporting requirements.

Per OMB Circular A-133 Section 210, the following characteristics indicate that an award was received by a **sub-recipient**<sup>5</sup>. The organization:

1. Determines who is eligible for Federal financial assistance;

<sup>3</sup> OMB Guidance Memorandum 09-21 “Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009” (June 22, 2009), p. 7.

[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21.pdf)

<sup>4</sup> Ibid.

<sup>5</sup> OMB Circular Number A-133 “Audits of States, Local Governments, and Non-Profit Organizations” (June 27, 2003).

<http://www.whitehouse.gov/omb/rewrite/circulars/a133/a133.html#b>

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.

An example of a **sub-recipient** of ARRA funds is a county that receives money from the Lead Agency to administer CCDF certificates/vouchers. Another example would be a child care provider contracted with the Lead Agency that is responsible for determining CCDF eligibility of applicants.

**Sub-recipients** of sub-awards greater than \$25,000 are subject to Section 1512 reporting requirements. Lead Agencies may choose to report for **sub-recipients** or delegate reporting to some or all of their **sub-recipients**. However, Lead Agencies may not delegate reporting of jobs created or retained at the **sub-recipient** level. Refer to the *Attachment A: Jobs* for more information on **sub-recipient** job reporting.

Lead Agencies may aggregate reporting on sub-awards of less than \$25,000 to **sub-recipients**.

## Vendors

A **vendor** is defined as a dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of a Federal program<sup>6</sup>. Also, 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.

**Vendors** are not subject to Section 1512 reporting requirements. However, Lead Agencies and their sub-recipients are required to report certain data elements about **vendors** receiving payments of greater than \$25,000. Specifically, prime recipients (States, Territories, and Tribes) are required to provide vendor DUNS number, zip code of the vendor headquarters, vendor name, a product and service description, and the payment amount.

Lead Agencies may aggregate reporting on payments to **vendors** of less than \$25,000. **Sub-recipients** do not need to report on payments to **vendors** of less than \$25,000.

An example of a **vendor** would be a child care center that the Lead Agency contracts with to provide slots to CCDF eligible children if the center does not determine eligibility and has slots available to other children, regardless of family income. Another example of a **vendor** would be a software company contracted to create a provider database for the Lead Agency.

## Individuals

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<sup>6</sup> OMB Guidance Memorandum 09-21 "Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009" (June 22, 2009), p. 7.  
[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21.pdf)

In general, **individuals** receiving benefit payments or other types of Federal awards are excluded from reporting information under Section 1512. Only **individuals** that are considered sole-proprietorships are subject to Section 1512 reporting<sup>7</sup>.

Lead Agencies must report an aggregate dollar total for awards (such as grants and contracts) made to **individuals**. Because families receiving CCDF certificates/vouchers are not considered **individual** awardees, the dollar amount used for certificates/vouchers should not be included in the aggregate dollar total for awards made to **individuals**. The dollar amount used for certificates/vouchers must be included in the value reported in the **Total Federal Amount of ARRA Expenditure** data element.

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<sup>7</sup> Ibid, p.8.

**Attachment C: Key Dates for ARRA Reporting**

<b>Date</b>	<b>Activity</b>
August 17	<ul style="list-style-type: none"> <li>• FederalReporting.gov goes live for registration</li> <li>• Helpdesk goes live</li> </ul>
October 1	<ul style="list-style-type: none"> <li>• Reporting begins at FederalReporting.gov</li> </ul>
October 10	<ul style="list-style-type: none"> <li>• First Section 1512 report due at 11:59:59 EDT through FederalReporting.gov</li> </ul>
October 11	<ul style="list-style-type: none"> <li>• Draft Section 1512 reports become available to public on Recovery.gov</li> </ul>
October 11-21	<ul style="list-style-type: none"> <li>• Lead Agencies review data submitted by sub-recipients</li> <li>• Lead Agencies and delegated sub-recipients make corrections to data</li> <li>• Federal Agencies may review data in “read-only” mode</li> </ul>
October 22-29	<ul style="list-style-type: none"> <li>• Federal Agency review and comment period</li> <li>• Lead Agencies and delegated sub-recipients make corrections</li> </ul>
October 30	<ul style="list-style-type: none"> <li>• Final reports published on Recovery.gov</li> </ul>

**Attachment D: Section 1512 Key Terms**

**Indirect Jobs:** Positions created or retained at materials suppliers and central service providers. Indirect jobs cannot be counted in the **Number of Jobs** data element.

**Inferred Jobs:** Positions created or retained elsewhere in the economy as increases in income from the direct government spending lead to additional spending by workers and firms. Inferred jobs cannot be counted in the **Number of Jobs** data element.

**Job, Created:** A new position created and filled or an existing unfilled position that is filled as a result of the Recovery Act.

**Job, Retained:** An existing position that would not have been continued to be filled were it not for Recovery Act funding.

**Prime Recipient:** 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. A CCDF Lead Agency is a prime recipient.

**Sub-recipient:** A non-Federal entity that expends Federal awards received from another entity to carry out a Federal program but does not include an individual who is a beneficiary of such a program. The terms and conditions of the Federal award are carried forward to the sub-recipient.

**Vendor:** A dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of a Federal program. Also, 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.

### **Attachment E: Frequently Asked Questions**

This attachment provides frequently asked questions (FAQs) that CCB has received from Lead Agencies, as well as information that has come from OMB regarding Section 1512 reporting. For additional FAQs regarding ARRA, visit [http://www.whitehouse.gov/omb/recovery\\_faqs/](http://www.whitehouse.gov/omb/recovery_faqs/).

#### **Certificates/Vouchers**

**Q:** Should certificates/vouchers to families be reported in the **Total Number of Sub-awards to individuals** and the **Total Amount of Sub-awards to individuals** data elements?

**A:** *No. Certificates/vouchers are not considered sub-awards. Lead Agencies are not required to report the number or aggregate dollar amount of certificates/vouchers funded with ARRA dollars. In most cases, it is unlikely that a Lead Agency will make sub-awards (such as grants and contracts) to individuals. Please note that the dollar amount spent on certificates/vouchers must be included in the value reported in the **Total Federal Amount of ARRA Expenditure** data element.*

#### **Targeted Funds**

**Q:** Do prime recipients (States, Territories, and Tribes) or sub-recipients need to report Targeted Funds (Quality and Infant/Toddler Quality Funds) separately as part of the Section 1512 report?

**A:** *No. The use of the infant/toddler funds and quality funds can be combined with any other ARRA funded activities in the same report. The prime recipient or sub-recipient may choose to separately discuss or distinguish spending from the Targeted funds in the narrative sections of the 1512 report.*

#### **General Reporting**

**Q:** Are CCDF Lead Agencies required to submit Section 1512 reports about ARRA expenditures?

**A:** *Yes. CCDF is listed in the Appendix of the OMB Guidance Memorandum 09-21 as a program that is subject to Section 1512 reporting. The complete list of programs subject to Section 1512 reporting is available here: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21-suppl.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21-suppl.pdf).*

**Q:** Can multiple individuals within our organization register as FederalReporting.gov users?

**A:** *Yes, multiple individuals within a Recipient organization can register as FederalReporting.gov users.*

**Q:** Are prime recipients (States, Territories, or Tribes) receiving awards under \$25,000 required to submit Section 1512 recipient reports into the FederalReporting.gov reporting solution?

**A:** *No. Prime recipients of ARRA funds for awards below the \$25,000 threshold are not required to submit recipient reports.*

#### **Jobs**

**Q:** Staff are administering and reporting on an ARRA project, but they are not being paid using ARRA funds. Do these jobs count as jobs created or retained through ARRA?

**A:** *No. Only jobs funded by ARRA should be included as jobs created or retained for purposes of 1512 reporting.*

Q: When considering which jobs have been retained or created, do we count the parent who has been able to retain her job because she received the child care certificate/voucher?

A: *No. This would be considered an indirect job and should not be included in the **Number of Jobs** data element.*

Q: Is there a data element where the number of parental jobs created or retained should be reported?

A: *There is not a specific data element asking for indirect jobs. However, Lead Agencies are encouraged to report whatever information they have regarding parental employment in the **Description of Jobs Created** data field.*

### **Sub-recipients and Vendors**

Q: Is a child care provider receiving ARRA funds through a grant or a contract directly with the Lead Agency (State, Territory, or Tribe) considered a sub-recipient or vendor subject to 1512 reporting?

A: *First, the Lead Agency makes a determination regarding whether the child care provider is a sub-recipient or a vendor in accordance with OMB Circular A-133, Section 210. For example, if the child care provider determines CCDF eligibility of applicants, then the provider likely would be classified as a sub-recipient. If the child care provider does not determine CCDF eligibility and has slots available to private-pay children, then the provider likely should be classified as a vendor.*

*If the child care provider is a sub-recipient, the provider is subject to 1512 reporting as a first-level sub-recipient.*

*If the child care provider is a vendor, then the limited data elements that apply to vendors must be included in the Section 1512 reports. Lead Agencies are required to report certain data elements about vendors receiving payments of greater than \$25,000, but may aggregate reporting on payments to vendors of less than \$25,000.*

Q: Is a child care provider receiving ARRA funds through a grant or a contract with a County (or other sub-recipient of the State, Territory, or Tribe) considered a sub-recipient or vendor subject to 1512 reporting?

A: *If the child care provider is a sub-recipient (under criteria in OMB Circular 133, Section 210), the provider is not subject to 1512 reporting. Only first-level sub-recipients are subject to 1512 reporting. In this instance, the provider is a second-level sub-recipient.*

*On the other hand, if the child care provider is a vendor (under criteria in OMB Circular A-133, Section 210), then the limited data elements that apply to vendors must be included in the Section 1512 reports. Sub-recipients (in this case, a County) are required to report certain data elements about vendors receiving payments of greater than \$25,000. Sub-recipients do not need to report on payments to vendors of less than \$25,000.*

Q: Is a child care provider funded through ARRA certificates/vouchers considered a sub-recipient or vendor?

A: *No. Child care providers funded through certificates/vouchers are not considered sub-recipients or vendors.*

Q: Are families that receive certificates/vouchers considered sub-recipients?

A: *No. Families that receive certificates/vouchers for child care are not considered sub-recipients.*

**ATTACHMENT C  
Subrecipient Report Form**

**Section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law 111-5**

*\*This form is draft and subject to change based on final Federal Requirements*

*This form is designed by New York State Office of Children and Family Services (OCFS) to capture data required for compliance with American Recovery and Reinvestment Act (ARRA) Reporting Requirements as set forth in Section 1512 of the ARRA of 2009 (Public Law 111-5). Please refer to the 'Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009', the corresponding supplements and the CCDF Guidance on Section 1512 Reporting Requirements for more detailed instructions. To facilitate this effort, a reference to the corresponding data element in the federal Recipient Reporting Data Model v3.0 is included as the title for each item. Social services districts are responsible for ensuring the use of the most recent federal reporting requirements and definitions. These requirements and the documents mentioned above can be found on [www.whitehouse.gov/omb](http://www.whitehouse.gov/omb).*

Reporting Period		
Enter the month and select the year of the reporting period.	MONTH	<input type="checkbox"/> 2009
	_____	<input type="checkbox"/> 2010
	_____	<input type="checkbox"/> 2011

1. Subrecipient DUNS Number  
Provide your organization's 9-digit Data Universal Numbering System (DUNS) number.  
  
DUNS Number:
  
2. Subaward Number  
Provide the Contract Number of your organization's ARRA Funded Contract.  
[This will be assigned to each district by the Office of Children and Family Services (OCFS) for reporting purposes]  
Contract Number:
  
3. Subrecipient Legal Name  
Provide the Legal Name of your organization as registered in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)).  
  
CCR Legal Name:
  
- 4a. Subrecipient Primary Place of Performance  
Provide the physical location of primary place of performance.  
  
Address 1:  
  
Address 2:  
  
City:  
State:  
Zip+4:  
County:  
Congressional District:
  
- 4b. Subrecipient Congressional District

Provide the Congressional District of your organization’s primary headquarters, if different from the primary place of performance.

Congressional District:

5. Subrecipient Indication of Reporting Applicability

- a. In the preceding fiscal year, the organization received—
  - (A) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; **and**
  - (B) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements;

True  False

- b. 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.

True  False

If ‘False’ was selected for either or both 5a and 5b, please continue to question 6 of this form.

If ‘True’ was selected for both 5a and 5b, provide the names and total compensation of each of the five most highly compensated officers of the sub recipient for the calendar year in which the award is awarded.

“Total Compensation” means the cash or noncash dollar value earned by the executive during the subrecipient’s past fiscal year of the following (for more information see 17 CFR 229.402(c)(2)):

- a. Salary and bonus.
- b. 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.
- c. Earnings for services under non-equity 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.
- d. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- e. Above-market earnings on deferred compensation which are not tax-qualified.
- f. Other compensation. For example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites of property if the value for the executive exceeds \$10,000.

Officer Name	Officer Compensation
<b>Total Compensation:</b>	

**If a district has more than one project, identify each project separately and respond to questions 6 through 10 specifically for each project. For example, if a district uses ARRA funds for child care subsidies and also funds a quality improvement activity, enter information on child care subsidies as Project 1 and the quality improvement activity as Project 2.**

PROJECT 1: Name \_\_\_\_\_

6. Project Status

Evaluate the status of the work that has been completed. This evaluation should be based on performance progress reports and other relevant non-financial performance information. For awards funding a single project or activity, please choose one of the following options: Not Started; Less than 50% completed; Completed 50% or more; Fully Completed.

Select Project Completion Status:

- Not Started
- Less than 50% Completed
- Completed 50% or more
- Fully Completed

7. Number of Jobs Created and Retained

Provide the number of jobs created<sup>8</sup> and jobs retained<sup>9</sup> in the United States and outlying areas<sup>10</sup>. At a minimum, this calculation shall include any new positions created and any existing filled positions that were retained to support or carry out Recovery Act projects or activities managed directly by your organization, this includes any jobs created and/or retained by Vendors listed in question 10 'Vendor Information'. The number shall be expressed as "full-time equivalent" (FTE), calculated cumulatively as all ARRA funded hours worked divided by the total hours in a full-time schedule. For instance, two full-time employees and one part-time employee working half-days would be reported as 2.5 FTE in each month. Please see the formula below.

$$\frac{\text{Cumulative Recovery Act Funded Hours Worked (Month 1...n)}}{\text{Cumulative Hours in a Full-Time Schedule (Month 1...n)}} = \text{FTE}$$

Your Organization:

Number of Jobs Created:

Number of Jobs Retained:

Vendors:

Number of Jobs Created:

Number of Jobs Retained:

8. Description of Jobs Created and Retained

Provide a narrative description of the employment impact of the Recovery Act funded work on your organization, this includes any jobs created and/or retained by Vendors listed in question 10 'Vendor Information'. This narrative should be cumulative for each month and at a minimum, address the impact on your workforce. At a minimum, the recipient shall provide –

- a. A brief description of the types of jobs created and jobs retained in the United States and outlying areas. This description may rely on job titles, broader labor categories your existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work; and
- b. A job cannot be reported as both created and retained.

<sup>8</sup> "Jobs or a position created" means those new positions created or filled, or previously existing unfilled positions that are filled, as a result of Recovery Act funding.

<sup>9</sup> "Jobs or a position retained" means those previously existing filled positions that are retained as a result of Recovery Act funding.

<sup>10</sup> As used in this instruction, United States means the 50 States and the District of Columbia, and outlying areas means – Commonwealths -Puerto Rico, Northern Mariana Islands; Territories - American Samoa, Guam, U.S. Virgin Islands; and Minor outlying islands - Baker Island, Howland Island, Jarvis Island, Johnston Atoll, Kingman Reef, Midway Islands, Navassa Island, Palmyra Atoll, Wake Atoll

9. Additional Employment Related Impacts

Provide an estimate and narrative description of additional employment related activities supporting the ARRA purposes of preserving and creating jobs and promoting economic recovery that did not result in the creation or retention of jobs as defined in question 7 'Number of Jobs'. This estimate and description includes any additional employment related activities by Vendors listed in question 10 'Vendor Information'.

10. Vendor Information

A Vendor is any entity or individual from which your organization procures goods or services needed to carry out the program. Please provide the DUNS number or the name and zip code of any Vendor from which your organization procured a good or service costing \$25,000.00 or more for the reporting quarter.

DUNS Number	Vendor Legal Name	Vendor Headquarters Zip Code + 4	Amount Paid to Vendor

PROJECT 2: Name \_\_\_\_\_

6. Project Status

Evaluate the status of the work that has been completed. This evaluation should be based on performance progress reports and other relevant non-financial performance information. For awards funding a single project or activity, please choose one of the following options: Not Started; Less than 50% completed; Completed 50% or more; Fully Completed.

Select Project Completion Status:

- Not Started
- Less than 50% Completed
- Completed 50% or more
- Fully Completed

7. Number of Jobs Created and Retained

Provide the number of jobs created<sup>11</sup> and jobs retained<sup>12</sup> in the United States and outlying areas<sup>13</sup>. At a minimum, this calculation shall include any new positions created and any existing filled positions that were retained to support or carry out Recovery Act projects or activities managed directly by your organization, this includes any jobs created and/or retained by Vendors listed in question 10 'Vendor Information'. The number shall be expressed as "full-time equivalent" (FTE), calculated cumulatively as all ARRA funded hours worked divided by the total hours in a full-time schedule. For instance, two full-time employees and one part-time employee working half-days would be reported as 2.5 FTE in each month. Please see the formula below.

$$\frac{\text{Cumulative Recovery Act Funded Hours Worked (Month 1...n)}}{\text{Cumulative Hours in a Full-Time Schedule (Month 1...n)}} = \text{FTE}$$

Your Organization:

Number of Jobs Created:

Number of Jobs Retained:

Vendors:

Number of Jobs Created:

Number of Jobs Retained:

8. Description of Jobs Created and Retained

Provide a narrative description of the employment impact of the Recovery Act funded work on your organization, this includes any jobs created and/or retained by Vendors listed in question 10 'Vendor Information'. This narrative should be cumulative for each month and at a minimum, address the impact on your workforce. At a minimum, the recipient shall provide –

- a. A brief description of the types of jobs created and jobs retained in the United States and outlying areas. This description may rely on job titles, broader labor categories, your existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work; and
- b. A job cannot be reported as both created and retained.

<sup>11</sup> "Jobs or a position created" means those new positions created or filled, or previously existing unfilled positions that are filled, as a result of Recovery Act funding.

<sup>12</sup> "Jobs or a position retained" means those previously existing filled positions that are retained as a result of Recovery Act funding.

<sup>13</sup> As used in this instruction, United States means the 50 States and the District of Columbia, and outlying areas means – Commonwealths -Puerto Rico, Northern Mariana Islands; Territories - American Samoa, Guam, U.S. Virgin Islands; and Minor outlying islands - Baker Island, Howland Island, Jarvis Island, Johnston Atoll, Kingman Reef, Midway Islands, Navassa Island, Palmyra Atoll, Wake Atoll

9. Additional Employment Related Impacts

Provide an estimate and narrative description of additional employment related activities supporting the ARRA purposes of preserving and creating jobs and promoting economic recovery that did not result in the creation or retention of jobs as defined in question 7 'Number of Jobs'. This estimate and description includes any additional employment related activities by Vendors listed in question 10 'Vendor Information'.

10. Vendor Information

A Vendor is any entity or individual from which your organization procures goods or services needed to carry out the program. Please provide the DUNS number or the name and zip code of any Vendor from which your organization procured a good or service costing \$25,000.00 or more for the reporting quarter.

DUNS Number	Vendor Legal Name	Vendor Headquarters Zip Code + 4	Amount Paid to Vendor

PROJECT 3: Name \_\_\_\_\_

6. Project Status

Evaluate the status of the work that has been completed. This evaluation should be based on performance progress reports and other relevant non-financial performance information. For awards funding a single project or activity, please choose one of the following options: Not Started; Less than 50% completed; Completed 50% or more; Fully Completed.

Select Project Completion Status:

- Not Started
- Less than 50% Completed
- Completed 50% or more
- Fully Completed

7. Number of Jobs Created and Retained

Provide the number of jobs created<sup>14</sup> and jobs retained<sup>15</sup> in the United States and outlying areas<sup>16</sup>. At a minimum, this calculation shall include any new positions created and any existing filled positions that were retained to support or carry out Recovery Act projects or activities managed directly by your organization, this includes any jobs created and/or retained by Vendors listed in question 10 'Vendor Information'. The number shall be expressed as "full-time equivalent" (FTE), calculated cumulatively as all ARRA funded hours worked divided by the total hours in a full-time schedule. For instance, two full-time employees and one part-time employee working half-days would be reported as 2.5 FTE in each month. Please see the formula below.

$$\frac{\text{Cumulative Recovery Act Funded Hours Worked (Month 1...n)}}{\text{Cumulative Hours in a Full-Time Schedule (Month 1...n)}} = \text{FTE}$$

Your Organization:

Number of Jobs Created:

Number of Jobs Retained:

Vendors:

Number of Jobs Created:

Number of Jobs Retained:

8. Description of Jobs Created and Retained

Provide a narrative description of the employment impact of the Recovery Act funded work on your organization, this includes any jobs created and/or retained by Vendors listed in question 10 'Vendor Information'. This narrative should be cumulative for each month and at a minimum, address the impact on your workforce. At a minimum, the recipient shall provide –

- a. A brief description of the types of jobs created and jobs retained in the United States and outlying areas. This description may rely on job titles, broader labor categories your existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work; and
- b. A job cannot be reported as both created and retained.

<sup>14</sup> "Jobs or a position created" means those new positions created or filled, or previously existing unfilled positions that are filled, as a result of Recovery Act funding.

<sup>15</sup> "Jobs or a position retained" means those previously existing filled positions that are retained as a result of Recovery Act funding.

<sup>16</sup> As used in this instruction, United States means the 50 States and the District of Columbia, and outlying areas means – Commonwealths - Puerto Rico, Northern Mariana Islands; Territories - American Samoa, Guam, U.S. Virgin Islands; and Minor outlying islands - Baker Island, Howland Island, Jarvis Island, Johnston Atoll, Kingman Reef, Midway Islands, Navassa Island, Palmyra Atoll, Wake Atoll

9. Additional Employment Related Impacts

Provide an estimate and narrative description of additional employment related activities supporting the ARRA purposes of preserving and creating jobs and promoting economic recovery that did not result in the creation or retention of jobs as defined in question 7 'Number of Jobs'. This estimate and description includes any additional employment related activities by Vendors listed in question 10 'Vendor Information'.

10. Vendor Information

A Vendor is any entity or individual from which your organization procures goods or services needed to carry out the program. Please provide the DUNS number or the name and zip code of any Vendor from which your organization procured a good or service costing \$25,000.00 or more for the reporting quarter.

DUNS Number	Vendor Legal Name	Vendor Headquarters Zip Code + 4	Amount Paid to Vendor

CERTIFICATON

I (name) \_\_\_\_\_, (title) \_\_\_\_\_ for the (Local Social Services District Name) \_\_\_\_\_ certify that, as part of my official duties, I have reviewed, compared, and verified the information listed in this attachment, which was collected for and detailed in this reporting form by the social services district for ARRA reporting purposes , and that such information is both true and accurate and matches the original data collected and verified by the social services district for ARRA reporting purposes.

In Witness Whereof, I have hereunto set my hand, (insert date) \_\_\_\_\_.

\_\_\_\_\_  
(Enter Name and Enter Title)

State of New York)

)ss.

County of )

On this \_\_\_\_\_ day of \_\_\_\_\_, before me personally appeared \_\_\_\_\_, the subscriber to me known and known to me to be the person in and who executed the foregoing instrument, and he/she acknowledged to me that he/she executed the same.

\_\_\_\_\_  
Notary Public - State of New York

## ATTACHMENT D

### Steps to Obtain a Duns Number and Register in the Central Contractor Registration

#### **STEP 1: Obtain DUNS Number**

If your organization does not have a Data Universal Number System (DUNS) number, you will need to obtain one. You can go to the Dun & Bradstreet website at <http://fedgov.dnb.com/webform> to obtain the number; the process takes 1 - 2 business days. However, if requested by phone (1-866-705-5711), a DUNS is provided immediately.

#### **STEP 2: Register with CCR**

Ensure that your organization is registered with the Central Contractor Registration (CCR) at <http://www.ccr.gov>. If your organization is not, an authorizing official of your organization must register. Your organization will need a TIN/EIN in order to register in the CCR. If you already have a TIN/EIN, your CCR registration will take 1-2 business days to process. If you have to apply for a TIN/EIN, you should expect it to take 2-5 weeks to obtain the TIN/EIN before you can begin the CCR registration process.

#### **STEP 3: Username & Password**

Complete your AOR (Authorized Organization Representative) profile on Grants.gov and create your username and password at <http://apply07.grants.gov/apply/OrcRegister>. You will need to use your organization's DUNS Number to complete this step.

#### **STEP 4: AOR Authorization**

The E-Business Point of Contact (E-Biz POC) that was designated in your CCR registration must login to Grants.gov to confirm you as an Authorized Organization Representative (AOR). Please note that there can be more than one AOR for your organization. In some cases the E-Biz POC is also the AOR for an organization. **Completion time for this step depends on responsiveness of your E-Biz POC.**

#### **STEP 5: TRACK AOR STATUS**

At any time, you can track your AOR status by logging in with your username and password at [www.grants.gov/applicants/applicant\\_profile.jsp](http://www.grants.gov/applicants/applicant_profile.jsp). Login as an Applicant (enter the username & password you obtained in Step 3).