



# WFO ARRA Reporting Documentation

## 4.0 ARRA Sub-Recipient: Non-Federal WFO

03/22/2010

### 4.2 ARRA Sub-Recipient: Non-Federal WFO Award to Acceptance Guidance (Owner: OSPIP)

The ARRA WFO Acceptance and Reporting process for LBNL as a Sub-Recipient is quite different than the ones for the Federal Interagency Agreements (IAG). Sub-Recipients and Vendors do not have to have the OMB proposal approval and the award acceptance and mod process. Therefore, the Sub-Recipient/Vendor guidance below only reflects the ARRA reporting set-up requirements.

#### ***Background Guidance for OSPIP Award Negotiations:***

It is the responsibility of the Sponsor to identify if a NonFederal WFO contract will include ARRA reporting for Sub-Recipients or if there is no reporting because LBNL is a Vendor. If LBNL is a Sub-Recipient, the LBNL OSPIP Contracts Officer (CO) will include in the contract the following:

- ❖ Non UC Organizations:
  - the ARRA Sub-Recipient Reporting Clause \*\* (Attached)
  - ARRA Sub-Recipient Reporting Appendix B (Attached)
- ❖ When LBNL is accepting an Memorandum Agreement (MA) from a UC Campus:
  - UCOP's approved Exhibit C for Sub-Recipient ARRA Reporting (Attached)

If the Sponsor has their own ARRA database system and requires LBNL's Sub Recipient ARRA Data Information, you can provide them with the document "LBNL's Sub Recipient ARRA Data Information" (Attached). The data information is not intended to be part of the contract.

If LBNL is considered a Vendor by our Sponsor, then there are no reporting requirements. However, in RAPID the minimal information under the "ARRA Funding Panel" for LBNL ARRA database is required. (The Report Type will be set to "Vendor" – see guidance below). As noted under the RAPID "ARRA Funding Panel" instructions below, the Sponsor is to provide the basic information that characterizes the ARRA Sub-Recipient agreement:

#### Type of Reporting:

1. Delegated: LBNL will report to FederalReporting.gov except for Job information. The Jobs Report will be forwarded to the Sponsor on the 3<sup>rd</sup> working day of the month.
2. Not Delegated: LBNL will provide to the Sponsor both the Standard Report and the Jobs Report on the 3<sup>rd</sup> working day of the reporting month.
3. Job Report Only: The Sponsor has its own system for reporting and doesn't delegate the reporting responsibility to LBNL. In fact, the Sponsor will request LBNL information to complete the Sub-Recipient data fields for ARRA reporting. Please use the attached "Sub Recipient ARRA Data Information" form. It is not to be part of the contract, but rather to be provided to assist our sponsor in updating their ARRA Reporting system.
4. Vendor: LBNL has NO reporting requirements.
5. Special: The Sponsor has requested additional "Special Financial Reporting Terms" for their ARRA reporting. The award cannot be executed by LBNL until the process is complete. Contact the Division and the Budget Office and they will complete the "Special Financial Reporting Terms for ARRA Funded Sub-recipient Work for Others Agreements" process and let you know the outcome.

In addition, the Sponsor is responsible to provide information to where the reports are to be sent so that the LBNL/Budget Office can provide the required OMB reports on the 3<sup>rd</sup> working day of the reporting month (i.e. January, April, July, October). An example is provided below on how to designate the ARRA Contact in the RAPID "Award Contacts." Due to the DOE monthly close process, the ARRA information (i.e. Job data) is not available until the 3<sup>rd</sup> working day of the month.



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### *AR Review*

1. The OSPIP Contracts Officer sends an email to AR requesting an Advance Invoice and AR Review  
*A/R contacts:*
  - [arhelp@lbl.gov](mailto:arhelp@lbl.gov) (Kimmy Cheung, Victor Lorincz, Judy Lee)

### *OSPIP Award Authorization and RAPID Actions*

2. Upon completion of AR Review and all the contractual requirements, the CO completes a final proposal review and then generates an award in RAPID:
  - ❖ **Proposal Header:** Double check the ARRA Type to make sure it is either “secondary” or “tertiary” (CFDA is required when LBNL is a sub-recipient/vendor under a grant).
  - ❖ **Proposal Header/Additional Information:** Double check that the Flow Through Sponsor is complete under ‘Additional Information.’ It is necessary to use the secondary page to designate the sponsor using the RAPID Sponsor Code. Do not use ‘Comments’ to provide this information. It cannot be picked up for reporting from the ‘Comments’ field.
  - ❖ **Proposal Header/Certifications:** Enter the ARRA Award Date (Certification Page/Certification Line ARRA) = The date of the last signature on the contractual document.
  - ❖ **Award Profile: Reference Award Number** – Enter the Reference Award number provided by the Sponsor with all spaces, symbols, punctuation, etc. It must be exact for ARRA Reporting.
  - ❖ **Award Profile: Award Status** - Check Award Status for ‘Accepted’ status. This is the default status at the time of award generation.
  - ❖ **Award Profile: Period of Performance** - Period of Performance may be longer if this an incrementally funded award like NIH grants.
  - ❖ **Award Modification Table:**
    1. Enter the **Period of Performance** that the funding is available from the sponsor (which may be different than the total overall period of performance if the funding is from NIH)
    2. **Enter Contract Value:** Contract Value is equal to the authorized funding. If there is anticipated future funding, update the appropriate line(s) in the Award Modification Table to reflect the anticipated future funding.

This will allow for the ARRA Award to be captured by the LBNL ARRA Database. It can be reported on with the Contract Value, but there is no cost, jobs, or research reporting.

Once the Advance Invoice has been received:

3. Enter the **OSPIP Authorization Date** (current date is automatic)
4. Enter the **Start Date** which is the typically the date the Advance Payment has been received and work can begin unless there is another internal review (i.e. Human Subjects) that is pending.

If there are Certification Approvals for Human Subjects that need to be updated in the Proposal and Award Certification pages, email [RAPIDHelp@lbl.gov](mailto:RAPIDHelp@lbl.gov) so that data can be updated on both Certification pages.



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### ❖ Award ARRA Funding Panel

Complete the ARRA Funding Panel for all ARRA Funding including Vendors. The LBNL ARRA Steering Committee has decided this information is required for all Non-Federal ARRA WFO Funding.

Profile	Contact	ARRA Funding	Abstract	Certifications	Notepad	Attachments	Terms
Award ID:	WF006459	Business Unit:	LBNL	Currency:	USD		
Reference Award Number:	AF-031	Award PI:	Yu,Kin M	Project PI:	Yu,Kin M		
Total Award Amount:	24,969.00	<a href="#">Award Modifications</a>					
▶ Funding Info							
Primary Sponsor	F0310	DAF DEPARTMENT OF THE AIR FORCE			<a href="#">Main Content</a>		
ARRA Subrecipient Report Type	<input type="text"/>						
ARRA Primary Agency Award Num	<input type="text"/>						
Primary Recipient Award Type	<input type="text"/>						
Sponsor DUNS Number	<input type="text"/>						

1. **ARRA Sub-recipient Report Type:** Choose from the dropdown list:

- **Delegated:** LBNL will report to FederalReporting.gov except for Job information. The Jobs Report will be forwarded to the Sponsor on the 3<sup>rd</sup> working day of the month.
- **Not Delegated:** LBNL will provide both the Standard Report and the Jobs Report to the Sponsor on the 3<sup>rd</sup> working day of the reporting month.
- **Job Report Only:** The Sponsor has its own system for reporting and doesn't delegate the reporting responsibility to LBNL. In fact, the Sponsor will request LBNL information to complete the Sub-Recipient data fields for ARRA reporting. Please use the attached the "Sub Recipient ARRA Data Information" form. It is not to be part of the contract, but rather to be provided to assist our sponsor in updating their ARRA Reporting system.
- **Vendor:** LBNL has NO reporting requirements.
- **Special:** The Sponsor has requested additional "Special Financial Reporting Terms" for their ARRA reporting. Contact the Division and the Budget Office and they will complete the "Special Financial Reporting Terms for ARRA Funded Sub-recipient Work for Others Agreements" process and let you know the outcome. The award cannot be executed by LBNL until the process is complete

2. **ARRA Primary Agency Award Number** – This is the number directly from the Primary Agreement between the Federal Agency and the Sponsor and should be provided by the Sponsor as part of the ARRA Reporting requirements.
3. **Primary Recipient Award Type:** Choose either Contract or Grant. This reflects the Primary Agreement between the Sponsor and LBNL. It should be provided by the Sponsor as part of the ARRA Reporting requirements.
4. **Sponsor DUNS Number:** This should be provided by the Sponsor. Some Sponsors have more than one DUNS number therefore they should provide it as part of the ARRA Reporting requirements.



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- ❖ **ARRA Reporting Contacts:** Add the ARRA Reporting Contacts either in Proposals before the Award is Generated or in the Award. This information will be moved to the ARRA Reporting System to alert the Budget Office to where to send the Sub-Recipient reports.

**Scroll Area** Find | View All First 1 of 1 Last

Contact  Location

Salutation Code  \*First Name  Middle Initial

\*Last Name  Title

**Roles** Find | View 1 First 1-3 of 3 Last

Contact Role <input type="text" value="ADMIN"/>	Administrative Contact	+ -
<input type="text" value="ADVINV"/>	Advance Invoice Address	+ -
<input type="text" value="ARRA"/>	WFO ARRA Reporting	+ -

### ***OSPIP Contracts Officer releases SPAA***

- 3.** The OSPIP Contracts Officer reviews the RAPID Award Entry for completeness
  - ❖ The OSPIP Contracts Officer updates the RAPID/Award/Notepad with guidance regarding the special terms and conditions including the ARRA reporting.
  - ❖ The OSPIP Contracts Officer prints the SPAA and Distributes with the agreement

### ***Division updates ARRA Header for ARRA Reporting***

- 4.** The Division RAs review and update the ARRA Header in preparation for ARRA Reporting. (Separate Training is provided to the Divisions)
  - ❖ ARRA Reporting (Budget Office) begins for both Monthly Steering Committee Reporting and Quarterly FederalReporting.gov.

### ***Division requests Project to be opened by the Budget Office – Project begins***

- 5.** The Division RA places Project(s) into requested status
  - ❖ The Budget Office reviews the request and places Project into Open status.

### ***Attachments:***

WFO Standard Agreement: ARRA Clause ** Appendix B for ARRA Reporting	UC Campus MA: Exhibit C for ARRA Reporting	All Agreements Sub Recipient ARRA Data Information
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