ARRA Grants Program

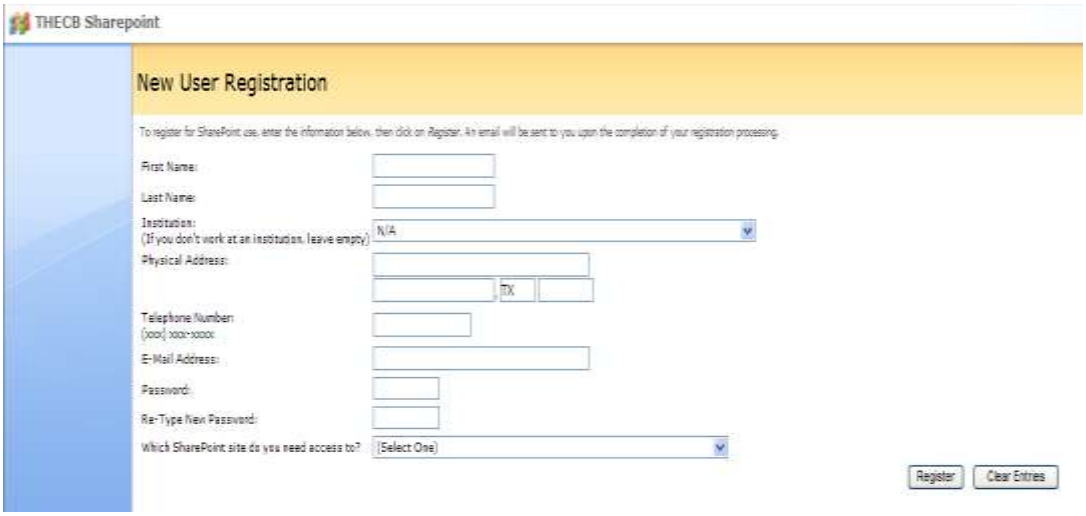
Subrecipient Reporting Guidelines

February 2010

Version

Version	Description	Prepared By	Date
1.0	Creation of consolidated comprehensive document for ARRA *Subrecipient Reporting Guidelines*	D. Griffiths	1.4.2010
1.1	Updated Guidelines to enhance step-by-step reporting process	D. Griffiths	1.29.2010
1.2	Incorporate federally-mandated changes to jobs reporting	D. Griffiths	2.26.2010

THECB ARRA Subrecipient Reporting Guidelines

1. General Information :: Getting Started	
1.1 Overview	The Texas Higher Education Coordinating Board (THECB) ARRA Web Space serves as repository to review, retrieve and submit documents and other pertinent information and communications related to the American Recovery and Reinvestment Act (ARRA) of 2009. It includes guidelines, forms, and institution/agency folders for reporting activities awarded under the THECB Notice of Grant Awards (NOGA) provided by the Texas SB1, General Appropriations Act, Article XII, for the 2010-2011 biennium.
1.2 Determine personnel access	Prior to accessing the THECB ARRA Home Page: 1. Determine both Primary and Secondary Points-of-Contact (POC) for your institution/agency; you will be requesting login (userid) and security permission at this site for each POC.
1.3 Access THECB ARRA Home Page	1. Open your browser and navigate to: http://www.thecb.state.tx.us/ARRA/ 2. This page provides access to THECB agency information, ARRA-specific updates and program information.
1.4 Access the THECB SharePoint server for ARRA subrecipient reporting	1. From the main THECB ARRA Home Page, scroll down to the Section called "External Reporting Site". Select the link called "THECB SharePoint Reporting Web Portal". 2. The previous step will take you inside this document where you can now access the direct link to the THECB SharePoint server and subrecipient reporting platform by clicking on http://www.thecb.state.tx.us/ARRAReporting/ 3. NOTE: If you already have a SharePoint ID via another THECB SharePoint site, you do not need to re-register. Send an email directly to art.villarreal@thecb.state.tx.us requesting access to the ARRA site. We will authorize and inform you of your status. 4. Select "New User Registration".  5. Complete all information requested and password definition. Please note that the password must contain 8 characters and one of the characters must be a letter.

	6. From the drop-down menu under "Which SharePoint site do you need access to?" you will select the ARRA program your institution will be reporting (either "ARRA-GSF" or "ARRA- OneStar"). 7. Select "Register". 8. You will receive an email confirmation within 48 hours of your registration.

2. Reporting Instructions

2.1 Overview

Subrecipients of THECB NOGAs provided by the Texas SB1, General Appropriations Act, Article XII, for the 2010-2011 biennium will be required to submit a report to this site by the 5th of each month.

Once a subrecipient has fully executed a THECB Notice of Grant Award (NOGA) for their individual allocations, they must complete a monthly report for each individual ARRA fund (i.e. formula, incentive, special item). Reporting will begin the month following award execution and for the life of the project. Even if the subrecipient has not yet submitted expenditures or received reimbursement, monthly reporting is still required.

Monthly reports will consist of the following elements:

1. Initial 1512 Report – consists of one-time (static) comprehensive, subrecipient data elements;
2. Progress Data – consists of changing (dynamic) progress and jobs data;
3. Reimbursement Report: consists of monthly reimbursement amounts and certification;
4. Vendor Data: consists of vendor payment information.

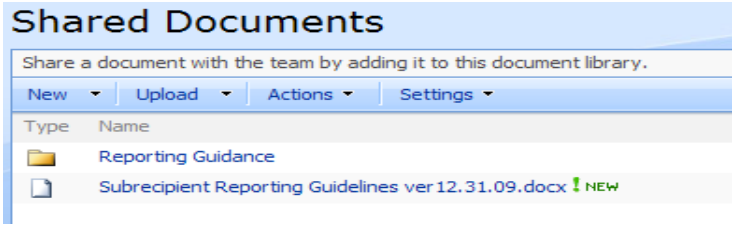
2.2 Logon to SharePoint site

1. Select the link to the "THECB SharePoint server" for ARRA subrecipient reporting: http://www.thecb.state.tx.us/ARRAReporting/

2. Logon using your registered e-mail address (User Name) and password.

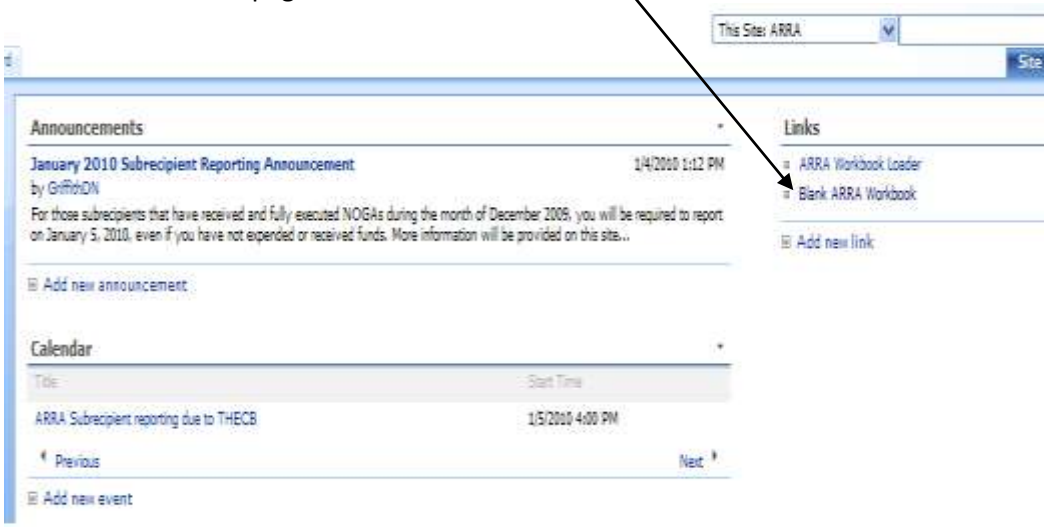
2.3 Shared Documents- Reporting Guidelines and other Resources

1. To begin, in the left-hand "View All Site Content" column, select the "Shared Documents" folder. Carefully review, and read in its entirety, the document entitled "Subrecipient Reporting Guidelines", along with other helpful resources which are available for subrecipients to reference in the "Reporting Guidance" folder.

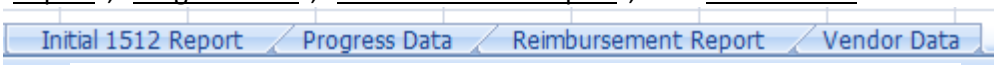


2.4 Accessing and Saving your ARRA Workbook

1. After carefully reviewing the "Subrecipient Reporting Guidelines", navigate to the "Home" page and select under "Links" the "Blank ARRA Workbook" on the right-hand side of the page.



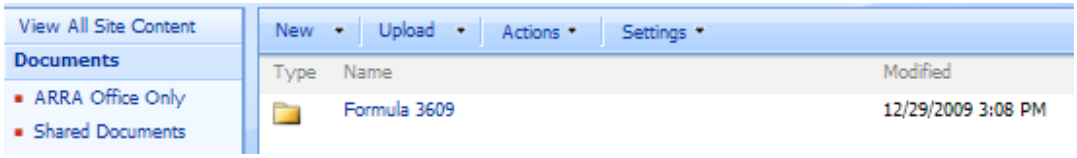
2. For each individual NOGA fund, subrecipients will submit a monthly Excel workbook named "ARRA Workbook" containing four (4) reports with tabs for: "Initial 1512 Report", "Progress Data", "Reimbursement Report", and "Vendor Data":



One ARRA Workbook per funding source is required. For example, if your agency/institution received Formula and Section 25 - Special Item funds, you will need to submit two (2) ARRA Workbooks.

3. Save each ARRA Workbook with the following naming convention on your computer: **NOGA#_Funding Source_6-digit Date_ 4-digit Time AM/PM**
   - NOGA = 4 digit award number
   - Funding Source = formula, incentive or special items
   - 6-digit Date = 000000
   - 4-digit Time = 0000 AM or PM
   - File extension = MS Office 97-2003 Excel version (.xls)

   For Example: 3535_Formula_010510_0951AM.xls
4. Proceed with completing each tab as provided in the instructions that follow.
5. Select your insitution's link under the left-hand column titled "View All Site Content and view the report folders, i.e. "Formula 3609". These have been titled by type of fund and NOGA number for your institution and set up to receive individual fund reports; this is where you will save your individual NOGA report files when Step 6.2 (ARRA Workbok-Vendor reporting) has been completed.

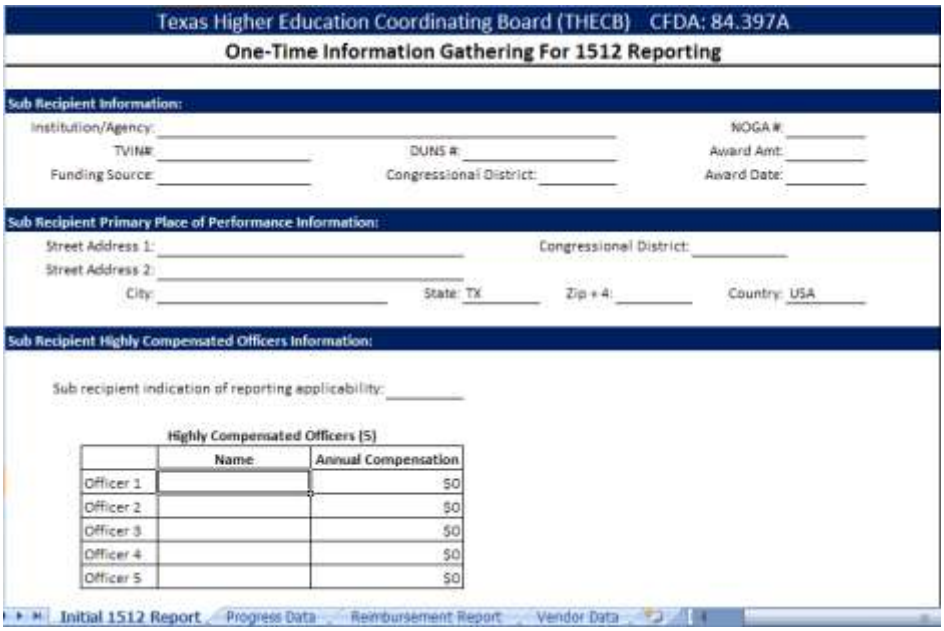


3. Initial 1512 Progress Report

3.1 Overview

Subrecipients of THECB Notice of Grant Awards (NOGA) provided by the Texas SB1, General Appropriations Act, Article XII, for the 2010-2011 biennium will be required to report to this site by the 5th of the first reporting month an "Initial 1512 Report". This will consist of one-time (static) comprehensive, subrecipient data elements.

3.2 ARRA Workbook- "Initial 1512 Report"


Texas Higher Education Coordinating Board (THECB) CFDA: 84.397A

One-Time Information Gathering For 1512 Reporting

Sub Recipient Information:

Institution/Agency: _____ NOGA #: _____

TVIN#: _____ DUNS #: _____ Award Amt: _____

Funding Source: _____ Congressional District: _____ Award Date: _____

Sub Recipient Primary Place of Performance Information:

Street Address 1: _____ Congressional District: _____

Street Address 2: _____

City: _____ State: TX Zip + 4: _____ Country: USA

Sub Recipient Highly Compensated Officers Information:

Sub recipient indication of reporting applicability: _____

Highly Compensated Officers (5)

	Name	Annual Compensation
Officer 1		$0
Officer 2		$0
Officer 3		$0
Officer 4		$0
Officer 5		$0

Initial 1512 Report | Progress Data | Reimbursement Report | Vendor Data

1. In the Excel workbook, select the tab entitled "Initial 1512 Report" and complete ALL static elements in the field to the right of each description.
2. You only have to complete this information one time for each of your institution's NOGA fund(s). You may elect to also save your first report to your local computer in order to preserve this particular data and limit re-keying data in the future.
3. For additional information or description of fields, please refer to the documents provided in the "Reporting Guidance" folder under "Shared Documents".
4. Save your data entry and proceed to the next report tab as needed**.**
5. **Please make sure to save your workbook as you proceed from tab to tab**.

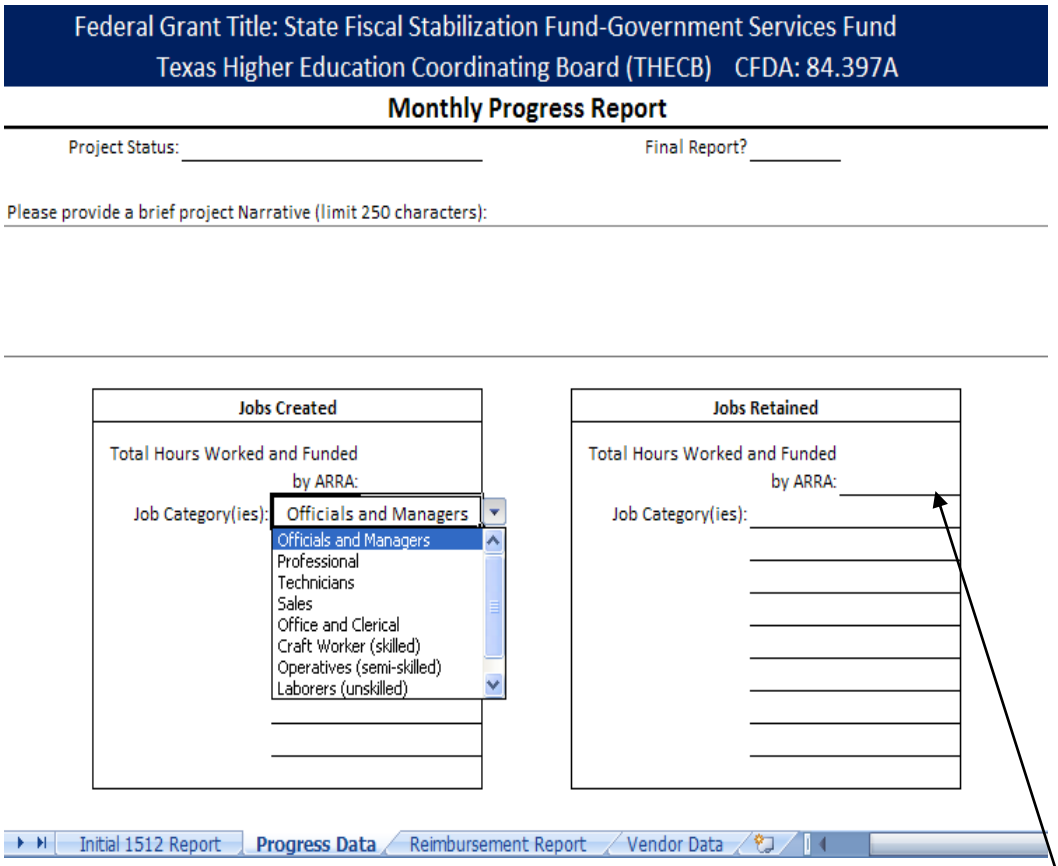
4. Monthly Progress Data Report

4.1 Overview

Subrecipients of THECB Notice of Grant Awards (NOGA) provided by the Texas SB1, General Appropriations Act, Article XII, for the 2010-2011 biennium will be required to report to this site by the 5th of each reporting month.

This Progress report will capture dynamic (changing) programmatic, progress, jobs, and fiscal data for each ARRA fund as awarded, and required to be submitted every month for the duration of your active project.

4.2 ARRA Workbook- "Progress Data" Report



1. In the Excel workbook, select the tab entitled **"Progress Data"** and complete **ALL** the dynamic elements in the field to the right of each description that have NOT already been pre-populated by the "Initial 1512 Report".
2. Select the relevant drop-downs for project and reporting status; complete the Project Narrative and Jobs information.
3. **IMPORTANT NOTE: all actual hours worked by any subrecipient faculty and/or staff personnel paid with ARRA dollars on this GSF program must now be reported to the THECB**.
4. **When submitting jobs data during your monthly report, enter the total actual number of hours worked and paid with ARRA funds in the "Jobs Retained" field of this "Progress Report"**.
5. **Indicate which jobs categories (professional, technical, clerical, etc) these hours**

	represent by selecting the appropriate drop down choices. **You do not have to break down the number of hours per category.** 6. **Check the SharePoint dashboard for more a more detailed guidance document that includes solutions for prior reports not containing jobs data and computing hours from level of effort percentages.** 7. Save your data and proceed to the next report tab as needed. 8. NOTE: there are red comment flags provided over data entry areas that will provide a more detailed description of the data element.

5. Monthly Reimbursement Request Report and Supporting Documentation

5.1 Overview

Subrecipients of THECB Notice of Grant Awards (NOGA) provided by the Texas SB1, General Appropriations Act, Article XII, for the 2010-2011 biennium will be required to report to this site by the 5th of each reporting month. The monthly Reimbursement Report must be supported by relevant documentation.

Documentation will consist of the following PDF formatted files that support each monthly reimbursement request and may include, but not be limited to:

1. Detailed transaction reports from institution/agency financial system(s) containing details of salary, fringe benefits, supplies, equipment, subcontractors, and other relevant category expenditures and their related transactions for the reporting period;
2. *In lieu of detailed transaction reports*, source documentation is required which may consist of the following:
   a. Cancelled checks;
   b. *In lieu of cancelled checks*, vendor invoices stamped with date paid, check number, and initials of employee validating payment;
   c. Credit Card statements; or
   d. Payroll journal transactions.
3. Copies of receipts for individual transactions of items >$5K/per unit cost;
4. NOTE: Detailed expenditure reports, individual receipts and other supporting data will be required to be maintained by the institution/agency and to be made available upon request for pre-payment reviews, desk reviews, on-site subrecipient monitoring, and audits. The record retention period for this award is five (5) years.

5.2 ARRA Workbook- "Reimbursement Report"

THECB will collect reimbursement data from your ARRA workbook, but will also request that you upload a signed Reimbursement Report into your SharePoint folder. **It is critically important to provide THECB with a signed, authorized copy of the Reimbursement Report to process your reimbursement.**

Texas Higher Education Coordinating Board (THECB) CFDA: 84.397A

Reimbursement Request

Contract Period From: To:
Period Covered By This Request From: To:

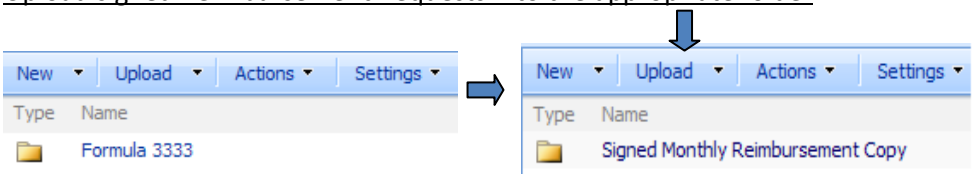
Categories	Approved Budgets	Total Prior Requests	This Request	Remaining Balance
Personnel/Salary		$0.00	$0.00	$0.00
Fringe Benefits		$0.00	$0.00	$0.00
Travel		$0.00	$0.00	$0.00
Supplies		$0.00	$0.00	$0.00
Equipment		$0.00	$0.00	$0.00
Sub-Grants/Sub Contacts		$0.00	$0.00	$0.00
Construction		$0.00	$0.00	$0.00
Other (i.e. utilities)		$0.00	$0.00	$0.00
	$0.00	$0.00	$0.00	$0.00

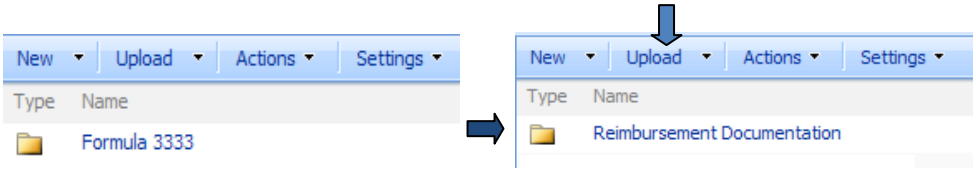
Certification: I certify that to the best of my knowledge and belief the data above are correct and that all outlays were made in accordance with the terms of the contract and that payment is due and has not been previously

Signature of Authorized Certifying Official Date

Typed or Printed Name and Title Phone Number

Initial 1512 Report | Progress Data | **Reimbursement Report** | Vendor Data

	Certify your report submission by providing an electronic signature from the institution/agency authorized official in accordance with Texas Business & Commerce Code Sections 322.001 et seq. Texas Uniform Electronic Transactions Act ("UETA"). *See also* 1 TAC Rule 203.21. If no electronic signature is available, please print this "Reimbursement Report " page, sign, date, scan and upload the report on this tab into your institution's appropriate award folder with all required naming conventions, etc as found in 5.3.
5.3 Completing, Saving, and Uploading the "Reimbursement Report"	**One Reimbursement Request per funding source/per month is allowed.** For example, if your institution or agency received Formula AND Section 25 – Special Item funds, you will need to submit two (2) *signed* Reimbursement Requests each month, but you may only request payment once a month for each fund. 1. In the Excel workbook, select the tab entitled "Reimbursement Report" and complete ALL dynamic elements in the field to the right of each description that has NOT already been pre-populated by the "Initial 1512 Report". 2. Carefully complete the reimbursement section keeping in mind that your documentation must support all requests and will be subject to pre-payment audit in order to test for reconciliation of allowable and reasonable expenses. 3. Individually signed, scanned and submitted Reimbursement Reports must be saved with the following naming convention in PDF format: **NOGA#_ Funding Source _Documentation Name_ 6-digit Date_4-digit Time AM/PM** • NOGA = 4 digit award number • Funding Source = formula, incentive or special items • Document Name = Reimbursement Report • 6-digit Date = 000000 • 4-digit Time = 0000 AM or PM • File extension = MS Office 97-2003 Excel version **Example: 3333_ Formula _Reimbursement Report_ 010510_1030AM.xls** 4. <u>Upload signed Reimbursement Requests into the appropriate folder</u>: 

5.4 Uploading Supporting Documentation for Monthly Reimbursement Requests	1. ALL supporting documentation should be scanned into a single PDF formatted file with the following naming convention that ties to your reimbursement request found in 5.3: • Ex: 3333_ Formula _Documentation_ 010510_1030AM.xls 2. Upload Supporting Documentation into your appropriate folder:  Ex: A single file containing all relevant receipts and system reports expended under Formula funds will be uploaded into the Formula xxxx - Reimbursement Documentation folder with the above naming convention. Contact arraoffice@thecb.state.tx.us if you encounter size problems uploading large documentation files.

6. Vendor Reporting

6.1 Overview

Subrecipients are required to report monthly on all vendor activities by individual payment. An Excel workbook with the required data fields is provided as a tab on each fund report.

6.2 ARRA Workbook-Vendor reporting

Sub-recipients must report the DUNS number **OR** the name and physical address with ZIP+4 of any vendor that is paid with ARRA funds over the reporting period. According to the federal OMB, **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". A vendor does not include a sub-grantee that provides the services supported by the grant.**

1. In the Excel workbook, select the tab entitled "Vendor Data" and complete ALL dynamic elements in the field associated with each description/title that has NOT already been pre-populated by the "Initial 1512 Report".
2. Complete each line for those individual vendor payments made only during the monthly reporting period.

American Recovery and Reinvestment Act of 2009
United States Department of Education Award No. S397A090044
Federal Grant Title: State Fiscal Stabilization Fund-Government Services Fund
Texas Higher Education Coordinating Board (THECB) CFDA: 84.397A

Vendor Data

Vendor DUNS#	Vendor Name	Vendor HQ-Zip Code +4	Product and Service Description (limit 250 characters)	Payment Amount

Initial 1512 Report | Progress Data | Reimbursement Report | Vendor Data

3. Save your data entry and proceed to the ARRA SharePoint site "Home" page to begin uploading your report into your institution/agency folders.

7. Loading ARRA Workbook into SharePoint

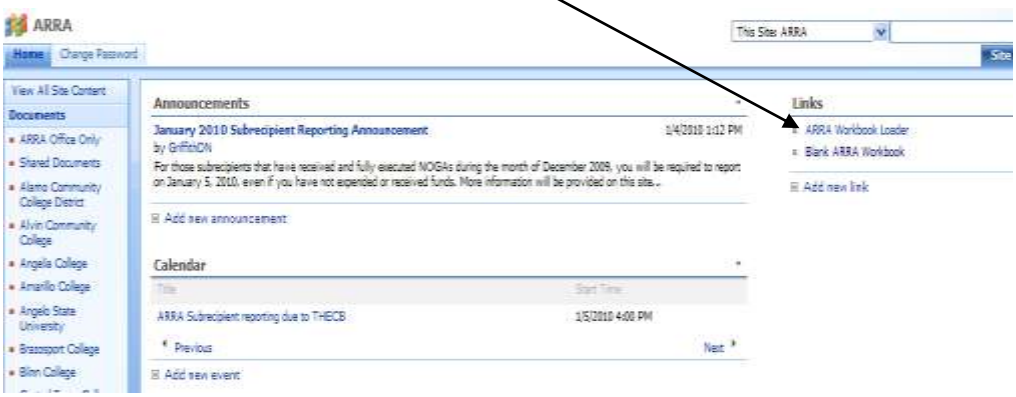
7.1 Overview

Subrecipients are required to submit an ARRA Workbook on a monthly basis for each funding source. Once a workbook has been uploaded, it will permanently reside in your folder and can be accessed as a reference for future monthly reporting.

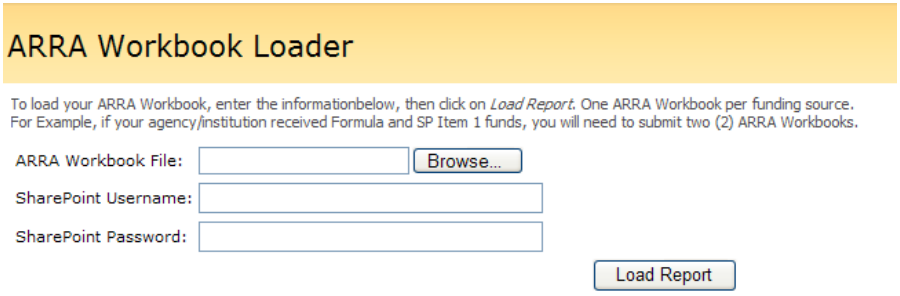
NOTE: If your institution has four (4) funding sources i.e. formula, incentive, Special Item 1, and Special Item 2, you will need to submit a total of four (4) ARRA Workbooks each month.

7.2 Access to ARRA Workbook Loader

1. With your ARRA Workbook data entry completed and saved according to the recommended naming convention(s), you will navigate to the ARRA SharePoint "Home" page and access the "Loader".
2. Select the" ARRA Workbook Loader"



3. Follow the instructions to upload your ARRA Workbook(s) from your desktop into the appropriate ARRA SharePoint folders for your institution and funding source.



4. As a final check, please review all submittals to ensure they are complete, signed, and supported by the required documentation before you exit this application.
5. We appreciate your cooperation in this reporting function. If you have any questions please contact arraoffice@thecb.state.tx.us or art.villarreal@thecb.state.tx.us for assistance.