

MEMORANDUM

Date: August 27, 2009

To: Help Me Grow, Part C
American Recovery and Reinvestment Act of 2009

From: Karen Hughes, Chief *KAREN Hughes (RPS)*
Division of Family and Community Health Services
Ohio Department of Health

Subject: Notice of Availability of Funds – State Fiscal Year 2010
November 1, 2009 – June 30, 2010 – Budget Period

The Ohio Department of Health (ODH) Division of Family and Community Health Services (DFCHS), Bureau of Early Intervention Services (BEIS) announces the availability of grant funds through the American Recovery and Reinvestment Act (ARRA) of 2009 to be used consistently with the current Individuals with Disabilities Education Act (IDEA), Part C. ODH is providing federal ARRA funds to County Family and Children First Councils to be used for programs under Part C of the IDEA. These funds are to be used to preserve and/or create jobs for Part C service coordinators and/or child find and to assist in stabilizing HMG budgets in order to minimize and avoid reductions in essential Part C services.

To obtain a grant application packet:

1. Go to the ODH website at www.odh.ohio.gov
2. From the home page click on “Funding Opportunities”;
3. From the next page click on “ODH Grants”;
4. Next click on “Grant Request For Proposals”; this will give you a drop down menu with current RFPs by name and
5. Select and Highlight the Help Me Grow Part C ARRA RFP and click “Submit”. This process invokes the Adobe Acrobat and displays the entire RFP. You can then read and/or print the document as desired.

Grant applications are due Monday, September 21, 2009 for the funding period November 1, 2009 – June 30, 2010. All applications must be submitted electronically via GMIS 2.0. Faxed, hand delivered or mailed applications will not be accepted. If you have any questions regarding this application please contact Caroleen Ferriman, Help Me Grow Program Supervisor, at the Ohio Department of Health, Bureau of Early Intervention Services, at Caroleen.Ferriman@odh.ohio.gov.



ALL APPLICATIONS MUST BE SUBMITTED VIA THE INTERNET

OHIO DEPARTMENT OF HEALTH

DIVISION OF

Division of Family and Community Health Services

BUREAU OF

Bureau of Early Intervention Services

Help Me Grow Part C

The American Recovery and Reinvestment Act of 2009

REQUEST FOR PROPOSALS (RFP)

FOR

FISCAL YEAR 2010

(11/01/09 -06/30/10)

Local Public Applicant Agencies

Non-Profit Applicants

NON-COMPETITIVE GRANT APPLICATION INFORMATION

Table of Contents

I. APPLICATION SUMMARY and GUIDANCE

| | | |
|-----|---|----|
| A. | Policy and Procedure | 1 |
| B. | Application Name | 1 |
| C. | Purpose..... | 1 |
| D. | Qualified Applicants | 2 |
| E. | Service Area..... | 2 |
| F. | Number of Grants and Funds Available | 3 |
| G. | Due Date | 3 |
| H. | Authorization | 3 |
| I. | Goals | 3 |
| J. | Program Period and Budget Period..... | 5 |
| K. | Local Health Districts Improvement Standards..... | 5 |
| L. | Public Health Impact Statement..... | 5 |
| M. | Statement of Intent to Pursue Health Equity Strategies..... | 6 |
| N. | Appropriation Contingency | 7 |
| O. | Programmatic, Technical Assistance and Authorization for Internet Submission | 7 |
| P. | Acknowledgment | 7 |
| Q. | Late Applications | 7 |
| R. | Successful Applicants | 7 |
| S. | Unsuccessful Applicants..... | 7 |
| T. | Review Criteria..... | 7 |
| U. | Freedom of Information Act | 8 |
| V. | Ownership Copyright..... | 9 |
| W. | Reporting Requirements | 9 |
| X. | Special Condition(s)..... | 11 |
| Y. | Unallowable Costs | 11 |
| Z. | Audit | 12 |
| AA. | Submission of Application..... | 13 |

II. APPLICATION REQUIREMENTS AND FORMAT

| | | |
|----|---|----|
| A. | Application Information..... | 15 |
| B. | Budget..... | 15 |
| C. | Assurances Certification | 17 |
| D. | Project Narrative | 17 |
| E. | Civil Rights Review Questionnaire – EEO Survey | 18 |
| F. | Attachments | 18 |
| G. | Electronic Funds Transfer (EFT) Form | 18 |
| H. | Internal Revenue Service (IRS) W-9 Form and Vendor Forms | 18 |
| I. | Public Health Impact Statement Summary | 19 |
| J. | Public Health Impact/Response & Intent to pursue Health Equity Statement..... | 19 |
| K. | Liability Coverage | 19 |
| L. | Non-Profit Organization Status..... | 19 |
| M. | Declaration Regarding Material Assistance/Non-Assistance to a Terrorist Organization (DMA) Questionnaire | 19 |
| N. | Attachments as Required by Program..... | 19 |
| | Attachment A, State of Ohio Sub-Recipient Assurance Certification | |
| | Attachment B, OBM Sub-Recipient Information | |
| | Attachment C, Staff Funded by ARRA | |

III. APPENDICES

Appendix 1, Directions for applying for DUNS number and registering with CCR

Appendix 2, Part C ARRA Funding Allocation Table

Appendix 3, HMG Technical Assistance Team Map

Appendix 4, OBM Guidance Memo #8 with attachments A through D

Appendix 5, Application Review Form

I. APPLICATION SUMMARY and GUIDANCE

An application for an Ohio Department of Health (ODH) grant consists of a number of required parts – an electronic component submitted via the Internet Website: ODH Application Gateway – GMIS 2.0 which includes various paper forms and attachments. All the required parts of a specific application must be completed and submitted by the application due date. **Any required part that is not submitted on time will result in the entire application not being considered for review.**

The application summary information is provided to assist your agency in identifying funding criteria:

- A. Policy and Procedure:** Uniform administration of all the ODH grants is governed by the ODH Grants Administration Policies and Procedures (GAPP) Manual. This manual must be followed to ensure adherence to the rules, regulations and procedures for preparation of all subgrantee applications. The GAPP Manual is available on the ODH Website <http://www.odh.ohio.gov>. (Click on “Funding Opportunities” [located under At a Glance]; click on “About ODH” and then click on “GAPP Manual.”)

The American Recovery and Reinvestment Act of 2009, (ARRA), was signed into law by President Barack Obama as an investment package to boost our economy and to create and retain jobs, restore economic growth, and strengthen America’s middle class. ARRA is designed to stimulate the economy in part by measures that will preserve and improve access to affordable healthcare and protect those in greatest need. The U.S. Office of Management and Budget (OMB) released Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009, issued on April 3, 2009 and June 22, 2009. This guidance is available at www.recovery.gov and is subject to further updates. ODH as the recipient of ARRA funds, and its subgrantees are required to comply with OMB Implementing Guidance.

American Recovery and Reinvestment Act of 2009, (ARRA) Part C funds must be used consistently with the current Individuals with Disabilities Education Act, Part C statutory and regulatory requirements, including the payor of last resort and restricted indirect cost requirements.

- B. Application Name:** Help Me Grow Part C ARRA
- C. Purpose:** Help Me Grow is providing federal ARRA funds to County Family and Children First Councils to be used for programs under Part C of the Individuals with Disabilities Education Act (IDEA). The Part C ARRA funds are to be used to preserve and/or create jobs for Part C service coordination and/or child find and to assist in stabilizing HMG budgets, in order to minimize and avoid reductions in essential Part C services.

D. Qualified Applicants:

1. Only County Family and Children First Councils (FCFCs) currently funded under the Help Me Grow Program are eligible to apply. Eligible FCFCs may apply through their Administrative Agents.* According to Ohio Revised Code 121.37(B)(4)(a), administrative agents for FCFCs must comply with the rules of and/or interagency agreements with the departments participating in the Ohio Family and Children First Council, which includes the Department of Health.

***GAPP Section 103.7 – Administrative Agents**

Definition: A legally recognized entity that acts as the Sub-grantee for receipt of funding and required administration of ODH grants (may also be locally named “fiscal agent”

a. An Administrative Agent as recipient of any ODH grant is considered the Sub-grantee Agency and must comply with all GAPP Policy sections and/or requirements.

b. Any organization or entity that is required to use an Administrative Agent to be eligible to receive ODH grant funding must appoint the Administrative Agent to ODH in writing.

c. An identified Administrative Agent must serve for the term of the complete individual ODH grant program budget period.

2. Qualified applicants must have a Data Universal Number System (DUNS) number as part of their grant application and proposal.

3. Qualified applicants must also register with the Central Contractor Registration (CCR) database for the U.S. Federal Government. CCR collects, validates, stores, and disseminates data in support of agency acquisition missions, including Federal agency contract and assistance awards.

Instructions for obtaining a DUNS number and completing your Central Contractor Registration is attached as **Appendix #1** under Item III and are available at the Grant Management Information System 2.0 (GMIS) website.

E. Service Area: Each Ohio County

F. Number of Grants and Funds Available: Approximately \$7.6 million Part C ARRA funds will be available, dependant on the amount of federal funding awarded to Ohio, for up to eighty-eight Ohio projects. Maximum funding levels available for each county are listed in **Appendix #2, Part C ARRA Funding Allocation Table**. The funding is exclusive of any required matching amounts and represents only ODH Part C ARRA funds granted.

G. Due Date: Applications including any required forms and required attachments Mailed or electronically submitted via GMIS 2.0 are due by **September 21, 2009**. Attachments and/or forms sent electronically must be transmitted by the application due date. Attachments and/or forms mailed that are non-Internet compatible must be postmarked or received on or before the application due date.

Please contact your Help Me Grow Technical Assistance Program Consultant with any questions. A map indicating consultants and counties for the purposes of this program is included as **Appendix #3, Help Me Grow Technical Assistance Team** listing.

H. Authorization: Authorization of funds for this purpose is contained under the Catalog of Federal Domestic Assistance (CFDA) Number 84.393A and section 807 of the ARRA.

I. Goals: The overall goals of the American Recovery and Reinvestment Act of 2009, IDEA Recovery funds are to stimulate the economy in the short term and invest in education and other essential public services to ensure the long-term economic health of our nation. Specifically, goals of Part C ARRA funds are to preserve or create Part C related jobs, such as service coordinator and/or child find positions; and to stabilize the state and county Part C budgets; to minimize and avoid reductions in essential Part C services; and to further the goals of the Help Me Grow early intervention program.

Expected Results: By June 30, 2010 the Help Me Grow Program will create or retain an estimated 10% more jobs in the state of Ohio to provide Part C services to eligible children than would have been possible without the ARRA funding. The 10% will be measured against the full-time positions the last day of the fourth quarter, June 30, 2009.

The baseline number of jobs will be obtained from the applicant agencies in their responses to this RFP. The final figures will be reported by the successful subgrantees on the "ARRA Subgrantee Reporting Form" submitted following the close of the project period.

Program Priorities and Requirements: Federal Part C ARRA funds provided through this grant program are to be used in conjunction with state, federal and local funds to create or retain jobs that will stabilize Part C essential services and assist in providing a variety of accessible, family-centered, community-based supports and services for Ohio's families. County Family and Children First Councils must:

- Use the Part C ARRA funds to create or retain positions supporting Part C early intervention.
- Comply with ARRA, the, Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009, on April 3, 2009 and June 22, 2009, and future guidance to be communicated at a later date.
- Comply with the Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009, on April 3, 2009 and June 22, 2009; ARRA Procurement Guidance – OBM Guidance Memo #8 (Appendix #4); and future guidance as communicated.
- Report required information in accordance with this RFP; Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009, on April 3, 2009 and June 22, 2009; OBM Guidance Memo #9 (Appendix #5) and future guidance to be communicated at a later date.
- Designate a specific staff position to be responsible for ARRA funds.
- Comply with all the requirements set forth in the HMG grant for FY 2009 extended through SFY 2010.
- Adhere to all applicable Federal Part C laws and regulations and state Help Me Grow policies and rules. Part C regulations may be found at the NECTAC website www.nectac.org; state Help Me Grow policies can be found on the Help Me Grow website at www.ohiohelpmegrow.org. Help Me Grow rules can be found at www.odh.ohio.gov under “rules” then “final” and then Chapter 3701-8 of the Ohio Administrative Code.
- Assure that the county is striving to meet the state targets and benchmarks as listed in the Ohio's State Performance Plan (SPP). The SPP may be found at <http://www.ohiohelpmegrow.org/aboutus/reporting.aspx>
- Comply with ODH and BEIS reporting requirements including timely, accurate and complete implementation of the Help Me Grow electronic data system (Early Track per the HMG Data Collection, Management and Reporting policy).
- Participate fully in Corrective Action Plans (CAP) and focused monitoring activities (i.e., Help Me Grow Monitoring Process) conducted by ODH in conjunction with other state agencies. This includes sharing client records and related program data.

Subgrantees are expected to manage and expend the ARRA funds so as to achieve these goals, including commencing expenditures and activities as quickly as possible, consistent with prudent management. Contract planning, evaluation and award must align with these goals.

J. Program Period and Budget Period: The program period will begin November 1, 2009 and end on June 30, 2010. The budget period for this application is November 1, 2009 through June 30, 2010.

K. Local Health Districts Improvement Standards: This grant period will address the following Local Health Districts Improvement Goal(s) and Standard(s):

- Assure A Safe and Healthy Environment: Rule 3701-36-06 of the Ohio Administrative Code (OAC);
- Promote Healthy Lifestyles: Rule 3701-36-07(A)(3) of the OAC- Prevention, health promotion, early intervention, and outreach services provided directly.
- Address the Need for Personal Health Services: 3701-36-08(A)(4) of the OAC- Plans to reduce specific gaps in access to critical health services are developed and implemented through collaborative efforts.

The Local Health District Improvement Standards are available on the ODH website <http://www.odh.ohio.gov> (Click on “Local Health Districts Improvement Standards,” then click “Local Health District Improvement Goals/Standards/Measures.”)

L. Public Health Impact Statement: All applicant agencies that are not local health districts must communicate with local health districts regarding the impact of the proposed grant activities on the Local Health Districts Improvement Standards.

1. *Public Health Impact Statement Summary* - Applicant agencies are required to submit a summary of the program to local health districts prior to submitting the grant application to ODH. The program summary, not to exceed one page, must include:
 - a) The Local Health District Improvement Standard(s) to be addressed by grant activities:
 - A description of the demographic characteristics (e.g., age, race, gender, ethnicity) of the target population and the geographical area in which they live (e.g. census tracts, census blocks, block groups);
 - A summary of the services to be provided or activities to be conducted; and,
 - A plan to coordinate and share information with appropriate local health districts.

The applicant must submit the above summary as part of their grant application to ODH. This will document that a written summary of the proposed activities was provided to the local health districts with a request for their support and/or comment about the activities as they relate to the Local Health Districts Improvement Standards **(Required for competitive cycle only; not required for continuation cycle, if unchanged).**

2. Public Health Impact Statement of Support - *Include with the grant application a statement of support from the local health districts, if available. If a statement of support from the local health districts is not obtained, indicate that when the program summary is submitted with the grant application. If an applicant agency has a regional and/or statewide focus, a statement of support must be submitted from at least one local health district, if available (Required for competitive cycle only; not required for continuation cycle, if unchanged).*

M. Statement of Intent to Pursue Health Equity Strategies

The ODH is committed to the elimination of health inequities. All applicant agencies must submit a statement which outlines the intent of this application to address health disparities. This statement should not exceed 1 ½ pages and must: (1) explain the extent in which health disparities are manifested within the health status (e.g., morbidity and/or mortality) or health system (e.g., accessibility, availability, affordability, appropriateness of health services) focus of this application; (2) identify specific group(s) who experience a disproportionate burden for the disease or health condition addressed by this application; and (3) identify specific social and environmental conditions which lead to health disparities (social determinants). This statement must be supported by data. The following section will provide a basic framework and links to information to understand health equity concepts. This information will also help in the preparation of this statement as well as respond to other portions of this application. **(Required for competitive cycle only; not required for continuation cycle or non-competitive cycle).**

Basic Health Equity Concepts:

Certain groups in Ohio experience a disproportionate burden with regard to the incidence, prevalence and mortality of certain diseases or health conditions. These are commonly referred to as health disparities. Health disparities are not mutually exclusive to one disease or health condition and are measurable through the use of various public health data. Most health disparities affect groups marginalized because of socioeconomic status, race/ethnicity, sexual orientation, gender, disability status, geographic location or some combination of these factors. People in such groups also tend to have less access to resources like healthy food, good housing, good education, safe neighborhoods, freedom from racism and other forms of discrimination. These are referred to as social determinants. Social determinants are necessary to support optimal health. The systematic and unjust distribution of social determinants among these groups is referred to as health inequities. As long as health inequities persist, marginalized groups will not achieve their best possible health. The ability of marginalized groups to achieve optimal health (like those with access to social determinants) is referred to as health equity. Public health interventions that incorporate social determinants into the planning and implementation of programs will contribute to the elimination of health disparities. For more resources on health equity, please visit the ODH website at:

<http://www.healthyohioprogram.org/healthequity/equity.aspx>.

- N. Appropriation Contingency:** Any award made through this program is contingent upon the availability of funds for this purpose. In addition, ARRA funding is contingent upon the subgrantee's continued compliance with all ARRA reporting requirements. **In view of this, the subgrantee agency must be prepared to cover the costs of operating the program in the event of a delay in grant payments.**
- O. Programmatic, Technical Assistance and Authorization for Internet Submission:** Initial authorization for Internet submission will be distributed at your GMIS 2.0 Training Session (new agencies). All other agencies will receive their authorization upon the posting of the Request for Proposal to the ODH website. Please contact your Help Me Grow Program Consultant for questions regarding this RFP. See **Appendix #3 Help Me Grow Technical Assistance Team Map.**
- P. Acknowledgment:** An 'Application Submitted' status will appear in GMIS 2.0 that acknowledges ODH system receipt of the application submission.
- Q. Late Applications:** Applications are dated the time of actual submission via the Internet utilizing GMIS 2.0. Required attachments and/or forms sent electronically must be transmitted by the application due date. Required attachments and/or forms mailed that are non-Internet compatible must be postmarked or received on or before the application due date of **September 21, 2009.**
- Applicants should request a legibly dated postmark, or obtain a legibly dated receipt from the U.S. Postal Service, or a commercial carrier. Private metered postmarks shall **not** be acceptable as proof of timely mailing. Applicants can hand-deliver attachments to ODH, Grants Administration, Central Master Files; but they must be delivered by 4:00 p.m. on the application due date. FAX attachments will not be accepted. **GMIS 2.0 applications and required application attachments received late will not be considered for review.**
- R. Successful Applicants:** Successful applicants will receive official notification in the form of a "Notice of Award" (NOA). The NOA, issued under the signature of the Director of Health, allows for expenditure of grant funds.
- S. Unsuccessful Applicants:** Within 30 days after a decision to disapprove or not fund a grant application for a given program period, written notification, issued under the signature of the Director of Health, or his designee shall be sent to the unsuccessful applicant.
- T. Review Criteria:** All proposals will be judged on the quality, clarity and completeness of the application. See **Appendix #6, Help Me Grow, Part C ARRA Review Form.** Applications will be judged according to the extent to which the proposal:

1. Meets the goals of and guidelines for implementing ARRA;
2. Contributes to the advancement and/or improvement of the health of Ohioans;
3. Is responsive to policy concerns and program objectives of the initiative/program/activity for which grant dollars are being made available;
4. Is well executed and is capable of attaining program objectives;
5. Describe specific objectives, activities, milestones and outcomes with respect to time-lines and resources;
6. Estimates reasonable cost of the proposed activities, considering the anticipated results;
7. Indicates that program personnel are well qualified by training and/or experience for their roles in the program and the applicant organization has adequate facilities and personnel;
8. Provides an evaluation plan, including a design for determining program success;
9. Is responsive to the special concerns and program priorities specified in the request for proposal;
10. Has demonstrated acceptable past performance in areas related to programmatic and financial stewardship of grant funds;
11. Has demonstrated compliance to GAPP, Chapter 100;
12. Explicitly identifies specific groups in the service area who experience a disproportionate burden of the diseases or health condition(s) and explains the root causes of health disparities;
13. The applicant must document that there are adequate controls in place to ensure transparency and accountability of all ARRA funds; and
14. Has demonstrated compliance with all audit requirements (Section I, Item Z. Audit).

The ODH will make the final determination and selection of successful/unsuccessful applicants and reserves the right to reject any or all applications for any given request for proposals. **There will be no appeal of the Department's decision.**

- U. Freedom of Information Act:** The Freedom of Information Act and the associated Public Information Regulations (34 CFR Part 5) of the U. S. Department of Education require the release of certain information regarding grants requested by any member of the public. The intended use of the information will not be a criterion for release. Grant applications and grant-related reports are generally available for inspection and copying except that information considered to be an unwarranted invasion of personal privacy will not be disclosed. For specific guidance on the availability of information, refer to 34 CFR Part 5.

- V. **Ownership Copyright:** Any work produced under this grant will be the property of the Ohio Department of Health/Federal Government. The department's ownership will include copyright. The content of any material developed under this grant **must** be approved in advance by the awarding office of the ODH. All material(s) must clearly state:

Funded by Ohio Department of Health/Federal Government
Bureau of Early Intervention Services
Help Me Grow Program

- W. **Reporting Requirements:** Successful applicants are required to submit subgrantee program and expenditure reports in Early Track, GMIS 2.0, SPES or other database as directed. All program/expenditure report attachments must clearly identify the authorized program name and grant number. Reports must adhere to the ODH, GAPP manual and meet the reporting requirements of section 1512 of the ARRA. Reports must be received before the department will release any additional funds.

Note: Failure to assure quality of reporting such as submitting incomplete and/or late program or expenditure reports will jeopardize the receipt of further payments.

Reports shall be submitted as follows:

1. **Program Reports:** Reports shall be submitted as follows:

- a. Submit all child/family information as required in Early Track.

There will be specific program reporting requirements for ARRA funded programs. Subgrantees must submit reporting information in compliance with OMB's Updated Implementing Guidance for the ARRA, issued on April 3, 2009 and June 22, 2009 and any future guidance. Additional reporting requirements under the ARRA are expected to be received on or before August 26, 2009, and will be shared with the subgrantee as soon as it becomes available. At a minimum, subgrantee should anticipate ARRA reporting on a quarterly basis and that reporting shall be cumulative. Basic reporting requirements for subgrantees will include the following:

- The sub-recipient's DUNS number and CCR information;
- The total amount of ARRA funds awarded, received and expended;
- The sub-award date and period;
- Sub-recipient's place of performance;
- Sub-recipient's area of benefit;
- The name, description, and evaluation of the project or activity's completion status;
- The number of jobs (in FTEs) that were created and/or retained with the ARRA funds; and

- Additional information as requested for demonstrating compliance with the ARRA.
- For any payments greater than \$25,000.00, the sub-recipient must report the identity of the vendor by reporting the DUNS number, if available, or otherwise the name and zip code of the vendor's headquarters.

| | | |
|---------------|---------------------|--------------|
| First Period | 11/01/09 - 06/30/10 | due 02/05/10 |
| Second Period | 02/01/10 - 04/30/10 | due 05/05/10 |
| Third Period | 05/01/10 - 06/30/10 | due 07/05/10 |

Submission of Subgrantee Reports indicates acceptance of the ODH GAPP.

- 2. Subgrantee Program Expenditure Reports:** Subgrantee Program Expenditure Reports and an electronic copy of the subgrantee's general ledger (*record documenting actual expenditure of ARRA funds; may also be referred to as disbursement journal or expenditure journal*) for the relevant reporting period **must** be completed and submitted **via GMIS 2.0** by the following dates:

| | | |
|---------------|---------------------|--------------|
| First Period | 11/01/09 - 06/30/10 | due 02/05/10 |
| Second Period | 02/01/10 - 04/30/10 | due 05/05/10 |
| Third Period | 05/01/10 - 06/30/10 | due 07/05/10 |

Corrections to program and expenditure reports must be submitted no later than the 15th day of the reporting month.

Submission of Subgrantee Program Expenditure Reports via the ODH's GMIS 2.0 system indicates acceptance of ODH GAPP. Clicking the "Approve" button signifies your authorization of the submission as an agency official and constitutes your electronic acknowledgment and acceptance of GAPP rules and regulations. The electronic copy of the subgrantee's general ledger must be submitted via GMIS as a document attachment to the application page under the comment section.

- 3. Final Expenditure Reports:** A Subgrantee Final Expenditure Report reflecting total expenditures for the fiscal year must be completed and submitted **via GMIS 2.0** on or before **August 5, 2010**. The information contained in this report must reflect the program's accounting records and supportive documentation. Any cash balances must be returned with the Subgrantee Final Expense Report. The Subgrantee Final Expense Report serves as an invoice to return unused funds.

Submission of the Subgrantee Final Expenditure Report via the GMIS 2.0 system indicates acceptance of ODH GAPP. Clicking the "Approve" button signifies authorization of the submission by an agency official and constitutes electronic acknowledgment and acceptance of GAPP rules and regulations.

4. Inventory Report: A listing of all equipment purchased in whole or in part with **current** grant funds (Equipment Section of the approved budget) must be submitted via GMIS 2.0 as part of the Subgrantee Final Expenditure Report. At least once every two years, inventory must be physically inspected by the subgrantee. Equipment purchased with ODH grant funds must be tagged as property of ODH for inventory control. Such equipment may be required to be returned to ODH at the end of the grant program period.

X. Special Condition(s): There will be no flexibility status for ARRA funds. Responses to all special conditions **must be submitted via GMIS 2.0 within 30 days of receipt of the first quarter payment.** A Special Conditions link is available for viewing and responding to special conditions. This link is viewable only after the issuance of the subgrantee's first payment. The 30 day time period, in which the subgrantee must respond to special conditions, will begin when the link is viewable. Failure to submit satisfactory responses to the special conditions or a plan describing how those special conditions will be satisfied will result in the withholding of any further payments until satisfied.

Submission of response to grant special conditions via the ODH's GMIS 2.0 system indicates acceptance of ODH GAPP. Checking the "selection" box and clicking the "approve" button signifies authorization of the submission by an agency official and constitutes electronic acknowledgment and acceptance of GAPP rules and regulations.

Y. Unallowable Costs: The following projects are specifically prohibited under ARRA Section 1604: casino or other gambling establishments, aquariums, zoos, golf courses, or swimming pools. In addition, grant funds may not be used for the following:

1. To advance political or religious points of view or for fund raising or lobbying; but must be used solely for the purpose as specified in this announcement;
2. To disseminate factually incorrect or deceitful information;
3. Consulting fees for salaried program personnel to perform activities related to grant objectives;
4. Bad debts of any kind;
5. Lump sum indirect;
6. Contributions to a contingency fund;
7. Entertainment;
8. Fines and penalties;
9. Membership fees -- unless related to the program and approved by ODH;
10. Interest or other financial payments;
11. Contributions made by program personnel;
12. Costs to rent equipment or space owned by the funded agency;
13. Inpatient services;

14. The purchase or improvement of land; the purchase, construction, or permanent improvement of any building;
15. Satisfying any requirement for the expenditure of non-federal funds as a condition for the receipt of federal funds;
16. Travel and meals over the current state rates (see OBM Website: <http://obm.ohio.gov/MiscPages/Publish/TravelPolicy.aspx>);
17. Costs related to out-of-state travel, unless otherwise approved by ODH, and described in the budget narrative;
18. Training longer than one week in duration, unless otherwise approved by ODH;
19. Contracts for compensation with advisory board members;
20. Grant-related equipment costs greater than \$300, unless justified and approved by ODH;
21. Payments to any person for influencing or attempting to influence members of Congress or the Ohio General Assembly in connection with awarding of grants;
22. Unemployment costs paid by a reimbursing employer pursuant to section 4141.241(B)(1)(a) of the Ohio Revised Code; and

Use of grant funds for prohibited purposes will result in the loss and/or recovery of those funds.

- Z. Audit:** Subgrantees currently receiving funding from the ODH are responsible for submitting an independent audit report that meets OMB Circular A-133 requirements, a copy of the auditor's management letter, a corrective action plan (if applicable) and a data collection form (for single audits) within 30 days of the receipt of the auditor's report, but not later than nine months after the end of the subgrantee's fiscal year.

Subgrantees which expend \$500,000 or more in federal awards per fiscal year are required to have a single audit. The fair share of the cost of the single audit is an allowable cost to federal awards provided that the audit was conducted in accordance with the requirements of OMB Circular A-133.

Subgrantees which expend less than the \$500,000 threshold require a financial audit conducted in accordance with Generally Accepted Government Auditing Standards. The financial audit is not an allowable cost to the program.

Once an audit is completed, **a copy must be sent to the ODH, Grants Administration, Central Master Files address within 30 days.** Reference: *GAPP Chapter 100, Section 108 and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations for additional audit requirements.*

Subgrantee audit reports (finalized and published, and including the audit Management Letters, if applicable) **which include internal control findings, questioned costs or any other serious findings, must include a cover letter which:**

- Lists and highlights the applicable findings;
- Discloses the potential connection or effect (direct or indirect) of the findings on subgrants passed-through the ODH;
- Summarizes a Corrective Action Plan (CAP) to address the findings. A copy of the CAP should be attached to the cover letter.

AA. Submission of Application:

The GMIS 2.0 application submission must consist of the following:

| |
|--|
| <p>Complete & Submit Via Internet</p> |
|--|

1. Application Information
2. Project Narrative
3. Project Contacts
4. Budget
 - Primary Reason
 - Funding
 - Cash Needs
 - Justification
 - Personnel
 - Other Direct Costs
 - Equipment
 - Contracts
 - Compliance Section D
 - Summary
5. Civil Rights Review Questionnaire (EEO Survey)
6. Assurances Certification
7. Attachments as required by Program
 - Attachment A, State of Ohio Sub-recipient Assurance Statement
 - Attachment B, OBM Sub-recipient Information (OBM Guidance Memo #8)
 - Attachment C, Staff funded by ARRA

An original and one copy of the following forms, available on GMIS 2.0, must be completed, printed, signed in blue ink with original signature by the Agency Head or Agency Financial Head and mailed to the address listed below:

Complete,
Sign &
Mail To
ODH

1. Electronic Funds Transfer (EFT) Form (**Required if new agency, thereafter only if banking information has changed.**)
2. IRS W-9 Form (**Required if new agency, thereafter only when tax identification number or agency address information has changed.**) **One of the following forms must accompany the IRS W-9 Form:**
 - a. Vendor Information Form (**New Agency Only**)
 - b. Vendor Information Change Form (**Existing Agency with tax identification number, name and/or address change(s).**)
 - c. Change request in writing on Agency letterhead (**Existing Agency with tax identification number, name and/or address change(s).**)

Two copies of the following documents must be mailed to the address listed below:

Copy &
Mail To
ODH

1. Public Health Impact Statement (**for competitive cycle only; for continuation, only if changed**)
2. Statement of Support from the Local Health Districts (**for competitive cycle only; for continuation, only if changed**)
3. Liability Coverage (**Non-Profit Organizations only; proof of current liability coverage and thereafter at each renewal period**)
4. Evidence of Non-Profit Status (**Non-Profit Organizations only; for competitive cycle only; for continuation, only if changed**).

One copy of the following documents must be mailed to the address listed below:

Complete
Copy &
Mail To
ODH

1. Current Independent Audit (latest completed organizational fiscal period; **only if not previously submitted**)
2. Declaration Regarding Material Assistance/Non Assistance to a Terrorist Organization (DMA) Questionnaire (**Required by ALL Non-Governmental Applicant Agencies**)
3. An original and 1 copy of **Attachments** (non-Internet compatible) as required by program: NONE

**Ohio Department of Health
Grants Administration
Central Master Files, 4th Floor
246 N. High Street
Columbus, Ohio 43215**

II. APPLICATION REQUIREMENTS AND FORMAT

Access to the on-line GMIS 2.0, will be provided after GMIS 2.0 training for those agencies requiring training. All others will receive access after the RFP is posted to the ODH Website.

All applications must be submitted via GMIS 2.0. Submission of all parts of the grant application via the ODH's GMIS 2.0 system indicates acceptance of ODH GAPP. Submission of the Application signifies authorization by an agency official and constitutes electronic acknowledgment and acceptance of GAPP rules and regulations in lieu of an executed Signature Page document.

- A. Application Information:** Information on the applicant agency and its administrative staff must be accurately completed. This information will serve as the basis for necessary communication between the agency and the ODH.
- B. Budget:** Prior to completion of the budget section, please review Section I. Item Y. of the RFP for unallowable costs.

Match or Applicant Share is not required by this program. Do not include match or Applicant Share in the budget and/or the Applicant Share column of the Budget Summary. Only the narrative may be used to identify additional funding information from other resources.

- 1. Primary Reason and Justification Pages:** Provide a detailed budget justification narrative that describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allowability of the proposed costs. The justifications for the personnel and/or contract categories shall include, by type of position, an estimate of the number of jobs created and the number of jobs retained by the project as a result of the award of funds under this program as required by the American Recovery and Reinvestment Act (ARRA). Under Updated Guidance for ARRA, issued June 22, 2009; a job created is a new position created and filled or an existing unfilled position that is filled as a result of the Recovery Act; a job retained is an existing position that would not have been continued to be filled were it not for Recovery Act funding. A job cannot be counted as both created and retained. The narrative should include a brief description of the types of jobs created or retained. 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. The estimate of the number of jobs required by the Recovery Act should be expressed as full-time equivalents (FTE), which is calculated as total hours worked in jobs created or retained divided by the number of hours in a full-time schedule. The FTE estimates must be reported cumulatively each calendar quarter. The requirement for reporting jobs is based on a simple calculation used to avoid overstating the number of other than full-

time, permanent jobs. This calculation converts the part-time or temporary jobs into “full-time equivalents” (FTE) jobs. In order to perform the calculation, a recipient will need the total number of hours worked that are funded by the Recovery Act. The recipient will also need the number of hours in a full-time schedule for a quarter. The formula for reporting can be represented as:

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

Projects are required to include the information used to calculate the FTE figure in the budget narrative and report the information on Excel Spreadsheet FTE Report. Describe the specific functions of the personnel, consultants and collaborators. Explain and justify equipment, travel, (including any plans for out-of-state travel), supplies and training costs. If you have joint costs refer to GAPP Chapter 100, Section 103 and the Compliance Section D (9) of the application for additional information. The project should maintain payroll documentation information used to calculate this information for the Department.

Please see Attachment C, which is a template to be used by the subgrantee to calculate the FTEs retained and created under this grant.

- 2. Personnel, Other Direct Costs, Equipment and Contracts:** Submit a budget with these sections and form(s) completed as necessary to support costs for the period 11/01/09 – 06/30/10. Funds may be used to support personnel, their training, travel (see OBM Web Site <http://obm.ohio.gov/MiscPages/Publish/TravelPolicy.aspx> and supplies directly related to planning, organizing and conducting the Initiative/program activity described in this announcement.

When appropriate, retain all contracts on file. The contracts should not be sent to ODH. A completed “Confirmation of Contractual Agreement” (CCA) form must be submitted via GMIS 2.0 for each contract once it has been signed by both parties. The submitted CCA must be approved by ODH before contractual expenditures are authorized.

Submission of the “Confirmation of Contractual Agreement” (CCA) via the ODH’s GMIS 2.0 system indicates acceptance of ODH GAPP. Clicking the “Approve” button signifies authorization of the submission by an agency official and constitutes electronic acknowledgement and acceptance of GAPP rules and regulations. CCAs cannot be submitted until after the 1st quarter grant payment has been issued.

Where appropriate, itemize all equipment (**minimum \$300 unit cost value**) to be purchased with grant funds in the Equipment Section.

- 3. Compliance Section D:** Answer each question on this form as accurately as possible. Completion of the form ensures your agency's compliance with the administrative standards of ODH and federal grants.
 - 4. Funding, Cash Needs and Budget Summary Sections:** Enter information about the funding sources and forecasted cash needs for the program. Distribution should reflect the best estimate of need by quarter. Failure to complete and balance this section will cause delays in receipt of grant funds.
- C. Assurances Certification:** Each subgrantee must submit the Assurances (Federal and State Assurances for Subgrantees) form. This form is submitted as a part of each application via GMIS 2.0. The Assurances Certification sets forth standards of financial conduct relevant to receipt of grant funds and is provided for informational purposes. The listing is not all-inclusive and any omission of other statutes does not mean such statutes are not assimilated under this certification. Review the form and then press the "Complete" button. By submission of an application, the subgrantee agency agrees by electronic acknowledgment to the financial standards of conduct as stated therein.

D. Project Narrative

- 1. Executive Summary:** Describe how these ARRA funds will be used to create or retain Part C related jobs and to assist in the provision of Part C services and what agency or agencies will provide those services.
- 2. Description of Applicant Subgrantee/Documentation of Eligibility/Personnel:** Summarize the subgrantee's structure as it relates to this program and how it will manage the use of the ARRA funds. Note any personnel or equipment deficiencies that will need to be addressed in order to carry out this grant. Describe plans for creating or retaining positions. Delineate all personnel who will be directly involved in program activities. Include the relationship between program staff members, staff members of the applicant agency, and other partners and agencies that will be working on this program. Include position descriptions for these staff.
- 3. Problem/Need:**
 - a. Provide the number of FTEs employed with Part C funding as of 6/30/09.
 - b. Describe what Part C staff positions in FTEs would be eliminated without the ARRA funds.
 - c. Describe how the ARRA funds will be used to create or retain Part C service coordination and/or child find staff positions.

4. **Methodology:**

- a. In narrative form explain how these funds will be used to address the Goals set forth in Section I. I. of this RFP. Include your plan for the evaluation of the goals.
- b. Review the Expected Results, Section I, I, of this RFP and explain how these will be measured.
- c. What measures will be used to determine if this (project) funding has made a difference in your county?

E. Civil Rights Review Questionnaire - EEO Survey: The Civil Rights Review Questionnaire (EEO) Survey is a part of the Application Section of GMIS 2.0. Subgrantees must complete the questionnaire as part of the application process. This questionnaire is submitted automatically with each application via the Internet.

F. Attachment(s): Attachments are documents deemed necessary to the application that are not a part of the GMIS 2.0 system. Attachments that are non-Internet compatible must be postmarked or received on or before the application due date. An original and the required number of copies of non-Internet compatible attachments must be mailed to the ODH, Grants Administration Central Master Files address on or before **(Due Date)**. All attachments must clearly identify the authorized program name and program number.

G. Electronic Funds Transfer (EFT) Form: Print in PDF format and mail to ODH, Grants Administration, Central Master Files address. The completed EFT form **must** be dated and signed, in blue ink, with original signatures. Submit the original and one copy. **(Required only if new agency, thereafter only when banking information has changed.)**

H. Internal Revenue Service (IRS) W-9 and Vendor Forms: Print in PDF format and mail to ODH, Grants Administration, Central Master Files address. The completed IRS W-9 form **must** be dated and signed, in blue ink, with original signatures. Submit the original and one copy. **(Required if new agency, thereafter only when tax identification number or agency address information has changed.) One of the following forms must accompany the IRS, W-9:**

1. **Vendor Information Form (New Agency Only), or**
2. **Vendor Information Change Form (Existing Agency with tax identification number, name and/or address change(s).)**
3. **Change request in writing on Agency letterhead (Existing Agency with tax identification number, name and/or address change(s).)**

Print in PDF format and mail to ODH, Grants Administration, Central Master Files address. The completed appropriate Vendor Form **must** be dated and signed, in blue ink, with original signatures. Submit the original and one copy of each.

- I. Public Health Impact Statement Summary:** Submit two copies of a one-page program summary regarding the impact to proposed grant activities on the Local Health Districts Improvement Standards **(for competitive cycle only; for continuation, only if changed)**.
- J. Public Health Impact & Intent to Pursue Health Equity Statements:** Submit two copies of the response/statement(s) of support from the local health district(s) to your agency's communication regarding the impact of the proposed grant activities on the Local Health Districts Improvement Standards and [Intent to Pursue Health Equity Statements](#). If a statement of support from the local health district is not available, indicate that and submit a copy of the program summary your agency forwarded to the local health district(s) **(for competitive cycle only; for continuation, only if changed)**.
- K. Liability Coverage:** Liability coverage is required for all non-profit agencies. Non-profit organizations **must** submit documentation validating current liability coverage. Submit two copies of the Certificate of Insurance Liability **(Non-Profit Organizations only; current liability coverage and thereafter at each renewal period.)**
- L. Non-Profit Organization Status:** Non-profit organizations **must** submit documentation validating current status. Submit two copies of the Internal Revenue Services (IRS) letter approving non-tax exempt status **(Non-Profit Organizations only; for competitive cycle only; for continuation, only if changed.)**
- M. Declaration Regarding Material Assistance/Non-Assistance to a Terrorist Organization (DMA) Questionnaire:** The DMA is a questionnaire that must be completed by all non-governmental grant applicant agencies to certify that they have not provided "material assistance" to a terrorist organization (Sections 2909.32, 2909.33 and 2909.34 of the Ohio Revised Code). The completed DMA Questionnaire **must be** dated and signed, in blue ink, with the Agency Head's signature. The DMA Questionnaire (in PDF format. [Adobe Acrobat](#) is required) is located at the Ohio Department of Public Safety /Ohio Homeland Security website:
- <http://www.publicsafety.ohio.gov/links/HLS0038.pdf>
- Print a hard copy of the form once it has been downloaded. The form must be completed in its entirety and your responses must be truthful to the best of your knowledge. **(Required by all Non-Governmental Applicant Agencies.)**
- N. Attachments as Required by Program:**
1. Attachment A, State of Ohio Sub-Recipient Assurance Certification
 2. Attachment B, OBM Sub-Recipient Information
 3. Attachment C, Staff Funded by ARRA

III. APPENDICES

Appendix #1, Directions for applying for DUNS number and registering with CCR

Appendix #2, Part C ARRA Funding Allocation Table

Appendix #3, HMG Technical Assistance Team

Appendix #4, OBM Guidance Memo #8 with attachments A through D

Appendix #5, OBM Guidance Memo #9 with Attachment

Appendix #6, Application Review Form

Attachment A

Sub-recipient/County Program Name: _____

Administrative Agent: _____ Total Sub-recipient Allocation: _____

AARA Program: _____

Central Contractor Registration (CCR) Yes _____

No _____

State of Ohio
Sub-Recipient Assurance Statement

I have read the OMB's Updated Implementing Guidelines for the American Recovery and Reinvestment Act of 2009, at <http://www.recovery.gov/sites/default/files/m09-15.pdf> issued April 3, 2009 and guidance issued on June 22, 2009, at www.recovery.com and the U.S. Department of Education, Office of Special Education and Rehabilitative Services at <http://www.ed.gov/policy/gen/leg/recovery/guidance/idea-c.doc> (issued April 2009) and declare that, to the best of my knowledge, the following assurances have been met, or will be met, regarding the funds received as part of the American Recovery and Reinvestment Act of 2009 (ARRA). I further understand that additional federal and/or state guidance may be issued in the future and agree to meet additional reporting requirements and other guidance. For purposes of the guidance, "agency" means the U.S. Department of Education; "recipient" means the Ohio Department of Health; and "sub-recipient" means the county subgrantee of the Ohio Department of Health Part C ARRA funds.

A. Pre-application

1. Sub-recipient has assessed program risks and implemented appropriate risk mitigation controls to comply with the intent of ARRA's requirement for the risk management. (See: OMB Updated Implementing Guidance, Section 3, Guidance, Risk Management and Program Integrity).
2. Sub-recipient has an internal control framework to conform responsibilities and accountability objective of ARRA.

B. Program Administration & Management

1. Separate accounting mechanisms are in place to ensure that funding received and disbursed as part of ARRA is maintained separate from, and not commingled with other funds (See: OMB Updated Implementing Guidance, Section 4, Budget Execution).
2. County management has identified qualified personnel to oversee ARRA funds throughout the ARRA funding life cycle (See: OMB Updated Implementing Guidance, Section 3 Governance, Risk Management, and Program Integrity).
3. The receipt and disbursement of funds has been done or will be done in accordance with the purposes and intent of ARRA and relevant State laws, regulations and guidelines (See: OMB Updated Implementing Guidance, Section 1, General Information)

Attachment A

4. ARRA program funds received will be appropriately monitored for timely expenditure of dollars, completion of planned work and minimize cost overruns (See: OMB Updated Implementing Guidance Section, Governance, Risk Management, and Program Integrity).
5. Sufficient risk mitigation processes are in place to meet accountability objectives (See: OMB Updated Implementing Guidance, Section 3 Governance, Risk Management and Program Integrity)
6. Sufficient internal control and monitoring activities, including vendors, are in place to ensure achievement of program and economic outcomes.

C. Reporting

1. Sub-recipient is appropriately tracking against accountability measures as identified in ARRA (See: OMB Updated Implementing Guidance, Section 3, Governance, Risk Management and Program Integrity)>
2. Sub-recipient will report to the Ohio Department of Health quantifiable program costs and performance information (See: OMB Updated Implementing Guidance, Section 2. Agency Plans and Public Reporting).
3. Sufficient information is available for internal or external parties to subsequently audit and validate the completeness and accuracy of reports submitted.

D. Reconciliation & Accountability

1. Sub-recipient plans to hold managers accountable for achieving ARRA program goals and improvement actions.
2. Sub-recipient will reconcile program apportionments, allotments, obligations, and expenditures related to ARRA (See: OMB Updated Implementing Guidance. Section 4, Budget Execution).

Administrative Agent Executive

Date

Director, Administrative Agent

Family & Children First Council Coordinator

Date

Subrecipient Information

For any first-tier subcontract or subaward funded in whole or in part under the Recovery Act, that is over \$25,000 and not subject to aggregate reporting under Section 4, the recipient shall provide detailed information as follows:

1. Subrecipient DUNS Number

Provide the 9 digit Data Universal Numbering System (DUNS) number or Central Contractor Registration plus 4 extended DUNS Number

2. Award Number or Other Identifying Number

Provide the grant/award number (if any) assigned to the subrecipient award by the state agency

3. Subrecipient Name

Provide the legal name of subrecipient as registered in the Central Contractor Registration (www.ccr.gov).

4. Subrecipient Location

Physical location as listed in the Central Contractor Registration. For congressional district, use the format: 2 characters State Abbreviation—3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-13 for North Carolina's 13rd district. If the program/project is outside the US, enter 00-000.

5. Subrecipient Type

Select from the categories to the Right

- State Government.
- County Government.
- City or Township Government.
- Special District Government.
- Regional Organization.
- U.S. Territory or Possession.
- Independent School District.
- Public/State Controlled Institution of Higher Education.
- Indian/Native American Tribal Government (Federally Recognized).
- Indian/Native American Tribal Government (Other than Federally Recognized).
- Indian/Native American Tribally Designated Organization.
- Public/Indian Housing Authority.
- Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education).
- Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education).
- Private Institution of Higher Education.
- Individual.
- For-Profit Organization (Other than Small Business).
- Small Business.
- Hispanic-serving Institution.
- Historically Black Colleges and Universities (HBCUs).
- Tribally Controlled Colleges and Universities (TCCUs).
- Alaska Native and Native Hawaiian Serving Institutions.
- Non-domestic (non-US) Entity.
- Other.

6. Amount of Subcontract or Subaward

Provide the cumulative amount of cash disbursed to the subawardee or subcontractor as of the reporting period end date. (To be provided by the State)

7. Total Amount of Subcontract or Subaward

Provide the anticipated total amount of cash to be disbursed to the subawardee or subcontractor by the expiration date of the subaward or subcontract, respectively.

8. Date that Subcontract or Subaward was Signed

(mm/dd/yyyy)

9. Subcontract/ Subaward Grant Period

Indicate the project/grant period established in the subaward document during which sponsorship begins and ends. For multi-year awards for a project/grant period (e.g., 5 years) that are funded in increments known as budget periods or funding periods, please provide the total project/grant period, not the individual budget period or funding period

10. Primary Location

Provide physical location of primary place of performance.

11. Five Most Highly Compensated Officers of the Entity: Provide Name and Total Compensation (1)

Provide the names and total compensation of the five most highly compensated officers of the subrecipient entity if—
(1) the recipient in its preceding fiscal year received—
(a) 80 percent or more of its annual gross revenues in Federal awards; and
(b) \$25,000,000 or more in annual gross revenues from Federal awards; and
(2) the public does not have access to information about the compensation of the senior executives of the entity 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 (26 USC § 6104).
"Total compensation" means the cash and 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)):
(i). Salary and bonus.
(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.
(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.
(iv). Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
(v). Above-market earnings on deferred compensation which are not taxqualified.
(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.

12. Five Most Highly Compensated Officers of the Entity: Provide Name and Total Compensation (2)

13. Five Most Highly Compensated Officers of the Entity: Provide Name and Total Compensation (3)

14. Five Most Highly Compensated Officers of the Entity: Provide Name and Total Compensation (4)

| |
|--|
| |
|--|

15. Five Most Highly Compensated Officers of the Entity: Provide Name and Total Compensation (5)

| |
|--|
| |
|--|

Subawardee or Subcontract Award Information—Aggregated

For subcontracts or subawards valued at less than \$25,000 or any subcontracts or subawards awarded to an individual, or subcontracts or subawards awarded to an entity other than an individual which in the previous tax year had gross income under \$300,000, the recipient shall only report the aggregate number of such first tier subawards and subcontracts awarded in the quarter and their aggregate total dollar amount.

16. Total number of Subcontractors and Subawardees less than \$25,000/ Award and Awarded to Individuals

To be answered by State Agencies

| |
|--|
| |
|--|

17. Total Amount of Subcontractors and Subawardees less than \$25,000/ Award and Awarded to Individuals

To be answered by State agencies

| |
|--|
| |
|--|

EXAMPLE OF STAFF FUNDED 100% from Stimulus (ARRA) Part C

Attachment C (1)

County Name _____

FTEs paid from Part C as of 6/30/09 _____

| (a) | (b) | (c) | (d) | (e) | (f) | (g) | (h) | (i) |
|--------------------------|--|------------------|-------------------------------|-----------------------------|-----------------------------|----------------------------|---------------------------|----------------------------|
| Name | Total # of hours budgeted in 1 fiscal year | 7/1/09 - 9/30/09 | 10/1/09 - 12/31/09 hrs worked | cumulative through 12/31/09 | 1/1/10 - 3/31/10 hrs worked | cumulative through 3/31/10 | 4/1/10-6/30/10 hrs worked | cumulative through 6/30/10 |
| Susie Smith | 2080 | 520 | 520 | 1040 | 520 | 1560 | 520 | 2080 |
| Tammy Tufts | 1040 | 260 | 260 | 520 | 260 | 780 | 260 | 1040 |
| Zelda Zone | 650 | 0 | 130 | 130 | 130 | 260 | 390 | 650 |
| | | | | 0 | | 0 | | 0 |
| | | | | 0 | | 0 | | 0 |
| | | | | 0 | | 0 | | 0 |
| | | | | 0 | | 0 | | 0 |
| | | | | 0 | | 0 | | 0 |
| | | | | 0 | | 0 | | 0 |
| | | | | 0 | | 0 | | 0 |
| Total Hours Worked | | 780 | 910 | 1690 | 910 | 2600 | 1170 | 3770 |
| Cumulative Quarterly FTE | | 1.5 | | 1.6 | | 1.7 | | 1.8 |
| Full time schedule | | 520 | | 1040 | | 1560 | | 2080 |

Columns

- (a) County to add employee's first & last name
- (b) County to insert employee's budgeted yearly # of hours (includes vacation, sick, cost savings, etc.)
- (c) County to report # of hours employee worked (include any leave used) for the time period 7/1/09 - 9/30/09
- (d) County to report # of hours employee worked (include any leave used) for the time period 10/1/09 - 12/31/09
- (e) Spreadsheet has formula that adds column (c) + column (d) - **do not change**
- (f) County to report # of hours employee worked (include any leave used) for the time period 1/1/10 - 3/30/10
- (g) Spreadsheet has formula that adds column (e) + column (f) - **do not change**
- (h) County to report # of hours employee worked (include any leave used) for the time period 4/1/10 - 6/30/10
- (i) Spreadsheet has formula that adds column (g) + column (h) - **do not change**

Rows

The following explains what the rows/ fields reflect. **They are not to be changed.**

- Total Hours Worked** spreadsheet has a formula that adds hours for all employees reported for each quarter and cumulatively
- Cumulative Quarterly FTE** spreadsheet has a formula that divides the total number of hours worked cumulatively and divides that by the # of FTE hours cumulatively for the quarter
- Full time schedule** Each quarter assumes 1/4 of a fulltime equivalent (Q1 = 2080 divided by 4 quarters = 520 hours, Q2 = 520 (Q1) + 520 (Q2), so on)

County Name _____

FTEs paid from Part C as of 6/30/09 _____

| (a) Name | (b) Total # of hours budgeted in 1 fiscal year | (c)-(d) Funding Source | | | (e)-(s) # of hours worked in the Quarter funded by ARRA (Part C stimulus) | | | | | | | | | | | | | | | |
|--------------------|---|-------------------------------|--------------|--------------|--|----------------------------|---------------------|----------------------------|--|--|---------------------|----------------------------|---|---|---------------------|----------------------------|---|---|-------|--|
| | | (c) ARRA (Part C stimulus) | (d) Other | (e) Total | (f)-(i) 7/1/09 - 9/30/09 | | | | (j)-(k) 10/1/09-12/31/09 | | | | (l)-(o) 1/1/10-3/31/10 | | | | (p)-(s) 4/1/10-6/30/10 | | | |
| | | | | | (f) # hrs worked | (g) # hrs coded to ARRA | (h) # hrs worked | (i) # hrs coded to ARRA | (j) cumulative through 12/31/09 (All funds) | (k) cumulative through 12/31/09 (ARRA only) | (l) # hrs worked | (m) # hrs coded to ARRA | (n) cumulative through 3/31/10 (All funds) | (o) cumulative through 3/31/10 (ARRA only) | (p) # hrs worked | (q) # hrs coded to ARRA | (r) cumulative through 6/30/10 (All funds) | (s) cumulative through 6/30/10 (ARRA only) | | |
| Bobby Bates | 2080 | 50% | 50% | 100% | 520 | 260 | 520 | 260 | 1,040 | 520 | 520 | 260 | 260 | 1,560 | 780 | 520 | 260 | 2,080 | 1,040 | |
| Wanda Wilson | 1040 | 25% | 75% | 100% | 260 | 65 | 260 | 65 | 520 | 130 | 260 | 65 | 780 | 195 | 260 | 65 | 1040 | 260 | 260 | |
| Mary Maples | 650 | 40% | 60% | 100% | 0 | 0 | 130 | 52 | 130 | 52 | 130 | 52 | 260 | 104 | 390 | 156 | 650 | 260 | 260 | |
| | | | | 0% | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | | | 0% | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | | | 0% | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | | | 0% | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | | | 0% | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | | | 0% | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| Total Hours Worked | | | | | | 325 | 910 | | 1690 | | | 910 | | 2600 | | 1170 | | 3770 | | |
| Quarterly FTE | | | | | | | 0.6 | | | 1.6 | | | | 1.7 | | | | 1.8 | | |
| Full time schedule | | | | | | | 520 | | | 1040 | | | | 1560 | | | | 2080 | | |

Columns

- (a) County to add employee's first & last name
- (b) County to insert employee's budgeted yearly # of hours (includes vacation)
- (c) County to record what percent staff's payroll will be charged to ARRA (Part C stimulus)
- (d) County to record what percent staff's payroll will be charged to any other funding source
- (e) Spreadsheet has formula that adds column (c) + column (d) - **do not change**
- (f) County to report # of hours employee worked (include any leave used) for the time period 7/1/09 - 9/30/09
- (g) Spreadsheet has formula that multiplies column (f) by column (c) - **do not change**
- (h) County to report # of hours employee worked (include any leave used) for the time period 10/1/09 - 12/31/09
- (i) Spreadsheet has formula that multiplies column (h) by column (c) - **do not change**
- (j) Spreadsheet has formula that adds column (f) + column (h) - **do not change**
- (k) Spreadsheet has formula that adds column (g) + column (i) - **do not change**
- (l) County to report # of hours employee worked (include any leave used) for the time period 1/1/10 - 3/30/10
- (m) Spreadsheet has formula that multiplies column (l) by column (c) - **do not change**
- (n) Spreadsheet has formula that adds column (j) + column (l) - **do not change**
- (o) Spreadsheet has formula that adds column (k) + column (m) - **do not change**
- (p) County to report # of hours employee worked (include any leave used) for the time period 4/1/10 - 6/30/10
- (q) Spreadsheet has formula that multiplies column (p) by column (c) - **do not change**
- (r) Spreadsheet has formula that adds column (n) + column (p) - **do not change**
- (s) Spreadsheet has formula that adds column (o) + column (q) - **do not change**

Rows

The following explains what the rows/ fields reflect. **They are not to be changed.**

- Total Hours Worked** spreadsheet has a formula that adds hours for all employees reported for each quarter and cumulatively
- Cumulative Quarterly FTE** spreadsheet has a formula that divides the total number of hours worked cumulatively and divides that by the # of FTE hours cumulatively for the quarter
- Full time schedule** Each quarter assumes 1/4 of a fulltime equivalent (Q1 = 2080 divided by 4 quarters = 520 hours, Q2 = 520 (Q1) + 520 (Q2), so on)

Universal identifier for Grant Applicants

Criteria

OMB Federal Register/Vol, No. 68 No. 124/Friday, June 27, 2003: The Office of Management and Budget (OMB) issued a directive to implement the requirement for grant applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements on or after October 1, 2003. See register at www.ed.gov/legislation/FedRegister/other/2003-2/062703a.pdf

Purpose

OMB has determined that the identifier will be used for tracking purposes, and to validate address and point of contact information. The DUNS number already is in use by the Federal government generally to identify entities receiving Federal contracts and by some agencies in the grant and cooperative agreement process. Among existing numbering systems, the DUNS is the only one that provides the Federal government the ability to determine hierarchical and family-tree data for related organizations.

The DUNS number will be required whether an applicant is submitting a paper application or using the government wide electronic portal i.e., Grants.gov. By using the Grants.gov website portal, entities will be able to store in a central repository, information about the organization that does not change from application to application. The DUNS number will be one of those stored elements and will supplement other identifiers required by statute or regulation, such as tax identification numbers. OMB's intent over time is to use the DUNS number throughout the grants life cycle.

Step 1. Getting your DUNS

The federal government requires organizations to provide a DUNS number as part of their grant applications and proposals. The Data Universal Number System (DUNS) number is a unique nine-character identification number provided by the commercial company Dun & Bradstreet (D&B) and is required as part of the CCR registration process.

1. The first step to getting your organization registered is to request a DUNS number from Dun and Bradstreet. It only takes a day to get a DUNS number from D&B by phone (you may be on hold for a little while), but Internet applications can take up to 30 days via the [web form](#).
2. Note that an authorizing official, not a project director, of the organization should request a DUNS number. **Call D&B's special toll-free number for federal grant applicants: 1-866-705-5711.** Tell the operator that you are applying to a federal grant program and need to register for a DUNS number. The process will take about ten minutes.
3. You will be asked to provide the following information (subject to minor changes):
 - Legal name of organization, physical address (and P.O. box if you have one), telephone number, Web address, name of the authorizing official (e.g., president, director, etc.), the purpose of your organization (e.g., non-profit dance company to perform and create work, museum that provides art exhibitions for the general public, etc.), total number of employees.

Due to the strict rules and regulations imposed under the Recovery Act agencies should verify that they have a DUNS number or take the steps needed to obtain one as soon as possible if there is a possibility that they will be applying for Federal grants or cooperative agreements. For further

Appendix 1

information on D&B and DUNS, please go to the following link: [DUNS Number Guidance for Federal Government Vendors](#) or [web form](#).

Step 2. Registering with CCR

Registering with CCR is important because CCR validates applicant information and electronically shares the secure and encrypted data with Grants.gov, as well as other Federal agencies. CCR will house your organizational information, allowing Grants.gov to use that information to verify your organization's identity. After you complete the CCR registration process and your EIN/TIN number has been validated by CCR, you will be able to move to the next steps of the Grants.gov registration process the very next business day.

Organizations and individuals registering with CCR are required to designate an E-Business Point of Contact (POC) and create a Marketing Partner Identification Number (MPIN). The E-Business POC becomes the sole Grants.gov authority for the organization with the capability of designating or revoking an individual's ability to submit grant applications on behalf of their organization through Grants.gov. This individual will use the MPIN and the organization's DUNS number to log into Grants.gov.

You may register for the CCR by calling the CCR Assistance Center at **1-888-227-2423** or you may register online at www.ccr.gov.

It is important to note, however, that the entire process, including the steps that need to be taken by CCR, takes about 5 days.

CCR registrants are required to submit detailed information on their company in various categories. Additional, non-mandatory information is also requested. The [CCR User's Guide](#) defines and details specific informational requirements. The User's Guide also provides guidelines on how to obtain unknown information. A [FAQ](#) page is also available to help you through the process.

**Final Help Me Grow Part C Stimulus Allocation Table
SFY2010**

Appendix 2

7/26/2009

| County | Part C Stimulus Amount | County | Part C Stimulus Amount |
|---------------|---------------------------------------|---------------|---------------------------------------|
| Adams | 21,443 | Licking | 73,790 |
| Allen | 99,896 | Logan | 42,896 |
| Ashland | 30,775 | Lorain | 219,212 |
| Ashtabula | 78,050 | Lucas | 316,541 |
| Athens | 54,368 | Madison | 33,087 |
| Auglaize | 34,038 | Mahoning | 162,200 |
| Belmont | 46,221 | Marion | 56,429 |
| Brown | 32,120 | Medina | 64,911 |
| Butler | 229,989 | Meigs | 33,286 |
| Carroll | 27,483 | Mercer | 33,675 |
| Champaign | 27,529 | Miami | 42,940 |
| Clark | 124,549 | Monroe | 19,663 |
| Clermont | 114,092 | Montgomery | 348,005 |
| Clinton | 39,073 | Morgan | 19,663 |
| Columbiana | 58,836 | Morrow | 29,549 |
| Coshocton | 38,167 | Muskingum | 65,991 |
| Crawford | 42,682 | Noble | 19,663 |
| Cuyahoga | 885,986 | Ottawa | 24,734 |
| Darke | 33,863 | Paulding | 19,663 |
| Defiance | 22,765 | Perry | 37,384 |
| Delaware | 73,866 | Pickaway | 25,267 |
| Erie | 54,464 | Pike | 30,536 |
| Fairfield | 76,741 | Portage | 58,732 |
| Fayette | 28,575 | Preble | 20,227 |
| Franklin | 733,843 | Putnam | 24,738 |
| Fulton | 28,402 | Richland | 110,997 |
| Gallia | 25,393 | Ross | 53,008 |
| Geauga | 40,086 | Sandusky | 41,810 |
| Greene | 88,522 | Scioto | 66,501 |
| Guernsey | 56,072 | Seneca | 48,765 |
| Hamilton | 667,099 | Shelby | 37,395 |
| Hancock | 32,947 | Stark | 224,568 |
| Hardin | 19,663 | Summit | 254,122 |
| Harrison | 26,047 | Trumbull | 124,899 |
| Henry | 23,995 | Tuscarawas | 56,012 |
| Highland | 40,278 | Union | 26,481 |
| Hocking | 22,871 | Van Wert | 21,979 |
| Holmes | 38,886 | Vinton | 19,883 |
| Huron | 50,882 | Warren | 92,671 |
| Jackson | 26,529 | Washington | 57,788 |
| Jefferson | 37,990 | Wayne | 64,895 |
| Knox | 30,539 | Williams | 26,355 |
| Lake | 75,429 | Wood | 54,921 |
| Lawrence | 62,663 | Wyandot | 19,663 |
| | | Ohio | \$7,629,202 |

Technical Assistance Program Consultants

| Laura Friedman | Cassandra Holloway | Carol Llewellyn | Beth Swallow | Kathy Arnold | Sharon Marcum | Contact Information |
|-----------------------|---------------------------|------------------------|---------------------|---------------------|----------------------|--|
| Adams | Allen | Ashtabula | Ashland | Defiance | Crawford | |
| Athens | Auglaize | Cuyahoga | Columbiana | Fulton | Erie | |
| Belmont | Butler | Franklin | Holmes | Hancock | Huron (DEA) | |
| Brown | Champaign | Geauga | Jefferson (DEA) | Hardin | Marion | |
| Fairfield | Clark | Hamilton | Knox | Henry | Ottawa | |
| Gallia | Clermont | Lake | Licking | Williams | Richland | |
| Guernsey | Clinton | Lorain | Morrow | Wood | Sandusky | |
| Harrison | Darke | Lucas | Tuscarawas | Paulding | Seneca (DEA) | |
| Highland | Delaware | Mahoning | Wayne | Putnam | Wyandot | |
| Hocking | Fayette | Medina | | | | |
| Jackson | Greene | Montgomery | | | | laura.friedman@odh.ohio.gov |
| Lawrence | Logan | Portage | | | | cassandra.holloway@odh.ohio.gov |
| Meigs | Madison | Stark (DEA) | | | | carol.llewellyn@odh.ohio.gov |
| Monroe | Mercer | Summit | | | | beth.swallow@odh.ohio.gov |
| Morgan | Miami | Trumbull | | | | kathy.arnold@odh.ohio.gov |
| Muskingum | Pickaway | Carroll | | | | sharon.marcum@odh.ohio.gov |
| Noble | Preble (DEA) | | | | | |
| Perry | Ross (DEA) | | | | | |
| Pike | Shelby (DEA) | | | | | |
| Scioto | Union (DEA) | | | | | |
| Vinton | VanWert | | | | | |
| Washington | Warren | | | | | |
| Coshocton | | | | | | |



May 4, 2009

TO: Executive Sponsors
Agency ARRA Team Members

FROM: J. Pari Sabety, Director, Office of Budget and Management
Hugh Quill, Director, Department of Administrative Services

SUBJECT: ARRA Procurement Guidance – OBM Guidance Memo #8

A. General Information

This guidance summarizes existing federal guidance and is being issued to assist agencies when awarding contracts and grants, and making purchases using ARRA funds. Unless otherwise authorized, agencies will follow existing procedures set forth in the Ohio Revised Code and Ohio Administrative Code, Executive Orders, and DAS Directives. While this guidance generally addresses contracts, procurements and competitive grants, formula grants are also subject to the reporting requirements in section E1 on page 5.

The Recovery Act sets forth guidelines agencies must follow when using ARRA funds, some of which may vary from Ohio law. Some of these differences include payment of federal prevailing wage and domestic preference. Agencies must follow federal law and guidance regarding its application when state and federal laws conflict. This guidance will note these conflicts to enable agencies to make adjustments to their procurement procedures, when necessary, and to ensure compliance with the Act. Any questions about which law applies to a specific purchase should be directed to agency legal counsel.

When an agency receives notice that its application for ARRA funds has been approved, the agency must determine whether subsequent contracts may be awarded by the agency or through DAS. For example, most agencies may purchase supplies and services up to \$50,000 under direct purchase authority or DAS may grant the local administration authority to administer public construction projects up to \$1.5 million. Regardless of the agency administering the contract, certain contract considerations and terms apply universally for ARRA funded projects.

This guidance is presented in five sections:

- A. General Information
- B. Goals
- C. Planning Principles
- D. Evaluating and Awarding Contracts and Grants
- E. Supplemental Contract Elements Specific to ARRA

B. Goals

The goals of the Act include the following:

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.

Agencies are to manage and expend ARRA funds so as to achieve these goals, including commencing expenditures and activities as quickly as possible, consistent with prudent management. Contract planning, evaluation, and award must align with these goals.

C. Planning Principles

Agencies that award contracts and competitive grants involving ARRA funds should plan carefully in order to:

1. Mitigate vendor's schedule, cost, and performance risk;
2. Define contract and grant requirements that deliver meaningful and measurable outcomes; consistent with agency plans and the goals of the Act;
3. Obtain maximum competition;
4. Explore opportunities for small businesses to compete for agency contracts or grants and to participate as subcontractors and subgrantees;
5. Find appropriate opportunities for agencies employing people who are blind or severely disabled;
6. Expeditiously award contracts and grants;
7. Apply sufficient and adequately trained workforce to responsibly plan, evaluate, award, and monitor contracts and grants;
8. Ensure an adequate number of qualified government personnel are available to perform these functions during the acquisition life-cycle; and
9. Provide appropriate agency oversight at critical decision points.

D. Evaluating and Awarding Contracts and Grants

ARRA funding requires specific considerations in evaluating and awarding contracts. Agencies are to incorporate all of the following considerations into their evaluation and award processes for contracts and grants. Sample contract language is included as Attachment B.

Please note that there may be additional requirements specific to certain federal funding streams, and agencies must consult the specific ARRA grant requirements before applying principles and procedures.

1. Prohibited Use of ARRA Funds

In determining competitive grants, agencies should note that the following projects are specifically prohibited under ARRA Section 1604: casino or other gambling establishments, aquariums, zoos, golf courses, or swimming pools. Project applications for all or part of one of these categories must be denied.

2. Use of Competition

According to the planning principles for awarding contracts, agencies are expected to maximize competition and award expeditiously. While these two principles may often conflict, they are not mutually exclusive.

Agencies are expected to follow existing procedures when making a non-competitive procurement using ARRA funds. Non-competitive procurements (e.g. sole source or brand specific) are not encouraged as such purchases may not maximize the benefit of federal funding. In those circumstances where an agency must use a non-competitive contract, the agency must fully justify this action and provide evidence that appropriate action has been taken to protect the taxpayer.

Unless otherwise authorized in law, sole source purchases must be approved by the state Controlling Board in accordance with existing procedures. Brand specific purchases are addressed in the following section.

It is understood that time is of the essence in awarding ARRA contracts and grants. Accordingly, DAS and OBM have created expedited process timelines for projects using ARRA funds. Please refer to the process diagram, Attachment A, at the end of this guidance.

3. Brand Specific Purchases

As set forth in Ohio law [OAC 123:5-1-10(I)], a brand specification may only be used when at least one of the following conditions exist:

- The identified brand name supplies or services will satisfy the state's needs in the most cost-efficient manner;
- The identified brand name supplies or services are necessary to protect the health and well-being of clients of the state;
- Emergency conditions will not permit acceptance of an alternate brand name supply or service;
- A minimum of two qualified authorized stocking distributors are available to provide the required brand name supply or service.

4. Measurement and Alignment

Agencies must structure their bidding processes to result in meaningful and measurable outcomes that are consistent with agency plans, and that promote the goals of the Act (see section B). The evaluation criteria for award should include those that bear on the measurement and likelihood of achieving these outcomes.

5. Fixed Price Contracts

Contract types are grouped into two broad categories: fixed-price contracts and cost-reimbursement contracts. The specific contract types range from firm-fixed-price, in which the contractor has full responsibility for the performance costs and resulting profit (or loss), to cost-plus-fixed-fee, in which the contractor has minimal responsibility for the performance costs and the negotiated fee (profit) is fixed. In between are the various incentive contracts, in which the contractor's responsibility for the performance costs and the profit or fee incentives offered are tailored to the uncertainties involved in contract performance.

To the maximum extent practicable, contracts using Act funds shall be awarded as fixed-price contracts. The objective is to ensure reasonable contractor risk and provide the contractor with the greatest incentive for efficient and economical performance. Agencies should select a contract type that supports requirements for

meaningful and measurable outcomes consistent with agency plans for, and the goals of the Act. Fixed-price contracts provide maximum incentive for the contractor to control costs and perform effectively and impose a minimum burden upon the contracting parties. These contracts expose the government to the least risk and can accommodate market fluctuations or other contingencies using economic price adjustments. Fixed-priced contracts are described in the FAR, Subpart 16.1, located at the following address:
http://acquisition.gov/far/current/html/Subpart%2016_1.html

DAS maintains a variety of fixed-priced general distribution contracts that have been awarded through competitive selection. These contracts may be used to purchase supplies and services using ARRA funds. These contracts are listed on the State Procurement website at: www.ohio.gov/procure. Click on Current Contracts and then on GDC (General Distribution Contracts).

6. Construction of Public Buildings and Public Works – Domestic Preferences

ARRA requires agencies using ARRA funds for the construction, maintenance, or repair of a public building or public works to use iron, steel, and manufactured goods made in the United States unless the federal agency providing the ARRA grant determines that one of the following conditions exists:

- Applying the preference would be in conflict with public interest,
- Iron, steel, and manufactured goods are not produced in the United States in sufficient and reasonably available quantities or of satisfactory quality.
- Inclusion of iron, steel, or manufactured goods produced in the United States will increase the cost of the overall project by more than 25 percent.

A contractor seeking a waiver from the above-referenced “Buy American” requirement must apply to the granting federal agency for such waiver. Although when a federal agency waives the above-referenced requirements, the federal agency must file a detailed written justification in the Federal Register explaining the waiver, an agency should include a notification requirement from the contractor.

When using stimulus funds for the construction of public building and public works, agencies should refer contractors to the Federal Register / Vol. 74, No. 60, March 31, 2009 / Rules and Regulations; Part 25 – Foreign Acquisition, Sub-Part 25.6 ARRA – Buy American Act – Construction Materials.

In addition, a state agency shall provide the above-referenced “Buy American” requirements in all ARRA funded construction contracts. An agency may find those requirements in ARRA section 1605, FAR Case 2009-08.

7. *Buy Ohio

Provided a specific ARRA grant does not prohibit the state from following normal procurement practices (in this case “Buy Ohio” consideration) an agency should apply the following procurement practice:

Ohio law requires that state agencies consider whether the bidder is offering supplies or services produced in Ohio and whether the bidder is an Ohio based company (R.C. 125.11). To that end, an agency, when evaluating price proposals, shall provide an Ohio based company (including bidders from border states), and

companies from other states offering Ohio produced products, a five (5) percent cost preference over non-Ohio based companies offering American made products not produced in Ohio (OAC 123:5-1-06, OAC 123:5-1-11).

In computing the above-preference, the agency shall deduct five percent from the bid price of those bidders described above, before comparing those bid prices with those non-Ohio based bidders offering American made products not produced in Ohio.

Please note that although the agency shall deduct five (5) percent from an Ohio based bidder's proposed price, the actual contract price for the company awarded the contract is the offered price.

In addition to the "Buy Ohio" preference described above, state law requires an agency to consider products produced in America. As such, an agency may not award a contract to a bidder offering supplies or services not produced in America unless the agency receives only one bid for supplies or services produced in America and that one bid exceeds the bid price of a bidder offering non-American produced product by six (6) percent.

Please note that this exception is not applicable to procurement of steel, iron, or manufactured goods for ARRA funded construction projects (described in Section 6, above).

Please refer to the Department of Administrative Services' "State Procurement Handbook." The agency may find the above-referenced handbook at www.ohio.gov/procure.

8. Small and Disadvantaged Business Enterprises; *MBE/EDGE

The Act mandates that agencies provide opportunities for small businesses and disadvantaged business enterprises to the maximum extent practicable. Agencies should provide practicable opportunities for small and disadvantaged businesses to compete and participate as prime and subcontractors while ensuring that the agency procures supplies and services at fair market prices. When selecting a purchase for small and disadvantaged businesses, the agency should match the contract opportunity with the ability and capability of the small or disadvantaged business.

Executive Order 2008-13S and Ohio Revised Code 125.081 established guidelines for agencies to follow when selecting purchases for MBE set aside or EDGE participation. Agencies must set aside approximately 15% of their intended purchases for competition by certified minority business enterprises (MBEs) only. The Executive Order establishes a goal of conducting 5% of an agency's business with EDGE certified companies. MBE and EDGE companies are certified by the DAS Equal Opportunity Division and are listed on their website at <http://das.ohio.gov/Eod/MBESearch/index.asp>.

As a general rule, contracts awarded with ARRA funds are included in each agency's total spending amounts, and will be reflected in each agency's quarterly MBE and EDGE scorecards.

9. *Employment of People with Disabilities

The Act encourages the procurement of supplies and services provided by organizations employing people with work-limiting disabilities pursuant to the Javits-Wagner-O'Day Act. Ohio law identifies the following qualifying organizations:

- DAS Office of Procurement from Community Rehabilitation Programs
- Rehabilitation Services Commission, Bureau of Services for the Visually Impaired

Ohio law mandates that agencies make purchases from these organizations when required supplies and services are available through these programs.

10. Contract Financing, and Structuring Contract Deliverables

One of the planning principles is to mitigate the vendor's schedule, cost, and performance risk. Agencies should give special attention to structuring contract deliverables to promote the economic stimulus goals (including expenditure timeframes) of the Act.

State agencies normally do not consider a vendor's contract financing in fixed-price contracting. However, tight credit markets may make it difficult for some contractors to secure the cash flow they need to fund their operations.

Alternatives to contract financing include structuring contract line items to allow invoicing and payments based upon interim or partial deliverables, milestones, percent-of-completion, etc. Ensuring consideration of contractor cash flow during the planning phase will mitigate schedule and performance risks to the government and reduce costs to the contractor associated with financing in a tight credit market.

11. *DAS Term Contracts

Agencies may make purchases using ARRA funds from existing federal and state contracts. Some state contracts are identified as indefinite-delivery/indefinite quantity (ID/IQ) contracts. DAS contracts in this category include but are not limited to General Distribution Contracts (GDCs), Multiple Award Contracts (MACs), State Term Schedules (STSs) and Master Maintenance Agreements (MMAs). If an agency obligates funds under the Recovery Act on an existing DAS contract, it must report the purchase as a "Recovery" action per FAR Section 4.605(c) and Subpart 5.7.

E. Required Supplemental Terms for ARRA Contracts

Agencies should use standard contract terms and conditions where applicable. If ARRA requirements conflict with these standard terms and conditions, the agency must amend and supplement its terms to ensure compliance with the requirements of the Act. Agencies must ensure that contract terms and conditions comply with Sections 1511, 1515, 1553, 1604 and 1609 of the Recovery Act. The full text of the Act is available at: <http://fdsys.gpo.gov/fdsys/pkg/BILLS-111hr1ENR/pdf/BILLS-111hr1ENR.pdf>

Following are contract elements that should be contained in any state contract that is funded through ARRA. Please note that there may be additional contract terms unique to particular funding streams.

1. Timely and Accurate Reporting

The Act requires periodic reporting on projects using ARRA funds to ensure accountability and transparency on all activities associated with the purchase. The Office of Budget and Management has and continues to

issue guidance memos to assist state agencies when using ARRA funds. These memos are posted on the OBM website at: <http://obm.ohio.gov/>. The following guidance memos are relevant to reporting requirements:

- Guidance Memo #3 - Preliminary Reporting Guidance
- Guidance Memo #5 – Risk Management
- Guidance Memo #6 – Award Notices and Cash Receipts
- Guidance Memo #7 – Ohio ARRA Hub & Reporting Requirements

Furthermore, Attachment C at the end of this guidance is a template form for subcontractors and subgrantees using ARRA funds. Your agency should attach these reporting forms to contract and grant agreements along with program-specific instructions on returning completed report forms to the agency. Agencies will be responsible for entering the reporting data for subcontractors and subgrantees into SharePoint in a timely fashion.

2. Job Posting

All jobs created with ARRA funds are required to be posted on www.ohiomeansjobs.com and at the closest ODJFS One-Stop location (see <http://jfs.ohio.gov/workforce/jobseekers/onestopmap.stm>). A detailed description on how to post these jobs is included as Attachment D.

The Act requires reporting of all jobs created and all jobs retained with ARRA funds. The federal Office of Management and Budget defines jobs created as “those positions created and filled, or previously existing unfilled positions that are retained as a result of Recovery Act funding.” Positions retained are “those previously existing filled positions that are retained as a result of Recovery Act funding.” A job cannot be reported as both created and retained. It is not necessary to post an unfilled position if a laid-off worker is being recalled to re-fill that position, but the position, when filled, must still be reported as a position created.

On the OhioMeansJobs website, please use the “Quick Job Post” screen under the “Employers” heading. When an employer posts a job on OhioMeansJobs, the posting has a job post number. All grantees, contractors, and subcontractors will use this number to meet certain reporting requirements of the previous section.

3. Accessibility to Records and Project Sites

The Act requires that each contract and grant awarded using ARRA funds must include a provision to allow certain access to information by the U.S. Comptroller General and the Inspector General. This access includes the examination of records of contractors and subcontractors, and ability to interview any employees or officers associated with the contracts.

4. Equal Opportunity Laws and Principles

The Act requires all contractors and subcontractors and subgrantees to comply with federal and state laws pertaining to civil rights and discrimination. Bidding documents must include language that references both federal and Ohio laws. Among the applicable federal laws are:

- Title VI & Title VII of Civil Rights Act of 1964
- Equal Pay Act of 1962
- Age Discrimination in Employment Act of 1967
- Title IX of Educational Amendments of 1972

- Section 504 of the Rehabilitation Act of 1973
- Age Discrimination Act of 1975
- Title I & Title V of Americans with Disabilities Act of 1990
- Fair Housing Act
- Fair Credit Reporting Act
- Equal Educational Opportunities Act
- Uniform Relocation Act

Among the applicable Ohio laws and provisions are:

- Ohio Revised Code § 122.71, § 125.111, §153.59, § 4112.01, § 4112.02
- Governor's Executive Order 2007-10S

5. Prevailing Wage

The Act requires that all contractors and subcontractors pay not less than the prevailing wage under the Davis-Bacon Act to all laborers and mechanics on projects funded directly by or assisted in whole or in part by ARRA funds. The agency must communicate this requirement to contractors and subcontractors and issue the appropriate federal wage rates to them. Once this is completed, Ohio's prevailing wage rates do not apply and the agency is exempt pursuant to ORC 4115.04(B)(1). The project then becomes a federal project administered by a state agency.

In the event that the contract work does not lie within the purview of the Davis-Bacon Act, then the agency must apply Ohio prevailing wage law, in accordance with ORC sections 4115.03 to 4115.06.

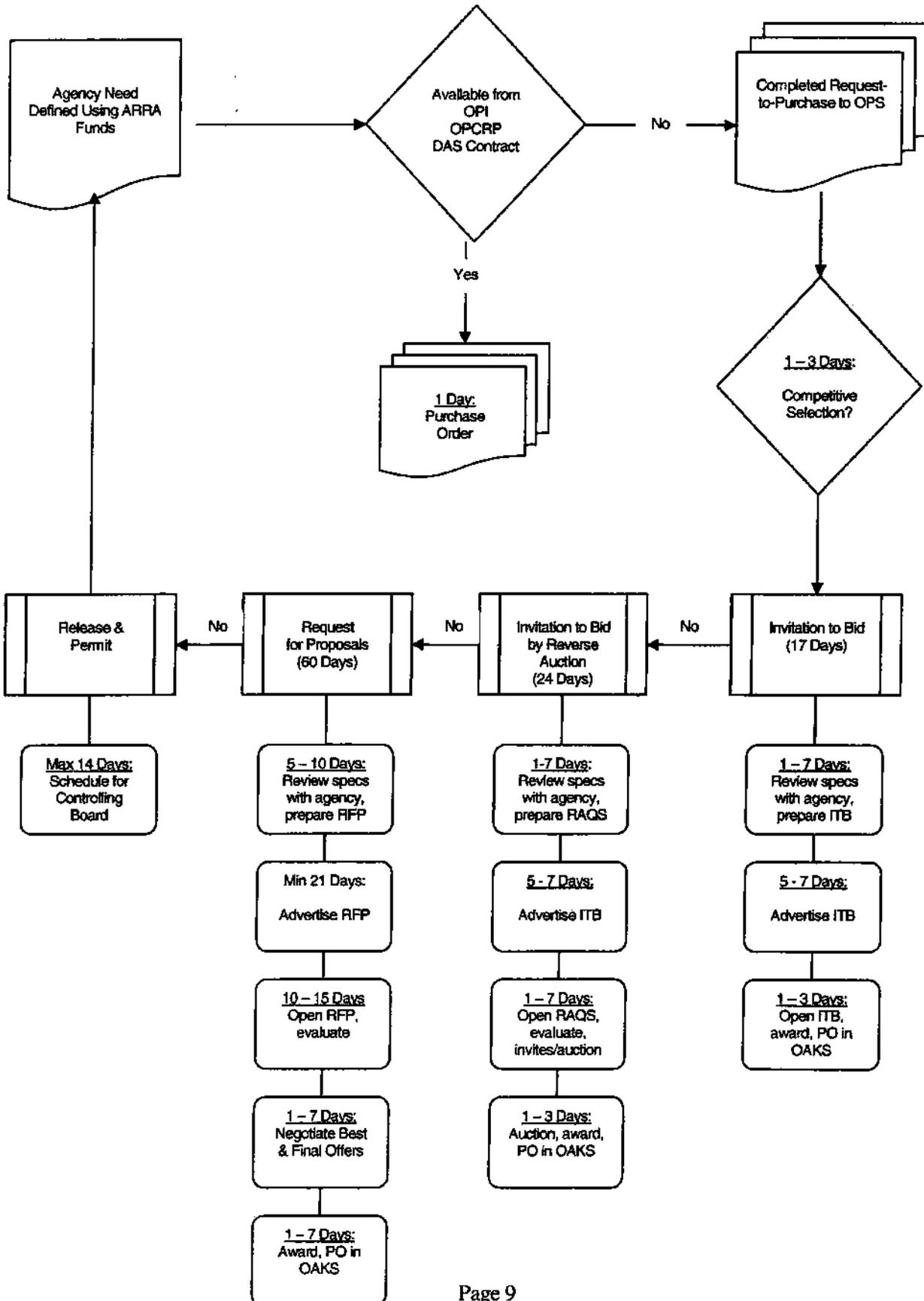
6. Whistleblower Protections

The Act contains new language regarding whistleblower protections that prohibit non-federal employers from discharging, demoting, or discriminating against an employee as a reprisal for disclosing information. Contracts and grant agreements using ARRA funds must include reference to these revised provisions, which are contained in ARRA section 1553, FAR Case 2009-012.

It is likely that this guidance will continue to develop as more ARRA requirements become known and understood. We will continue to issue guidance on an ongoing basis. Thank you for your continued cooperation.

**Indicates Ohio Specific Procurement Considerations*

Expedited Process for Contracts Using ARRA Funds



Supplemental Terms and Conditions for Projects Funded in Whole or in Part with Moneys from the American Recovery and Reinvestment Act of 2009 (ARRA)

ARRA FUNDED PROJECT

Funding for this contract has been provided through the American Recovery and Reinvestment Act of 2009 (ARRA), and is subject to the reporting and operational requirements of ARRA. All contractors, including both prime and subcontractors, are subject to audit by appropriate federal or state entities. The state has the right to cancel, terminate, or suspend the contract if any contractor or subcontractor fails to comply with the reporting and operational requirements contained herein.

I. ACCESSIBILITY TO RECORDS AND PROJECT SITES

A. Comptroller General of the United States Authority to Inspect

Pursuant to Section 902 of ARRA the Comptroller General of the United States and his representatives have the authority to:

- (1) Examine any records of the contractor (vendor, bidder) or any of the subcontractors, or any State or local agency administering such contract, that directly pertain to, and involve transactions relating to, the contract or subcontract; and
- (2) Interview any officer or employee of the contractor or any of the subcontractors, or of any State or local government agency administering the contract, regarding such transactions; and
- (3) Designate a time and place to examine those records and interview those officers and employees described above.

B. Inspector General Authority to Inspect

Pursuant to Section 1515(a) of ARRA, an Inspector General or any representative of an Inspector General has the authority to:

- (1) Examine any records of the contractor (vendor, bidder) or any of the subcontractors, or any State or local agency administering such contract, that directly pertain to, and involve transactions relating to, the contract or subcontract; and
- (2) Interview any officer or employee of the contractor or any of the subcontractors, or of any State or local government agency administering the contract, regarding such transactions; and
- (3) Designate a time and place to examine those records and interview those officers and employees described above.

C. **contractor** (vendor, bidder) shall include **verbatim** in all of the contractor's agreements with its subcontractors from whom the contractor acquires goods or services in its execution of the ARRA funded Work, the language provided in Parts A and B of this Section.

II. TIMELY AND ACCURATE REPORTING

The contractor shall comply with all reporting requirements outlined in Section 1512 of ARRA including the following:

Quarterly report detailing:

- The amount of ARRA funds received
- The amount of ARRA funds expended or obligated
- Detailed list of all projects or activities for which the ARRA funds were expended
- An estimate of the number of jobs created and the number of jobs retained by the project or activity
- Detailed information concerning subcontracts or sub-grants including the state Ohio

In addition, the contractor shall provide the contractor's unique nine-digit number issued by Dunn and Bradstreet (DUNS number).

The contractor shall complete and provide to the state the "OBM, Ohio Sub-Grantee and Sub-Recipient Spending Report in Compliance with ARRA Sec. 1512".

III. EQUAL EMPLOYMENT OPPORTUNITIES

In addition to the state's equal employment opportunity requirements set forth in the contract, by the signature affixed to this bid, the contractor and any subcontractor agrees that they comply with all of the following federal laws for employment, discrimination, etc. The State may consider the failure to comply with any of the below listed laws, rules, and executive orders as a breach of contract and may result in termination of the contract.

Federal Laws:

- Title VI & Title VII of Civil Rights Act of 1964
- Equal Pay Act of 1962
- Age Discrimination in Employment Act of 1967
- Title IX of Educational Amendments of 1972
- Section 504 of the Rehabilitation Act of 1973
- Age Discrimination Act of 1975
- Title I & Title V of Americans with Disabilities Act of 1990
- Fair Housing Act
- Fair Credit Reporting Act

- Equal Educational Opportunities Act
- Uniform Relocation Act

IV. JOB POSTINGS

The contractor shall post all jobs created resulting from the award of the contract and the use of ARRA funds and all jobs retained resulting from the award of the contract and the use of ARRA funds on www.ohiomeansjobs.com, and on <http://jfs.ohio.gov/workforce/jobseekers/onestopmap.stm>. For purposes of this contract, and as defined by the Federal Office of Management and Budget, "jobs created" are those positions created and filled, or previously existing unfilled positions that are retained as a result of ARRA funding. "For purposes of this contract, "jobs retained" are those previously existing filled positions that are retained as a result of ARRA funding.

V. PROTECTIONS FOR INDIVIDUALS REPORTING COMPLIANCE ISSUES

- A. Pursuant to Section 1553 of ARRA, the Contractor and all subcontractors are prohibited from discharging, demoting, or otherwise discriminating against any contractor or subcontractor employee as a reprisal for disclosing the following information that the employee reasonably believes is evidence of:
1. gross mismanagement of the contract relating to funds for the Project;
 2. gross waste of ARRA funds;
 3. substantial and specific danger to public health or safety related to the implementation or use of ARRA funds;
 4. an abuse of authority related to the implementation of or use of ARRA funds; or
 5. a violation of law, rule, or regulation related to the contract (including the competition for or negotiation of the contract) relating to ARRA funds;
- B. The Inspector General shall receive investigate all complaints alleging a violation of the terms in part A of this section;
- C. All employers receiving ARRA funds shall post notice of employee rights as described above in conspicuous locations with other required employee rights information.

VI. CONSTRUCTION PROJECTS

For those construction projects for which the state uses ARRA funds for the construction, alteration, maintenance, or repair of a public building, the following conditions apply:

A. Buy American

1. Products: Pursuant to Section 1605 of ARRA, all steel, iron, and manufactured goods used in the construction project must be produced in the United States;
2. Exception: The requirement set forth in part 1 of this section shall not apply only if the appropriate federal agency determines one of the following:
 - (a) The application of the requirement in part 1 of this section would be inconsistent with the public interest;
 - (b) That (1) an insufficient amount of steel, iron, or relevant manufactured goods were produced in the United States or (2) that a reasonable amount of steel, iron, or relevant manufactured goods were available or (3) that a reasonable amount of the available steel iron, or relevant manufactured goods of satisfactory quality were not available;
 - (c) That by applying the requirement set forth in part 1 of this section would increase the **overall cost of the project** by more than twenty-five percent (25%);
3. A contractor and subcontractors must comply with the above requirement unless the contractor or subcontractor provides a waiver from the appropriate federal agency stating that at least one of the above-referenced exceptions applies. A contractor may seek an exception to the Buy American requirements by appealing to the appropriate federal agency pursuant to rules and regulations in 2CFR Part 176 Volume 74, No 77;
4. The State and the contractor shall apply the Buy American requirements set forth in this section in a manner consistent with United States obligations under international agreements.

B. Prevailing Wage Rates and Labor Standards

1. The contractor and subcontractors shall pay all laborers and mechanics employed by contractor or subcontractors on the Project not less than the prevailing wage determined under the "Davis-Bacon Act" (USC 276a-a5) for similar work in the civil subdivision for which the laborers and mechanics perform the work. In addition, the Contractor and subcontractors shall pay all laborers and mechanics overtime compensation in accordance with the provisions of the "Contract Work Hours and Safety Standards Act" (40 U.S.C. 327-333).
2. The contractor and subcontractors shall comply with all regulations issued pursuant to the above-referenced Acts and with all applicable federal and state laws and regulations.

Connecting Low Income Ohioans With Job Opportunities – Guidance for Recipients

Governor Ted Strickland has required that all jobs created with American Recovery and Reinvestment Act dollars be posted on OhioMeansJobs.com and with the closest county department of job and family services One-Stop center.

Employers are responsible for reporting and posting every job created and for reporting positions retained. The U.S. Office of Management and Budget defines jobs or positions created as “those new positions created and filled, or previously existing unfilled positions that are retained as a result of Recovery Act funding.” Positions retained are defined as “those previously existing filled positions that are retained as a result of Recovery Act funding.” A job cannot be reported as both created and retained. It is not necessary to post an unfilled position if a laid-off worker is being recalled to re-fill that position.

Here are some basic instructions for posting ARRA-funded jobs.

How to Post Job Opportunities on OhioMeansJobs.com

- Step 1:** Go to www.OhioMeansJobs.com.
- Step 2:** From the home page, on the left-hand side under “Employers,” select the third option, labeled “Quick Job Post.”
- Step 3:** On the “Quick Job Post” screen, fill out the fields under “General Information” and “Contact Information.”

Helpful Hints:

- Be sure to read the “Quick Post Terms and Conditions” by clicking on the underlined terms and conditions line in the top blue box.
- Fields denoted in RED are mandatory.
- You must enter start and end dates for how long you would like the position to be posted. The system defaults to a 30-day posting. However, you may post positions for as little as 1 or as long as 90 days.
- In the “Desired Skills/Duties” field, you may cut and paste from other documents.
- To post multiple job openings for the same job description, we suggest that you state the number of openings in the “Job Title” or “Desired Skills/Duties” fields.
- Once you post a job, it is not possible for you to edit it. If you need assistance with a job opportunity after you have posted it, you may contact us at the following e-mail address and phone number:
 - E-mail: omj-help-desk@jfs.ohio.gov

- Phone: 1-888-296-7541. After calling and selecting your desired language, select Option #2, then Option #1, and finally Option #3 to speak with a customer service representative.

Step 4: Once you have completed entering the required information, scroll to the bottom of the page and click on "Save."

Step 5: On the "Job Post Complete" page, you will receive a job post number and will be given the opportunity to print the page or the job posting. Please record the job post number for later reporting.

Helpful Hints:

- Select the "Print this Page" option. This will enable you to keep track of both your posting and your job post number. You will need this number if you ever need to contact us and for later reporting.
- If you do need to contact us, you may do so at the following e-mail address and phone number:
 - E-mail: omj-help-desk@jfs.ohio.gov
 - Phone: 1-888-296-7541. After calling and selecting your desired language, select Option #2, then Option #1, and finally Option #3 to speak with a customer service representative.
- Your job posting will take a few hours to appear on **OhioMeansJobs.com**.
- No matter what method you selected under the "Contact Information" section, you can register on **OhioMeansJobs.com** at any time and use Monster.com tools to search more than 4.5 million resumes, free of charge.

Step 6: From the "Job Post Complete" page, click on the nearest One-Stop location.

Step 7: On the map of Ohio, select the county in which the job opportunity has been posted. You will be given a name and number for the One-Stop Center serving that county. Please call to see whether they have additional posting requirements or if they rely solely on the **OhioMeansJobs.gov** system.

You have now successfully posted your job on **OhioMeansJobs.com**. Thank you for your cooperation and for your participation in Ohio's recovery.

In addition to posting jobs on **OhioMeansJobs.com** and the nearest One Stop, Governor Strickland is encouraging all employers to take advantage of the Work Opportunity Tax Credit (WOTC) as well as to reach out to low-income populations regarding new job opportunities. For those employers interested in either the WOTC and/or establishing a plan to target low-income populations, please find additional information below.

The Work Opportunity Tax Credit (WOTC)

The Work Opportunity Tax Credit Program (<http://jfs.ohio.gov/wotc/>) is a federal program that provides Ohio employers with a tax credit against their federal tax liability for hiring individuals from 11 target groups of disadvantaged job seekers.

Tax credits range from \$1,200 to \$2,400 for all WOTC target groups. Employers may receive a maximum credit of up to \$9,000 per eligible employee for the Long Term IV-A target group.

Target Groups

- 1) A member of a family that is receiving or recently received Temporary Assistance to Needy Families (TANF)
- 2) Veteran
- 3) Formerly Incarcerated
- 4) A resident of one of the federally designated Empowerment Zone (EZ), Enterprise Communities (EC) or Renewal Communities (RC), or a Rural Renewal County (RRC) (Crawford, Monroe, Paulding, Seneca and Van Wert Counties)
- 5) Vocational Rehabilitation Referral - An applicant who has a physical or mental disability that results in a substantial handicap to employment
- 6) Food Stamp Recipient
- 7) Supplemental Security Income (SSI) Recipient
- 8) Long Term TANF Recipient
- 9) Summer Youth - Age 16 but not yet 18 years old on hire date

Two New Target Groups Added Under ARRA:

- 10) Disconnected Youth – ages 16 to 24, not regularly attending school, not regularly employed and lacking sufficient skills to be employable
- 11) Unemployed Veteran - received unemployment insurance for not less than 4 weeks during the previous year ending on the hire date.

We advise employers to include the two WOTC Forms (8850 & 9061) in their hiring packets (application papers). Both of which can be downloaded at the following site:

<http://jfs.ohio.gov/wotc/index.stm>

Reaching out to Low-Income Ohioans

Firms are encouraged to reach out to the county Job and Family Services in their community, as well as their local One Stop, to connect new jobs with low-income Ohioans. Below you will find links to each of the county Job and Families Services as well as Ohio's One Stops.

County Job and Family Services

<http://www.jfs.ohio.gov/County/cntydir.stm>

Ohio's One Stops

<http://jfs.ohio.gov/workforce/jobseekers/onestopmap.stm>



July 30, 2009

TO: Agency ARRA Team Members
CC: Executive Sponsors
FROM: David A. Ellis, Assistant Director
Office of Budget and Management
SUBJECT: Summary of Ohio ARRA Reporting Requirements – OBM Guidance Memo #9

This guidance provides the information necessary to implement the reporting requirements included in Section 1512 of the American Recovery and Reinvestment Act of 2009 (ARRA). The new and expanded information is derived from the Federal Office of Management and Budget's (OMB) June 22, 2009 guidance document, and is intended for the ARRA Team Members and Executive Sponsors of state agencies which oversee at least one ARRA program which is subject to ARRA Section 1512. This guidance does NOT apply to those receiving ARRA funds for the following purposes: contracts directly from the Federal government; entitlement or tax programs; loan guarantees; and direct federal assistance to individuals.

A list of programs subject to 1512 requirements is posted on OMB's website and www.Recovery.gov, is included as Attachment 1 to this guidance. The complete OMB guidance can be found at <http://www.recovery.gov/?q=node/579>. Feedback about the OMB guidance document may be submitted to recovery@omb.eop.gov and should have the term "guidance feedback" in the title of the email.

Overview

This guidance is intended to provide the following information:

- Answer questions and clarify issues related to the mechanics and chronology of state agency reporting required by the Recovery Act;
- Provide an overview of the ARRA Hub and its relationship to the federal centralized reporting application, www.federalreporting.gov;
- Describe roles and responsibilities of prime recipients, sub-recipients, and vendors; and
- Instruct recipients on steps that must be taken to meet reporting requirements, including the incorporation of sub-recipient reporting requirements under Section 1512(c)(4) of the Act.

- K. Activity code and description
- L. Project description and status
- M. Job creation narrative and number
- N. Infrastructure expenditures and rationale, if applicable
- O. Recipient primary place of performance
- P. Recipient area of benefit
- Q. Recipient officer names and compensation (Top 5)
- R. Total number and amount of small sub-awards; less than \$25,000

Sub-recipient

1. **Definition:** 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.
2. **Responsibilities:** Reporting requirements of sub-recipients should be collected by the prime recipient and submitted through the ARRA Hub. For any payments greater than \$25,000, the sub-recipient must provide to the state agency administering the program, the identity of the vendor by reporting the D-U-N-S number, if available, or otherwise the name and zip code of the vendor's headquarters. Vendors are not required to obtain a D-U-N-S number.
3. **Required Data:** (Sub-Recipient also referred to as FFATA Data Elements)
 - A. Sub-recipient D-U-N-S
 - B. Sub-recipient CCR information
 - C. Sub-recipient type
 - D. Amount received by sub-recipient
 - E. Amount awarded to sub-recipient
 - F. Sub-award date
 - G. Sub-award period
 - H. Sub-recipient place of performance
 - I. Sub-recipient area of benefit
 - J. Sub-recipient officer names and compensation (Top 5)

Vendor

1. **Definition:** A dealer, distributor, merchant or other seller providing goods or services that is required for the conduct of a Federal program. Prime recipients or sub-recipients may purchase goods or services needed to carry out the project or program from vendors. Vendors are not awarded funds by the same means as sub-recipients and are not subject to the terms and conditions of the Federal financial assistance award.
2. **Responsibilities:**
 - A. Provides the goods and services within normal business operations;
 - B. Provides similar goods or services to many different purchasers;
 - C. Operates in a competitive environment;
 - D. Provides goods or services that are ancillary to the operation of the Federal program; and
 - E. Is not subject to compliance requirements of the Federal program.
3. **Required Data:**
 - A. D-U-N-S or Name and zip code of Headquarters (HQ)

anomalies or questions. The original report submitter must complete data corrections no later than the 29th day following the end of quarter.

5. Published

No later than 30 days following quarter end, reports are made available to the public on www.recovery.gov.

FederalReporting.gov, Recovery.gov vs. the ARRA Hub and Recovery.Ohio.gov

The technology solutions that have been created to support ARRA reporting can lead to confusion over what website to use for what task. It is useful to think of the Ohio websites (the ARRA Hub on SharePoint and www.Recovery.Ohio.Gov) as parallel systems to the federal websites. At the state level, ARRA reporting requirements will be collected, reviewed and managed in order to streamline the federal reporting process and minimize the risk of errors from the state of Ohio.

The recently created website www.federalreporting.gov collects and sorts information much like the ARRA Hub. OBM will run a report from the ARRA Hub and submit this report to federalreporting.gov. As the timeline indicates, there will be periods of review during which OBM will work with the appropriate agencies to make any necessary corrections to the final report.

When completed, the quarterly 1512 reports will be published on www.recovery.ohio.gov, www.recovery.gov.

Data Quality Requirements

Required data quality reviews are intended to emphasize the avoidance of two key data problems: (1) material omissions and significant reporting errors. Material omissions are instances where required data is not reported or reported information is not responsive to the data requests. Significant reporting errors are instances where data is not reported accurately. Actions should be taken to reduce either cause.

Prime recipients have principal responsibility for the quality of data submitted; sub-recipients share in this responsibility. Agencies funding projects, OMB, the Recovery Board, and Inspectors General also play a role in ensuring the integrity of the data.

The federal government has not specified any single methodology for recipients to use in data quality reviews. The relevant party conducting data quality reviews must determine the optimal method for detecting/correcting material omissions or significant reporting errors. At minimum, federal agencies, recipients, and sub-recipients should establish internal controls to ensure data quality, completeness, accuracy, and timely reporting.

Prime and sub- recipients must initiate a data review prior to, and after, the formal submission. Post-submission reviews run from the 11th day of the reporting month to the 21st of the reporting month for prime recipients on www.federalreporting.gov. Prime recipients are responsible for reviewing sub-recipient submissions. All corrections must be transmitted by the 21st day of the reporting month. Federal agencies begin formal agency review on the 22nd day of the reporting month until the 29th day of the reporting month. The agency will alert prime recipients of data quality issues during this timeframe. After the 29th day, no corrections can be made. During this process, recipients will classify submitted data using three categories; Not reviewed by agency; Reviewed by agency (no material omissions or significant reporting errors);

projects may be expressed as a percentage of their total activities. Therefore, colleges and universities may count, proportionately, the percentage of effort directly charged to ARRA awards as an FTE equivalent.

Recipients must include an estimate of jobs created and retained on projects and activities managed by their funding recipients in their aggregate number and their narrative description. This information will be provided for each project and activity funded by the Recovery Act. The clarification that recipients must report jobs estimates for all sub-awarded funds is an update from previous guidance.

Prime recipients are required to generate estimates of job impact by directly collecting specific data from sub-recipients and vendors on the total FTE resulting from a sub-award. To the maximum extent practicable, information should be collected from all sub-recipients and vendors in order to generate the most comprehensive and complete job impact numbers available. However, in limited circumstances, the prime recipient can employ an approved statistical 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 impacts to all applicable sub-recipients and vendors. A statistical methodology should only be employed in those cases where a comprehensive collection of jobs data from all sub-recipients and vendors is overly costly or burdensome and thus disrupts the prime recipients' ability to effectively implement the underlying mission of the program.

The appropriate Federal agency for a given program area will issue supplementary guidance providing an acceptable statistical methodology for this purpose, including required sampling parameters. Further, OMB will explore with the Board whether the current data collection technology, www.FederalReporting.gov, can be modified in the future to allow sub-recipients to report jobs data directly to prime recipients.

In the narrative description accompanying the estimate, where the prime recipient utilizes a statistical methodology as described above, the prime recipient should note what part of the estimate was generated with actual data received versus what part of the estimate was generated through extrapolation. In addition, the narrative should provide a description of the statistical methodology used.

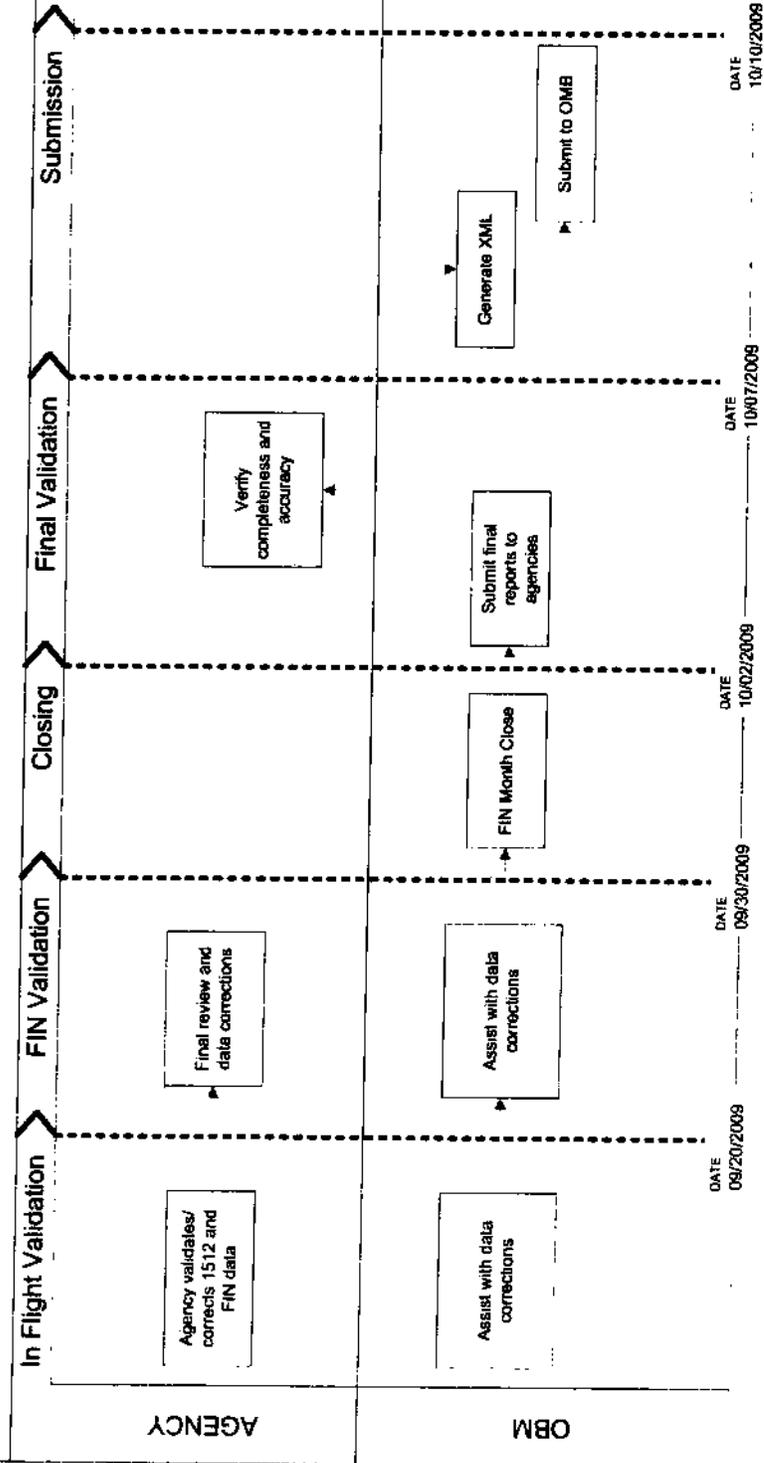
In addition to providing this information by project and activity as required by the Recovery Act, as a best practice it is also recommended that State governments post the employment impact of all recovery funds prominently on the State recovery website.

Using the ARRA Hub

Pursuant to all previous OBM guidance regarding ARRA, program administrators must ensure that ARRA data are reporting completely and accurately in the ARRA Hub. Relevant documents regarding ARRA programs, including award letters and assurances, should be submitted along with programmatic information as soon as it is available. Financial data from OAKS will be provided for each program by OBM and updated nightly. Financial reports will be available for program administrators through the Hub.

If you are the administrator of an ARRA program and you have not registered to use the ARRA Hub, you should email ARRA.Support@obm.state.oh.us as soon as possible to receive your username and password. Please be prepared to provide a description of your program and its Catalog of Federal Domestic Assistance (CFDA) number. The CFDA will serve as the program identifier for each ARRA program.

**APPENDIX A
ARRA Report Validation and Submission**



**Application for ARRA Part C Funds
Review Form**

**Help Me Grow: Ohio’s Birth to Three System
Fiscal Year 2009-10**

County: _____

Applicant Organization: _____

Reviewer: _____

| Review Criteria | Met | Not Met | Comments |
|---|-----|---------|----------|
| 1. Meets the goals of and guidelines for implementing ARRA. a. Explains how funds will be used to preserve and/or create jobs for Part C service coordination and/or child find and to assist in stabilizing the HMG budgets in order to minimize and avoid reductions in essential Part C services. b. Provides a full description of the FTEs that will be funded by this grant. Review the Expected Results and explains how these will be measured. Explains the measures that will be used to determine if this funding has made a difference in the county. | | | |
| 2. Responsive to policy concerns and program objectives of the initiative/program/activity for which grant dollars are being made available. | | | |
| 3. The application is well executed and is capable of attaining program Goals, Expected Results, Priorities and Requirements. | | | |
| 4. Describes specific objectives activities, milestones and outcomes with respect to time-lines and resources. | | | |

APPENDIX 6

| Review Criteria | Met | Not Met | Comments |
|--|-----|---------|------------------------------------|
| 5. Estimates reasonable cost of the proposed activities, considering the anticipated results. | | | |
| 6. Indicates that program personnel are well qualified by training and/or experience for their roles in the program and the applicant organization has adequate facilities and personnel. | | | |
| 7. Provides an evaluation plan, including a design for determining program success and expected results. | | | |
| 8. Is responsive to the special concerns and program priorities specified in the request for proposal, i.e. ARRA Guidance from April 3, 2009 and June 22, 2009 as well as OBM Guidance Memo #8 and Guidance Memo #9. | | | |
| 9. Explicitly identifies specific groups in the service area who experience a disproportionate burden of the diseases or health condition(s) and explains the root causes of health disparities. | | | Not applicable for this RFP |
| 10. Has demonstrated acceptable past performance in areas related to programmatic and financial stewardship of grant funds | | | |
| 11. Has demonstrated compliance with GAPP, Chapter 100 and by submitting a response to the RFP agrees to abide by the rules of GAPP. | | | |
| 12. The applicant has registered in the U.S. Central Contractor Registration (CCR) and will maintain current registration at all times during which they have active federal awards with ARRA funds. | | | |
| 13. The county has also registered to request a Data Universal Number System (DUNS) number which is required as part of the CCR registration. | | | |
| ATTACHMENTS TO BE SUBMITTED: | | | |
| 14. The applicant has submitted Attachment #1, the State of Ohio Agency Sub-recipient Assurance Statement signed by the appropriate individuals. By submitting this Attachment the applicant agrees to provide information and reports as anticipated and communicated by ODH related to ARRA directives. This will address Transparency and Accountability. | | | |

| Review Criteria | Met | Not Met | Comments |
|--|----------------------------|--|--|
| | | | |
| 15. The applicant has submitted Attachment #2, the OBM Sub-recipient Information form which is Attachment B from Memo #8. | | | |
| 16. GMIS application must also include all of the following: | | | |
| <ul style="list-style-type: none"> • Application information, | | | |
| <ul style="list-style-type: none"> • Project narrative, | | | |
| <ul style="list-style-type: none"> • Project Contracts | | | |
| <ul style="list-style-type: none"> • Budget | | | |
| <ul style="list-style-type: none"> • Budget Justification | | | |
| <ul style="list-style-type: none"> • Electronic Funds Transfer Form | | | |
| <ul style="list-style-type: none"> • IRS W-9 Form | | | |
| <ul style="list-style-type: none"> • Declaration Regarding Material Assistance/Non-Assistance to a Terrorist Organization Questionnaire (DMA) | | | |
| <p>Scoring of Review Form: # of Met: _____ # Not Met: _____ Total Possible: 18 = 100%</p> | <u>TOTAL</u> <u>MET</u> | <u>TOTAL</u> <u>NOT</u> <u>MET</u> | # Met____ Total Score_____ |
| <p>Review must score a minimum of 60% in order to be awarded ARRA funds</p> | | | |