



ALL APPLICATIONS MUST BE SUBMITTED VIA THE INTERNET

OHIO DEPARTMENT OF HEALTH

DIVISION OF PREVENTION

BUREAU OF INFECTIOUS DISEASES

**Training Local Health Departments to Institute the Billing of
Third-party Health Insurers for Immunization Services**

The American Recovery and Reinvestment Act of 2009

REQUEST FOR PROPOSALS (RFP)

FOR

(06/01/11 – 12/31/11)

Local Public Applicant Agencies

COMPETITIVE GRANT APPLICATION INFORMATION

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I. APPLICATION SUMMARY and GUIDANCE

An application for an ODH grant consists of a number of required parts – an electronic component submitted via an 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 ODH grants is governed by the Ohio Department of Health Grants Administration Policies and Procedures Manual (GAPP). 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 web-site at <http://www.odh.ohio.gov> (Click on “About ODH,” click on “ODH Grants” 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, June 22, 2009 and December 18, 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.

Because ARRA funds are being utilized for the “Training Local Health Departments to Institute the Billing of Third-party Health Insurers for Immunization Services” program, all funds awarded must be kept and accounted for in a separate account from other Ohio Department of Health awarded funds.

B. Application Name: Training Local Health Departments to Institute the Billing of Third-party Health Insurers for Immunization Services – ARRA

C. Purpose: These funds are to be utilized to develop, publish, present, and edit if necessary a comprehensive program to train and guide Ohio Local Health Departments on the procedures, steps, and mechanisms needed to implement a program to successfully bill private third-party insurance companies for immunization services rendered by the Local Health Department to the health plan’s enrolled clients.

D. Qualified Applicants: Qualified applicants are those Ohio Local Health Departments that currently bill private insurance companies for immunization services. Preference will be given to Local Health Departments that are plan-enrolled providers with multiple private insurance plans. Applicants must have successfully completed the credentialing and contracting processes in order to qualify for this grant award.

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

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.

All Bidders that submit proposals that are responsive to this RFP must also have a corresponding expression of interest in applying for recovery funds on the State of Ohio Federal Stimulus Initiative Web site at:

<http://www.recovery.ohio.gov/opportunities/state/>

Bidders that do not submit an expression of interest on this website by April 22, 2011 shall not be awarded ARRA related grants under this RFP.

E. Service Area: Funds are intended to provide relevant training and support to Local Health Departments throughout Ohio.

F. Number of Grants and Funds Available: One grant will be awarded under this RFP. Total funding for the project period shall not exceed \$75,000. Administrative costs that do not directly contribute to the successful completion of grant activities and objectives shall not exceed ten percent (10%) of the total amount requested.

G. Due Date: Applications including any required forms and required attachments mailed or electronically submitted via GMIS 2.0 are due by Monday, May 9, 2011. 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.

Contact Joe Bronowski at (614) 466-0253 email: joe.bronowski@odh.ohio.gov or Alexandra Thornton email: Alexandra.thornton@odh.ohio.gov with any questions.

H. Authorization: Authorization of funds for this purpose is contained under the Catalog of Federal Domestic Assistance (CFDA) Number 93.712a and Section 317 of the Public Health Service Act, [U.S.C. section 247b], as amended, and the American Recovery and Reinvestment Act (ARRA) [Pub. Law 111-5].

I.Goal: The goal of this project is to provide in-depth training to local health departments across Ohio regarding the procedures, steps, mechanisms, and logistics necessary to implement the billing of private third-party health insurance carriers for immunization services rendered by local health departments to third-party health insurance plan members. This training is necessary to provide local health departments that do not currently bill third-party health insurers for immunizations with the knowledge and expertise to begin billing. Implementing billing in all local health departments will result in benefits to the local health jurisdictions via the collection of vaccine administration fees. In addition, the funds collected via billing for the actual cost of the vaccines will benefit the Ohio Department of Health, since the dollars realized can be used to expand the number and types of vaccines available through public health clinics to those persons not able to pay for vaccination services due to high co-payments and/or deductibles. This will lead to a better vaccinated population, and fewer cases of vaccine-preventable diseases and their complications. Because currently billing health departments have a similar background and experience to their peers, it is important that the training be conducted by another local health department. The goal will be accomplished through:

- Developing a training module and training schedule that includes procedures, steps, mechanisms, and logistics necessary to begin billing third-party health insurers;
- Conducting seven live regional billing training sessions in various parts of Ohio (one each in the Northeast, Northwest, East Central, West Central, Central, Southeast, and Southwest);
- Developing and providing information for a web-based training seminar for local health departments to use as a reference to facilitate implementation of a billing system;
- Producing educational modules for training local health departments on pertinent topics, including vaccine financing and funding sources (in consultation with ODH staff), credentialing, contracting, bill submission, troubleshooting of unpaid claims, and other relevant topics;
- Assisting ODH and the billables stakeholder group in developing and writing the CDC required action plan for Ohio to implement billing third-party insurance companies in the local health departments;
- Developing a comprehensive question and answer (Q+A) document local health departments can use as a reference in developing billing plans;
- Upon completion of the required seven training sessions, serving as a resource local health departments can contact for assistance with implementing billing until the grant period ends on December 31, 2011;
- Creating or retaining one or more full time equivalents than would have been possible without the ARRA funding. This will be measured against the full-time positions the last day of April, 2011.

Program Priorities and Requirements: Federal ARRA funds provided through this grant program are to be used in conjunction with state, federal and local funds to create or retain jobs and to increase childhood immunization coverage. Successful applicants awarded funds under this RFP must:

- Use the ARRA funds to create or retain positions to train non-billing local health departments;
- Comply with ARRA, the, Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009, on April 3, 2009, June 22, 2009, December 18, 2009, and future guidance to be communicated at a later date;
- Comply with the Ohio Office of Budget and Management ARRA Procurement Guidance – OBM Guidance Memo #8 (Appendix #4); and future guidance as communicated;
- Report required information in accordance with this RFP; 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; and,
- Comply with all the requirements set forth in this Request for Proposal.

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 begins on June 1, 2011 and ends on December 31, 2011. The budget period for this application will begin on June 1, 2011 and end on December 31, 2011.

K. Local Health Districts Improvement Standards: This grant program will address the Local Health Districts Improvement Goal(s) 3701-36-07 – “Promote Healthy Lifestyles,” Standard(s) 3701-36-07-03 – “Prevention, health promotion, early intervention, and outreach services are provided directly or through contracts or partnerships.” The Local Health District Improvement Standards are available on the ODH web-site <http://www.odh.ohio.gov>. (Click on “Local Health Districts” then “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;
- b. 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);

- c. A summary of the services to be provided or activities to be conducted; and,
- d. 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 (**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 (**not required for continuation cycle, if unchanged**).

M.Statement of Intent to Pursue Health Equity Strategies

The Ohio Department of Health 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, if unchanged**)

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 who 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>.

NOTE: The Ohio Department of Health's Center for Health Promotion (CHP) announces the availability of commercial/market research data for Ohio's public health community. This data can help applicants respond to this RFP and provides Ohio's public health practitioners with the same capability of Fortune 500 companies to better understand the needs of their customer base (or recipients of public health services). Some of the information in these databases include the ability to forecast economic trends; profile of target audiences by lifestyles (i.e. type of neighborhoods, hobbies, media preferences, cultures); demographic characteristics; housing patterns; business type and location (e.g. number of grocery stores, family practitioners, fast food restaurants); purchasing behavior (e.g. internet access, tobacco consumption, fruit/vegetable consumption) and levels of affluence (e.g. persons living at the federal poverty level). Moreover, data can be translated into custom maps and reports for any specified level of geography including the county, city, zip code, address, census tract or block level. For more information on these rich data sources please email the Center for Health Promotion at healthy@odh.ohio.gov. Please be sure to include the words "Request for Market/Consumer Research" in the subject line of your e-mail. Also include your contact information. A CHP staff member will contact you to follow-up.

N. Appropriation Contingency: Any award made through this program is contingent upon the availability of funds for this purpose, i.e., timely funding provided to the Ohio Department of Health Immunization Program by the Centers for Disease Control and Prevention. **In view of this, the subgrantee agency must be prepared to cover the cost of operating the program in the event of a delay in grant payments.**

O. Programmatic, Technical Assistance and Authorization for Internet Submission: For assistance, contact Joe Bronowski by phone at (614) 466-0253 or by email at joe.bronowski@odh.ohio.gov. Alternately, contact Alexandra Thornton by phone at (614) 466-4643 or by email at Alexandra.thornton@odh.ohio.gov. Initial authorization for internet submission will be distributed after your GMIS 2.0 Training Session.

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 Monday, May 9, 2011.

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 #3, ARRA Peer Advocate Immunization Program Application 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. Describes 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)

Applications will be evaluated based on the Application Review Form (Appendix 6). The Ohio Department of Health 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 (45 CFR Part 5) of the U. S. Department of Health and Human Services 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 45 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 Ohio Department of Health. All material(s) must clearly state:

Funded by Ohio Department of Health/Federal Government
Bureau of Infectious Diseases
Immunization Program

W. Reporting Requirements: Successful applicants are required to submit subgrantee program and expenditure reports. Reports must adhere to the Ohio Department of Health, Grants Administration Policies and Procedures (GAPP) Manual. 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 your agency flexibility status and/or further payments.

Reports shall be submitted as follows:

1. Program Reports: Due to the short time period allowed for this grant, successful applicants must complete and submit program reports as follows:

A. Submit **via the SPES (Subgrantee Performance Evaluation System)** by the following dates: August 5, 2011; September 5, 2011; October 5, 2011; and November 5, 2011. A final report will be due on February 5, 2012. Additional required attachments associated with a Program Report may be sent electronically associated with an email. Any paper non-Internet compatible report attachments must be submitted to Central Master Files by the specific report due date.

B. 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, June 22, 2009, December 18, 2009 and any future guidance. 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 for both sub-grantees (recipients) and sub-contractors (vendors); and
- Additional information as requested for demonstrating compliance with the ARRA.
- For any payments made to a sub-contractor (vendor), the sub-grantee (recipient) must report the identity of the vendor by reporting the DUNS number and EFT, if available, or otherwise the name and zip code of the vendor's headquarters.

Submission of Subgrantee Program Reports via the Ohio Department of Health's SPES system indicates acceptance of ODH Grants Administration Policy and Procedure (GAPP).

2. **Subgrantee Program Expenditure Reports:** Subgrantee Program Expenditure Reports **must** be completed and submitted **via the Internet** by the following dates:

August 15, 2011; October 15, 2011; and January 15, 2012.

Submission of Subgrantee Program Expenditure Reports via the Ohio Department of Health's GMIS 2.0 system indicates acceptance of ODH Grants Administration Policy and Procedure (GAPP). Clicking the "submit" button signifies your authorization of the submission as an agency official and constitutes your electronic acknowledgment and acceptance of GAPP rules and regulations.

3. **Final Expense Reports:** A Subgrantee Final Expense Report reflecting total expenditures for the project period must be completed and submitted **via GMIS 2.0 on or before** February 15, 2012. 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 Expense Report via the Ohio Department of Health's GMIS 2.0 system indicates acceptance of ODH Grants Administration Policy and Procedure (GAPP). Clicking the "submit" button signifies your authorization of the submission as an agency official and constitutes your 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 Expense 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):** 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 Ohio Department of Health’s GMIS 2.0 system indicates acceptance of ODH Grants Administration Policy and Procedure (GAPP). Clicking the “selection” box and clicking the “approve” button signifies authorization of the submission as an agency official and constitutes your electronic acknowledgment and acceptance of GAPP rules and regulations.

- Y. Unallowable Costs:** Funds **may not** be used for the following:

Section 1604 of the American Recovery and Reinvestment Act of 2009 specifies that: “None of the funds appropriated or otherwise made available in this Act may be used by any State or local government, or any private entity, for any casino or other gaming establishment, aquarium, zoo, golf course, or swimming pool.

In addition, Funding Opportunity Number: CDC-RFA-IP08-80302ARRA09, CDFA 93.712 – ARRA Immunization” specifically lists the following funding restrictions and unallowable costs:

Project funds may only be used for costs associated with planning, organizing, conducting, and supporting immunization activities directed toward vaccine-preventable diseases. These funds may be used for the preservation of jobs necessary to stabilize state and local health departments in order to minimize and avoid reductions of vaccination services;

Recipients may not use funds for research;

Recipients may not use funds for clinical care;

Recipients may only expend funds for reasonable program purposes, to include personnel, travel, equipment, supplies, consultant services. Recipients may elect to use subcontractors for efforts that cannot be accomplished with project staff. However, the direct and primary recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is eligible;

Awardees may not generally use HHS/CDC/ATSDR funding for the purchase or furniture or equipment. Any such proposed spending must be pre-approved;

Pre-award costs will not be reimbursed;

Funding requests not directly related to immunization activities are outside the scope of this grant program and will not be funded;

Recipients may not use funds for building purchases, construction, capital improvements;

Recipients may not use funds for honoraria;

Recipients may not use funds for advertising costs (conventions, displays, exhibits, meetings, memorabilia, gifts, souvenirs);

Recipients may not use funds for: alcoholic beverages, entertainment, land purchase, legislative/lobbying activities, payment of bad debts, purchase of vehicles, bonding, depreciation on use charges, dry cleaning, fundraising;

Recipients may not use funds to pay the interest on loans for the acquisition and/or modernization of an existing building.

In addition to the above, the following costs are unallowable,

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 fee for salaried program personnel to perform activities related to grant objectives;
4. Bad debts of any kind;
5. Lump sum indirect or administrative costs;
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://www.obm.ohio.gov/mppr/travel.asp>);
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. Local immunization registry software products or maintenance; and
23. Unemployment costs paid by a reimbursing employer pursuant to section 4141.241(B)(1)(a) of the Ohio Revised Code.

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

Z. Audit: *Subgrantees currently receiving funding from the Ohio Department of Health 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 9 months after the end of the subgrantees's fiscal year.*

Subgrantees that have expended \$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 that have expended 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 the audit is completed, a copy must be sent to the ODH, Grants Administration, Central Master Files address within 30 days. Refer to 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 Ohio Department of Health;
- 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:

**Complete
& Submit
Via Internet**

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; see Appendix 4 – Peer Advocate Immunization Program Progress Report.

An original and one (1) copy of the following forms, available on GMIS 2.0 must be completed, printed, signed in blue ink with original signatures 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 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 changes(s))**

Two (2) 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 (1) copy of the following documents must be mailed to the address listed below:

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 2 copies of **Attachments** (non-Internet compatible) as required by Program: **None**.

<p>Complete Copy & Mail To ODH</p>

**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 Grants Management Information System 2.0 (GMIS 2.0), will be provided after your GMIS 2.0 training session for those agencies requiring training. All others will receive access after the Request for Proposal (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 Ohio Department of Health's GMIS 2.0 system indicates acceptance of ODH Grants Administration Policy and Procedure (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 pages 12-14 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.

Primary Reason and Justification Pages:

1. Provide a detailed budget justification narrative that describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allocability of the proposed costs. Describe the specific functions of the personnel, consultants, and collaborators.

2. 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). A job cannot be counted as both created and retained. The Updated Guidance dated December 18, 2009 reflects important simplifications to the manner in which job estimates are calculated and reported. Recipients will now report job estimates on a quarterly, rather than cumulative, basis and will no longer be required to sum various data on hours worked across multiple quarters of data when calculating job estimates. In addition, recipients will no longer be required to make a subjective judgment on whether jobs were created or retained as a result of the Recovery Act. Instead, recipients will more easily and objectively report on jobs funded with Recovery Act dollars. This update aligns with GAO's recommendation to "[make] more explicit that 'jobs created or retained' are to be reported as hours worked and paid for with Recovery Act funds." This Memorandum (M-10-08) provides a series of practical and user-friendly examples of how the simplified formula should be applied. The formula for reporting can be represented as:

- A. Determine the number of hours worked in positions funded by the Recovery Act within the current quarter. For example, a full-time employee working forty (40) hours per week during the entire quarter will work 520 hours in the quarterly reporting period.
- B. Divide this number by the "Quarterly Hours in a Full-Time Schedule. This calculation should be performed for each employee working and funded under the Recovery Act within the reporting quarter (add each FTE together to calculate an FTE total):

$$\frac{\text{520 Hours Worked and Funded by Recovery Act}}{\text{520 Quarterly Hours in a Full-Time Schedule}}$$

3. Personnel, Other Direct Costs, Equipment & Contracts: Submit a budget with these sections and form(s) completed as necessary to support costs for the period June 1, 2011 to December 31, 2011.

Funds may be used to support personnel, their training, travel (see OBM Website <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 Ohio Department of Health’s GMIS 2.0 system indicates acceptance of ODH Grants Administration Policy and Procedure (GAPP). Clicking the “approved” button signifies authorization of the submission by an agency official and constitutes electronic acknowledgement and acceptance of GAPP rules and regulations. CCA’s cannot be submitted until after the 1st quarter grant payment has been issued.

Where appropriate, itemize all equipment (**minimum \$300.00 unit cost value**) to be purchased with grant funds in the Equipment Section.

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 Section D(9) of the application for additional information.

All budgeted costs must relate to the accomplishment of a grant objective, as outlined in the Project Narrative section beginning on page 19.

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

4. 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.

5. Funding, Cash Needs and Budget Summary Sections: Enter information about the funding sources, budget categories and forecasted cash needs for the program. Distribution should reflect the best estimate of need by quarter. Failure to complete 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 acknowledgement to the financial standards of conduct

as stated therein.

D. Project Narrative:

1. Abstract: A Project Abstract, not to exceed one page single spaced, must be submitted with the application forms. The Project Abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives, methods, and evaluation criteria to be employed. It should be informative to other persons working in the same or related fields and, to the extent possible, understandable to a technically literate lay reader. This Abstract must not include any proprietary/confidential information.

2. Description of Applicant Agency/Documentation of Eligibility/Personnel:

Note the following issues in this section:

a. Summarize the agency's structure as it relates to this program and, as the lead agency, how it will manage the program and work with any other participating agencies (e.g., subcontracted local health districts, community-based organizations, immunization coalitions, other state and local health-related agencies, health care providers).

b. Describe the capacity of your organization, its personnel or contractors to communicate effectively and convey information in a manner that is easily understood by diverse audiences. This includes persons of limited English proficiency, those who are not literate, have low literacy skills, and individuals with disabilities.

c. Note any personnel or equipment deficiencies that will need to be addressed in order to carry out this grant.

d. Describe plans for hiring and training, as necessary. 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.

3. Problem/Need: Identify and describe the current status of local health department billing of third-party health insurers in Ohio, and the potential benefits that implementing billing would have on vaccine accessibility, availability, affordability, appropriateness of health services. Identify and describe the barriers and obstacles to implementing the billing of third-party health insurers and how the proposed training of local health department staff will facilitate the procedures and processes required to implement billing. In addition, identify the benefits that billing third-party private health insurers have had on services and operations.

4. Program Plan: In a narrative format, not to exceed eight pages, identify the program goals, objectives and activities in this section. All objectives must follow the SMART objective guidelines identified below:

Specific (focused)
Measurable
Achievable
Realistic
Time-phased (time-limited)

The plan should address, at a minimum, how the applicant will address the following:

- The methodology to be used for developing a billing training module;
- Identifying whether current staff or contractors will be used to provide billing training;
- Currently existing procedure and/or process manuals used by agency staff involved in billing;
- Plans for conducting seven regional training sessions in various locations in Ohio to educate local health department staff on billing private insurers;
- Identifying the methodology, including live and web-based training that will be developed and implemented to train local health departments as required by this grant;
- Identifying methods to provide follow-up services, including live support via various media and question and answer (Q+A) documents, to local health departments through December 31, 2011;
- A precise timeline, graphically illustrated, to develop training modules and provide live regional training;
- A plan for notifying local health departments of the dates and locations for the seven training sessions, and logging attendance for each session. This information will be shared with ODH Immunization staff.
- A detailed plan, both process and outcome, to evaluate each of the seven training sessions;
- A plan to communicate and work closely with ODH Immunization Program staff on the implementation of the training.

One or more objectives that address each of the above requirements should be included. For each objective, provide:

- a. The activity or activities to be undertaken to accomplish each objective;
- b. A staffing plan that demonstrates an understanding of the labor and resources needed to accomplish each activity;
- c. The timeline for reaching each objective.

The plan must contain both process objectives, to be completed during the project's timeframe, and at least one outcome/impact objective which measures the actual change in immunization coverage achieved through the grant.

5. Evaluation Plan: Describe the method of assessing the success or progress of each objective.

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 two (2) copies of non-Internet compatible attachments must be mailed to the ODH, Grants Administration Central Master Files address on or before September 28, 2009. 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 (1) copy. **(Required only if new agency, thereafter only when banking information has changed.)**

H. Internal Revenue Service (IRS) W-9 Form: 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 (1) 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 (1) copy of each.

I. Public Health Impact Statement Summary: Submit two (2) 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 Response/Statement: Submit two (2) 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. 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 (2) 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 (2) copies of the Internal Revenue Services (IRS) letter approving your 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 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 Homeland Security Website:

http://www.homelandsecurity.ohio.gov/DMA_Terrorist/HLS_0038_Contracts.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. Fraud reporting statement: The HHS Office Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS (1-800-447-8477) for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to hhstips@oig.hhs.gov or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous.

APPENDICES AND ATTACHMENTS

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

Appendix #2: OBM Guidance Memo #8 with Attachments A through D

Appendix #3: OBM Guidance Memo #9 with Attachment

Appendix #4: GMIS Training Form

Appendix #5: Notice of Intent to Apply for Funding

Appendix #6: Application Review Form

Appendix #7: Semi-Annual Progress Report Instructions

Attachment A: State of Ohio Sub-Recipient Assurance Statement

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.fedregister.gov/legislation/FedRegister/other/2003-24062703a.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.



J. Pari Sabety
Director

Hugh Quill
Director

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.

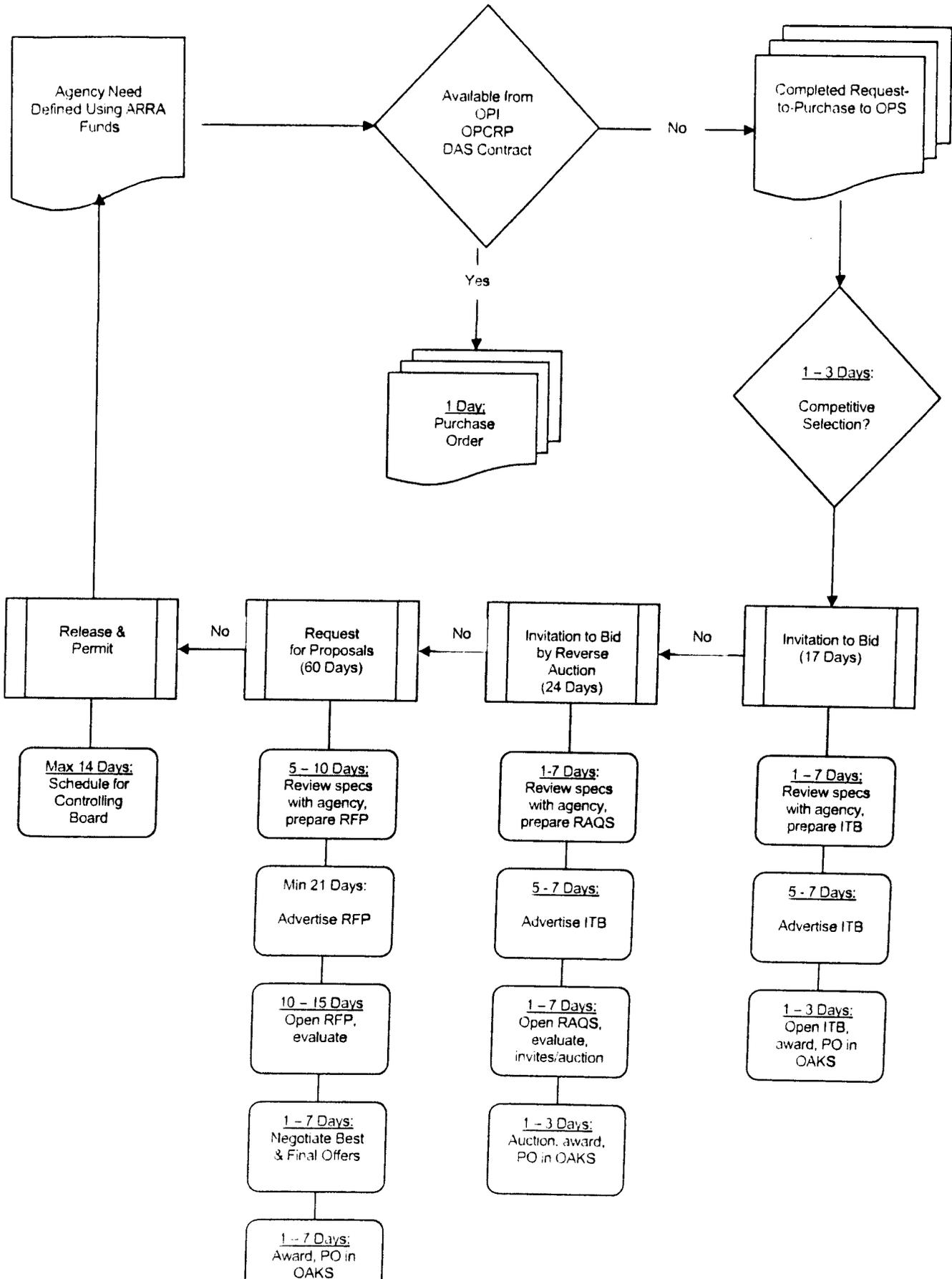
This guidance is presented in five sections:

- 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:

Expedited Process for Contracts Using ARRA Funds



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:

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

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

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

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.

Contractual 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.

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)

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.

(mm/dd/yyyy)

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.

Provide physical location of primary place of performance.

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.

16. Total amount of subcontracts and subawards awarded to individuals

17. Total amount of subcontracts and subawards less than \$25,000 awarded to individuals

[Empty rectangular box for reporting subcontracts and subawards awarded to individuals]

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.

18. Total amount of subcontracts and subawards less than \$25,000 awarded to individuals

To be answered by State Agencies

[Empty rectangular box for reporting subcontracts and subawards less than \$25,000 awarded to individuals]

19. Total amount of subcontracts and subawards less than \$25,000 awarded to individuals

To be answered by State agencies

[Empty rectangular box for reporting subcontracts and subawards less than \$25,000 awarded to individuals]

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.ohioeansjobs.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: ojg_helpdesk@jfs.chicgo.gov

- o 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: ojj-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.shtm>

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.ifse.ohio.gov/County/countydir.cfm>

Ohio's One Stops

<http://ifse.ohio.gov/workforce/jobseekers/onestopmap.cfm>



J. Pari Sabety
Director

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.

Basic Principles and Requirements of ARRA Reporting

Section 1512 of the Recovery Act requires reports on the use of Recovery Act funding by recipients no later than the 10th day after the end of each calendar quarter (beginning the quarter ending September 30, 2009). The federal agency providing those funds must make the reports publicly available no later than the 30th day after the end of that quarter.

In Ohio, this data will be centrally collected and transmitted through the ARRA Hub. Detailed instructions for reporting through the ARRA Hub as well as a reporting timeline are contained in a later section of this guidance.

1512 Reports - Definitions

Under ARRA Sec. 1512 and subsequent federal guidance, there are three main categories of reporters: prime recipients, sub-recipients and vendors. This section clearly defines each of these entities, their respective responsibilities, and the required data that they must provide through the ARRA Hub. The ARRA Hub will consolidate this information and transmit it to www.federalreporting.gov.

More information about required data elements is provided in Attachment 2 of this guidance, ARRA Section 1512 Required Data Elements.

Prime recipient

1. **Definition**: A non-Federal entity that receive Recovery Act funding as Federal awards in the form of grants, loans, or cooperative agreements directly from the Federal government. Most state agencies are prime recipients. Payments made by prime recipients of Federal award dollars can be classified into two categories – (i) payments to sub-recipients and (ii) payments to vendors.
2. **Responsibilities**: the prime recipient is responsible for reporting data on payments made to both sub-recipients and vendors. Reporting requirements for payments made to sub-recipients are not the same as the reporting requirements for payments made to vendors. (Federal Funding Accountability and Transparency Act (FFATA) data elements for the sub-recipients of the prime recipient required under 1512(c)(4).)The prime recipient must report three additional data elements associated with any vendors receiving funds from the prime recipient for any payments greater than \$25,000. However, Section 1512(c)(4) allows for prime recipients to aggregate reporting on 1) sub-awards less than \$25,000; 2) sub-awards to individuals; and 3) payments to vendors less than \$25,000. Prime recipients should provide a separate aggregate dollar total for each of the three categories.
3. **Required Data**:
 - A. Federal Funding Agency Name
 - B. Award identification
 - C. Recipient D-U-N-S
 - D. Parent D-U-N-S
 - E. Recipient CCR information
 - F. CFDA number, if applicable
 - G. Recipient account number
 - H. Project/grant period
 - I. Award type, date, description, and amount
 - J. Amount of Federal Recovery Act funds expended to projects/activities

- 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)

- B. Expenditure amount ¹
- C. Expenditure description

More information regarding ARRA reporting roles and responsibilities can be found at <http://www.whitehouse.gov/Recovery/WebinarTrainingMaterials/>.

Recipient Reporting Process and Timeline

State agencies administering ARRA programs are deemed prime recipients and are responsible for the submission of sub-recipient and vendor information through the ARRA Hub. Please refer to Appendix A, ARRA Reporting Validation and Submission, as a visual aid for following instructions.

Under Section 1512 prime recipients submit quarterly reports on fund use no later than the 10th day following the end of each quarter. **The official start date is October 10, 2009** and data is cumulative from February 17, 2009. The statute further requires that reported information be available to the public no later than the 30th day after the end of each quarter.

1. Registration

OBM will ensure that the State of Ohio is properly registered as an 'authorized party' prior through www.federalreporting.gov. Since state agencies will be submitting all their prime recipient and sub-recipient information through the ARRA Hub, they will not need to register separately with the federal government.

2. Draft

In order to ensure accurate centralized reporting, it is essential that ARRA program owners keep the information in the ARRA Hub up to date. **By the last day of each quarter**, beginning September 30, agencies must validate all reporting fields in the Section 1512 section of the accountability page in the ARRA Hub. In addition, by the same date, agencies must validate all financial data in the Hub (provided from OAKS) and report any discrepancies to OBM for review. It is essential that all financial data are verified prior to the close of the quarter in the event corrections are needed in OAKS. Within **two days following the close of each quarter**, OBM will provide each ARRA program owner a draft of the report(s) to be submitted to the centralized federal reporting application. Program owners will have five days to review all information and submit corrections or additions to OBM. Any corrections will be made in the ARRA Hub and, by the **10th day following the end of the quarter**, OBM will transmit all data to the centralized federal reporting application. A more detailed timeline and process map can be found in Appendix A of this document.

3. Initial Submission

During **days 11-21** following the end of quarter, prime recipients must ensure complete and accurate information is provided prior to the federal agency comment period beginning on the 22nd day. Prime recipients will be responsible for coordinating with sub-recipients on any identified data corrections.

4. Final Submission

During **days 22-29** following the end of quarter, federal agencies review and comment on submitted reports. The federal agencies will notify recipients and sub-recipients of any data

¹ Expenditure amount and description are not required for sub-recipient vendors.

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);

Reviewed by agency (material omissions or significant reporting errors) – If the agency has reason to believe information is false or misleading and has not been correct by recipient/sub-recipient the federal agency must provide findings to recoveryupdates@gsa.gov.

Uncorrected data quality problems can result in termination of federal funding and/or initiation of suspension and debarment proceedings of either the recipient or sub-recipient, or both. In some cases, intentional reporting of false information can result in civil and/or criminal penalties.

Reporting on Jobs Creation Estimates by Recipients

There are two required distinct types of reports on jobs/ jobs maintained:

First, the Council of Economic Advisers are required to submit quarterly reports to Congress that detail the impact of Recovery funded programs on employment, economic growth, and other key economic indicators (this will not involve state agencies).

Second, recipients of Recovery funds should submit job estimates.

Prime recipients are required to report an estimate of jobs directly created or retained by project and activity or contract. A job created is a new position created and filled or an existing unfilled position filled with Recovery funding. A job retained is an existing position that would not have been continued to fill without Recovery funding. A job cannot be both created and retained. Aggregate numbers for the cumulative jobs created or retained for the quarter are required. Also, narrative descriptions for employment impact are needed. Therefore, both numeric and text data will be collected. Much of this information must be acquired from sub-recipients.

Job estimates should be expressed as “full time equivalents” (FTE). This is calculated as total hours worked in jobs created/retained divided by the number of hours in a full-time schedule. The FTE estimates must be reported cumulatively each calendar quarter.

Recipients of grants, cooperative agreements, and loans must include in the aggregate number of their narrative descriptions an estimate of jobs created/retained on projects and activities managed by funding recipients.

Employees who are not directly charged to Recovery Act supported projects/activities who provide indirect support (i.e. clerical/administrative staff preparing reports) are NOT counted as jobs created/retained. Recipients report only direct jobs. The narrative should include a brief description of the types of jobs created or retained.

The formula for reporting FTE jobs can be represented as:

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

Reporting is cumulative across the project lifecycle and will not reset at the beginning of each calendar of fiscal year.

An alternative calculation based on the allocable and allowable portion of activities expressed as a percentage of the total is acceptable for recipients of assistance agreements that must comply with OMB Circular A-21, Cost Principles for Education Institutions. Compensation charges to sponsored projects must conform to the institutions' established policies and reasonably reflect the activity for which the employee is compensated. Charges to sponsored

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.

Once registered in the ARRA Hub, a program owner's first priority should be the completion of sections 1 and 2 of the Section 1512 form (pertaining to the prime recipient only). Most of this information will only need to be reported once and will not require further updates. As such, program owners are encouraged to submit this information as soon as possible.

The ARRA Hub also contains a section for reporting sub-recipient and vendor information. OBM will issue instructions for populating the ARRA Hub with vendors and sub-recipients in the near future.

In the coming few weeks, OBM will be offering detailed end user training for the ARRA Hub. In this training, users will learn to navigate the Hub and enter program information, as well as to retrieve financial reports.

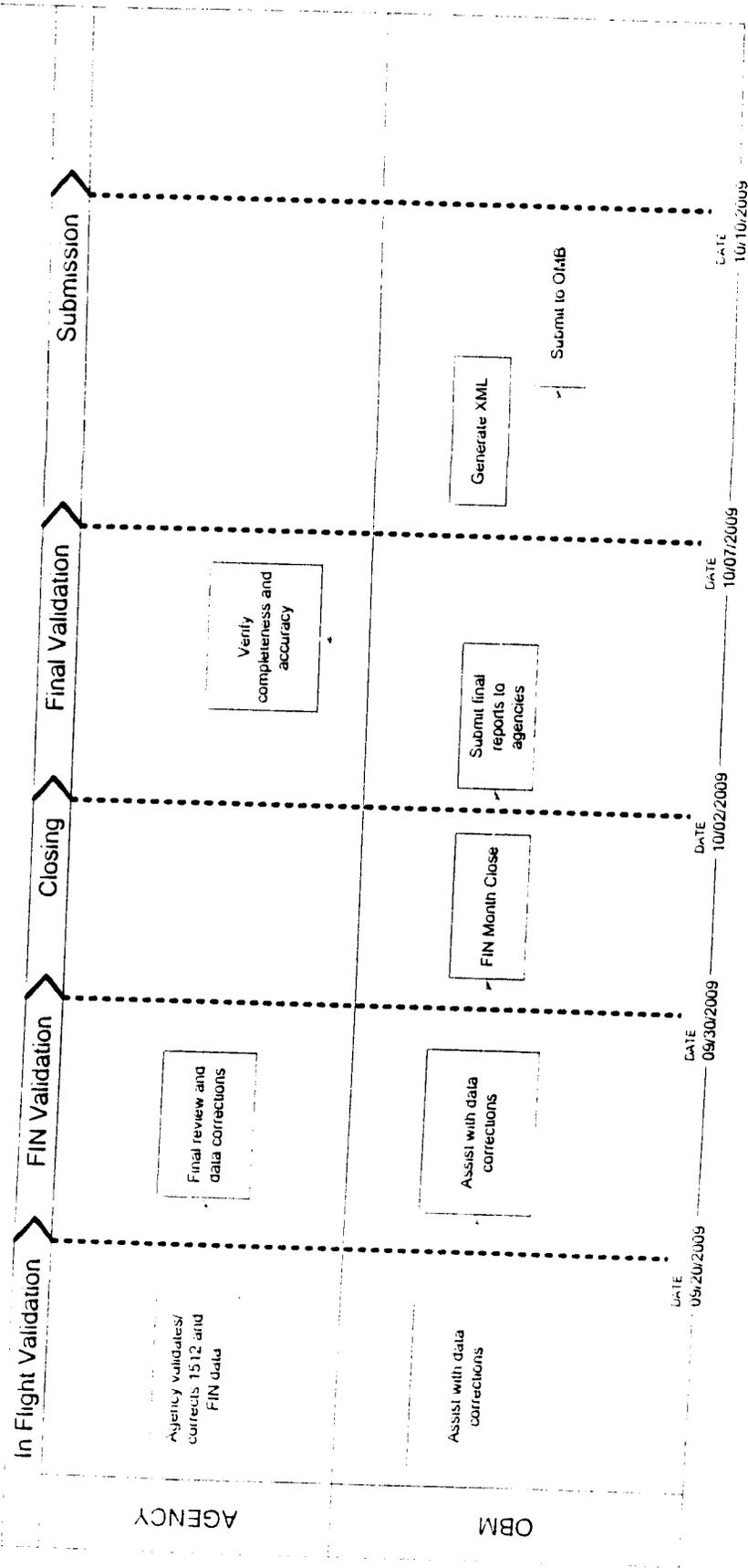
Overlapping Reporting Requirements

This Guidance is not intended to impact requirements outside of Section 1512 of the Recovery Act. The Recovery Act may contain additional recipient reporting responsibilities that are specific to certain Federal programs. Recipients will have to comply with any reporting as outlined in the award agreement.

Also, If a Federal agency believes it is appropriate to seek a waiver of an existing requirement in order to facilitate effective implementation of the Recovery Act, the Federal agency shall pursue such waiver consistent with existing Federal processes (e.g., waivers for the Paperwork Reduction Act). No waivers will be granted for recipients under Section 1512. If

Finally, all information required by Section 1512 must be submitted through the ARRA Hub, whereupon it will be transmitted to www.federalreporting.gov. Reports that go above and beyond Sec. 1512 requirements must be transmitted separately.

APPENDIX A
ARRA Report Validation and Submission



Appendix 5
NOTICE OF INTENT TO APPLY FOR FUNDING

Ohio Department of Health
Division of Prevention
Bureau of Infectious Diseases

ODH Program Title: Training Local Health Departments to Institute the Billing of Third-party Health Insurers for Immunization Services

ALL INFORMATION REQUESTED MUST BE COMPLETED.
(Please Print Clearly or Type)

County of Applicant Agency _____

Federal Tax Identification Number _____

NOTE: The applicant agency/organization name must be the same as that on the IRS letter.
This is the legal name by which the tax identification number is assigned.

Type of Applicant Agency (Check One) County Agency Hospital Local Schools
 City Agency Higher Education Not-for Profit

Applicant Agency/Organization _____

Applicant Agency Address _____

Agency Contact Person/Title _____

Telephone Number _____

E-mail Address _____

Please check all applicable: Our agency will need GMIS 2.0 training
 Our agency has completed GMIS 2.0 training
 First time applying for an ODH grant

Mail, E-mail or Fax To: Michelle Bell, Immunization Program
Ohio Department of Health
35 E. Chestnut, 7th Floor
Columbus, Ohio 43215
E-mail: michelle.bell@odh.ohio.gov
Fax: 614-728-4279

APPENDIX 6

**ARRA Funded Training Local Health Departments to Institute the Billing of
Third-party Health Insurers for Immunization Services
Application Review Form**

Applicant Name: _____ GMIS #: _____

Counties included: _____

Score Summary

Application Element	Score	Point Value
GMIS 2.0 Budget Issues		6
Budget Summary Sheet		2
Executive Summary		2
Description of Applicant Agency/Documentation of Eligibility/Personnel		4
Problem/Need		9
Program Plan		22
Program Evaluation		2
Total Application Point Score		47
Total Application % Score		NA

**Training Local Health Departments to Institute the Billing of Third-party Health Insurers
for Immunization Services Grant Application Review Form**

Category	Score
GMIS 2.0 Budget Issues	
Q: Meets the goals of and guidelines for implementing ARRA. a: Explains how funds will be used to preserve and/or create jobs through this project. b: Provides a full description of the positions that will be funded by this grant. Reviews the Expected Results (see Goals) 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 target area(s).	0 1
Q: Is responsive to the special concerns and program priorities specified in the request for proposal, i.e. ARRA Guidance from April 3, 2009, June 22, 2009, and December 18, 2009, as well as OBM Guidance Memo #8 and Guidance Memo #9.	0 1
Q: Has demonstrated acceptable past performance in areas related to programmatic and financial stewardship of grant funds.	0 1
Q: Do budget items in GMIS 2.0 relate to required grant goals?	0 1
Q: Is the GMIS 2.0 budget justification section complete (provide information on personnel, other costs, equipment and contracts?)	0 1
Q: Is total funding request at or below maximum funding allowed?	0 1
Requested funding amount:	
	Subtotal _____ / 6
<i>Notes:</i>	
Budget Summary Sheet	
Q: Is the budget submitted correctly?	0 1
Q: Do administrative costs account for 10% or less of the total amount requested ?	0 1
Q: Number of proposed full-time equivalents (FTE) requested?	
Q: Bidder expression of interest submitted to http://www.recovery.ohio.gov/opportunities/state website?	
<i>Notes: Total amount of administrative cost (and percentage of total) requested:</i>	Subtotal _____ / 2
Executive Summary	

Q: Did the applicant provide a poor, average or good overview?	0 1 2
<i>Notes:</i>	Subtotal _____ / 2
Description of Applicant Agency/Documentation of Eligibility/Personnel	
Q: Summarize the agency structure & management of the grant?	0 1
Q: Describe capacity to communicate to diverse audiences?	0 1
Q: Describe plans for implementing a project?	0 1
Q: Note any personnel or equipment deficiencies?	0 1
<i>Notes:</i>	Subtotal _____ / 4

Problem / Need	
Q: Identify and describe the current status of the applicant's current billing system?	0 1 2
Q: Identify the benefits of billing on vaccine accessibility, availability, and affordability?	0 1 2
Q: Identify the barriers to implementing a billing system?	0 1
Q: Identify how training of local health departments will facilitate procedures and processes needed to implement billing?	0 1 2
Q: Identify the benefits that billing has had on applicant services and operations?	0 1 2
<i>Notes:</i>	Subtotal _____ / 9
Program Plan	

Q: All objectives follow the SMART objective writing format	0 1 2
Q: Plan contains both process and outcome objectives	0 1 2
Q: Objectives include realistic activities and timelines	0 1 2
Q: Activities relate to the objective	0 1 2
Q. Activities address plans to hold seven regional training sessions	0 1 2
Q. The plan provides information on the current status of billing in the applicant agency	0 1 2
Q. The plan addresses the methodology to be used to develop a web-based training	0 1 2
Q. The plan includes a timeline for meeting grant objectives	0 1 2
Q. The plan includes a methodology to inform local health departments regarding the training.	0 1 2
Q. The plan addresses how the applicant will provide technical follow-up assistance after the training is completed	0 1 2
Q. The plan addresses how the applicant will work with ODH Immunization Program staff during the training project.	0 1 2
Notes:	Subtotal _____ / 22
Program Evaluation	
Q. The evaluation plan relates to the objectives and activities	0 1
Q. The evaluation plan addresses the methodology to be used to determine how objectives will be measured	0 1
	Subtotal _____ / 2

Special Conditions:
Comments to Subgrantee:
Reviewer Signature:

Appendix 7

Training Local Health Departments to Institute the Billing of Third-party Health Insurers for Immunization Services Grant Progress Report Instructions

Please use the following instructions to prepare the semi-annual progress report for your Subgrant. Please follow instructions carefully, as progress reports are scored. All reports are due to ODH on the following dates: August 5, 2011; September 5, 2011; October 5, 2011; and November 5, 2011. A final report will be due to ODH by February 5, 2012.

1. Provide a brief narrative of the progress made towards each objective during the previous one month period. A comprehensive final report will be required for the program by February 5, 2012. Identify the specific successes and challenges encountered and the solutions instituted for each objective. Significant achievements should be described, as well as instances when objectives were not met. Be specific in your description of accomplishments. The file format may be either MS Word or .pdf. All attached files will be placed in the Subgrantee Performance Evaluation System (SPES). Due to the nature of this grant, Grantee staff will work closely with staff of the ODH Immunization Program. This will include conference calls, email correspondence, and face-to-face meetings.
2. Provide samples of locally produced promotional materials, pamphlets, articles, letters, or reports created during the report period that directly relate to grant objectives (e.g., newsletters). *Attachments are not to be submitted electronically through GMIS 2.0, but rather through SPES.* If you elect to send any hard copy attachments, note your grant number and agency name on the front page, with one original and two copies to:

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

If you have any questions, please contact Joe Bronowski or Alexandra Thornton at (614) 466-4643.

