

**NEW YORK STATE DEPARTMENT OF HEALTH  
SPECIAL ARRA REPORTING – GRANT AWARDEES (“Sub-recipients”)  
MONTHLY DATA ELEMENTS**

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These instructions supplement the ARRA reporting guidance available on the federal Recovery.gov Web site. Grant awardees should review the materials provided on the Recovery.gov Web site, relevant Federal Register notices, and the further guidance listed below for a full understanding of reporting requirements under the Recovery Act. These instructions build on publications issued by the Office of Management and Budget, including those referenced below.

For questions relating to these instructions, contact [doharrareporting@health.state.ny.us](mailto:doharrareporting@health.state.ny.us) or your contract administrator.

For further guidance, please review:

1. OMB June 22, 2009 guidance on reporting: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21.pdf)
2. Frequently Asked Questions to expand on the guidance: [http://www.whitehouse.gov/omb/recovery\\_faqs/](http://www.whitehouse.gov/omb/recovery_faqs/)
3. Data dictionary describing data elements required in reports: <http://www.recovery.gov/?1=content/recipient-reporting>
4. OMB December 18, 2009 Updated Guidance on the American Recovery and Reinvestment Act – Data Quality, Non-Reporting Recipients, and Reporting of Job Estimates: [http://www.whitehouse.gov/omb/assets/memoranda\\_2010/m10-08.pdf](http://www.whitehouse.gov/omb/assets/memoranda_2010/m10-08.pdf)

**Instructions for completing the *Highly Compensated Executives* template**

The *Highly Compensated Executives* template provides data elements and format for required ARRA grant reporting. This template captures information on the grantee’s (“sub-recipient’s”) five most highly compensated executives and must be completed at the time of contract execution. DOH may alter the data elements and formats in this Attachment at any time. In addition, DOH will be making an Excel version of this template available and will strongly encourage electronic submission of this template to DOH when the Excel version is available.

ARRA Grant #: Federal grant number assigned to prime recipient.

Sub-recipient DUNS #: Sub-recipient organization’s 9-digit Data Universal Numbering System (DUNS) number

Sub-recipient Name: Legal name of sub-recipient as registered in CCR.

Project Period: Grant period as indicated on DOH contract with sub-recipient.

Contract Number: Contract number assigned by DOH for the sub award.

**Sub-recipient Indication of Reporting Applicability:** Sub-recipients meeting certain criteria must report, for each of the five most highly compensated executives in the organization, total compensation during the calendar year in which the grant is awarded. The following three yes/no questions are used to determine whether the sub-recipient must provide this information.

1. Does the public have access to annual executive compensation information? Answer yes if, for example, the organization publishes this information in a public filing such as an SEC registration statement or in a public database. *Sub-recipients that answer “Yes” to this question are not required to list the total compensation amounts for its five most highly compensated executives.*
2. Did sub-recipient receive over 80% of its annual gross revenues from Federal contracts (and subcontracts), grants (and subawards/subgrants), loans and/or cooperative agreements? Determine for the fiscal year end

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immediately preceding the sub award date. *Sub-recipients that answer “No” to this question are not required to list the total compensation amounts for its five most highly compensated executives.*

3. Did sub-recipient receive \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), grants (and subawards/subgrants), loans and/or cooperative agreements? Determine for the fiscal year immediately preceding the sub award date. *Sub-recipients that answer “No” to this question are not required to list the total compensation amounts for its five most highly compensated executives.*

**Executive Compensation Data**

Last Name, First Name Full name for each of the sub-recipient organization’s five most highly compensated executives. Report for the calendar year in which the ARRA grant was awarded to the sub-recipient.

For Twelve Months Ended: Month and year of compensation information—should be the date of sub-recipient organization’s fiscal year end immediately preceding the ARRA sub award date.

Annual Total Compensation Amount: Include cash and noncash dollar value earned by the executive during the sub-recipient organization’s past fiscal year of the following:

- Salary and bonus.
- Awards of stock, stock options, and stock appreciation rights, using the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R.
- Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization or medical insurance reimbursement plans that do not discriminate in favor of executives and are available generally to all salaried employees.
- Changes in pension value: change in present value of defined benefit and actuarial pension plans.
- Above-market earnings on deferred compensation which are not tax-qualified.
- 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.

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**Instructions for completing the *Special ARRA Reporting – Grant Awardees Template***

The *Special ARRA Reporting – Grant Awardees* template provides the data elements and format for monthly ARRA grant reporting. ARRA Section 1512 requires DOH (“prime recipient”) to submit quarterly reports on expenditures, performance status, and job creation for each ARRA grant received. This template captures grantee (“sub-recipient”) information that DOH will either report directly on OMB’s FederalReportingTemplate – Grants and Loans or use to support DOH inputs. DOH may alter the data elements and formats in this template at any time. In addition, DOH will be making an Excel version of this template available and will strongly encourage electronic submission of this template to DOH when the Excel version is available.

ARRA Grant #: Federal grant number assigned to prime recipient.

Project Period: Grant period as indicated on DOH contract with sub-recipient.

Sub-recipient DUNS #: Sub-recipient organization’s 9-digit Data Universal Numbering System (DUNS) number

Date of Most Recent CCR Registration: Sub-recipient’s most recent date of registration with the Central Contracting Registry (CCR). Registration must be updated annually.

Sub-recipient Name: Legal name of sub-recipient as registered in CCR.

Sub-recipient Congressional District: Congressional district of sub-recipient’s headquarters office. The website [www.house.gov](http://www.house.gov) provides congressional districts by zip code + 4 (enter the zip code in the fields under “Find Your Representative by Zip”).

Report Month and Year: Month and year for which report is being submitted.

Final Report: Indicate whether the report is the last report for the project.

**Table 1: Sub-recipient Performance Data**

Contract Number: Contract number assigned by DOH for the sub award.

Project Status: Select one of the following options to report the status of work over the grant award period:

- Not started
- Less than 50% complete
- More than 50% complete
- Fully completed

Evaluate project status using performance progress reports and other relevant non-financial performance information.

Place of Performance Data (city, state, zip code +4, country): The physical location of primary place of performance for project work. This location may differ from the organization’s legal address.

**Table 2: Sub-recipient Vendor Performance Data:** Sub-recipients must provide the following information on vendors receiving individual payments greater than \$25,000 under the ARRA grant:

Contract Number: Award number or other identifying number (contract number, purchase order number, voucher number) assigned by the sub-recipient for ARRA project vendor receiving one or more individual payments greater than \$25,000.

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Vendor DUNS Number: Vendor organization’s 9-digit Data Universal Numbering System (DUNS) number, if available. If sub-recipient submits a vendor DUNS number, it does not need to submit vendor HQ zip code + 4 or vendor name.

Vendor HQ Zip Code +4: The nine-digit zip code of the vendor’s headquarters office. Provide if vendor DUNS number is not available. The following Web site provides zip + 4 information based upon an address:  
<http://zip4.usps.com/zip4/welcome.jsp>

Vendor Name: The name of the vendor firm. Provide if vendor DUNS number is not available.

**Table 3a: Sub-recipient ARRA Hours Worked:** Sub-recipients must list hours worked for each job created or retained as a result of ARRA funding for this grant project. The points below offer general guidance; refer to the federal Web sites listed above for a more comprehensive review of ARRA jobs reporting requirements.

1. A job created is a new position created and filled, or an existing unfilled position that is filled, that is funded by the Recovery Act sub award.
2. A job retained is an existing position that is now funded by the Recovery Act sub award.
3. A funded job is one in which the wages and salaries are either paid for or will be reimbursed with Recovery Act sub award funding. Note that a job that is paid initially with non-Recovery Act sub award dollars may be reported as created or retained as long as such dollars eventually will be reimbursed with Recovery Act sub award funds for the jobs being reported. For example, a sub-recipient may decide to begin hiring new employees as soon as they are notified of the amount of their ARRA sub award, but before Recovery Act sub award dollars are received or expended. If, in this situation, if the non-Recovery Act dollars that are paying the wages of the new employees were used as an advance on the Recovery Act sub award dollars awarded, the sub-recipient can appropriately report these jobs as created or retained.
4. Part-time jobs can be reported, subject to the above conditions.
5. Sub-recipients should not attempt to report on the employment impact upon materials suppliers and central service providers (so-called “indirect” jobs) or on the local community (“induced” jobs).
6. Only include jobs created in the United States, the District of Columbia, and outlying areas.

Employee Name: Last name, first name of employee working in a job created or retained through a project fully or partially funded by ARRA dollars.

Job Title: Position title assigned by sub-recipient organization.

Type of Work: Select a classification to describe the job created or retained. A list of type of work classifications will be provided by the DOH contract manager.

Standard Hours in Full-time Schedule: Number of paid work days in payroll reporting period **X** number of paid hours in a standard full-time day:

ARRA Funded Hours: Number of hours employee worked in which salaries and wages were either paid for or will be reimbursed with Recovery Act sub award funds. Include all hours funded by the Recovery Act sub award, including vacation, holiday, and sick time. If the employee’s job was only partially funded by the Recovery Act sub award, count

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only those hours funded by the Recovery Act sub award. If the sub-recipient does not have specific funding source information for each individual employee, calculate the proportion of Recovery Act sub award funding against the full funding for each position. Use that proportion as the basis for calculating a proportionate share of Recovery Act funded hours. Use this proportionate share of hours as the amount reported.

**Table 3b: Sub-recipient Vendor ARRA Hours Worked:** Sub-recipients must report information on jobs created or retained by their vendors as a result of ARRA funding for this grant project. To the maximum extend practicable, information should be collected from all vendors in order to generate the most comprehensive and complete job impact numbers available.

The points below offer general guidance; refer to the federal Web sites listed above for a more comprehensive review of ARRA jobs reporting requirements.

Vendor Name: Name of vendor firm. Provide name even if DUNS number was provided in Table 2 above.

Employee Name: Last name, first name of employee working in a job created or retained through a project fully or partially funded by ARRA dollars.

Job Title: Position title assigned by vendor organization.

Type of Work: Select a classification to describe the job created or retained. A list of type of work classifications will be provided by the DOH contract manager.

Standard Hours in Full-time Schedule: Number of paid work days in payroll reporting period **X** number of paid hours in a standard full-time day.

ARRA Funded Hours: Number of hours employee worked in which salaries and wages were either paid for or will be reimbursed with Recovery Act sub award funds. Include all hours funded by the Recovery act sub award, including vacation, holiday, and sick time. If the employee’s job was only partially funded by the Recovery Act sub award, count only those hours funded by the Recovery Act sub award. If the vendor does not have specific funding source information for each individual employee, calculate the proportion of Recovery Act sub award funding against the full funding for each position. Use that proportion as the basis for calculating a proportionate share of Recovery Act funded hours. Use this proportionate share of hours as the amount reported.

**Table 3c: Job Impact and Related Documentation**

Comments on Job Impact: Additional information regarding determination of hours worked, jobs impact beyond specific positions listed, basis for determining proportionate shares for jobs on projects with multiple funding sources, plans for reimbursement by Recovery Act funds if salaries and wages for reported jobs have not yet been paid for by the Recovery Act, explanation if expected job creation or retention did not occur, and/or other information pertinent to the job impact of the ARRA sub award.

Supporting Documentation Submitted to DOH: Sub-recipients must maintain documentation to substantiate that salaries and wages for jobs created or retained by the ARRA sub award are either paid for or will be reimbursed with Recovery Act funding. Enter “Y” if sub recipient has provided DOH with appropriate documentation for hours reported.

