



U.S. DEPARTMENT OF  
**ENERGY**

## **Office of Science**

**Supplemental Guidance for Recovery Act Recipient Reporting  
on [FederalReporting.gov](http://FederalReporting.gov)**

**Prime Recipients of Financial Assistance and Contracts**

October 2009

## OVERVIEW

The Department of Energy has provided general guidance to recipients of the American Recovery and Reinvestment Act (Recovery Act) funds. This information can be found at:

[http://www.energy.gov/recovery/ARRA\\_Reporting\\_Requirements.htm](http://www.energy.gov/recovery/ARRA_Reporting_Requirements.htm)

**The supplemental guidance provided below is for DOE Office of Science Recovery Act financial assistance and contract recipients.** This information complements the DOE guidance and the OMB guidance provided in the *Recipient Reporting Data Model* document available on the FederalReporting.gov website.

There are three means by which recipients can provide the required reporting information to FederalReporting.gov: 1) directly enter the required information into the text boxes on the website; 2) Download the Excel template from FederalReporting.gov, complete the required data fields, and upload the completed Excel file to the website; and 3) using an XML Schema capability.

The Office of Science recommends recipients use the Excel template option as it allows the recipient to compile and review their information offline prior to submitting.

The DOE Call Center (<https://recoveryclearinghouse.energy.gov> or 1-888-363-7289) is available to answer questions about reporting requirements. If you have specific questions about your financial assistance award or contract, please contact the Office of Science Contracting Officer or Program Manager for the award.

# FINANCIAL ASSISTANCE

## Recovery Act Financial Assistance (Grants, Cooperative Agreements, Loans) Recipient Reporting

The following table provides supplemental information to help ensure the correct information is reported in each of the required data fields. The required data fields are ordered as they appear on the Grant or Loan Recipient Report Excel template. Where applicable, the corresponding field in the DOE Office of Science “Assistance Agreement” where the requested information can be found is identified. The Department of Energy and Office of Science specific codes for all Office of Science Recovery Act funded financial assistance awards are also identified.

OMB Recipient Report Template: Grants	DOE Office of Science Supplemental Guidance
<b><i>PRIME RECIPIENT</i></b>	
<b>Award Type</b>	Select the “Grant” option from the pull down menu <sup>1</sup> .
<b>Award Number</b>	The award number can be found in the “1. Award No.” field of the DOE Office of Science Assistance Agreement <sup>2</sup> for the award.
<b>Final Report</b>	If all funds have been costed in this reporting period and this will be the final report, enter “Y.” Otherwise enter “N.”
<b>Recipient DUNS Number</b>	<p>The 9-digit Data Universal Numbering System (DUNS) number can be found at the top of the “Supplies/Services” column (B) section on the second page of the DOE Office of Science Assistance Agreement<sup>2</sup> for the award.</p> <p>See the <a href="http://FederalReporting.gov">FederalReporting.gov</a> FAQs if you cannot locate your DUNS number.</p>

<sup>1</sup> For Office of Science Recovery Act Cooperative Agreements, please select the “Grant” option in the pull down menu,

<sup>2</sup> If your award was issued with a DOE F 4600.1 form, the award number will be found in the “4. INSTRUMENT NO,” section; the DUNS number is in “15. EMPLOYER I.D.”.

<b>Recipient Account Number</b>	This is optional. This data field is for the prime recipient internal account number and is not a required entry by DOE.
<b>Recipient Congressional District</b>	If you do not know your Congressional District you can find it online. The following is one location where you may look it up: <a href="http://en.wikipedia.org/wiki/List_of_United_States_congressional_districts">http://en.wikipedia.org/wiki/List_of_United_States_congressional_districts</a>
<b>Funding Agency Code</b>	This is “8925” for a DOE Office of Science funded award.
<b>Awarding Agency Code</b>	This is “8925” for a DOE Office of Science issued award.
<b>Award Date</b>	This date can be found in the “3. Effective Date” field of the DOE Office of Science Assistance Agreement <sup>3</sup> for the award.
<b>Amount of Award</b>	This amount can be found as the “total” amount in the “13. Funds Obligated” field of the DOE Office of Science Assistance Agreement <sup>3</sup> for the award.
<b>CFDA Number</b>	This number can be found in the “4. CFDA No.” field of the DOE Office of Science Assistance Agreement for the award.
<b>Program Source (TAS)</b>	This is “89-0227” for DOE Office of Science Recovery Act awards. This can also be found at the bottom of the “Supplies/Services” column (B) of the DOE Office of Science Assistance Agreement for the award.
<b>Sub Account Number for Program Source (TAS)</b>	This is “251” for DOE Office of Science Recovery Act awards.
<b>Total Number of Sub Awards to Individuals</b>	Refer to the <i>Recovery Act Recipient Reporting Data Model</i> document for guidance and complete the Sub Recipient template.
<b>Total Amount of Sub Awards to Individuals</b>	Refer to the <i>Recovery Act Recipient Reporting Data Model</i> document for guidance and complete the Sub Recipient template.

<sup>3</sup> If your award was issued with a DOE F 4600.1 form, the award date is the date signed by the Contracting Officer in “21. AWARDED BY” section; the Amount of Award can be found in section “16. BUDGET AND FUNDING INFORMATION” next to “DOE Funds Obligated This Action.”

<b>Total Number of Payments to Vendors less than \$25,000/award</b>	Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for guidance and complete the Vendor template.
<b>Total Amount of Payments to Vendors less than \$25,000/award</b>	Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for guidance and complete the Vendor template.
<b>Total Number of Sub Awards less than \$25,000/award</b>	Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for guidance.
<b>Total Amount of Sub Awards less than \$25,000/award</b>	Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for guidance.
<b>Award Description</b>	<p>Include in this section the information found in the “21. Research Title and/or Description of Project” field of the DOE Office of Science Assistance Agreement for the award. Include the DOE Recovery Act Project Identification Code.</p> <p>The DOE Recovery Act Project Identification Code can be found at the bottom of the “Supplies/Services” column (B) section of the DOE Office of Science Assistance Agreement<sup>4</sup>. All Office of Science Recovery Act Project codes begin with “2005,” as in “2005000.”</p> <p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for guidance for additional information required.</p>
<b>Project Name or Project/Program Title</b>	<p>Include in this section the information found in the “21. Research Title and/or Description of Project” field of the DOE Office of Science Assistance Agreement<sup>4</sup> for the award, and the DOE Recovery Act Project Identification Code.</p> <p>The DOE Recovery Act Project Identification Code can be found at the bottom of the “Supplies/Services” column (B) section of the DOE Office of Science Assistance Agreement. All Office of Science Recovery Act Project codes begin with “2005,” as in “2005000.”</p>

<sup>4</sup> If your award was issued with a DOE F 4600.1 form, the DOE Recovery Act Project Identification Code is found in section “14.ACCOUNTING AND APPROPRIATIONS DATA” under “Project;” the Project Title is found in section “1. PROJECT TITLE.”

<b>Project Status</b>	Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for guidance and use the drop-down menu options.
<b>Total Federal Amount ARRA Funds Received/Invoiced</b>	<p>For DOE Office of Science Recovery Act financial assistance awards, this is the total amount of funds paid to the recipient organization.</p> <p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for additional guidance.</p>
<b>Number of Jobs</b>	<p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.</p> <p>Financial assistance recipients should report all jobs created or retained by the prime recipient, and sub-award recipients and vendors. It is the responsibility of the prime recipient to report these job numbers.</p> <p>The prime recipient should only report sub-recipient jobs if the sub award was issued directly by the prime recipient.</p> <p><b>Note:</b> Partnering principle investigators from DOE national laboratories are funded through direct contracts with the DOE Office of Science and are responsible for their own quarterly reporting.</p>
<b>Description of Jobs Created</b>	Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for guidance.
<b>Quarterly Activities/Project Description</b>	Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.

<p><b>Activity Code (NAICS or NTEE-NPC)</b></p>	<p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.</p> <p>NAICS does not apply to Office of Science Recovery Act financial assistance awards.</p> <p>Financial assistance recipients should report the appropriate NTEE-NPC code. The NTEE-NPC code in the Science “U series” may be most applicable. A list of the codes can be found at:</p> <p><a href="http://nccsdataweb.urban.org/PubApps/nteeSearch.php?gQry=all-core&amp;codeType=NPC">http://nccsdataweb.urban.org/PubApps/nteeSearch.php?gQry=all-core&amp;codeType=NPC</a>.</p> <p>If none of these codes are an appropriate match, please use U01, “Science and Technology, General/Other”</p>
<p><b>Total Federal Amount of ARRA Expenditure</b></p>	<p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.</p>
<p><b>Total Federal ARRA Infrastructure Expenditure</b></p>	<p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.</p> <p>“Infrastructure” activities are typically construction or and/or improvements to public buildings or public works. This reporting requirement generally does not apply to Office of Science Recovery Act research awards.</p>
<p><b>Infrastructure Contact Information (Name, Email, Phone)</b></p>	<p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.</p>
<p><b>Primary Place of Performance (Address, etc.)</b></p>	<p>This is most commonly found in the “5. Awarded to” field of the DOE Office of Science Assistance Agreement for the award.</p>
<p><b>Recipient Highly Compensated Officers</b></p>	<p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.</p>

# CONTRACTS

## Recovery Act Contract Recipient Reporting

The following table provides supplemental information to help ensure the correct information is reported in each of the required data fields. The required data fields are ordered as they appear on the Contract Recipient Report Excel template. Where applicable, the corresponding field in the DOE Modification of Contract (“Amendment of Solicitation/Modification of Contract) document where the requested information can be found is identified. The Department of Energy and Office of Science specific codes for all Office of Science Recovery Act funded contracts are also identified.

OMB Recipient Report Template: Contracts	DOE Office of Science Supplemental Guidance
<b><i>PRIME RECIPIENT</i></b>	
<b>Award Type</b>	This should be “Federally Awarded Contract.”
<b>Award Number</b>	<p>The award number can be found within the “10A. MODIFICATION OF CONTRACT NO” field of the DOE Modification of Contract for the award.</p> <p>The DOE award number is the Contract number. For example: Contract number DE-AC02-05CH11231.</p>
<b>Final Report</b>	If all funds have been costed in this reporting period and this will be the final report, enter “Y.” Otherwise enter “N.”
<b>Order Number</b>	Enter the DOE Recovery Act Project Identification Code. This can be found under section A or Section C under the “Work Authorization Title” in the “14. DESCRIPTION OF AMENDMENT/MODIFICATION” section of the Modification of Contract. All DOE Office of Science project codes begin with “2005,” as in “2005000.”

<b>Recipient DUNS Number</b>	Enter the prime contractor organization’s 9-digit Data Universal Numbering System (DUNS) number. See the <a href="http://FederalReporting.gov">FederalReporting.gov</a> FAQs if you do not know how to find your DUNS number.
<b>Recipient Account Number</b>	This is optional. This data field is for the prime recipient internal account number and is not a required entry by DOE.
<b>Recipient Congressional District</b>	If you do not know your Congressional District you can find it online. The following is one location where you may look it up: <a href="http://en.wikipedia.org/wiki/List_of_United_States_congressional_districts">http://en.wikipedia.org/wiki/List_of_United_States_congressional_districts</a>
<b>Funding Agency Code</b>	This is “8925” for a DOE Office of Science funded awards; for projects funded by other DOE offices or by other Federal Agencies, select the appropriate code from the drop-down lists in the “Need Help Finding Award Information?” box of the reporting form.
<b>Awarding Agency Code</b>	This is “8925” for a DOE Office of Science issued award.
<b>Award Date</b>	This date can be found in the “16C. DATE SIGNED” field of the DOE Office of Science Modification of Contract for the modification which initiated the Recovery Act project work for the project code being reported.
<b>Amount of Award</b>	This is the total amount obligated to-date on the contract for Recovery Act project work for the project code (DOE Recovery Act Project Identification Code) being reported.
<b>Government Contracting Office Code</b>	If the Modification of Contract was issued by the DOE Chicago Office, the Contracting Office Code is “00002.”  If the Modification of Contract was issued by the DOE Oak Ridge Office, the Contracting Office Code is “00005.”  Contact the Office of Science Contracting Officer for your project if you do not know the Government Contracting Office Code.

<b>Program Source (TAS)</b>	This is “89-0227” for DOE Office of Science funded project; for projects funded by other DOE offices or by other Federal Agencies, select the appropriate code from the drop-down lists in the “Need Help Finding Award Information?” box of the reporting form.
<b>Sub Account Number for Program Source (TAS)</b>	This is “251” for DOE Office of Science funded Recovery Act awards.
<b>Total Number of Sub Awards to Individuals</b>	This is the aggregate number of first tier subcontracts awarded to an individual in the quarter.
<b>Total Amount of Sub Awards to Individuals</b>	This is the aggregate total dollar amount of first tier subcontracts awarded to an individual in the quarter.
<b>Total Number of Sub Awards less than \$25,000/award</b>	This is the aggregate number of first tier subcontracts valued at less than \$25,000 awarded to a subcontractor in the quarter.
<b>Total Amount of Sub Awards less than \$25,000/award</b>	This is the aggregate total dollar amount of first tier subcontracts valued at less than \$25,000 awarded to a subcontractor in the quarter.
<b>Award Description</b>	<p>Include in this section the information found under Section A in the “14. DESCRIPTION OF AMENDMENT/MODIFICATION” section of the Modification of Contract.</p> <p>Also include the Work Authorization Number and the Work Authorization Title, which can also be found under Section C in the “14. DESCRIPTION OF AMENDMENT/MODIFICATION” section of the Modification of Contract, or on the Work Authorization form in Block 8 and Block 1.a. (Note: The Work Authorization title in this section will satisfy the FAR clause 52.204-11.(d).(4) required entry for program or project title since there is not a separate field for project name or title in the Excel file data entry form.)</p> <p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for guidance for additional information required.</p>
<b>Project Status</b>	Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for guidance and use the drop-down menu options.

<b>Total Federal Amount ARRA Funds Received/Invoiced</b>	This is the amount of Recovery Act funds costed by the contractor to date on project work for the project code (DOE Recovery Act Project Identification Code) being reported.
<b>Number of Jobs</b>	<p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.</p> <p>Report an estimate of the actual number of jobs created and retained at the prime contract level to support or carry out the Recovery Act project work for the project code being reported.</p> <p>Prime contract recipients should not report subcontract jobs for the reports due beginning October 1, 2009, per FAR clause 52.204-11 and OMB guidance.</p> <p>It is anticipated that subcontract reporting requirements for jobs may be in place for the next reporting period beginning January 1, 2010, so contractors should be tracking this information as all quarterly reporting information is cumulative.</p> <p>Prime contract recipients should continue reporting actual prime and sub-contract job numbers to the DOE Office of Science in the required weekly reports.</p>
<b>Description of Jobs Created</b>	Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for guidance.
<b>Quarterly Activities/Project Description</b>	Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.

<p><b>Activity Code (NAICS or NTEE-NPC)</b></p>	<p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.</p> <p>For infrastructure projects the NAICS industry activity code must be reported. For DOE Office of Science Recovery Act projects, the most common industry activity codes for services funded will be Construction (23), Utilities (11), Education Services (56), and Professional, Scientific, and Technical Services (54). A searchable code list can be found at:</p> <p><a href="http://www.census.gov/cgi-bin/sssd/naics/naicsrch?chart=2007">http://www.census.gov/cgi-bin/sssd/naics/naicsrch?chart=2007</a></p> <p>If you do not know the appropriate NAICS, contact the Office of Science Contracting Officer for the project.</p>
<p><b>Primary Place of Performance (Address, etc.)</b></p>	<p>This is often the location/address identified in the “8. NAME AND ADDRESS OF CONTRACTOR” section of the Modification of Contract. For some projects, the primary place where the work is being performed may be a different location.</p>
<p><b>Recipient Highly Compensated Officers</b></p>	<p>Refer to the Recovery Act <i>Recipient Reporting Data Model</i> document for general guidance.</p>