



**AMERICAN REINVESTMENT
AND
RECOVERY ACT (ARRA)**

**ROLES AND
RESPONSIBILITIES**

COMPLIANCE PROCEDURES

**FOR FEDERAL CONTRACTS
and GRANTS**

Effective 11 September 2009

ROLES AND REponsibilities

The flow chart defines roles and responsibilities as they relate to ARRA reporting only!

Compliance Officer

- Ensures that all policies are accurate, thoroughly documented and consistently applied
- Identifies areas of non compliance
- Distributes all information regarding ARRA to the ARRA Reporting Coordinator
- Signs monthly request form for State Fiscal Stabilization Funds “SFSF (**Bill Newton, Acting Finance Director, August 24, 2009 page 7**)
- Ensure information submitted to alabamastimulus@finance.alabama.gov is in sync with the information posted on the university’s recovery web page (**Bill Newton, Acting Finance Director, July 8, 2009 page 6**)
- Submit completed monthly update forms to abamastimulus@finance.alabama.gov (**Bill Newton, Acting Finance Director, July 8, 2009 page 2**)

Coordinator for ARRA

- Distributes all information received from the compliance officer to the respective departments
- Coordinates the completion of any forms to be completed for all ARRA reporting
- Serves as the primary person responsible for uploading information into federalreporting.gov
- Establish an optimal method for detecting and correcting material omissions or significant reporting errors (**M-09-21, June 22, 2009 Section 4**)
 - Control totals (total number of awards subject to reporting agrees to total amount of awards reported) and verify that the reported information matches the established control totals
 - Automated process that identifies incongruous results (Total amount spent on award is greater than or equal to the previous reporting)
- Review data prior to uploading information into federalreporting.gov
- Provides completed and reviewed information as applicable to be signed by the President and Compliance Officer
- Signs Certification to the Governor prior to submitting reports to the federal government (**Bill Newton, Acting Finance Director, July 8, 2009 page 3**)
- Complete monthly request for funds form (**Bill Newton, Acting Finance Director, August 24, 2009 page 2.**) **This information is due on the 10th day of each month beginning November 10, 2009)**
- Complete Detailed Statement of Actual Expenditures **Bill Newton, Acting Finance Director, August 24, 2009 page 2.) This information is due on the 10th day of each month beginning November 10, 2009)**

Alternate User(s)

- Checks for comments on federalreporting.gov during the review period (11th to 21st day of the reporting month)
- Informs ARRA coordinator of comments on federalreporting.gov
- Coordinates and updates responses to comments on federalreporting.gov
- Serves as alternate person to report information during periods of vacation and absences

Contracts & Grants

- Complete financial data for financial reporting
 - Award amount
 - Final report (Yes or No)
 - Amount received
 - Vendor payments less than \$25,000
 - Sub Awards less than \$25,000
 - Vendors and Sub Awards greater than \$25, 000
 - Program Source (Treasury Account Symbol)
 - Award Date (Date award is signed)
 - Agency Code
 - Award Type (Contract or Grant)
 - Project Status (cumulative on a quarterly basis)
 - Contact PI after org account is set up for information on jobs retained/created
- Certify information is accurate and complete

Office of Sponsored Programs

- Provide non-financial data
 - Update list of proposed awards under ARRA funding each month
 - Ensure all ARRA awards are in compliance with Section 1512 ARRA reporting (OSP Database)
 - Ensure PI submit progress reports to OSP not later than the 5th day of each quarter
 - Notify C&G Accounting upon receipt of ARRA awards (note, award does not have to be set up in the OSP Database)
 - Ensure PI submits a quarterly Jobs Created/Retained Form (if applicable).
 - Sign and submit the Jobs Created/Retained Form to HR.

Principle investigator

- Complete jobs created/retained form and submit to the Office of Sponsored programs

Computer Network Services

- Maintain and update recovery webpage
- Establish a data storage area for monthly and quarterly reports
- Protect data storage with a password for each required user (A12345678)

Human Resources

- Provide description of jobs created (M-09-21, June 22, 2009 Section 5)

Budgets/Payroll

- Jobs created/retained (M-09-21, June 22, 2009 Section 5) Please note that the Office of Management and Budgets “OMB” has changed this requirement and stated that created/retained should now be reported as a single number rather than two individual numbers)
 - OMB has further stated that prime recipients should contact the federal agency from who they receive ARRA funds to get clarification on job reporting requirements. (**Bill Newton, Acting Finance Director, August 14, 2009 page 2**) This information can be obtained from www.recovery.gov under the section “**What’s new at Recovery.gov**”; **Agency Guidance on Reporting**
 - Calculate jobs retained/created for State Fiscal Stabilization Funds “SFSF”. This information must be submitted to the Executive Budget Directors Office by the third day of each quarter. (**Bill Newton, Acting Finance Director, August 24, 2009 page 2**) Please note that the guidance says by the 1st day of the quarter but this information has been changed and confirmed by Brent Jones. Refer to handout “**Summary of Institutions’ Reports**” received at the meeting held on August 27, 2009)

Gloria W. Greene

Compliance Officer

UAHuntsville

11 September 2009