



BROADBANDUSA
CONNECTING AMERICA'S COMMUNITIES

BTOP Reporting Guidance

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BTOP Recipient Post-Award Workshop
Herndon, VA
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Agenda

- Overview
- Recovery Act Reporting (ARRA Reporting)
- Federal Financial Reporting (FFR)
- Performance Progress Reporting (PPR)
- Questions





Overview

- Reporting provides an effective way for both the recipient and the Federal government to track and monitor progress made towards financial and programmatic objectives.
- BTOP recipients are responsible for three types of quarterly reporting:
 - American Recovery and Reinvestment Act of 2009 (ARRA).
 - Financial.
 - Performance – Quarterly and Annual.
- The Post-Award Monitoring (PAM) System is the hub for PCC/SBA recipient reporting.
 - All recipient reports, except for ARRA reports, are submitted via PAM.
 - CCI/Infrastructure recipients will only use PAM to submit PPR reports and PAM “Other” Requests.
- CCI/Infrastructure recipients use the Grants Online (GOL) System for ARRA and Federal Financial Reports (FFRs).





ARRA Reporting Overview

- The American Recovery and Reinvestment Act of 2009 (ARRA), a \$787 billion stimulus package designed to renew sustainable long-term economic growth, provides BTOP funding and places specific reporting requirements on all BTOP award recipients.
- Over the first 30 days of each calendar quarter, BTOP recipients are required to draft, review, edit and submit a report on a variety of indicators through the FederalReporting.gov website.
- ARRA requires grant recipient to report on metrics on a wide range of data elements and jobs created or retained by their projects.
- Recipients must provide accurate and precise data, and be ready to justify their metrics and inputs, while Federal Agencies must provide program oversight to verify and validate data quality.

The data reported by BTOP recipients through FederalReporting.gov is available to all citizens via the Recovery.gov website, ensuring transparency and accountability for the use of ARRA funds.





ARRA Reporting Timeline

- BTOP award recipients have to meet Federal reporting requirements each calendar quarter:

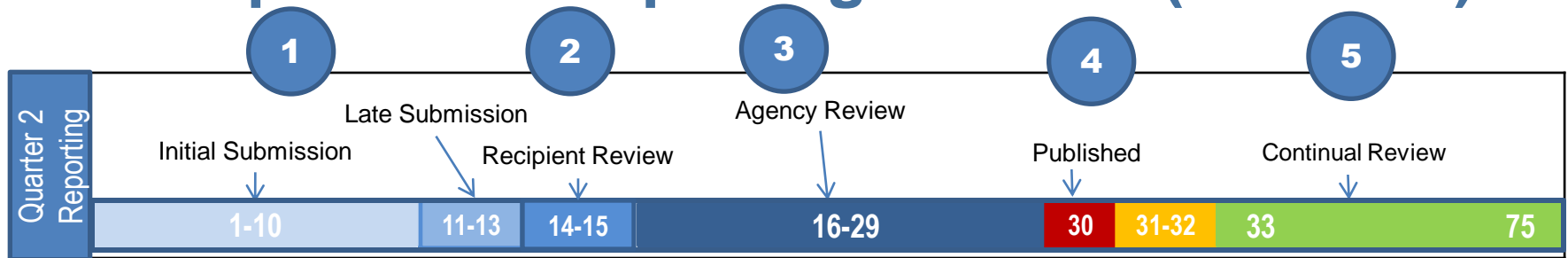
Quarter 1	January 1 – March 31	Quarter 3	July 1 – September 30
Quarter 2	April 1 – June 30	Quarter 4	October 31 – December 31

- While reports will be published 30 days after the end of the reporting quarter, the number of days in each phase of the reporting and review timeline may change from quarter to quarter.
- Please check www.FederalReporting.gov at the beginning of each quarter for the timeline and updated guidelines for that quarter's reporting.





Sample ARRA Reporting Timeline (Oct 2010)

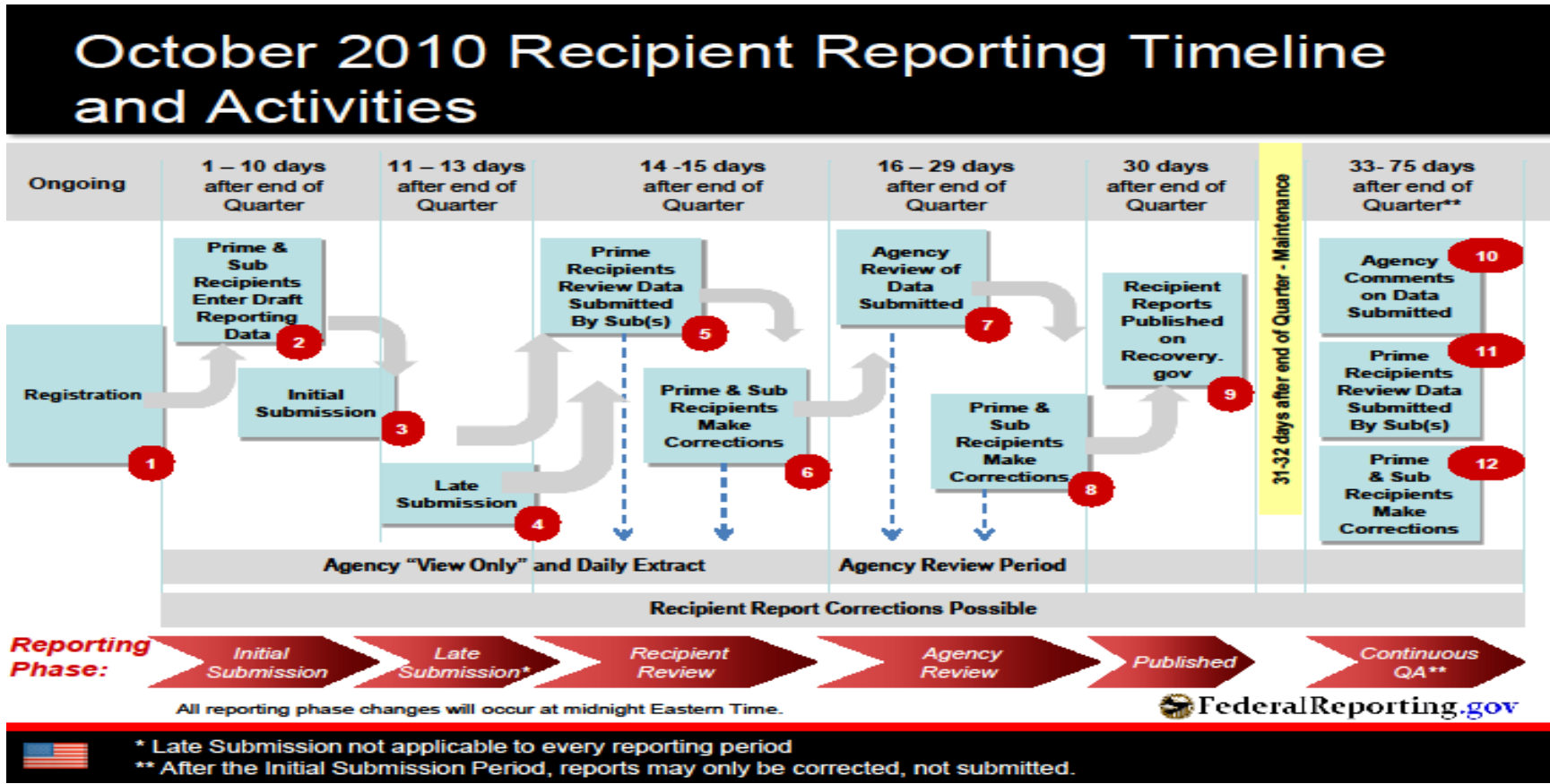


- 1** **Days 1-10:** Submit project data using SF-1512 to www.FederalReporting.gov. Late submission period may apply (Days 11-13 in this case).
- 2** **Days 14-15:** Recipients review data from subrecipients for accuracy; resubmit with revisions.
- 3** **Days 16-29 :** BTOP Grants Offices review data, with support from Program Office; recipients revise and resubmit based on comments.
- 4** **30 days:** Finalize SF-1512; data available for public viewing on Recovery.gov.
- 5** **33 to 75 days:** Agencies comment on recipients' reports; prime recipients and subrecipients correct reports.





Sample ARRA Reporting Timeline (Oct 2010)





ARRA Reporting

- Three methods for submitting ARRA reports:
 - Complete/ upload Excel template.
 - Submit directly through the Web browser.
 - Submit an Extensible Markup Language (XML) file.

Recipient Report: Grant or Loan		Version: 1.6
Prime Recipient		
Reporting Information		
Award Type*	Award Number*	Final Report*
Award Recipient Information		
Recipient DUNS Number*	Recipient Account Number*	Recipient Congressional District*
Award Information		
Funding Agency Code*	Awarding Agency Code*	Award Date*
Amount of Award*	CFDA Number*	
Program Source (TAS)*	Sub Account Number for Program Source (TAS)	
Total Number of Sub Awards to Individuals*	Total Amount of Sub Awards to Individuals*	
Total Number of Payments to Vendors less than \$25,000/award*	Total Amount of Payments to Vendors less than \$25,000/award*	
Total Number of Sub Awards less than \$25,000/award*	Total Amount of Sub Awards less than \$25,000/award*	
Award Description*		





Helpful Resources

- **FederalReporting.gov User Guide:** <https://www.federalreporting.gov/federalreporting/downloads.do>
- **FederalReporting.gov Service Desk** (Phone: 877-508-7386; TTY: 877-881-5186)
- **ARRA Reporting Guidance:**
 - M-10-34, Updated Guidance on the American Recovery and Reinvestment Act
 - (<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2010/m10-34.pdf>)
 - M-10-08, Updated Guidance on the American Recovery and Reinvestment Act – Data Quality, Non-Reporting Recipients, and Reporting of Job Estimates (December 18,2009)
 - www.whitehouse.gov/omb/assets/memoranda_2010/m10-08.pdf
 - M-09-21, Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act
 - www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21.pdf
 - Recipient Reporting Data Model version 4.0
 - <https://www.federalreporting.gov/federalreporting/documentation/Recipient%20Reporting%20Data%20Model%20v4.0.zip>
- **BTOP Recipient Handbook:** www2.ntia.doc.gov/files/BTOP_Recipient_Handbook.pdf





Overview: Federal Financial Reporting

- BTOP recipients are required to prepare and submit a financial report by the 30th day after the end of each reporting quarter (e.g., due dates will be January 30, May 30, July 30, October 30).
- The Federal Financial Reporting process serves four purposes:
 - Provides the opportunity to monitor the use of BTOP funds.
 - Enables monitoring of the overall progress of BTOP awards and review of any internal control issues.
 - Presents financial information to key Federal stakeholders to review total BTOP funding awarded.
 - Supports monitoring of expenditures of BTOP funds to ensure expenditures are consistent with rules governing allowable costs.
- Federal Financial Reporting form **SF-425** provides the reporting template for the process.
 - Provides recipients a standard format for reporting the financial status of their awards.
 - Captures the obligations and disbursements that occurred during the grant period.





FFR Submission – PCC/SBA

- To submit quarterly financial (SF-425 FFR) reports, PCC/SBA recipients should:
 - Log into PAM and create an FFR report package for the relevant reporting period.
 - Download and fill in the FFR template.
 - Upload the completed FFR to PAM and submit it. (This must be done within 30 days of quarter's end).
 - If the FPO returns the FFR report package with a request to make amendments, make the changes and submit the revised FFR.

- Note: More detailed instructions can be found in the PAM User Guide.





FFR Submission – CCI

- To submit quarterly financial (SF-425 FFR) reports, CCI/Infrastructure recipients should:
 - Log into GOL and follow instructions to complete and submit the FFR. (This must be done within 30 days of quarter's end).
 - After reviewing the FFR, the Grants Officer will return the FFR to the report package created for it in Step 1.

- Note: More detailed instructions can be found in the PAM User Guide.





Federal Financial Report: SF- 425

- SF-425 is available for download on the PAM system.
 - CCI/Infrastructure recipients can access the form via GOL.
- If you need more space while filling out the form, please submit supplemental pages.

Reset Form

FEDERAL FINANCIAL REPORT
(Public-Rule Instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)		Page 1 of 1		
3. Recipient Organization (Name and complete address including Zip code)						
4a. OUNID Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Other	7. <input type="checkbox"/> Cash <input type="checkbox"/> Accrual		
8. Project/Grant Period From: (Month, Day, Year)		To: (Month, Day, Year)	9. Reporting Period End Date (Month, Day, Year)			
10. Transactions			Cumulative			
<small>(Use lines a-c for single or multiple grant reporting)</small>						
Recipient Cash: (To report multiple grants, also use FFR Attachments)						
a. Cash Receipts						
b. Cash Disbursements						
c. Cash on Hand (Use a minus sign)						
<small>(Use lines d-o for single grant reporting)</small>						
Recipient Expenditures and Unobligated Balance:						
d. Total Federal funds authorized						
e. Federal share of expenditures						
f. Federal share of anticipated obligations						
g. Total Federal share (sum of lines e and f)						
h. Unobligated balance of Federal funds (Use a minus sign)						
Recipient Share:						
i. Total recipient share reported						
j. Recipient share of expenditures						
k. Recipient share to be provided (Use a minus sign)						
Program Income:						
l. Total Federal program income derived						
m. Program income expensed in accordance with the deduction alternative						
n. Program income expended in accordance with the addition alternative						
o. Unexpended program income (Use a minus sign on line o)						
11. Indirect Expenses						
a. Type	b. Rate	c. Period From	d. Period To	e. Base	f. Amount Charged	g. Federal Share
g. Totals						
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation						
13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)						
14. Typed or Printed Name and Title of Authorized Certifying Official				15. Telephone (Area code, number and extension)		
16. Signature of Authorized Certifying Official				17. Email address		
				18. Date Report Submitted (Month, Day, Year)		
				19. Agency use only		

Standard Form 425
OMB Approval Number 0348-0031
Expires June 30, 2011

Payment Burden Statement
According to the Payment Burden Act, an addendum to persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0031. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0031), Washington, DC 20503.





Recipient First Quarter Reporting Requirements

- Each BTOP award recipient is required to submit two reports by email to its Federal Program Officer and upload to Grants Online (CCI only) no later than 30 and 45 days after the first award quarter ends. For Round 2 awardees, the following first quarter reports are due:
 - Quarter 1 Narrative due October 30, 2010.
 - Baseline Report due November 15, 2010.
- **Quarter 1 Narrative**
 - Use of federal assistance during the quarter.
 - Progress in fulfilling the objectives for which the funds were granted.
 - The report will be made publicly available.
- **Baseline Report**
 - All BTOP awardees submitted a project baseline with their application.
 - This is an opportunity to update the project **milestones** and **key indicators** that may have changed as a result of federal bidding requirements, special award conditions, new information or other events.
 - The report is confidential, except as required by law.





Quarter 1 Report and Baseline Report Overview

■ Quarter 1 Report

- Includes a performance narrative of Q1 activities and performance *projections* for Q2 activities.
- Describe in report: Federal expenditures to date, key milestones and primary activities needed to accomplish milestones, significant project accomplishments, and delays or challenges. Use milestone categories in Baseline Report to structure answers.

■ Baseline Report

- Details key outputs and outcomes from the project on a quarter by quarter basis.
- Indicates how milestones and key indicators may have changed since the application as a result of special award conditions, new information, or other events.

■ Submission Directions

- PCC or SBA recipients should email the Quarter 1 Report and Baseline Report to the assigned FPO on the 30th day and 45th day, respectively, after the end of the recipient's first quarter of the award period.
- CCI recipients should upload the Quarter 1 Report and Baseline Report to GOL and email to the assigned FPO on the 30th day and 45th day, respectively, after the end of the recipient's first quarter of the award period.





Baseline Report

- The Baseline Report is a fillable Excel spreadsheet.
- The form is available for download on the PAM system.

INFRASTRUCTURE MILESTONE CATEGORIES													
<small>All projects must be fully completed no later than three years following the date of the issuance of the award. Please use the table provided to indicate your anticipated percentage of completion by quarter for each of the three years of your project. The percentage should be based primarily on the expenditure of your project budget and should be reported cumulatively from award inception through the end of the each quarter. Year One begins with your award start date. Please also provide a brief description (100 words or less) of the primary activities involved in meeting each milestone (a single description should be provided for each milestone, covering all quarters in years one through three). Please write "N/A" if your project does not include this activity. If necessary, please insert additional milestones you may have at the bottom of the chart.</small>													
MILESTONE CATEGORIES	YEAR 1				YEAR 2				YEAR 3				Primary Activities
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
1. Overall Project													
2. Environmental Assessment													
3. Network Design													
4. Rights Of Way													
5. Construction Permits And Other Approvals													
6. Site Preparation													
7. Equipment Procurement													
8. Network Build (all components - owned, leased, IRU, etc.)													
9. Equipment Deployment													
10. Network Testing													
11. Other (please specify):													





Performance Progress Report

- After the first quarter, the recipient will respond to a **quarterly set of questions at the end of every quarter, and an annual set of questions at the end of each calendar year** during the grant period of performance.
- Performance Progress Reports focus on the following **Project Indicators and Budget Execution Details:**
 - **CCI:** Milestones, challenges/issues, network miles deployed, new towers constructed, subscribers passed and served, community anchor institutions served; wholesale/broadband provider agreements, planned next quarter accomplishments, actual and anticipated budget costs, program income.
 - **PCC:** Milestones, challenges/issues, average number of users per week, training provided, equipment deployed, new workstations installed and available to the public; actual and anticipated budget costs.
 - **SBA:** Milestones, challenges/issues, awareness campaigns, outreach activities, training provided, and broadband subscription rates.





Performance Progress Report: Narrative

- The Narrative Report is a fillable PDF
- The form is available for download on the PAM system

1. Recipient Organization (Name and complete address including zip code)	2. Award Identification Number
<p>3. Performance Narrative (Q1) Please describe your project activities and progress for the first quarter of 2010. This should include a description of federal expenditures to date, key milestones, the primary activities needed to accomplish those milestones, significant project accomplishments, and any delays or challenges. Please use the milestone categories provided in your baseline report (e.g., environmental assessment, design, rights of way) to structure your answer. (500 words or less)</p>	
<p>4. Performance Projections (Q2) Please describe your anticipated project activities and progress for the next quarter. This should include a description of federal expenditures, key milestones, the primary activities needed to accomplish those milestones, significant project accomplishments, and any potential delays or challenges you foresee. Please use the milestone categories provided in your baseline report (e.g., environmental assessment, design, rights of way) to structure your answer. (500 words or less)</p>	
<p>5. Certification: I certify to the best of my knowledge and belief that this report is correct and complete for performance of activities for the purposes set forth in the award documents.</p>	
5a. Typed or Printed Name and Title of Authorized Certifying Official	5c. Telephone (area code, number and extension)
	5d. Email Address
5b. Signature of Authorized Certifying Official	5e. Date Report Submitted (Month, Day, Year)





Recurring PPR: General Information

- Requires award identifying information (e.g. DUNS, EIN, Recipient Name).
- Most information found in CD-450.
- The quarterly PPR is a fillable PDF.
- The form is available for download on the PAM System.

General Information				
		Page	of	Pages
1. Federal Agency and Organization Element to Which Report is Submitted	2. Award Identification Number	3a. DUNS Number		
		3b. EIN		
4. Recipient Organization (Name and complete address including county, congressional district, and zip code)				





Key Milestones – Current Quarter

1. Project Accomplishments – Narrative
2. Milestone Completion

2. Please provide the percent complete for the following key milestones in your project. Write "N/A" in the second column if your project does not include this activity. If you provided additional milestones in your baseline plan, please insert them at the bottom of the table. Unless otherwise indicated in the instructions, figures should be reported cumulatively from award inception to the end of the most recent reporting quarter. Please provide a narrative description if the percent complete is different from the target provided in your baseline plan (100 words or less).

	Milestone	Percent Complete	Narrative (describe your reasons for any variance from the baseline plan or any other relevant information)
2.a.	Overall Project		
2.b.	Equipment / Supply Purchases		
2.c.	Public Computer Centers Established		
2.d.	Public Computer Centers Improved		
2.e.	New Workstations Installed		
2.f.	Existing Workstations Upgraded		
2.g.	Outreach Activities		
2.h.	Training Programs		
2.i.	Other (please specify):		

3. Challenges – Narrative





Key Indicators – Current Quarter

4. Please provide actual total numbers to date or typical averages for the following key indicators, as specified in the question. Write "N/A" in the second column if your project does not include this activity. Unless otherwise indicated in the instructions, figures should be reported cumulatively from award inception to the end of the most recent reporting quarter. Please provide a narrative description if the total is different from the target provided in your baseline plan (100 words or less).

	Indicator	Total	Narrative (describe your reasons for any variance from the baseline plan or any other relevant information)
4.a.	New workstations installed and available to the public		
4.b.	Average users per week		
4.c.	Upgraded broadband connectivity at PCC		
4.d.	Establish broadband wireless connectivity at PCC		
4.e.	Number of additional hours per week an existing PCC is open to the public as a result of BTOP funds		





Key Milestones – Next Quarter

1. Planned Project Accomplishments – Narrative
2. Anticipated Milestone Completion

2. Please provide the percent complete anticipated for the following key milestones in your project as of the end of the next quarter. Write "N/A" in the second column if your project does not include this activity. Unless otherwise indicated in the instructions, figures should be reported cumulatively from award inception to the end of the most recent reporting quarter. Please provide a narrative description if the planned percent complete is different from the target provided in your baseline plan (100 words or less).

	Milestone	Planned Percent Complete	Narrative (describe reasons for any variance from baseline plan or any relevant information)
2.a.	Overall Project		
2.b.	Equipment / Supply Purchases		
2.c.	Public Computer Centers Established		
2.d.	Public Computer Centers Improved		
2.e.	New Workstations Installed		
2.f.	Existing Workstations Upgraded		
2.g.	Outreach Activities		
2.h.	Training Programs		
2.i.	Other (please specify):		

3. Anticipated Challenges – Narrative





Performance Progress Report: Tips

- **Instructions:** Please make sure to review in detail all provided instructions before and during report completion.
- **Completeness:** All report fields should have data or narrative in them, as appropriate.
- **Consistency of Reported Data:** When filling out the performance reports, please ensure that the data provided is consistent with previously submitted reports.
- **Project Changes and Notifying the Program Office:** Material changes must be approved by the Program Office before documented in reporting documents.
- **Public Reporting Implications:** Note that PPRs and APRs will be publicly available on the NTIA BTOP website – only the Baselines will be kept confidential.





Failure to Meet Reporting Requirements

- If a recipient does not file by the reporting deadline, DOC may consider them non-compliant and take appropriate enforcement actions in accordance with standards DOC grants policy, including but not limited to:
 - Noting recipient's failure to comply with reporting requirements in the recipients performance record.
 - Increasing award monitoring regarding reporting, such as requiring frequent progress reports.
 - Withholding award payments until the recipient becomes compliant with reporting requirements.
 - Formally elevating the failure to perform in accordance with the grant terms and conditions within the recipient's organization or company.
 - When determined appropriate (e.g., repeat non-compliance with reporting requirements) initiating award termination procedures.

- If a recipient is non-compliant for two or more consecutive reporting period, DOC will require the recipient to take a series of remediation steps, including providing a list of reasons for non-compliance to-date and steps the recipients will take to reach compliance the following quarter.





Questions?

