

Connecticut Department of Environmental Protection

Quality Assurance Plan for Federal Quarterly Reports Submitted Pursuant to Section 1512 of the American Recovery and Reinvestment Act of 2009



State of Connecticut

Department of Environmental Protection

79 Elm Street

Hartford, CT 06106-5127

<http://www.ct.gov/dep/recovery>

September 30, 2009

Purpose

The purpose of this plan is to create a framework that will be used by the Connecticut Department of Environmental Protection (DEP) when collecting and reviewing data required to be reported pursuant to Section 1512 of the American Recovery and Reinvestment Act of 2009. Reports are to be submitted by DEP when DEP is the Prime Recipient of American Recovery and Reinvestment Act of 2009 (ARRA) funds.

Background

DEP is the Prime Recipient of ARRA funding that was received from multiple federal agencies. The following table summarizes the funding that has been received by DEP and is accurate as of September 30, 2009.

| Program or Project | Funding Agency | Grant Award |
|---|------------------------------------|---------------------|
| Clean Water State Revolving Fund | US Environmental Protection Agency | \$48,010,300 |
| 604b Water Quality Planning (1% Clean Water SRF) | US Environmental Protection Agency | \$485,000 |
| Diesel Emissions Reduction Act | US Environmental Protection Agency | \$1,730,000 |
| Leaking Underground Storage Tanks | US Environmental Protection Agency | \$2,000,000 |
| Tingue Dam Bypass Channel | Department of Commerce / NOAA | \$2,500,000 |
| | Total ARRA Funds | \$54,725,300 |

DEP is responsible for submitting quarterly reports for the five ARRA grants above. These reports consist of three spreadsheets that are divided by the following categories: Prime Recipient, Sub Recipient and Vendor. DEP is the Prime Recipient of the ARRA grants listed above. Sub Recipients are those that receive ARRA funding from DEP. Vendors are those that perform work on an ARRA-funded project at the request of either the Prime Recipient or the Sub Recipient.

Although permitted by federal guidance on reporting, DEP will not permit any Sub Recipients to directly report.

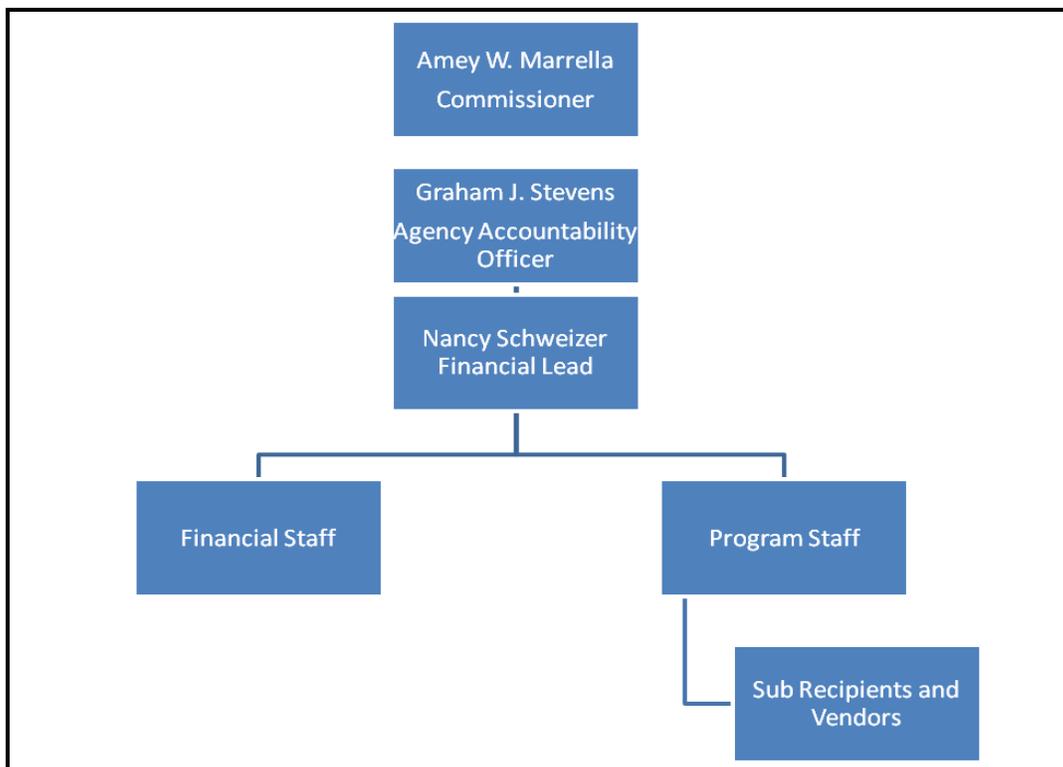
Quarterly federal reports will be submitted through the website www.federalreporting.gov

Management and Organization

ARRA projects are managed at various levels within the DEP. Program staff manage the project on a day-to-day basis. Financial staff manage the funds received pursuant to ARRA grants. Ultimate responsibility for ARRA projects rests with the Commissioner Amey W. Marrella. However, pursuant to Executive Order No. 25 issued by Governor M. Jodi Rell, each agency must appoint an Agency Accountability Officer. These Agency Accountability Officers are responsible for ensuring that:

- all funds received by their agency pursuant to ARRA are spent in a manner that complies with the requirements of ARRA;
- their agency creates and maintains a web page on the agency's activities pursuant to ARRA;
- their agency completes all reports required by ARRA in a complete and timely manner;
- their agency reports all activity related to ARRA, including certifications, applications for funds, applications for discretionary or competitive grants, receipt of funds, use of funds and filing of reports, to the State Accountability Officer and the State Transparency Officer within 24 hours of any such activity;
- their agency shall notify the Stimulus Project Oversight Officer within 48 hours of the commencement of any infrastructure project; and
- their agency presents a complete report of all agency activity related to ARRA to the State Accountability Officer and the State Transparency Officer within 72 hours of the end of each month.

The following organizational charts show the hierarchy of responsibility for management of ARRA funds and projects and interaction with Sub Recipients and Vendors.



Federal Quarterly Report Responsibilities

Federal Quarterly Reports must report on financial activity pertaining to ARRA funds, activity relative to projects funded with ARRA funds, and outcomes of ARRA funds (e.g., jobs created or retained). Using the organizational chart above, responsibilities were determined for collecting each data element on the federal quarterly report. Attachment A (**Breakdown of Responsibilities for Federal Quarterly Reports**) divides responsibilities for data elements between DEP (the Prime Recipient) and the Sub Recipients. In the case where there is no Sub Recipient, all responsibilities fall to the DEP. Within DEP's responsibilities, there is a further division of responsibilities between DEP Financial Staff and DEP Program Staff. Attachment A identifies the party responsibility for entering each data element. In addition, Attachment A identifies what data elements are to be reviewed and by whom.

As shown in the organizational chart above, DEP Program Staff are the primary point of contact for Sub Recipients and Vendors. Each data element that must be supplied by a Sub Recipient is identified in Attachment A. DEP Program Staff are responsible for collecting this information from Sub Recipients. Sub Recipients are responsible for collecting all needed information from their vendors and verifying its accuracy.

Once all data elements have been collected and reviewed by DEP Financial Staff, DEP Program Staff or the Sub Recipient, as applicable, the draft reports will be generated. These draft reports and all documentation necessary to support these draft reports will be reviewed by DEP's ARRA Financial Lead and DEP's Agency Accountability Officer. If additional documentation is needed, or errors are found, DEP's Agency Accountability Officer will work with the appropriate party to correct such errors or collect supplemental information.

Upon approval of the draft reports by DEP's ARRA Financial Lead and DEP's Agency Accountability Officer, the draft reports will be reviewed by to a party not familiar with the details of DEP's ARRA funds or ARRA projects. Ambiguities or errors will once again be corrected.

The final reports will be discussed with the Commissioner. After the Commissioner has deemed the reports acceptable, DEP's ARRA Financial Lead will submit the reports through the website www.federalreporting.gov. The reports will be submitted only by DEP's ARRA Financial Lead.

Paper and electronic copies of all reports and supporting documentation will be filed by the DEP's Agency Accountability Officer.

Breakdown of Responsibilities for Federal Quarterly Reports

Department of Environmental Protection Responsibilities

DEP FINANCIAL STAFF

1. DATA ELEMENTS TO BE ENTERED BY DEP FINANCIAL STAFF

Prime Recipient - Reporting Information

- Award Type
- Award Number
- Final Report
- Recipient DUNS Number
- Recipient Account Number
- Recipient Congressional District

Prime Recipient - Award Information

- Funding Agency Code
- Awarding Agency Code
- Award Date
- Amount of Award
- CFDA Number
- Program Source (TAS)
- Sub Account Number for Program Sources (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

Prime Recipient - Project Information

- Total Federal Amount ARRA Funds Received/Invoiced
- Total Federal Amount of ARRA Expenditures
- Total Federal ARRA Infrastructure Expenditures ‡

Prime Recipient - Recipient Highly Compensated Officers

- Prime Recipient Indication of Reporting Applicability
- Officer Name (1-5)
- Officer Compensation (1-5)

Sub Recipient – Reporting Information

- Award Type
- Award Number
- Recipient DUNS Number

2. DATA ELEMENTS FROM SUB RECIPIENT TO BE REVIEWED BY DEP FINANCIAL STAFF

Sub Recipient – Sub Recipient Information

- Sub Recipient DUNS Number
- Sub Award Number
- Sub Recipient Congressional District

Sub Recipient – Sub Award Information

- Amount of Sub Award
- Total Sub Award Funds Disbursed
- Sub Award Date

Sub Recipient – Sub Recipient Highly Compensated Officers

- Sub Recipient Indication of Reporting Applicability
- Officer 1 Name
- Officer 1 Compensation
- Officer 2 Name
- Officer 2 Compensation
- Officer 3 Name
- Officer 3 Compensation
- Officer 4 Name
- Officer 4 Compensation
- Officer 5 Name
- Officer 5 Compensation

Breakdown of Responsibilities for Federal Quarterly Report

Department of Environmental Protection Responsibilities

DEP PROGRAM STAFF

1. DATA ELEMENTS TO BE ENTERED BY DEP PROGRAM STAFF

Prime Recipient - Award Information

- Award Description

Prime Recipient - Project Information

- Project Name or Project/Program Title
- Project Status
- Activity Code (NAICS or NTEE-NPC)
- Infrastructure Contact Name
- Infrastructure Contact Email
- Infrastructure Contact Phone
- Infrastructure Contact Phone Ext
- Infrastructure Contact Street Address 1
- Infrastructure Contact Street Address 2
- Infrastructure Contact Street Address 3
- Infrastructure City
- Infrastructure State
- Infrastructure ZIP Code+4
- Infrastructure Purpose and Rationale

Prime Recipient - Primary Place of Performance

- Street Address 1
- Street Address 2
- Street Address 3
- City
- State
- ZIP Code+4
- Congressional District
- Country

2. DATA ELEMENTS TO BE ENTERED BY DEP PROGRAM STAFF WITH SUB RECIPIENT REVIEW

Prime Recipient - Project Information

- Project Status
- Activity Code (NAICS or NTEE-NPC)
- Infrastructure Purpose and Rationale

3. DATA ELEMENTS FROM SUB RECIPIENT TO BE REVIEWED BY DEP PROGRAM STAFF

Prime Recipient - Project Information

- Number of Jobs
- Description of Jobs Created
- Quarterly Activities/Project Description

Sub Recipient – Sub Recipient Place of Performance

- Street Address 1
- Street Address 2
- Street Address 3
- City
- State
- ZIP Code+4
- Congressional District
- Country

Breakdown of Responsibilities for Federal Quarterly Report

Sub Recipient Responsibilities

1. DATA ELEMENTS TO BE ENTERED BY SUB RECIPIENT

Prime Recipient - Project Information

- Number of Jobs
- Description of Jobs Created
- Quarterly Activities/Project Description

Sub Recipient – Sub Recipient Information

- Sub Recipient DUNS Number
- Sub Award Number
- Sub Recipient Congressional District

Sub Recipient – Sub Award Information

- Amount of Sub Award
- Total Sub Award Funds Disbursed
- Sub Award Date

Sub Recipient – Sub Recipient Place of Performance

- Street Address 1
- Street Address 2
- Street Address 3
- City
- State
- ZIP Code+4
- Congressional District
- Country

Sub Recipient – Sub Recipient Highly Compensated Officers

- Sub Recipient Indication of Reporting Applicability
- Officer 1 Name
- Officer 1 Compensation
- Officer 2 Name

- Officer 2 Compensation
- Officer 3 Name
- Officer 3 Compensation
- Officer 4 Name
- Officer 4 Compensation
- Officer 5 Name
- Officer 5 Compensation

4. DATA ELEMENTS FROM DEP TO BE REVIEWED BY SUB RECIPIENT

Prime Recipient - Project Information

- Project Status
- Activity Code (NAICS or NTEE-NPC)
- Infrastructure Purpose and Rationale
- Total Federal Amount of ARRA Expenditures
- Total Federal ARRA Infrastructure Expenditures