



# ARRA GUIDANCE UPDATE DECEMBER 31, 2009



AlabamaStimulus@finance.alabama.gov

(334) 242-7160

## ***Certification to the Governor* requirement**

As agencies and institutions enter the second quarterly reporting period, it is important to remember that the *Certification to the Governor* forms (blank copy attached to this e-mail) **must** be submitted for each grant and/or program managed. Please send these forms to [alabamastimulus@finance.alabama.gov](mailto:alabamastimulus@finance.alabama.gov) **prior** to sending ARRA reports to the federal government.

Please note that if the certifying official manages multiple grants or programs, that official may submit a single certification for all grants or programs, rather than completing multiple, individual certifications. The single certification form must include the name of each grant or program that is being certified and contain all appropriate signatures (please see pages 2 - 3 of this guidance for an example of a Certification form that incorporates multiple grants and programs).

The certification ensures the data submitted by state agencies and institutions to the federal government is timely and accurate, and that it meets all requirements. Further information regarding the *Certification to the Governor* may be found on page 3 of the Third Guidance from the Finance Director's office, dated July 8, 2009.

## **Change made to FederalReporting.gov "hard edit" checklist**

FederalReporting.gov moved the field for Total FED ARRA Expended vs. Invoiced from the checklist of "hard edits" to "soft edits." The system now permits reports to contain an amount expended that is greater than the amount received/invoiced. The system will still provide a "pop up" warning notification to the reporter that the amount expended is greater than the amount received/invoiced, but this will not prevent the report from being submitted.

## **Updated GAO progress report**

The General Accounting Office (GAO) has released its fourth report addressing the use of ARRA funds by certain states and localities, as well as the approaches taken to ensure accountability of these funds. Although Alabama was not one of the states selected, the reports give a thorough description of how neighboring states are managing some of the largest grants and programs, including FMAP, Highway Infrastructure and Stabilization Funds. The report updates the status of efforts by agencies to implement prior recommendations, but does not include new recommendations. To view the report, visit <http://www.gao.gov/new.items/d10231.pdf>.

# Example of Certification Form with Multiple Grants

## AGENCY'S CERTIFICATION TO THE GOVERNOR AS TO RECOVERY ACT REQUIREMENTS

On behalf of the entity named below, I certify to the Governor of the State of Alabama that American Recovery and Reinvestment Act ("Recovery Act") funds accepted and disbursed by:

Alabama Department of Education

*(State agency/institution, Recipient or Sub-recipient name here)*

will be spent as responsibly and effectively as possible in accordance with the purposes specified in the Recovery program/grant, with the appropriate controls and reporting mechanisms to ensure accountability and transparency in compliance with the Recovery Act. I understand that the Governor has certified to the Federal government that Recovery funds received for Recovery program/grant(s) will be used in a manner appropriate for taxpayer dollars. I am aware that this entity may not accept any portion of Recovery funds unless this certification is made to the Governor. I am also aware that a failure to submit required reports in the manner required by the Federal government may result in the loss of this entity's ability to expend said Recovery funds. A copy of this certification shall be placed on file with the Office of the Governor.

In addition, I certify that:

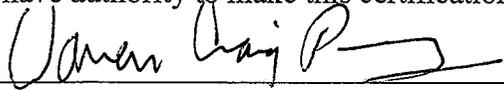
- (1) The information submitted to the Federal government covered by this certification is reported clearly, completely, accurately, and in a timely manner.
- (2) I understand that this entity may be delegated the responsibility for complying with reporting requirements in accordance with Section 1512(c) of the Recovery Act, and other federal guidance for the Recovery program/grants listed below. If applicable, this entity will comply with the reporting requirements of sections 1511, and 1512(c) of the Recovery Act and all regulations or requirements by Federal agencies or Congress pertaining thereto.
- (3) Any use of Recovery funds for infrastructure by this entity is an appropriate use of taxpayer dollars and has received the full review and vetting required by law.
- (4) The funds are intended to be used for the stated purposes with the estimated total cost and the amount of covered funds to be posted on the website [www.Stimulus.Alabama.gov](http://www.Stimulus.Alabama.gov).
- (5) I understand that use of Recovery funds by this entity must comply with any requirement for an environmental review under the National Environmental Policy Act.
- (6) I understand that a State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted.
- (7) This entity will comply with the grant or contract specific, state or federal requirements for these Recovery funds.
- (8) This entity will identify risks and internal controls will be implemented which are expected to be sufficient to mitigate the risk of waste, fraud, and abuse.

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(9) I acknowledge that a false statement in this certification may be subject to criminal prosecution, including under 18 U.S.C. §1001.

(10) I also acknowledge that said entity grants or contracts, including certifications provided in connection with such grants, are subject to audit and review by the State Agency or its auditors or investigators and the Examiner of Public Accounts.

I have authority to make this certification on behalf of the applicant entity.



Signature of Certifying Official

Warren Craig Pouncey

Printed Name of Certifying Official

Assistant State Superintendent of Education

Title of Certifying Official

Alabama Department of Education

Name of Entity

84.389 Title I Grants to LEAs, Recovery Act  
84.386 Education Technology State Grants, Recovery Act  
10.568 CAP Recovery Act - TEFAP ADMIN  
84.387...Education for Homeless Children and Youth, Recovery Act  
84.391 Special Education – Grants to States, Recovery Act/ State Grants  
84.392...Special Education – Preschool Grants, Recovery Act/ Part B/ Preschool  
10.579 Child Nutrition Recovery Act - CNP RA - NSLP EQUIPMENT

Recovery program/grant(s)  
Section 1512 Reporting

Name of Report submitted to Federal Government

October 9, 2009

Date