



DATE: September 30, 2009

POLICY: ARRA Data Quality Plan

PURPOSE: To ensure compliance with Section 1512 of the American Recovery and Reinvestment Act of 2009 (ARRA) and Office of Management and Budget (“OMB”) guidance regarding Recipient Reporting Requirements.

STATEMENT:

**ARRA Report Preparation and Institutional Review/Approval:**

1. The Office for Sponsored Programs (“OSP”) has responsibility for administering and reporting on all Federal funds, including ARRA awards.
2. The current ARRA Recipient Reporting Requirements are available via [www.federalreporting.gov](http://www.federalreporting.gov) and are reviewed regularly to ensure UCONN is always using the up-to-date version and collecting all required data elements.
3. Upon receipt of an ARRA award, the OSP Grant Manager (“GM”) awards the proposal in the InfoEd system. This triggers the award to be entered into the UCONN ARRA database.
4. Upon entering the UCONN ARRA database, the award is reviewed by the ARRA Data Analyst using the Notice of Grant Award to ensure valid award data (including, but not limited to, award dates, award number, and funding/awarding agency codes.)
5. Following the Data Analyst review, the award is made available to the Responsible Party and OSP GM for their reviews. These reviews are done via the UCONN ARRA web application where all changes made to the data are date stamped and logged with the user’s NetID.
6. The Responsible Party and OSP GM are required to complete an Initial Review (at the time of the award due by the last day of the quarter in which the award was received) and then Quarterly Reviews (due by the last day of the quarter.) At a minimum, OSP GM approval is required; however, standard practice for the review process may include approval by the Responsible Party followed by the OSP GM.

7. In concurrence with the PI and OSP GM review, awards with subrecipients are reviewed by the Contracts Specialist. The Contracts Specialist coordinates data collection (both Initial and Quarterly) from all required ARRA subrecipients and reviews data upon receipt.
8. In addition, the Federal ARRA draw-down requests are reviewed and logged by Cash Management staff to ensure accurate reporting of cash receipts.
9. All of the approved data, which is logged and tracked in the UCONN ARRA database, is combined with monthly and quarterly systems data to compile the requisite monthly State of Connecticut and quarterly Federal reports. These reports are compiled and reviewed by the ARRA Data Analyst and then submitted to the appropriate agency.
10. Pursuant to the OMB's 21-day allowance, adjustments to the respective ARRA Quarterly report will be made by an OSP GM or the ARRA Data Analyst and reviewed by the Executive Director and Assistant Vice Provost for Research.
11. Errors/Omissions shall be logged, noted and, if avoidable, corrective action shall be taken.

**Data Validation:** Data validation shall include built in system/template controls (e.g., formulas, field length, format, etc.); source documents (e.g., the Notice of Grant Award for Project Name, Award Number, etc.); initial and quarterly OSP GM and PI review and approval; as well as verification against the funding agency's publicly reported data, (e.g., <http://report.nih.gov/recovery>, <http://www.research.gov>).

**Record Keeping:** Source documentation, e.g., Notices of Grant Award and financial status reports, error/omission logs, and documentation of institutional review/approval of ARRA Quarterly reports shall be maintained by OSP and made available to University, Federal and State auditors.