FTA 5311 Recovery Act

Reporting Requirements

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FTA 5311 Recovery Act
Reporting Requirements

Promote and Assure:

- Accountability
- Transparency
- Consistency with Recovery Act Goals (Job Creation, Economic Stimulus, etc.)

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Reporting Authorities:

- Federal Transit Administration (FTA)
- House Transportation & Infrastructure Committee (Chairman Oberstar)
- Other interested Federal and State agencies (OMB, GAO, LAO, DOF, etc.)
- Caltrans Directorate
- New Governor's Task Force

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- As the FTA 5311 Grantee, Caltrans is responsible for:
  - Gathering and compiling report data from all Sub-recipients; and
  - Providing report data to all federal and state reporting agencies.

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- **How Often?**

  Sub-recipients must submit monthly reports by the 10th of the month (to include data from the previous month), beginning with the first month after fund obligation and encumbrance of funds (executed Standard Agreement).

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- **Information required for all reports is derived from specific parts of the Recovery Act:**
  - Periodic Grantee Reports (ARRA Sec. 1201 (c)) (Transportation Recipients)
  - Quarterly Grantee Reports (ARRA Sec. 1512 (c)) (All ARRA recipients)

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- **1201(c) – Periodic Grantee Reports (Transportation Recipients Only)**
  - First report was due to FTA from Caltrans on May 18, 2009 (period ending April 30, 2009).
  - Four subsequent reports due August 16, 2009, February 17, 2010, February 17, 2011, and February 17, 2012, for cumulative periods ending in months preceding due dates.

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- **1201(c) – Caltrans must report aggregate data for all Sub-recipients:**
  1. Obligations (Encumbrances) and outlays (Expenditures);
  2. Numbers of projects at various stages of implementation (out to bid, under contract, underway, % completed);
  3. Recovery Act dollars associated with those projects;

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- **1201(c) – Periodic Grantee Reports**

  4. Number of Direct jobs created or retained by the Recovery Act projects.

  5. Number of hours for direct on-project and on-site jobs related to Recovery Act funding.

  6. <u>Note: Indirect jobs and indirect job hours do not have to be reported by Sub-recipients.</u>

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- **1512(c) Reports – Quarterly Grantee Reports – (All grant recipients)**

1. Government-wide ARRA requirement. OMB-established rules and guidelines.

2. First report due October 10, 2009 (postponed from July 10, 2009, by Office of Management and Budget (OMB), then each succeeding quarter.

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- **1512(c) Reports – Quarterly Reports**

3. Requires Caltrans (Grantee) to report detailed information for each project and sub-awardee (Sub-recipients and first tier contractors).

4. First tier contractors and sub-recipients must have Data Universal Numbering System (DUNS) number and register with Central Contractor Registration (CCR).

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- **1512(c) Reports – Quarterly Reports**

5. All Sub-recipients' Contractors and Vendors are required to have a Data Universal Numbering System (DUNS) number and register with Central Contractor Registration (CCR).

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Some Words about:

- **DUNS and CCR numbers**

  all Sub-recipients and first-tier contractors must have them. Register for DUNS at

  http://www.dnb.com/US/duns_update/

  Register for CCR at: http://www.ccr.gov/
- Caltrans will require registration for Sub-recipient contractors.

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Good News about **Jobs!:**

- Reports must cover **direct** jobs created and **direct** jobs retained.
- **Direct** jobs should be reported along with **direct job hours**.
- **Indirect** jobs and hours will be calculated by FTA using formulas derived from a direct job data model

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Direct Jobs??

- An example of a **direct job** is a worker employed to construct a facility or to maintain equipment on-site whose time is charged directly to the project.
- In the case of a transit vehicle purchase, **direct job hours** would be the time spent by the grant recipient's employees in preparing specifications or conducting the procurement, if this time is charged to the ARRA grant.

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Indirect Jobs/Induced Jobs???

- An example of an **indirect job** is a worker who makes the steel or other construction materials used at the project site, or who manufactures a bus purchased by a transit authority using ARRA funds. These indirect jobs are not charged directly to the project but are embedded in materials costs.

- An example of an **induced job** is a fast food worker who sells lunches to your workers

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Indirect Jobs /Induced Jobs???

- DOT will calculate indirect and induced job hours from the data you provide on direct jobs and overall expenditures.
- Also, you do not need to distinguish between jobs created and jobs retained.

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Separate Funds = Separate Reporting!

- Only one report for the 5311 Program would be required from a grantee receiving both 5311 formula funds and a discretionary grant like TIGGER.

- Three reports would be required from a Transit agency receiving 5311, 5307, and 5309.

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Some Words About the House Transportation and Infrastructure Committee

- Transparency & Accountability Report to Congress
- Amalgam of information requested by Secs. 1201 and 1512
- Cumulative Reports Due Monthly on the 15th (Data Reported Thru the Previous Month)

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Further References:

- **Caltrans**
  http://www.dot.ca.gov/hq/MassTrans/ARRA-new.html

- **FTA**
  http://www.fta.dot.gov/index_9440_9327.html#Reporting

- **House T & I Committee**
  http://transportation.house.gov/singlepages/singlepages.aspx?NewsID=852

ARRA QUARTERLY REPORT (Job Status) _____(enter date)

							Job Status (House T & I Committee & Sec. 1201 (2)c and 1512)				
Recipient Name	**>$25m gross revenue from federal awards? >80% of gross revenue from Federal awards****	**DUNS #**	**CCR #**	**County/Region**	**CT District**	**Project Description (Sec. 1512)**	Grant Award ($) (Sec. 1512)	Direct Jobs Created/ Retained (since 2/17)	Indirect Jobs Created/ Retained (since 2/17)	Job Hours Created/ Retained by ARRA funds (T & I)	Payroll of Job Hours Created/ Retained by ARRA Funds (T & I)

NOTES

Section 1512 Reports on Use of Funds are due to FTA no later than 10 days after the end of each calendar quarter (7/10/09, 10/9/09, 1/8/10, 4/9/10, 7/9/10, etc.)

Section 1201 (2)c. Periodic Reports are submitted at 90-day intervals beginning 90 days from the enactment of ARRA. The first report, therefore, is due 5/18/09, then 8/14/09, 11/12/09, 2/10/10, 5/9/10, etc.

**If answers to both questions are yes, "total compensation of the five most highly compensated officers" may have to be provided. This must be reported if, "…the public does not have access to information about the compensation of the senior executives through periodic reports filed under…the Securities and Exchange Act of 1934.

ARRA QUARTERLY REPORT (Job Status) _____(enter date)

Job Status (House T & I Committee & Sec. 1201 (2)c and 1512)				
Grant Award ($) (Sec. 1512)	Direct Jobs Created/ Retained (since 2/17)	Indirect Jobs Created/ Retained (since 2/17)	Job Hours Created/ Retained by ARRA funds (T & I)	Payroll of Job Hours Created/ Retained by ARRA Funds (T & I)

ARRA QUARTERLY REPORT (Contract Status) _____(enter date)*

Contract Status (dates) (Sec. 1201 (2) (c))*					
Out to Bid	Contract Awarded (date/$)	Work Begun/	Work Completed	ARRA Contract Funds	Project/Program Completion Status (%) (Sec. 1512)