

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 Requirements

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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Reporting Requirements

- 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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Reporting Requirements

- **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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Reporting Requirements

- **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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Reporting Requirements

- **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 maintained by the Recovery Act projects.
 5. Number of hours for direct on-project and on-site jobs related to Recovery Act funding.
 6. Note: Indirect jobs and indirect job hours do not have to be reported by Sub-recipients.

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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 sustained.
- **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 sustained.

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Reporting Requirements

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>

OMB Reporting Requirements (sample of needed data)

Federal Agency Name		Project/Grant Period	
Program Source (TAFS)		Report Period End Date	
Grant/Award Number		Final Report	
FBO/CFDA Number		Report Frequency	
Project Name		Award Date (Date Signed)	
Transaction Type		Award Description	

OMB Reporting Requirements II

State Agency Name		Amount of Award (Obligation)	
Recipient DUNS Number		Federal Expenditure	
Recipient Account Number		Project Description (NAICS)	
Recipient Area of Benefit		Project Status	

OMB Reporting Requirements

III

Place of Performance- Location Name		Jobs Created	
Place of Performance- City		Jobs Retained	
Place of Performance- State		Total Infrastructure Expenditure	
Place of Performance- County		Infrastructure Rationale	
Place of Performance- Congressional District		Total Federal non- ARRA Expenditure	
Place of Performance- State Senate District		Total Federal ARRA Expenditure	
Place of Performance- State Assembly District			
Place of Performance- Geocode		Total non-Federal Share of Expenditure	

Additional Reporting Requirements

OMB also asks for a variety of information on the following subjects:

- Detailed information on any sub-contracts or sub-grants
- Payroll for each Recovery Act Employee
- Work Activities for the Quarter for each Recovery Act Employee

Complete forms available at

<http://www.dot.ca.gov/hq/MassTrans/ARRA-new.html>