



Implementing the Requirements of Section 1512 of the American Recovery and Reinvestment Act

FTA Webinars

9/22, 9/23, 9/24, 2009





This Presentation Will Cover:

- The objectives of Section 1512 of the American Recovery and Reinvestment Act (ARRA).
- Who must submit a 1512 Report.
- When information must be submitted.
- What information FTA grantees should submit.
- How information should be submitted.
- Where to find additional technical assistance.





Guidance Documents

- This presentation should be viewed in conjunction with the FTA 1512 Reporting Guidance documents:
 - 1512 Highlights
 - 1512 Checklist
 - 1512 Reporting Definitions and Examples

(Available on the FTA ARRA Website under ARRA Reporting at http://www.fta.dot.gov/index_9440_10542.html)





Section 1512(c) Statutory Language

RECIPIENT REPORTS.

Not later than 10 days after the end of each calendar quarter, each recipient that received recovery funds from a Federal agency shall submit a report to that agency that contains—

- (1) the total amount of recovery funds received from that agency;*
- (2) the amount of recovery funds received that were expended or obligated to projects or activities; and*





Section 1512(c) Statutory Language

- (3) *a detailed list of all projects or activities for which recovery funds were expended or obligated, including—*
- (A) *the name of the project or activity;*
 - (B) *a description of the project or activity;*
 - (C) *an evaluation of the completion status of the project or activity;*
 - (D) *an estimate of the number of jobs created and the number of jobs retained by the project or activity; and*
 - (E) *for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment.*





Section 1512(c) Statutory Language

(4) detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109–282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of the Office of Management and Budget.





The 1512 Reporting Framework

- OMB issued guidance, M-09-21, on June 22, 2009
- OMB created the reporting tool:
FederalReporting.gov

Also available are Excel and XML spreadsheets for reporting (we recommend using these downloads as opposed to using the online data entry tool)



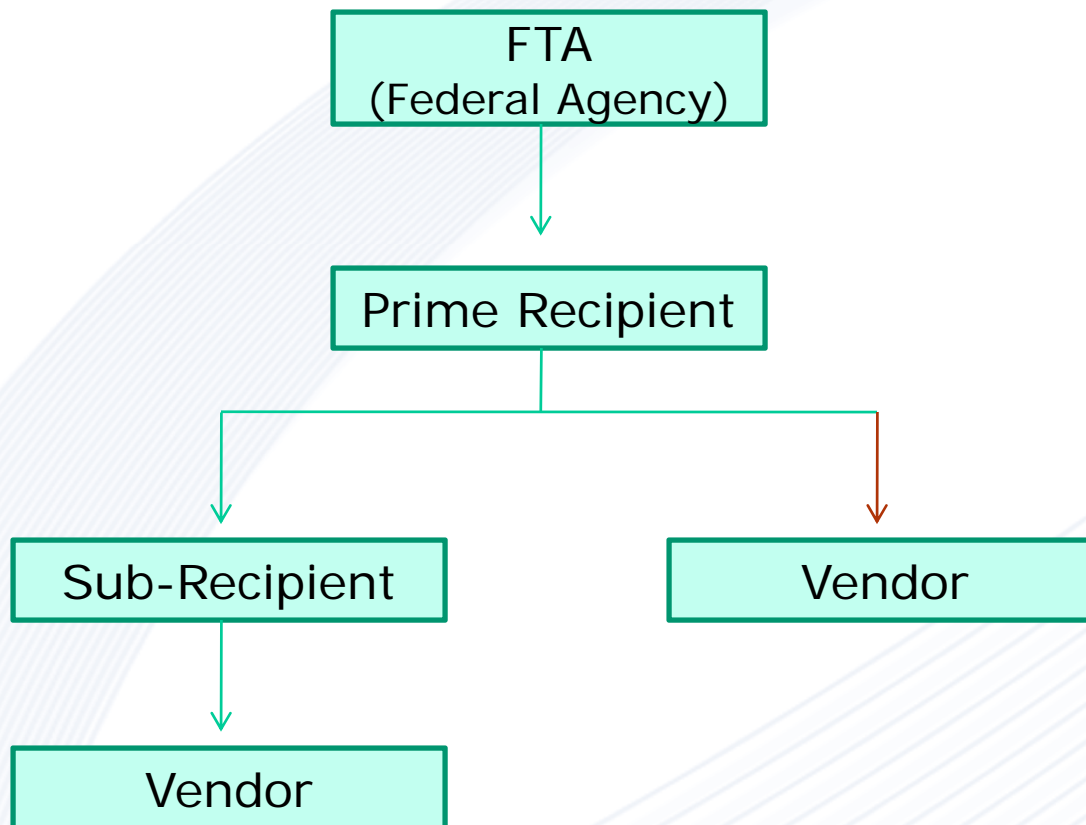
The 1512 Reporting Framework

- Prime Recipients (Direct Recipients) must report. (Prime recipients may choose to delegate certain reporting requirements to sub-recipients—we will cover in more detail later in this presentation.)
- Any recipient that has been awarded an ARRA grant by September 30, 2009 must report.
- Report on a grant-by-grant basis.
- Submit reports to FederalReporting.gov.





The 1512 Reporting Framework





Reporting Timeframes

- Report (Days 1-10)
 - You must complete your report during October 1-10, 2009.
- Prime Recipient Review (Days 11-21)
 - You may review your report during October 11-21, 2009. Direct recipients should review any data reported by subrecipients during this time. You may NOT submit a report during this timeframe. You can only review what was submitted during the first 10 days.
- Agency Review (Days 22-29)
 - FTA will review your report during October 22-29, 2009.
- Release (Day 30)
 - All data from the report will be released on October 30, 2009.
- There will be no extensions or additional time to report or review data before the release dates.



What you will need to report

- **Prime Recipient**
 - **Federal Funding Agency Code**
 - *Federal Funding Agency Name*
 - **Awarding Agency Code**
 - *Awarding Agency Name*
 - **Program Source (TAS)**
 - **Award Number**
 - **Recipient D-U-N-S Number**
 - *Parent D-U-N-S Number*
 - *Recipient Type*
 - **CFDA Number**
 - *Recipient Name/Address/City/State/Zip Code/County*
 - **Recipient Congressional District**
 - **Recipient Account Number**
 - **Award Type, Date, Description Project name or project/program title**
 - **Quarterly Activities/Project Description**
 - **Project Status**





What you will need to report

- **Prime Recipient (cont.)**
 - **Activity Code**
 - *Activity Description*
 - **Number of Jobs**
 - **Description of Jobs Created**
 - **Amount of Award**
 - **Amount of ARRA Funds Received**
 - **Amount of Expenditure**
 - **Amount of Infrastructure Expenditure**
 - **Infrastructure Purpose and Rationale**
 - **Infrastructure Contact Information**
 - **Place of Performance Information**
 - **Recipient Officer Names and Compensation (Top 5)**
 - **Number and Amount of Payments to Vendors less than \$25,000/award**
 - **Number and Amount of Sub-awards less than \$25,000/award**





What you will need to report

- **Sub-Recipient**
 - **Sub-Recipient D-U-N-S**
 - **Sub-award Number**
 - *Sub-Recipient Name/Address/City/State/Zip Code/County*
 - **Sub-Recipient Congressional District**
 - *Sub-Recipient Type*
 - **Amount of Sub-award**
 - **Amount of Sub-award Funds Disbursed**
 - **Sub-award Date**
 - **Sub-Recipient Place of Performance Information**
 - **Sub-Recipient Officer Names and Compensation (Top 5)**





What you will need to report

- **Recipient Vendor**
 - Award Number
 - D-U-N-S or Name and Zip Code of Headquarters (HQ)
 - Product and Service Description
 - Payment Amount
- **Sub-Recipient Vendor**
 - D-U-N-S or Name and Zip Code of HQ





What you will need to report

- The next slides discuss the individual data elements required to be reported for Prime Recipients, Sub-Recipients and Vendors.
- Please refer to the “1512 Reporting Definitions & Examples” guidance document for more detailed information on these data elements.

(Available at

http://www.fta.dot.gov/index_9440_10542.html#1512)





Prime Recipient

- Funding Agency Code & Awarding Agency Code
 - FTA code is **6955**. Use this code for all FTA reports on all FTA grant programs.
- Program Source (TAS)
 - There are four codes for the FTA ARRA programs:
 - 69-1101 for Section 5307, Section 5311, Tribal transit, and TIGGER grant programs.
 - 69-1102 for Section 5309 Fixed Guideway Modernization programs.
 - 69-1133 for Section 5309 New Starts programs.
 - 69-0106 for grants funded under Supplemental Discretionary Grants for a National Surface Transportation System (TIGER program).





Prime Recipient

- Award Number
 - FTA recipients should use the project number of the grant award.
 - E.g. PA-96-X055
- Recipient DUNS Number
 - If your agency has multiple DUNS numbers, be sure to use the number in TEAM associated with the grant for which you are reporting.





Prime Recipient

- CFDA Number
 - There are four CFDA numbers pertaining to the grant programs funded under ARRA.
 - 20.507 for Section 5307 program.
 - 20.509 for Section 5311 and tribal transit programs.
 - 20.523 for TIGGER program.
 - 20.500 for Section 5309 Fixed Guideway Modernization and New Starts programs.
 - 20.932 for TIGGER program.





Prime Recipient

- Recipient Congressional District
 - Enter Congressional district where your headquarters is located. A subsequent reporting field will request the Congressional district associated with place of performance.
- Recipient Account Number
 - Optional to provide your agency's internal tracking number for projects funded under the FTA grant, if your agency possesses such a number.





Prime Recipient

- Final Report
 - Enter “yes” only if your grant closed on or before the end of the reporting period.
- Award Type
 - Almost all FTA ARRA recipients received funds through a grant agreement and should enter “grant.” Cooperative agreement recipients should also enter “grant.”
- Award Date
 - Enter date FTA awarded your grant in TEAM using only numeric characters. Do not enter date award was executed.
 - E.g. 20090731 (July 31, 2009)





Prime Recipient

- Award Description

- All FTA recipients should enter: *“invest in public transportation”* to capture the overall purpose of funds awarded and then briefly describe each activity funded by the grant.
- Write in plain language for the public and do not include acronyms or jargon.
- E.g. “Invest in public transportation by purchasing new hybrid-electric buses, rehabilitating a bus maintenance garage, performing preventative maintenance on existing buses, and installing intelligent transportation systems technology on vehicles.”





Prime Recipient

- Project Name or Project/Program Title
 - Provide project description used in TEAM project details screen.
 - E.g. "Purchase of six replacement buses."
- Quarterly Activities/Project Description
 - Describe specific outputs and outcomes that will result from grant. Include quantitative information about activities conducted and items purchased.
 - E.g. "This grant allowed the transit agency to purchase six low-floor, hybrid-electric buses, modernize and expand two of its three bus depots, conduct preventive maintenance on 40 existing buses, and install automatic stop announcement systems on 50 buses. As a result of these investments, the transit agency will be able to offer public transportation service that is safer, more reliable, more environmentally friendly, and more accessible for people with disabilities."





Prime Recipient

- Project Status
 - OMB Definition
 - Evaluate completion status of project, activity, or Federally-awarded contract action based on performance progress reports and other relevant non-financial performance information.
 - Selection Options: Not started; Less than 50% completed; Completed 50% or more; Fully Completed.
 - For awards funding multiple projects, provide best estimate of completion of all projects based on any aggregate data and information.
 - FTA Comment
 - Determine completion status of grant on basis of overall status of projects.
 - Grant is “fully completed” only if all projects funded are fully completed and funds fully disbursed. Grant is “less than 50% completed” or “completed 50% or more,” based on your assessment of completion status. Grant is “not started” if no activity has taken place or administrative activity to carry out grant (executing award or preparing solicitation) has taken place but no project work has started.
 - E.g. “Less than 50% completed”





Prime Recipient

- Activity Code (NAICS)
 - Enter North American Industry Classification System (NAICS) code that describe Recovery Act grant recipient.
- NAICS Code Examples:
 - 485113 - Bus and Other Motor Vehicle Transit Systems
 - 485991 – Special Needs Transportation [Paratransit-Only Systems]
 - 485111 - Mixed Mode Transit Systems [Systems with Bus & Rail]
 - 485112 - Commuter Rail Systems
 - 485119 - Other Urban Transit Systems [Most Rail-Only Systems (Except Commuter)]
 - 485210 - Interurban and Rural Bus Transportation [Intercity Bus Recipients]
 - 485999 – All Other Transit and Ground Passenger Transportation [Vanpools]
 - 928120 – Regulation and Administration of Transportation Programs [State DOTs]
 - 925120 – Admin. of Urban Planning and Community and Rural Development [MPOs]





Prime Recipient

- Number of Jobs
 - No Distinction Between Jobs Created and Jobs Retained (they're all jobs sustained)
 - Report Direct Jobs, Exclude Indirect Jobs
 - Only Jobs Paid by Recovery Act Funds
 - Only Jobs in US and Outlying Areas
 - Include Jobs from Contractors, Manufacturers, Subrecipients, and Subrecipient Vendors





Prime Recipient

- Numbers of Jobs (cont.)

- Report as “full-time equivalents” (FTE), reported cumulatively each calendar quarter.

$$\frac{\text{Cumulative Recovery Act Funded Hours Worked (Qtr 1...n)}}{\text{Cumulative Hours in a Full-time Schedule (Qtr 1...n)}} = \text{FTE}$$

- Add All Hours Together for the Top (Numerator)
- Add the Hours in a Full-Time Schedule for the Bottom (Denominator)
- Include a Quarterly Full-Time Schedule for Each Quarter the Grant was Active





Prime Recipient

- Number of Jobs (cont.)
 - Direct job hours include:
 - Hours worked by staff paid with ARRA funds
 - Administration expenses paid with ARRA funds
 - Hours paid by ARRA funds for preventive maintenance
 - Hours paid by ARRA funds for operating assistance
 - Hours worked on-site (at facilities or primary construction location) by contractors or sub-contractors paid with ARRA funds
 - Hours worked offsite, but directly on ARRA projects, by contractors or sub-contractors paid with ARRA funds
 - Hours worked by manufacturers of vehicles and equipment – when ordered directly from manufacturer





Prime Recipient

- Number of Jobs (cont.)

- Direct Job Hours Exclude:

- Hours worked in manufacturing vehicles and equipment purchased from retail establishments or out of pre-existing inventory (e.g. off a dealer's lot)
 - Hours worked by suppliers to manufacturers (i.e. do not use multipliers of direct hours worked – report only the direct hours)
 - Hours worked by suppliers to construction projects
 - Hours worked by operators of buses purchased for fleet expansion – when not paid with an ARRA operating assistance grant
 - Hours worked in administration and oversight of ARRA grants – when not paid by the ARRA grant





Prime Recipient

- Description of Jobs Created
 - Highlight the number of jobs worked on the grant
 - Describe the types of jobs worked, e.g.: mechanics, administrative support personnel, laborers, construction workers, vehicle operators, and engineers.
 - E.g. "This grant funded rehabilitation of the transit agency's bus facility and additional preventive maintenance on its vehicle fleet. As a result of these funds, the agency's contractor performing the facility rehabilitation was able to continue to employ 10 carpenters and 10 electricians. In addition, the agency was able to hire an additional 10 mechanics to perform vehicle maintenance."





Prime Recipient

- Amount of Award
 - Enter amount of the FTA award. If grant was amended, enter total amount of the award.
- Total Federal Amount ARRA Funds Received/Invoiced
 - Enter cumulative amount of FTA funds received through ECHO as of the end of the reporting period. Do not report funds associated with ECHO requests submitted but not yet paid by the end of the reporting period.





Prime Recipient

- Total Federal Amount of ARRA Expenditure
 - FTA requires funds be tracked on an accrual basis. Report the cumulative expenditures for your quarterly Financial Status Reports for your ARRA grants.
- Total Federal ARRA Infrastructure Expenditure
 - Report information submitted in the previous line, excluding any funds expended on program administration (for grants funded by Section 5311) and/or operating assistance.





Prime Recipient

- Infrastructure Purpose and Rationale
 - OMB Definition
 - Purpose and rationale of funds received for infrastructure investment with funds made available under Recovery Act. Identify purpose and explain how the infrastructure investment will contribute to one or more purposes of the Recovery Act:
 - (1) To preserve and create jobs and promote economic recovery.
 - (2) To assist those most impacted by the recession.
 - (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
 - (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
 - (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.
 - FTA Comment
 - All reports submitted by FTA grantees should include purpose #4. Reports may also include one or more of the other five purposes of the Recovery Act.
 - E.g. "The transit agency's used its grant to purchase six low-floor, hybrid-electric buses, modernize and expand two of its three bus depots, conduct preventive maintenance on 40 existing buses, and install automatic stop announcement systems on 50 buses. The projects funded under this grant will invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits. These investments will also contribute to preserving and maintaining jobs and promoting economic recovery in the vehicle manufacturing and construction industry."





Prime Recipient

- Primary Place of Performance
 - If grant funds a project in a specific location (facility construction), enter street address or street corner where project is located.
 - If grant funds projects located in multiple locations throughout a region (bus or bus shelter purchases), enter the address and Congressional District associated with your office's headquarters in lieu of the locations of the projects.





Prime Recipient

- Prime Recipient indication of reporting applicability
 - OMB Definition
 - Names and total compensation of each of the five most highly compensated officers of the recipient for the calendar year in which grant is awarded if—
 - (i) In the recipient's preceding fiscal year, the recipient received 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
 - (ii) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
 - (iii) The public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.
 - FTA Comment
 - Enter **"no"** in this field unless all of conditions in the definitions field apply to your agency. Take into consideration your gross revenue may include farebox revenue, state and local assistance, and other sources of funding in addition to Federal financial assistance. Your balance sheet from the prior fiscal year should indicate the amount and percentage of funds from Federal grants versus non-Federal sources of funds.





Prime Recipient

- Total Number of payments to vendors less than \$25,000/award
 - Report number of off-the-shelf purchases and individual payments to contractors totaling less than \$25,000. Ex: if a transit agency made three purchases of energy efficient light bulbs at \$20,000 per purchase, report three purchases.
- Total Amount of payments to vendors less than \$25,000/award
 - Report dollar amount associated with off-the-shelf purchases and dollar amount of payments made to vendors totaling less than \$25,000. Ex: if a transit agency made three purchases of energy efficient light bulbs at \$20,000 per purchase, report \$60,000.





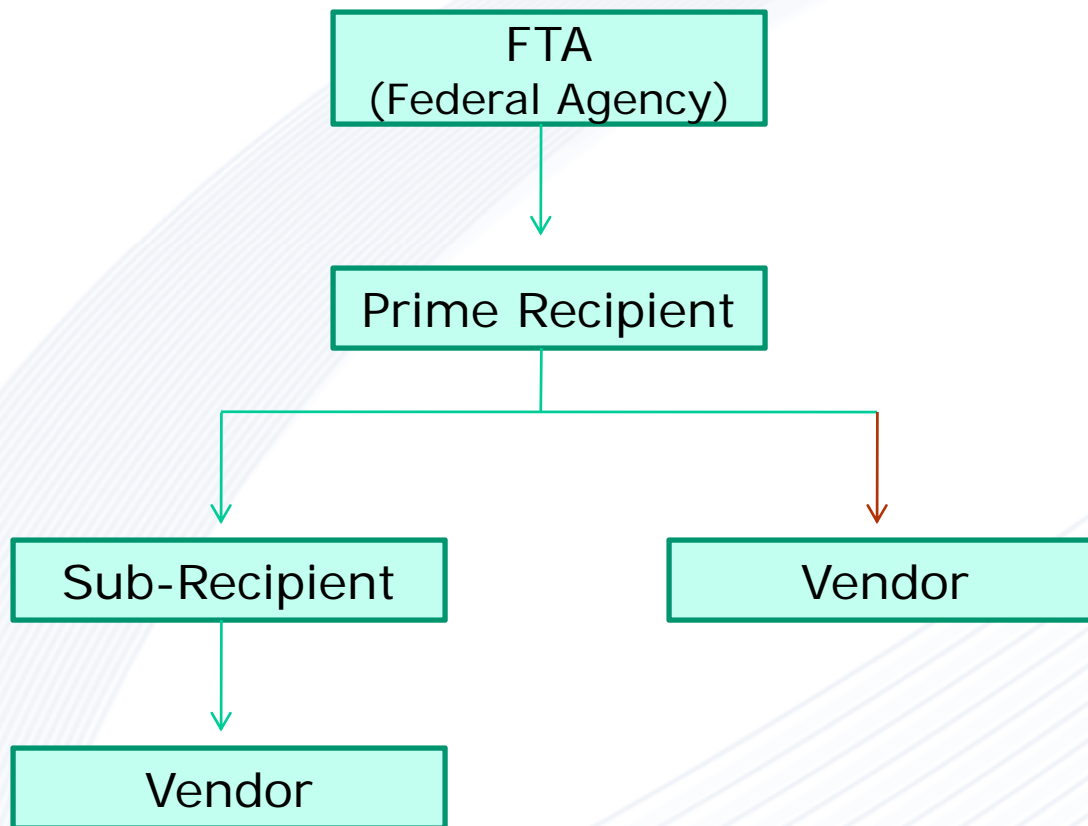
Prime Recipient

- Total Number of Sub-Awards less than \$25,000/award
 - Report the total number of sub-awards less than \$25,000 per award.
- Total Amount of Sub-Awards less than \$25,000/award
 - Report the total amount of sub-awards less than \$25,000 per award.





The 1512 Reporting Framework





The 1512 Reporting Framework

- Prime recipients will report sub-recipient information (unless they delegate the responsibility to sub-recipients) and vendor information.
- Within each report, there will be a tab for prime recipient information, sub-recipient information, and vendor information.



Sub-Recipient

- Sub-recipient DUNS Number
 - Direct recipients must collect sub-recipient DUNS numbers. Fill out a sub-recipient form for each sub-recipient receiving over \$25,000. Do not report sub-recipient information for funds spent by prime recipient on statewide projects such as a statewide vehicle procurement.
- Sub-award Number
 - Enter sub-award number the direct recipient assigns to track its grant to the sub-recipient. If direct recipient typically does not assign a sub-award number, it should do so for the purposes of complying with this report.





Sub-Recipient

- Sub-Recipient Congressional District
 - Enter the Congressional District in which the sub-recipient's headquarters is located.
- Amount of Sub-award
 - Report the amount of funds that will be disbursed by the direct recipient to the sub-recipient over the life of the grant.
 - Do not include the value of vehicles that the prime recipient purchases and then distributes to sub-recipients.





Sub-Recipient

- Total Sub-award Funds Disbursed
 - Report the amount of funds the direct recipient has disbursed to the sub-recipient as of the end of the reporting period.
- Sub-award Date
 - Date the direct recipient entered into a grant agreement with the sub-recipient. If no separate sub-recipient agreement is in place, enter the date the grant was awarded in TEAM.





Sub-Recipient

- Sub-Recipient primary place of performance
 - Same as for prime recipients
- Sub Recipient indication of reporting applicability
 - Same as for prime recipients





Vendor

- Award Number – Prime Recipient Vendor
 - Use identifying number assigned by the prime recipient. Complete this information for vendors with awards of more than \$25,000.
- Award Number – Sub-Recipient Vendor
 - Use award number or other identifying number assigned by sub-recipient. Complete this field if submitting sub-recipient vendor information.





Vendor

- Vendor DUNS Number
 - Use vendor DUNS number if available. If not, must enter vendor zip code and vendor name.
 - E.g. 12346789 or 20890-1234 "Acme Manufacturing."
- Product and Service Description
 - Provide a short description of product and/or service provided by vendor.
 - E.g. "Vehicle manufacturing," "vehicle maintenance," "facility electrical work," "facility design" or "clerical support."
- Payment Amount
 - Provide amount invoiced to vendor (aggregated) that will be paid with ARRA funds.





How information should be submitted

- Reports are submitted through a centralized system at FederalReporting.gov
- There are 3 methods for reporting:
 - Online data entry in the Web browser
 - Excel spreadsheet
 - Custom software system extract in XML





How information should be submitted

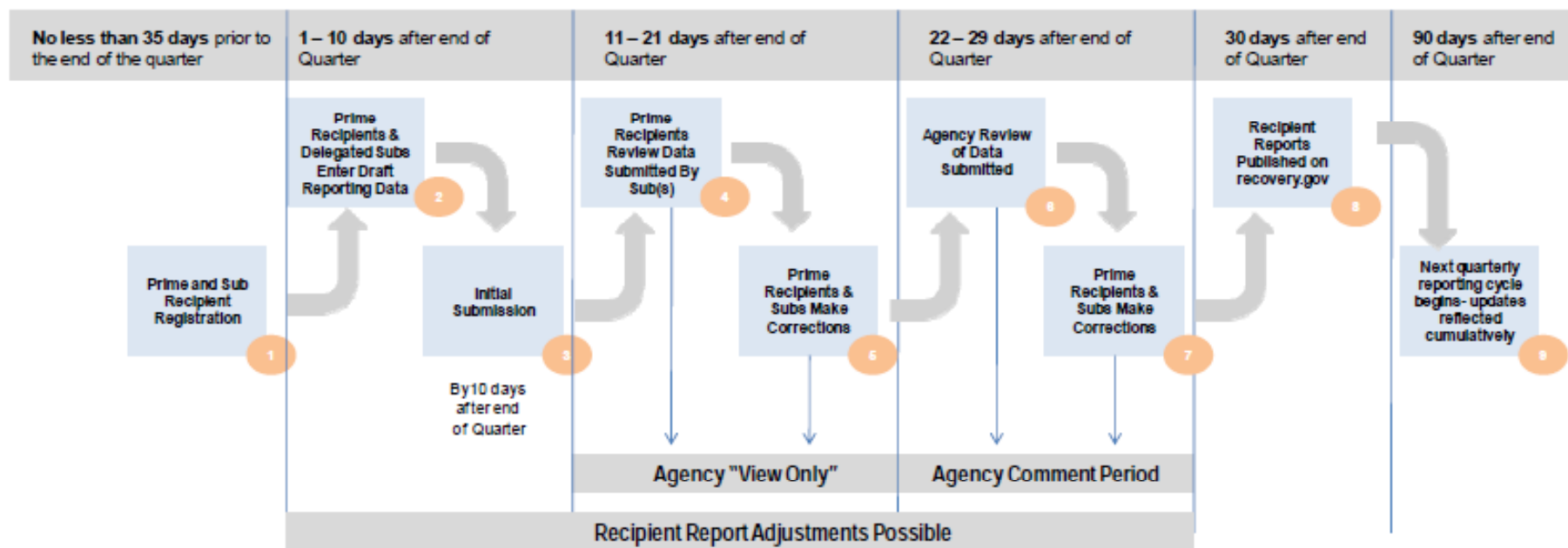
- Be aware of formatting
 - Regardless of the method used, incorrectly formatted data will be rejected.
- Backup your report
 - System is untested and may experience problems.
 - No way to save incomplete reports submitted online in the Web browser. If using this method, print screen shots.
 - FTA recommends using **Excel template**.





When Information Should Be Submitted

Recipient Reporting Timeline





Additional Technical Assistance

- FTA 1512 Reporting Guidance Documents
 - 1512 Highlights
 - 1512 Checklist
 - 1512 Reporting Definitions and Examples

(http://www.fta.dot.gov/index_9440_10542.html#1512)
- FTA 1512 Questions and Answers
(http://www.fta.dot.gov/index_9440_9327.html#Reporting)
- FederalReporting.gov Frequently Asked Questions
(<https://www.federalreporting.gov/federalreporting/faq.do>)
- Recovery.gov Recipient Reporting Information
(<http://www.recovery.gov/?q=content/recipient-reporting>)





Contact Information

- For further information contact:
 - FederalReporting.gov Service Desk
(<https://www.federalreporting.gov/federalreporting/help.dc>)
 - FTA Regional Point of Contact
 - Region 1: Mathew Keamy (617) 494-3038 and Richard Cole (617) 494-2484
 - Region 2: Anthony Carr (212) 668-2170
 - Region 3: Elaine Burick (215) 656-7100 and Devendra Soni (215) 656-7257
 - Region 4: Margarita Sandberg (404) 865-5612
 - Region 5: Mary Campbell (312) 353-1646 and Rotimi Ogunsuyi (312) 353-4070
 - Region 6: John Sweek and Gail Lyssy (817) 978-0550
 - Region 7: William Kalt (816) 329-3927
 - Region 8: Ryan Hammond (720) 963-3336
 - Region 9: Pak Chu (415) 744-0141 and Karineh Gregorian (213) 202-3950
 - Region 10: Kenneth Feldman (206) 220-7521 and Carrie Deichl (206) 220-4307
 - FTA Headquarters Point of Contact
 - Katherine Rice: (202) 366-4183
 - 1512 Hotline Number: 1-800-884-9190 (available 8am-5:30 pm Oct 1 – Oct 8 and 8am – midnight Oct 9 – Oct 10)
 - 1512 Email: FTA1512@dot.gov





Questions

or

Concerns?

