

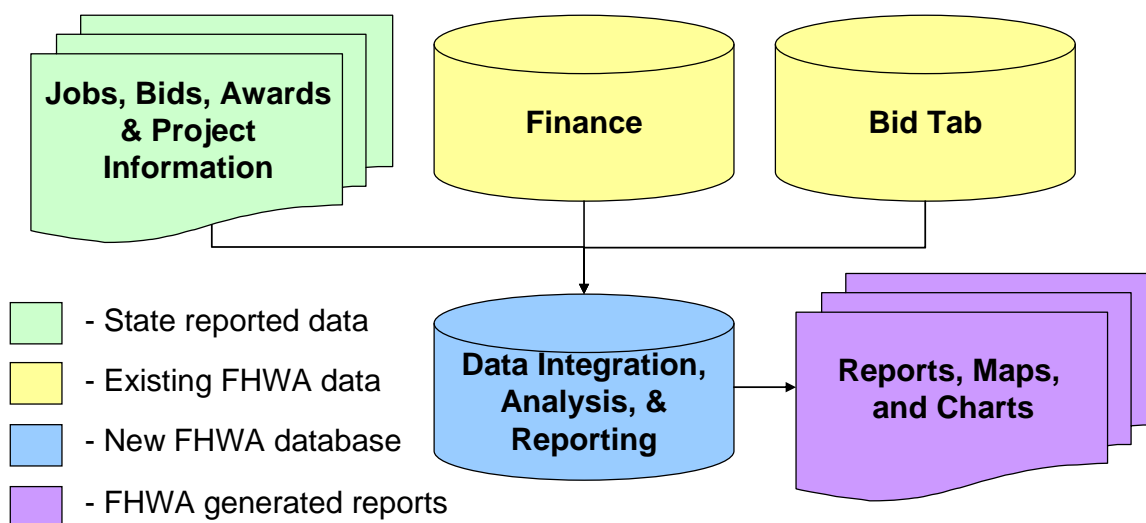
## Introduction

The American Recovery and Reinvestment Act of 2009 (ARRA), provides the State Departments of Transportation and Federal Lands Agencies with \$27.5 billion for highway infrastructure investment. With these funds also comes an increased level of data reporting with the stated goal of improving transparency and accountability at all levels of government. According to President Obama *“Every American will be able to hold Washington accountable for these decisions by going online to see how and where their tax dollars are being spent.”* The Federal Highway Administration (FHWA) in concert with the Office of the Secretary of Transportation (OST) and the other modes within the U.S. Department of Transportation (DOT) will be taking the appropriate steps to ensure that this accountability and transparency is in place for all infrastructure investments.

The reporting requirements of the ARRA, are covered in Sections 1201 and 1512. Section 1201 (c)(1) stipulates that “notwithstanding any other provision of law each grant recipient shall submit to the covered agency (FHWA) from which they received funding periodic reports on the use of the funds appropriated in this Act for covered programs. Such reports shall be collected and compiled by the covered agency (FHWA) and transmitted to Congress. Covered agencies (FHWA) may develop such reports on behalf of grant recipients (states) to ensure the accuracy and consistency of such reports.”

Section 1512 or the “Jobs Accountability Act” requires “any entity that receives recovery funds directly from the Federal Government (including recovery funds received through grant, loan, or contract) other than an individual,” including States, to provide regular “Recipient Reports.”

This document describes the reporting requirements and data analysis processes that FHWA will implement. States will be responsible for providing the data that are not currently available at the national level. Please note that this document does not address every data element that is required to be reported but rather the data that needs to be specifically collected because it is not currently being reported. To the maximum extent possible, FHWA will utilize existing data programs to meet the ARRA reporting requirements. For example, for the requirement to report aggregate expenditures of State funds, FHWA will use existing reports submitted by States and data collected in the Financial Management Information System (FMIS). The following diagram shows a conceptual overview of the flow of data between the existing data programs and the new data to be reported by the States, which will all be fed into a new FHWA data system for integrating, analyzing, and reporting the data. While the reporting obligations in the ARRA are only applicable to the grant recipients, the States may need to obtain certain information from their contractors, consultants, and other funding recipients in order to provide the FHWA with all of the required information.

**Figure 1 – Conceptual overview of ARRA data model.**

As the recipients or grantees for the majority of the ARRA funds, States are by statute responsible for the reporting to FHWA on the projects, use of ARRA funds, and jobs supported. States that receive recovery fund apportionments directly from the Federal government are responsible for reporting to FHWA, which in turn is responsible for reporting periodically to Congress and quarterly to the Recovery.gov website. To achieve a high-quality, consistent basis for reporting, the FHWA has designed a system for obtaining and summarizing data for all purposes. These purposes include not only ones in legislation but also providing a consistent platform for State and FHWA internal reports. In addition to the statutory reporting requirements in ARRA, there are additional requirements that OMB has issued which include weekly and monthly financial reports.

### Reporting Timeline

FHWA will use the information from the regular monthly State reports and existing FHWA data programs to meet the quarterly and periodic reporting requirements. FHWA requires monthly reporting of data from the States to ensure timely data verification and to ensure the data meets quality standards. In addition employment data are required on a monthly basis for FHWA's indirect employment model. The following graphic shows when the various State and Federal Land Management Agency reports are due to the FHWA and when FHWA reports are due to Congress and the public.

Reporting Timeline	2009												2010												2011												2012																	
	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D						
Title XII - Section 1201																																																						
(a) Maintenance of Effort																																																						
(c) Periodic Reports will contain:																																																						
(c)(2)(A) \$ Appropriated, allocated, obligated, outlayed																																																						
(c)(2)(B) Number of projects put out to bid																																																						
(c)(2)(C) Number of projects awarded																																																						
(c)(2)(D) Number of projects work begun																																																						
(c)(2)(E) Number of projects completed																																																						
(c)(2)(F) Number of direct and indirect jobs																																																						
(c)(2)(G) Aggregate expenditure of State funds																																																						
Title XV - Section 1511																																																						
Certification will include:																																																						
Project information including:																																																						
Description																																																						
Estimated total cost																																																						
Amount of covered funds used																																																						
Title XV - Section 1512																																																						
(c) Recipient Reports will contain:																																																						
(c)(1) Total amount of funds received																																																						
(c)(2) Amount expended or obligated																																																						
(c)(3) Detailed list of projects will contain:																																																						
(c)(3)(A) Name of project																																																						
(c)(3)(B) Description of project																																																						
(c)(3)(C) Completion status of project																																																						
(c)(3)(D) Estimated jobs created and jobs retained																																																						
(c)(3)(E) Purpose, total cost, and rationale																																																						
(c)(4) Information on subcontracts and subgrants																																																						
Title XVI - Section 1607																																																						
(a) Certification by Governor that:																																																						
(a)(1) State will request funds																																																						
(a)(2) Funds will be used for jobs & economic growth																																																						
(b) Acceptance by State Legislature																																																						
Title XVI - Section 1609																																																						
(c) Status and progress of NEPA projects																																																						

Recovery Accountability and Transparency Board terminates September 30, 2012

(f) Compliance Report

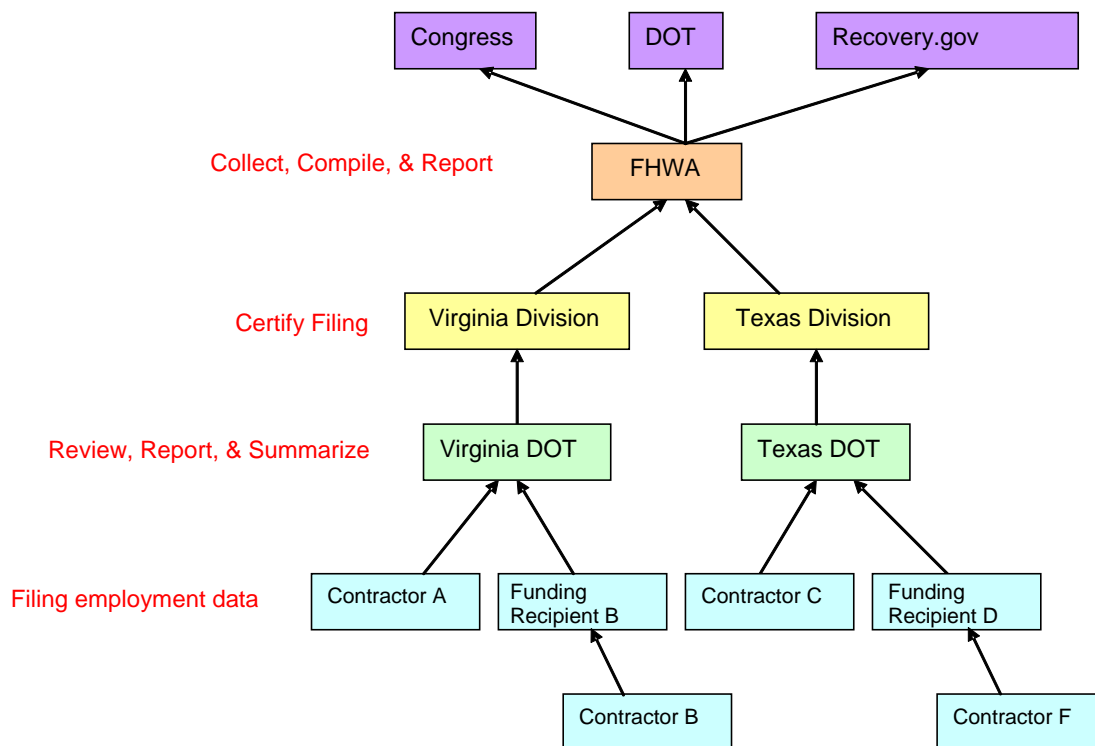
- Initial reporting by States to FHWA
- Monthly reports to FHWA (forms provided)
- FHWA generated reports

Reporting

An initial list of projects to be funded with ARRA, consistent with the list of projects provided in the State’s Section 1511 certification, will be submitted by the State directly to the FHWA Headquarters Office. Subsequent State reporting will be through the appropriate FHWA Division Office. The Division Office will be responsible for monitoring the compliance and completeness of the reports. The data quality reviews will be conducted by FHWA Headquarters Office. States will be responsible for updating the project status and jobs information monthly to their respective Division Office for all projects receiving ARRA funds. These monthly reports are required regardless of whether the project is funded in whole or in part by ARRA funds. To the maximum extent possible, States will be able to use existing State data programs for reporting. For States who do not currently have an existing system with the required information, FHWA will be providing MS Excel based forms that can be used for their own reporting as well as the reporting of their contractors, consultants and other ARRA funding recipients.

It is important to point out that States are responsible for reporting project, jobs, and finance data for all ARRA projects including those managed by their funding recipients, such as other state agencies and local governments. States can utilize the FHWA forms for collecting this information, or can use their own existing or new systems if they so desire.

Information Flow Diagram



**MONTHLY EMPLOYMENT REPORT  
AMERICAN RECOVERY AND REINVESTMENT ACT**

1. First day of reporting period: (mm/dd/yyyy)	2. Report Month: (mm/yyyy)	3. Contracting Agency
4. Federal-Aid Project Number	5. State Project Number or ID Number	6. Project Location: State, County or Federal Region

7. CONTRACTOR NAME AND ADDRESS

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_

Zip: \_\_\_\_\_

8. Contractor/Subcontractor DUNS Number: \_\_\_\_\_

**9. Employment Data**

	EMPLOYEES	HOURS	PAYROLL
<b>Prime Contractor Direct, On-Project Jobs (see guidance for definitions)</b>			
<b>Subcontractor Direct, On-Project Jobs</b>			
Subcontractor Name			
<b>Prime and Subcontractor Totals</b>	0	0	0.00

10. PREPARED BY CEO or Payroll Official: \_\_\_\_\_ DATE: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

### **Monthly Employment Report**

This form is a guide for the States in providing employment information on each ARRA project. Monthly employment information on each ARRA project is used by States for meeting the reporting requirements of Sections 1201 and 1512. In order for States to fulfill their reporting obligations, the States must collect and analyze certain employment data for each ARRA funded contract. The data requirement in ARRA extends beyond the number of workers at the work site and, therefore, FHWA has produced a form for guidance to the States. This data to be reported is identified below and will be used by the States in developing Form 1587, which is to be submitted to FHWA. Since States may not currently collect this data, the States should develop a new specification for each ARRA-funded contract in order to obtain this information from contractors and consultants. In doing so, the States should use the provided model form and require the reporting of this data from the prime contractor or consultant. The prime contractor or consultant shall complete a report for each month from the date of the Notice to Proceed until completion of the contract or September, 2012 whichever occurs sooner. This report is only required for contracts that use ARRA funds. States should require contractors and consultants to provide the required information for their own workforce as well as the workforce of all subcontractors that were active on their ARRA funded project(s) for the reporting month. It will be up to each State to determine when they obtain the necessary data from their contractors or consultants, keeping in mind that the summary form is due from the State to the FHWA Division no later than the 20<sup>th</sup> day of each month for the preceding month's data.

It is the State DOT's responsibility to report the number of jobs on projects managed by funding recipients, such as other state agencies or local governments. The State DOT must make arrangements with each ARRA funding recipient to assure each recipient reports the required data in a timely manner.

The States shall require the following data be provided by each contractor, consultant and funding recipient working on an ARRA project. The primary contractor or consultant for each project shall be responsible for reporting their firm as well as all sub-contractors data.

**Format:** The State, contractors, or consultant may use the FHWA provided model form, but the use of the model form is optional and at the discretion of the State.

**Due date:** As determined by the State, until September 2012.

**Due to:** To be sent by each ARRA funded project prime contractor or consultant to the designated office in each State DOT or Federal Lands Division Office.

### **Coding Instructions**

**BOX 1. First day of reporting period:** The first day of reporting period is the first day of the first payroll period of the month. If the beginning of the month splits the payroll period then the report will include dates from the prior month as necessary to complete the payroll period.

- BOX 2. **Report Month:** The month and year covered by the report, as *mm/yyyy* (e.g. “May 2009” would be coded as “05/2009”).
- BOX 3. **Contracting agency:** The name of the contracting agency. Enter “State” for State DOT projects. For non-State projects, enter the name of the contracting agency (other State agency, Federal agency, tribe, MPO, city, county, or other funding recipient).
- BOX 4. **Federal-aid project number:** The State assigned federal-aid project number, consistent with the format reported in FMIS.
- BOX 5. **State project number or identification number:** The project number or ID, as assigned by the State of its funding recipient, consistent with the format reported in FMIS.
- BOX 6. **Project location:** State where project occurs. If the project performed for Federal Lands, provide the FLH Division or Federal Land Managing Agency (FLMA) region.
- BOX 7. **Contractor name and address:** The name and address of the contracting or consulting firm shall include the name, street address, city, state, and zip code.
- BOX 8. **Contractor DUNS number:** The unique nine-digit number issued by Dun & Bradstreet. Followed by the optional 4 digit DUNS Plus number. Reported as “999999999.9999”
- BOX 9. **Employment data:** The prime contractor or consultant will report the direct, on-the-project jobs for their workforce and the workforce of their sub-contractors active during the reporting month. These jobs data include employees actively engaged in projects who work on the jobsite, in the project office, in the home office or telework from a home or other alternative office location. This also includes any engineering personnel, inspectors, sampling and testing technicians, and lab technicians performing work directly in support of the ARRA funded project. This does not include material suppliers such as steel, culverts, guardrail, and tool suppliers. States should include in their reports all direct labor associated with the ARRA project such as design, construction, and inspection. The States reports should include their own project labor, including permanent, temporary, and contract project staff. States are asked not to include estimated indirect labor, such as material testing, material production or estimated macro-economic impacts. FHWA will be estimating all indirect labor based on the information provided in this form along with other FHWA data. The form requests specifically:
- a. **Subcontractor name:** The name of each subcontractor or sub-consultant that was active on the project for the reporting month.
  - b. **Employees:** The number of project employees on the contractor’s or consultant’s workforce that month, and the number of project employees for each of the active subcontractors for the reporting month. Do not include material suppliers. Total field at bottom will be automatically calculated and reported as a whole number.

- c. **Hours:** The total hours on the specified project for all employees reported on the contractor's or consultant's project workforce that month, and the total hours for all project employees reported for each of the active subcontractors that month. Total field at bottom will be automatically calculated and reported as a whole number.
- d. **Payroll:** The total dollar amount of wages paid by the contractor or consultant that month for employees on the specified project, and the total dollar amount of wages paid by each of the active subcontractors that month. Payroll only includes wages and does not include overhead or indirect costs. Total field at bottom will be automatically calculated and will be rounded to the nearest whole dollar and reported as a whole number.

**BOX 10. Prepared by:**

- a. **Name:** Indicate the person responsible for preparation of the form. By completing the form the person certifies that they are knowledgeable of the hours worked and employment status for all the employees. Contractors, consultants, and their subs are responsible to maintain data to support the employment form and make it available to the State should they request supporting materials.

**Date:** The date that the contractor completed the employment form. Reported as "mm/dd/yyyy." (e.g. "May 1, 2009" would be coded as "05/01/2009").