



U.S. Department
of Transportation
**Federal Transit
Administration**

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REGION 10 BULLETIN NO: 09-41

Subject: ARRA Section 1201(c) Reporting Requirements

Program Area: ARRA

Date: July 31, 2009

Section 1201(c) of the American Recovery and Reinvestment Act (ARRA) requires U.S. Department of Transportation (DOT) grant recipients to report on the progress they are making in implementing their ARRA grants. Any Federal Transit Administration (FTA) recipient that has been executed an ARRA grant through July 31, 2009 must submit a 1201(c) report to FTA by August 16, 2009 and must submit subsequent reports on February 17, 2010, February 17, 2011, and February 17, 2012.

FTA has modified the Transportation Electronic Award Management (TEAM) System to allow ARRA grant recipients to submit 1201(c) information for each grant in TEAM. Recipients will be able to prepare and submit a report from August 1, 2009 through August 16, 2009. Reports should cover the period from February 17, 2009 through July 31, 2009.

Attached to this bulletin are documents that should help you submit your 1201(c) report. The first document displays the information that recipients will be asked to include in their 1201(c) report in TEAM. The second document provides guidance on the 1201(c) process in a Question and Answer format. These documents will also be posted on the ARRA page of <http://www.fta.dot.gov>.

For further information regarding the 1201(c) reporting process, contact Region 10's Ken Feldman at (206) 220-7521 or email kenneth.feldman@dot.gov.

Sincerely,

R.F. Krochalis
Regional Administrator

ARRA 1201(c) Reporting Fields for FTA Grantees

Recipients that have been awarded an ARRA grant as of July 31, 2009 are required to provide the information in lines 1 through 14 by August 16, 2009 and by the subsequent 1201(c) reporting deadlines.

Line 1: The total amount of funds awarded in this grant.

Instructions

This information will be pre-populated by TEAM.

Line 2: Of the amount of funds on line 1, the total amount that has been committed as of July 31, 2009.

Instructions:

Enter the total amount of the funding associated with commitments, (such as signed contracts or open purchase orders) that cannot be cancelled without substantial penalties, as well as the amount of funding that has been programmed for in-house projects at any time prior to July 31, 2009.

Line 3: Of the amount of ARRA funds listed on Line 1, the total amount that has been expended as of July 31, 2009.

Instructions:

Enter the total amount of the funding entered on line 1 that constitutes an expenditure by you on a contract or in-house work that carries out the project(s) or procurement(s) funded by the award. Expenditures are the sum of (1) cash disbursements for direct charges for property and services; (2) the amount of indirect expense incurred; and (3) the net increase or decrease in the amounts owed by the recipient for (a) goods and other property received; (b) services performed by employees, contractors, subcontractors, subawardees, and other payees; and (c) programs for which no current services or performance are required. Do not include program income expended.

Line 4: The number of contract solicitations that have been issued as of July 31, 2009 related to the funds provided under this grant.

Instructions:

Enter the number of solicitations that have been advertised for bid. Report those solicitations that have been issued from February 17, 2009 to July 31, 2009 as well as any solicitations that were issued after October 1, 2008 under pre-award authority and any solicitations that were issued prior to February 17, 2009, but for which an option is being exercised and funded under this grant.

Line 5: The estimated amount of funds under this grant associated with solicitations on line 4.

Instructions

Enter the amount of funds under this grant associated with solicitations listed on line 4.

Line 6: Of the number of solicitations on line 4, the number of contracts awarded as of July 31, 2009

Instructions:

Enter the number of signed contracts that have been awarded as of July 31, 2009 or the number of pre-existing contracts under which an option has been exercised with funds from this grant.

Line 7: The amount of funds under this grant associated with the contracts listed on line 6.

Instructions

Enter the amount of funds under this grant associated with the contracts listed on line 6.

Line 8: Of the number of contracts listed in line 6, the number of contracts for which work had begun as of July 31, 2009.

Instructions:

Enter the number of contracts for which a notice to proceed has been issued as of July 31, 2009.

Line 9: The amount of funds under this grant associated with contracts listed on line 8.

Instructions

Enter the amount of funds under this grant associated with the contracts listed on line 8.

Line 10: Of the number of contracts listed in line 8, the number of contracts for which work had been completed as of July 31, 2009.

Instructions:

Enter the number of contracts for which all of the tasks in the contract have been completed and you have inspected and accepted the supplies or services in the contract.

Line 11: The amount of funds under this grant associated with contracts listed in line 10.

Instructions

Enter the amount of funds under this grant associated with the contracts listed on line 10.

Line 12: The total number of hours associated with direct jobs attributed to this grant.

Instructions:

The number of work hours should include the sum of 1) The number of hours worked by your staff, which will be paid by ARRA funds; 2) The number of hours worked on-site (e.g. at your facilities, or your primary construction location) by contractors or sub-contractors whom you are paying with ARRA funds; and 3) The number of hours worked offsite, but directly on ARRA projects, by contractors or sub-contractors whom you are paying with ARRA funds.

Do NOT report the following information: 1) Hours worked in the manufacture of vehicles; 2) Hours worked in the manufacture of materials and supplies that you have bought “off-the-shelf” and not produced under contract; 3) Hours worked in producing the raw materials and other supplies for construction projects; 4) Hours associated with your general overhead or indirect costs.

Line 13: The total amount of funding from State resources that you planned to expend for the program that funds this grant as of February 17, 2009 during the period from 2/17/2009 through 9/30/2010.

Instructions:

Enter the amount of funding (including in-kind contributions) FROM STATE SOURCES ONLY that you had planned to expend for projects eligible under the program category (listed above line 1), whether or not planned for ARRA projects. If you are submitting this information for multiple ARRA grants, please do not report this information more than once.

Line 14: The total amount of funding from State sources that you have expended for the program that funds this grant during the period from 2/17/2009 through 9/30/2010.

Instructions:

Enter the amount of funding FROM STATE SOURCES ONLY that you have actually expended for projects eligible under the program category (listed above line 1), whether or not planned for ARRA projects. Expenditures are the sum of (1) cash disbursements for direct charges for property and services; (2) the amount of indirect expense incurred; and (3) the net increase or decrease in the amounts owed by the recipient for (a) goods and other property received; (b) services performed by employees, contractors, subcontractors, subawardees, and other payees; and (c) programs for which no current services or performance are required. If you are submitting this information for multiple ARRA grants, please do not report this information more than once.

Questions and Answers on 1201c Reporting for FTA Grant Recipients

(1) What are the reporting requirements of the Recovery Act?

Response: The Recovery Act has two major reporting requirements, Section 1201 and Section 1512.

- Section 1201 requirements apply only to Department of Transportation grantees. FTA grantees will report these data through TEAM.
- Section 1512 reporting requirements apply to **all** grantees under the Recovery Act. Grantees will report these data through www.federalreporting.gov

FTA grantees must complete both the 1201 reports in TEAM and the 1512 reports at www.federalreporting.gov

For more details on the Section 1512 reports, please consult the guidance produced by OMB at: <http://www.recovery.gov/?q=node/579>.

(2) How do I report for Section 1201?

Response: FTA grantees must complete their Section 1201 report in TEAM. The report form will be located under the “project management” field.

(3) When can I start reporting the information that is due on August 16, 2009?

Response: Grant recipients will be able to enter their reporting information on August 1, 2009.

(4) What must I report for the Section 1201 reports in TEAM?

Response: FTA grantees must report the following for each Recovery Act grant:

- a. grant dollars you have obligated
- b. grant dollars you have expended
- c. solicitations you have issued, and their grant dollars
- d. contracts for which work has begun, and their grant dollars
- e. contracts for which work has been completed, and their grant dollars
- f. direct jobs hours worked under the grant.
- g. total State dollars you had planned to expend for the program (as of February 17, 2009) during the period from 2/17/2009 through 9/30/2010.
- h. total States dollars you actually expended for the program during the period from 2/17/2009 through 9/30/2010.

For more detailed descriptions of the precise data requirements, please refer to:

(5) When are the Section 1201 reports due?

Response: The due dates for the Section 1201 reports:

- May 18, 2009 for data as of April 30, 2009
- August 16, 2009 for data as of July 31, 2009
- February 17, 2010 for data as of January 31, 2010
- February 17, 2011 for data as for January 31, 2011
- February 17, 2012 for data as of January 31, 2012

(6) Who is currently required to submit a 1201(c) report?

Response: If you have a Recovery Act Grant from FTA that was obligated by 11:59 pm on July 31, 2009, then you must report by August 16, 2009. Once you make your first Section 1201 report, you must make all subsequent reports as well.

(7) Do I report cumulative data since February 17, 2009 or do I only report data since my previous report?

Response: For every report, you must report cumulative data since February 17, 2009, even if the data has not changed since your previous report.

(8) Is the text of section 1201(c) available separately for review?

Response: Yes, the text of 1201(c) can be found at <https://arrareporting.dot.gov/1201.cfm>.

(9) Is 1201(c) reporting connected to the reports recently filed with the House Transportation and Infrastructure Committee?

Response: No. This is a separate reporting requirement. However, you must submit data consistent with any report you made to the committee.

(10) What happens to the information I submit for the Section 1201 report? Will the information I report be made available to the public?

Response: Information you report will be collected with information from other U.S. Department of Transportation grant recipients and will be reported to Congress by the U.S. Department of Transportation. This report will also be made available on the internet for the benefit of the public.

(11) What happens if I do not make a required report on time?

Response: FTA will consider non-compliance with the 1201(c) reporting requirement as a violation of the award agreement and may take remedial action necessary to ensure compliance, including suspending or withdrawing the ARRA funds awarded to the recipient.

(12) Can I combine information required by 1201(c) into other reports I am required to make?

Response: No. You must complete the Section 1201 report using the form established by FTA in TEAM. Grant recipients should not combine their 1201(c) reports with their financial status reports or milestone progress reports.

(13) Where can I get help in completing the Section 1201 reports?

Response: Grant recipients requiring technical support to complete the ARRA reporting field in TEAM should contact the TEAM help desk at 1 - 888 - 443 – 5305 or Team.HelpDesk@dot.gov. Grant recipients who have questions regarding what information they should report should contact their FTA regional office. Regional office contact information can be found by clicking on the map of the United States located on the home page of <http://www.fta.dot.gov>.

(14) Can initial entries be revised during the reporting period?

Response: Yes, grant recipients may reenter the system at any time to revise entries. After the reporting period deadline, however, submitted data will be "locked" so that the data can be reviewed for completeness and accuracy, and so that FTA can compile the reports.

(15) What do I report about jobs?

Response: You must report the direct, on-project job hours supported by Recovery Act funding that were worked by the reporting cut-off date. 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. You should not be asked to calculate, and should not report indirect or induced job hours. 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. An example of an induced job is a food vendor who sells lunches to individuals working at a project site. In addition, you do not need to differentiate between jobs created and jobs sustained.

(16) Are separate reports required if I have multiple Recovery Act grants?

Response: Yes. You must report data separately for each Recovery Act grant.

(17) Do I have to report for other grants, outside the Recovery Act, that I have received from FTA?

Response: No. You should only report for Recovery Act Grants.

(18) Can sub-recipients of FTA funds or contractors who have received FTA funds through a direct recipient submit 1201(c) information to FTA?

Response: No. Direct recipients of FTA ARRA funds are responsible for collecting data from any sub-recipients or contractors and reporting it to FTA.

(19) Can an umbrella group such as a Metropolitan Planning Organization take responsibility for reporting on behalf of a group of grant recipients?

Response: No, not unless the MPO is the direct recipient of the grant. The grant recipient is required to complete the Section 1201 report.

(20) Will FTA review the data that has been submitted for accuracy?

Response: FTA will review the submitted data for accuracy and completeness. However, grant recipients are primarily responsible for the quality of their reports. If FTA has questions about an individual recipient's submission, FTA staff will contact the recipient to request clarification or additional information.

(21) Will the Department's Inspector General or the Government Accountability Office (GAO) review the Section 1201 reports?

Response: The Recovery Act strongly emphasized transparency and accountability. It is likely the Department's Inspector General and GAO will review the 1201 reporting process and results as a whole.

(22) Who should a grant recipient contact for further information?

Response: FTA grant recipients should contact the FTA staff in their region for additional information. Recipients can also contact FTA on line through the "contact us" feature of the FTA website at <http://www.fta.dot.gov>.

(23) If my agency has expended all of the funds in my grant and completed the project prior to the 1201(c) report due dates in 2011 and 2012, do I need to continue reporting?

Response: FTA is working to allow grantees who are ready to close out their ARRA grants to submit a final 1201(c) report at the time of grant closeout. Additional information on this process will be provided after the August 16, 2009 report deadline.

(24) What information must be provided about planned and actual State funding?

Response: You must report the total amount your State planned to contribute to your organization alone, and the total amount your State has actually expended for your organization. If you receive funding from multiple States, include the planned and actual expenditures from all relevant States. The planned and actual State spending must be for the total program concerned, not just the spending that would match up with Recovery Act projects. If you are reporting on multiple ARRA grants within the same program, you should report the state funding information only once. [Note: FTA is exploring alternative approaches to collecting the information related to State Maintenance of Effort for all DOT modes. If another approach is adopted, FTA will remove these fields from the FTA 1201(c) reporting form.]