

Connecticut Department of Transportation
American Recovery and Reinvestment Act (ARRA)
Project Information Tracking System

Background

To obtain an understanding of the process of fulfilling reporting requirements, one will need to realize how the reporting process transpired.

Initially, the Department of Transportation established a working team to oversee the various aspects of ARRA reporting. The group was headed by Deputy Commissioner Parker, and included: Philip Scarrozzo, ARRA Accountability Officer, Richard Jankovich, ARRA Project Manager, and Ted Szymanski, ARRA Report Coordinator.

Upon the formation of the group, the ARRA Report Coordinator was directed to coordinate the reporting of ARRA data and to ensure the Department would report all information accurately and timely.

Preliminary Actions:

- ARRA reporting requirements needed to be identified
- ARRA related guidelines/instructions were obtained
- An open line of communication was established with the Connecticut FHWA, Governor's Working Group, Recovery Act Database System administrators, and other applicable agencies associated with ARRA reporting
- For each report, the identification of the bureau/individual that would provide data for each report was identified
- A listing of all ARRA related reports was established including report title, purpose, identification of the bureau/individual responsible for providing data, organization receiving the report, reporting submittal timeline
- Based upon the aforementioned, a procedures manual was developed and implemented

Obtaining Project Data:

- To obtain project data for ARRA reports, existing ARRA report forms were identified, and additional report forms developed.
- A Power Point presentation was developed and utilized for educating/training internal personnel, regional planning agencies, municipalities, contractors and consultants regarding ARRA reporting requirements and their respective responsibilities. This was also the basis for ARRA reporting handouts that are presented at all preconstruction meetings
- A District Designee for each district was established. Their purpose was to gather various project data and submit to the report coordinator.
 - Additional duties included: tracking submittals, soliciting data from the contractors, consultants, municipalities; monitoring the timeliness of submittals

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Obtaining Report Data:

For the various ARRA related reports, we needed to identify the information required to complete each report; the Bureau/Unit/individual that would provide the data; and frequency of completing each report. We found that each report requires multiple internal sources for the data. In completing a report, information is submitted; and data is cross-checked to determine if any inconsistencies exist and the reasonableness of the data.

Reports:

The following is an overview of current reports that the Connecticut Department of Transportation is required to submit in meeting ARRA project reporting requirements. In our overview, we will identify each report we complete, report overview, type of data, methodology of collecting applicable information, practices in place that assures all information is collected and entered in the reports and those that are the recipients of each report. These reports are the basis for the Transportation and Infrastructure Report (T&I Report) and OMB Quarterly Report

Quality Assurance:

To assure all project data is submitted in a timely basis and complete, guidelines have been established and verifications are completed. For example, to assure project labor data is submitted with representative information and in a timely manner, an overview of ARRA and reporting requirements is presented at each of the project's preconstruction meetings. We track each project to assure information is submitted as the project progresses. For other reports that we complete, a process is in place to verify the reports accurately completed and representative.

Section 1511 Certification:

The 1511 is a document that indicates that the preliminary steps have been completed that assures the project is a viable project and will be advertised. The certification includes project description, location, total estimated cost of the project, and the amount of the ARRA funding assigned. Once this is issued, the document is immediately posted on the Department of Transportation's website. For ARRA reporting purposes, this is added to the 1586, Initial ARRA Project Plan. The information on the 1511 along with NEPA information is entered onto the 1586 and submitted to FHWA through the Recovery Act Database System (RADS) within two weeks of the issuance of the 1511. To assure the certification is processed completely; verification is completed by reviewing the website listing of 1511 Certifications, comparing the information listed on the 1586 Report with the issued 1511 certifications and with an internal project status report.

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FHWA – 1585: Monthly Recipient Project Status Report

This report is initially generated from the Department's Contracts Division. The report identifies the project number, contract number, federal-aid number, if the project is administered internally or by a municipality, advertisement date, award date, notice to proceed date, contract values, DBE information, and contractor information. As the project progresses, DBE payment information is updated. Completed report data is uploaded to RADS on a monthly basis and the report is forwarded to CTFHWA

FHWA – 1586: Initial ARRA Project Plan

The 1586 is generated from ARRA projects where Section 1511 certification has been completed. Report information includes, but is not limited to, location data including: state, county, congressional district; project data including: federal and state project number, project name and description; ARRA amount, estimated total project cost, completion date, rationale; NEPA information, permits, mile points
Report information provided by Policy and Planning; Finance and Administration, Capital Services; and Engineering. On a continuous basis the report is issued within 2 weeks of the issuance of a new Section 1511 certification. Completed report is submitted to: ARRA.Submittal@dot.gov; Connecticut.FHWA@dot.gov; and uploaded to RADS.

FHWA – 1587: Monthly Summary Employment Report

The 1587 Monthly Summary Employment Report provides summary employment information for all active ARRA projects. The source of employment data is derived from a compilation of all labor information recorded on the 1589 Report submitted every month a project is active. Summary information includes all State, local, consultant, contractor and all sub-contractors/sub-consultants provided employment data for each project. Report data is uploaded to RADS by the 10th of each month

FHWA – 1589: Monthly Employment Report

This form is a guide for the States in providing employment information on each ARRA project. The reported data will be used as a basis for completing Form 1587, which is to be submitted to FHWA on a monthly basis.

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. The information is used by States for meeting the reporting requirements of Sections 1201 and 1512.

The prime contractor and/or consultant will report the direct, on-the-project jobs for their workforce and the workforce of their subcontractors' active during the reporting month. Employment information includes: number of employees utilized, total labor hours, total labor hours based upon the paid hourly rate for each employee (does not include fringes or any other benefits. Completed 1589 Reports for each ARRA project is submitted from

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the District Designee to the report coordinator who will use this data to complete the 1587, Monthly Summary Employment Report

The aforementioned reports are the basis for completing the OMB Quarterly Report and Transportation and Infrastructure Report. Each of the aforementioned are reviewed for completeness and accuracy with verifications completed with source documents to assure the quality and accuracy of the information.

Transportation and Infrastructure Report (T&I Report)

The T&I Reports essentially contain four sections with a specific purpose for each. The following is an overview of each section:

Table 1: Aggregate Data by Formula Program:

Aggregate data by formula program as listed by Transit Capital Assistance, Highway Infrastructure, and Fixed Guideway Infrastructure. Information provided includes: funds allocated, obligated and outlayed; projects bid, under contract, and where work has begun; identification of funds associated with projects bid, under contract, and work has begun; and identification of projects completed and funds associated with them. Cumulative job data including: number of jobs created/sustained; job hours created/sustained; payroll of the noted job data. As of 2/17/09: aggregate expenditure from State sources for projects eligible; amount of funds recipient planned to spend; any decrease in the amount of funds the recipient plans to spend from State sources for eligible projects.

The aforementioned data is a reflection of the cumulative activity of the ARRA projects. Data is derived from the financial activity as tracked from the data received directly from the projects. Labor information is derived directly from the projects' firms' submittals of the 1589, Monthly Employment Report, and qualified internal labor data.

Table 2: Aggregate Data, Project Specific:

This portion of the report provides information about each project. This includes: type of program, DUNS number, project name, federal aid number, State project number, project purpose, estimated cost and project rationale. The aforementioned provides a brief overview of each project and location.

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Table 3: Contact Person:

This identifies the individual within the Connecticut Department of Transportation that could provide information regarding the information within Table 1, Table 2 and Table 4. Deputy Commissioner Parker has headed the Connecticut Department of Transportation's involvement with ARRA.

Table 4: Aggregate Data, Project Specific:

This section provides project specific information on each Metropolitan Planning Organizations (MPO's) and public transit agency. For each entity the following is identified: DUNS number, funds allocated, obligated, and outlayed; projects out to bid, under contract, work started, project completed; funds associated with projects out to bid, under contract, work begun, work completed; job data including jobs created/sustained, job hours created/sustained, payroll created/sustained.

As mentioned previously, data for the aforementioned is derived from the noted reports and related project information.

Section 1512 – OMB Reporting

We submitted to OMB our information for all active ARRA projects as of September 30, 2009. The information that was submitted was reflective of the various summary reports we prepare on a monthly basis (1585-Monthly recipient Project Status Report, 1586-Initial ARRA Project Plan, 1587-Monthly Summary Employment Report)

The submittal of the report was based upon our monthly submittals into the Recovery Act Database System, a download of a report for each ARRA project, and an upload to OMB. Upon submittal of the reports to Federal Recovery, we received confirmations for each project that they received that all required information was complete. For each project submitted, a total of 75 informational fields needed to be complete to be accepted. As part of our submittal process we received confirmation of acceptable reports and rejection for those not complete. Upon correction of rejected submittals, we resubmitted our project data and received 100% acceptance.

Report information includes, but is not limited to: recipient, total funds received, expended and obligated, list of project names, description, % complete, jobs created/retained; project purpose, total cost and rationale

Forecast of Future Activities:

As we move forward, our ARRA projects will continue to progress, thus, our reporting of information will continue. During this period, we expect to review and update our Reporting Manual; prepare presentations for future preconstruction meetings; continue our dialog with all applicable entities (Connecticut FHWA, RADS, Federal Recovery, etc); and continue our monitoring of ARRA related data.

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By the spring of 2010, we expect that a majority of our 90+ municipal projects will become active as well as our ConnDOT highway, enhancement and transit projects. As a result, we anticipate reporting workloads to significantly increase as we meet all State and federal reporting requirements.