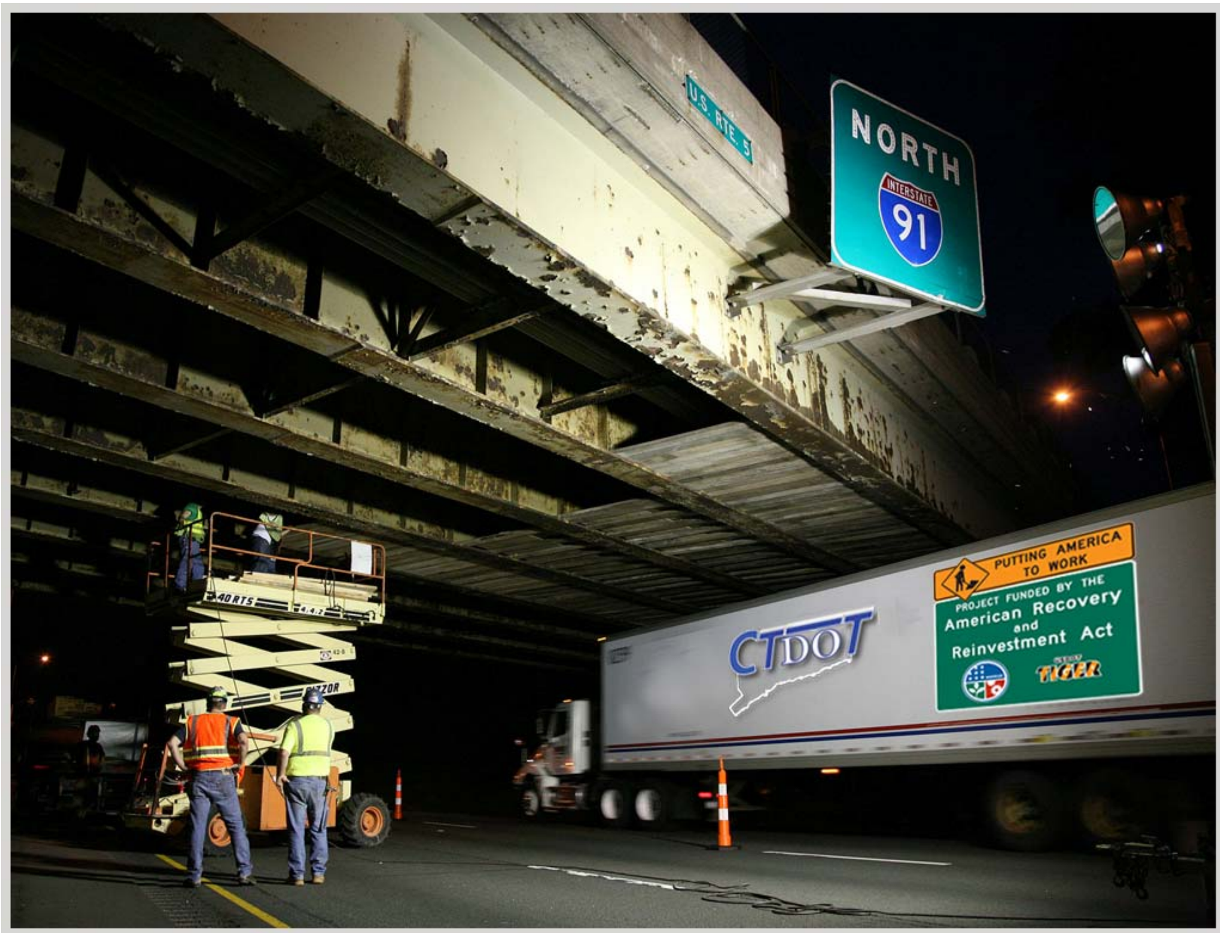
American Recovery & Reinvestment Act (ARRA) Reporting Plan

Connecticut Department of Transportation



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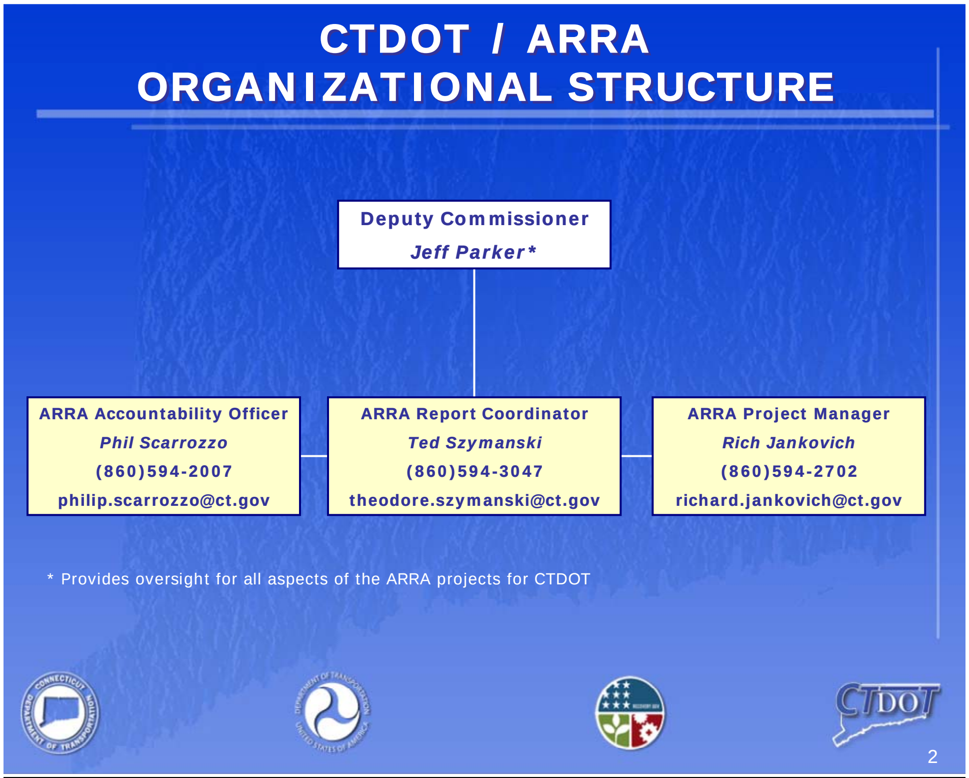
ARRA Organizational Structure



Deputy Commissioner:

Deputy Commissioner provides oversight for all aspects of the ARRA program.

ARRA Accountability Officer:

The accountability officer manages the ARRA program and coordinates all ARRA activities for the Department. Responsible that all funds received by the agency pursuant to the Act are spent in a manner that complies with the requirements of the Act; provides oversight for agency's website and ensures that all ARRA activities are posted accordingly pursuant to the Act; responsible for the completion of all reports required by the Act in a complete and timely manner; reports all activity related to the Act, including certifications, applications for funds, applications for discretionary or competitive grants, receipt of funds, use of funds and filing of reports, to the Sate Accountability Officer and the State Transparency Officer within 24 hours of any such activity. Also, ensures proper notification to the State's Stimulus Project Oversight Officer (Department of Public Works) within 48 hours of the commencement of any infrastructure project and is responsible for the coordination and submission of a complete Governor's report of all agency activity related to the Act to the State Accountability Officer and the State Transparency Officer within 72 hours of the end of each month.

ARRA Project Manager:

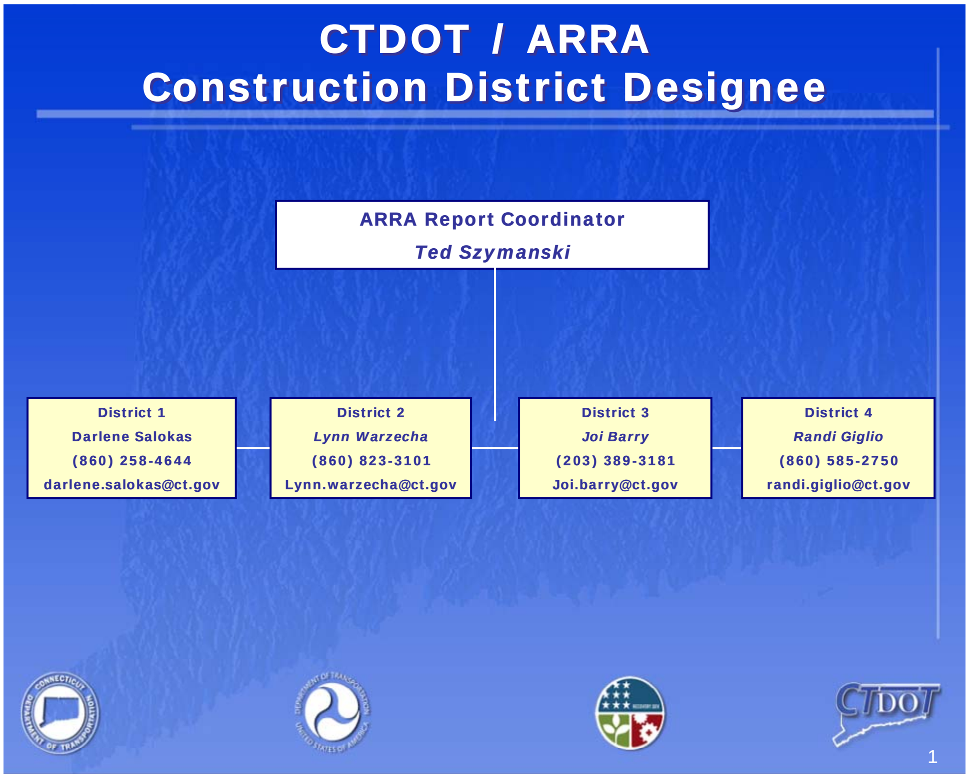
The project manager (PM) is responsible for the projects to be designed in accordance with Title 23 and the Stewardship agreement with the Federal Highway Administration (FHWA). The PM is the point of contact between the Chief Engineer and the designers when resolving design issues with regard to all ARRA projects. All municipal projects require additional attention during design so that once the project is scoped and preliminary design is complete, the projects are expedited through the final design phase and advertised in an expeditious manner.

The PM monitors the projects during the construction phase to ensure the project is built as designed. Coordination includes attending progress meetings, contact with project personnel regarding issues that may impact the project and if change orders are executed, the PM monitors these increases as they affect project budgets and reports them to the Chief Engineer and the ARRA Accountability Officer.

The PM acts as liaison with all parties involved with the design and construction of the ARRA project. Duties include coordinating the design and construction with the municipalities and agency engineering staff and assisting the Report Coordinator with acquiring required information and data needed for submission of various reports as per the Act. The PM also coordinates the construction projects with the State's Stimulus Project Oversight Officer at the Department of Public Works (DPW) to ensure the projects are built on time and within budget. Coordination with DPW includes reviewing all project files, visiting the projects during construction, and performing a project close out once the project is completed. Liaison duties include: coordination with the 15 Regional Planning Agencies, the municipalities, department personnel & consultants, state/local police and utility companies that will be seeking reimbursement for their activities associated with ARRA projects.

ARRA Report Coordinator:

The report coordinator is responsible for the final preparation and submission of all ARRA reports, and assuring that all ARRA related reports are complete, accurate, and submitted within the noted time requirements. When applicable, submitted data is reviewed for completeness and accuracy. Duties and responsibilities include, but are not limited to: developing and implementing reporting guidelines and procedures that are in compliance with applicable State and federal requirements; providing guidance to those responsible for preparing ARRA data; acting as liaison with the State and federal organizations on ARRA related issues; assigning individuals throughout the various Bureaus the responsibility of preparing/submitting required data; developing and presenting power point presentations that illustrate the reporting requirements, audience includes CTDOT management, applicable financial, planning, maintenance, and engineering personnel, applicable District staff, regional planning agencies and organizations, municipalities, project contractors, consultants, subcontractors, utilities and other organizations responsible for providing ARRA reporting data; submitting all State and Federal ARRA reports as required; maintaining an electronic and hard-copy database of all reports with supportive documentation.


CTDOT / ARRA
Construction District Designee
ARRA Report Coordinator
Ted Szymanski
District 1
Darlene Salokas
(860) 258-4644
darlene.salokas@ct.gov
District 2
Lynn Warzecha
(860) 823-3101
Lynn.warzecha@ct.gov
District 3
Joi Barry
(203) 389-3181
Joi.barry@ct.gov
District 4
Randi Giglio
(860) 585-2750
randi.giglio@ct.gov
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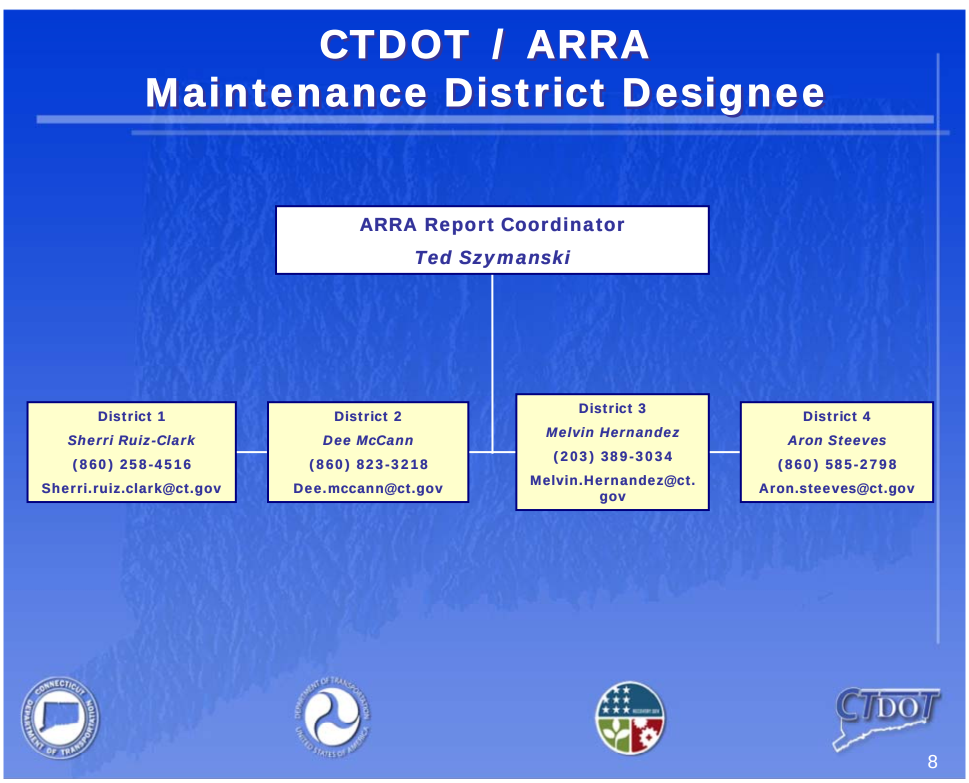
CTDOT / ARRA
Maintenance District Designee
ARRA Report Coordinator
Ted Szymanski
District 1
Sherri Ruiz-Clark
(860) 258-4516
Sherri.ruiz.clark@ct.gov
District 2
Dee McCann
(860) 823-3218
Dee.mccann@ct.gov
District 3
Melvin Hernandez
(203) 389-3034
Melvin.Hernandez@ct.gov
District 4
Aron Steeves
(860) 585-2798
Aron.steeves@ct.gov
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ARRA District Designees:

The district designee provides key support in the gathering of project information. They serve as the point person where the applicable firms submit their data; provide guidance in the completion of the forms; monitor the timeliness of data submission, and are responsible for forwarding completed 1585 and 1589 forms to the Report Coordinator. A majority of the projects are administered through Construction with municipalities' also reporting data to the designees. Construction designees oversee a vast majority of the ARRA funded projects. Additionally, several ARRA funded projects are under the oversight of Maintenance. As a result, Maintenance provides District Designees that serve in the same manner and provide the same functions and oversight.

Project Data

The reporting of ARRA funded projects is the current responsibility of the Connecticut Department of Transportation's Report Coordinator. The primary forms that require input from the project's prime contractor, prime consultant, municipality, utilities and their respective subcontractors are the 1585 Monthly Recipient Project Status Report, and the 1589 Monthly Employment Report.

To gather the information, the following process is utilized for each ARRA project:

- Power Point presentation was developed as a means for providing guidance to the ARRA project's contractors consultants, municipalities, utilities (where applicable) in the reporting of ARRA required labor information.

Included in the presentation:

- Organization Charts for CTDOT ARRA
- Overview of ARRA
- Reporting Requirements (1585 and 1589 forms)
- Identification of the District Designees (each District (for Construction and for Maintenance) has identified an individual that will gather the reporting documents from the contractors, consultants, municipalities, utilities and forward along to the Report Coordinator)
- Examples of the applicable 1585 and 1589 forms that will submitted and a "walk-thru" explanation of completing the forms

Reporting Requirements Overview is available online at the following link:
http://www.ct.gov/dot/lib/dot/documents/dcommunications/stimulus/forms/ARRA_Presentation_R5_7-9-09.ppt

Assurance of the Accuracy and Timeliness of the Data

To assure ARRA information is accurate, the following is in place:

- For information derived from the projects, the District Designees obtain project data from the applicable entities via electronic submission and hard copy. A cursory review is performed to assure data seems reasonable.

- Forms submitted to the district designee are forwarded to Report Coordinator for entry into the various ARRA reports. A cursory review is completed and data placed in report formats for submission via Recovery Act Database System (RADS) in fulfilling FHWA reporting requirements.

- ARRA information for various reports is also gathered internally. Data sources within the Department of Transportation include: the Bureau of Finance & Administration, the Bureau of Policy & Planning, the Bureau of Construction, and the Bureau of Highway Operations. Designated individuals submit data as required. Once data is submitted, the information is cross-referenced where applicable.

- Federal oversight is ever present. The Connecticut FHWA (David Nardone and Ted Aldeiri) review all report information that is uploaded into the RADS system. If errors or omissions are identified, they immediately contact the Report Coordinator for comment, correction, and/or adjustment.

Reporting Requirements and Tracking of Data

Per request of the Commissioner of the Connecticut Department of Transportation, we have developed, implemented and established a tracking system for the stimulus funds derived from the Federal government under the ***American Recovery and Reinvestment Act (ARRA).***

Listed below are the Specific Requirements for the Periodic Reporting requirements in accordance with Section 1201(c) and Section 1512(c).

A. Certifications:

1. **Maintenance of Effort (Sections 1201(a) and (b)) -** The Governor of each State must certify that the State will maintain its effort with regard to State funding for the types of projects that are funded by the ARRA. As part of the certification, the Governor shall submit a statement identifying the amount of funds the State planned to expend as of February 17, 2009, from State sources in the period beginning on February 17, 2009, through September 30, 2010, for the types of projects that are funded by the appropriation. This certification is required no later than March 19, 2009. State funding shall be identified, but funds from local governments or other non-Federal sources are not included in the certification.

   If a State is unable to maintain the level of effort contained in the certification, the State will be prohibited from receiving redistributed Federal-aid highway program obligation limitation in the August Redistribution process for FY 2011.

   As this certification covers funding beyond the scope of highway funding, this certification will be coordinated by the OST. Additional information regarding the certification process will be provided pending instructions from the OST.

2. **Section 1607 -** The Governor must certify by April 3, 2009, that, for funds provided to any State or agency thereof, the State will request and use funds provided by this Act and the funds will be used to create jobs and promote economic health. If the Governor does not provide this certification, then the State legislature may act to accept the funds.

   As this certification covers funding beyond the scope of highway funding, this certification will be coordinated by the OST. Additional information regarding the certification process will be provided pending instructions from the OST.

3. **Section 1511 -** For funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, must certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. A description of the investment, estimated total cost, and the amount of ARRA funds used shall be provided and published on the ARRA Web site. Funds may not be provided to State or local agencies until this certification is made and posted on this Web site.

B. Federal Transit Administration (FTA) state reporting requirements; Financial Status Reports (FSR) and Milestone Progress Reports (MPR) and accompanying Narrative Reports.

All FTA grantees must submit these reports which are due quarterly, 10 days after the end of each quarter, starting with the first quarter that ends after the grant awarded. These are the same reports required in FTA Circular 5010 and the relevant program circulars.

Section 1201 (c) FTA Grantee Report: Grantees to report the information specified in Section 1201(c), 90 days, 180 days, one year, two years, and three years after February 17, 2009, which DOT then transmits to Congress. The grantee's first report is due May 18. In order to obtain the project and contract level information from grantees efficiently, FTA expects to have a reporting system in place for 1201(c) data in time to prepare the first 90-day report.

Section 1512 FTA Grantee Report: Reporting elements will be combined with the 1201(c) periodic reporting. First reports are due no later than July 10, covering the preceding calendar quarter of April, May and June. FTA will also expect reports for the quarter ending March 31, 2009, for the grants awarded before then. FTA will provide further reporting instructions and deadlines as they become available. FTA anticipates that OMB will provide reporting forms and instructions. FTA is working with the rest of DOT to consolidate 1201(c) and 1512 reporting elements in a central, automated reporting format. For each grant awarded, recipients will complete any of the data fields that cannot be pre-populated from TEAM and DELPHI, using a browser interface on the internet. FTA regions will communicate the reporting methodology and deadlines to grantees as soon as the information is available.

C. ARRA FHWA Reporting Forms

FHWA-1590: Reporting Requirements for ARRA Forms

Instructions for filling out ARRA forms FHWA-1585, FHWA-1586, FHWA-1587, FHWA-1588, and FHWA-1589.

Download Form FHWA-1590: Reporting Requirements (165 KB, PDF)

FHWA-1585: Monthly Recipient Project Status Report

On this form the State will provide information on the status of all ARRA projects. These data will be used for meeting the reporting requirements of Sections 1201 and 1512.

Download Form FHWA-1585: Monthly Recipient Project Status Report (Excel)

FHWA-1586: Initial Project Information

This report contains State-provided information on each ARRA project. The list needs to be consistent with the list of projects provided in the State's Section 1511 certification, as it may be amended. The State can provide the Section 1511 list of projects, provided all data are included. These data will be used for meeting the reporting requirements of Sections 1201, and 1512. The data are also used to link together State DOT and FHWA provided ARRA project data.

Download Form FHWA-1586: Initial Project Information (Excel)

FHWA-1587: Monthly Summary Employment Report

State provided summary employment information for all active ARRA projects. These data will be used for meeting the reporting requirements of Sections 1201 and 1512 and are due to FHWA no later than the 20th day of each month for the preceding month's data.

Download Form FHWA-1587: Monthly Summary Employment Report (Excel)

FHWA-1588: Periodic Grouped Project Report

State provided information on one or more individual ARRA projects that are part of a previously awarded grouped or bundled project. These data will be used for meeting the reporting requirements of Sections 1201, and 1512. States to provide the required information as individual projects are awarded. If a State or Federal Lands have no grouped or bundled projects then no report is necessary.

Download Form FHWA-1588: Periodic Grouped Project Report (Excel)

FHWA-1589: Monthly Employment Report

This form is a guide for state, contractor and subcontractor provided 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.

Section 1201

Report Purpose:
Initial report will address Maintenance of effort and to affirm that Connecticut will maintain a level of funding to continue regular and previous programs. Periodic reports will contain consolidated project information.

Brief description of information to be included on the form:
An initial report will address maintenance of effort.
Subsequent periodic reports will include: $ appropriated, allocated, obligated, outlayed; number of projects: put out to bid, awarded, commenced, completed; number of direct and nondirect jobs; aggregate expenditure of State funds.

State/Federal guidelines:
Title XII, Section 1201

Identify the source of the information (Bureau/Individual):
Finance & Administration, Capital Services – Charlene Casamento

Report information is submitted to (within CDOT) for completion:
Philip Scarrozzo, ARRA Accountability Officer, Office of the Commissioner

Report completed by:
Philip Scarrozzo, ARRA Accountability Officer, Office of the Commissioner
Charlene Casamento, Finance & Administration

Frequency/Due Date of updating the information:
Initial Report completed.
Periodic Reports due to in 2009: May 18, Aug 1. In 2010: Feb 1. In 2011: Feb 1. In 2012: Feb1

Completed report submitted/distributed to:
Internal: Bureau Chiefs, Cheryl Malerba, P Scarrozzo, T Szymanski, and R Jankovich
External: Governor then forwarded to TIGER Team @DOT.gov; Connecticut.FHWA@dot.gov; FTA

<u>Section 1511</u>

Report Purpose:
To certify projects have completed the TIP and STIP process

Brief description of information to be included on the form:
A description of the investment, estimated total cost, and the amount of ARRA funds used shall be provided and published on the ARRA Web site.

State/Federal guidelines:
For funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, must certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. A description of the investment, estimated total cost, and the amount of ARRA funds used shall be provided and published on the ARRA Web site. Funds may not be provided to State or local agencies until this certification is made and posted on this Web site.

Identify the source of the information (Bureau/Individual):
Policy & Planning - Maribeth Wojenski prepares 1511 with project information

Report information is submitted to (within CDOT):
Philip Scarrozzo ARRA Accountability Officer, who finalizes report with proper endorsements

Report completed by:
Philip Scarrozzo, ARRA Accountability Officer, Office of the Commissioner

Frequency/Due Date of updating the information:
Once the TIP and STIP are completed and the PS&E completed, the 1511 must be prepared and posted on the website. Within 2 weeks the 1511 must be forwarded to be listed on a new 1586 This is a continuous process as project STIP, TIP and PS&E are completed

Completed report submitted to:
Internal: Bureau Chiefs, Commissioner, Deputy Commissioners, P Scarrozzo, T Szymanski, and R Jankovich
External: TIGER Team @DOT.gov, Connecticut.FHWA@dot.gov

<u>Section 1512</u>

Report Purpose:
Provide recipient information regarding funds received, project and job information

Brief description of information to be included on the form:
The following will be identified: recipient; total funds received, expended, obligated; list of projects: name, description, % complete, jobs created/retained; purpose, total cost, rationale; subcontract/subgrant info

State/Federal guidelines:
Section 1512 FTA Grantee Report: Reporting elements will be combined with the 1201(c) periodic reporting. First reports are due no later than July 10, covering the preceding calendar quarter of April, May and June. FTA will also expect reports for the quarter ending March 31, 2009, for the grants awarded before then. FTA will provide further reporting instructions and deadlines as they become available. FTA anticipates that OMB will provide reporting forms and instructions. FTA is working with the rest of DOT to consolidate 1201(c) and 1512 reporting elements in a central, automated reporting format. For each grant awarded, recipients will complete any of the data fields that cannot be pre-populated from TEAM and DELPHI, using a browser interface on the internet. FTA regions will communicate the reporting methodology and deadlines to grantees as soon as the information is available.

Identify the source of the information/data (Bureau/Individual):
Finance & Administration - Charlene Casamento
Construction Richard Jankovich

Report information is submitted to (within CDOT):
Ted Szymanski, Division of Internal Audits, Office of the Commissioner

Frequency/Due Date of updating the information:
Information from Finance and Administration due July 1, 2009; subsequent reports in the same timeframe
First Report due July 10, 2009; subsequent due dates TBA

Completed report submitted to:
FTA and others (TBA)

Distribution list:
Internal: Bureau Chiefs, P Scarrozzo, T Szymanski, and R Jankovich
External: FTA;

FHWA – 1585: Monthly Recipient Project Status Report

Report Purpose:
On this form the State will provide information on the status of all ARRA projects.
These data will be used for meeting the reporting requirements of Sections 1201 and 1512.

Brief description of information to be included on the report:
The recipient's 2 digit State FIPS code; report month; contracting agency: enter "State" for State DOT projects, and for non-State DOT projects, enter the name of the noncotracting agency; Federal-aid project number; State project number or identification number; advertisement date; Award date; Notice to proceed date; Percent complete; Contractor name; and the official business address of the contractor or consultant. *Projects will be added to the report based upon the project being awarded*.

State/Federal Guidelines:
The State can use the FHWA provided form, or submit the information as an MS Excel spreadsheet.
These data will be used for meeting the reporting requirements of Sections 1201 and 1512.

Identify the source of the information/data:
Finance & Administration: Pall Oushana – Contracts, Columns 1-8, 10-13, 16-19; C Davis, column 10/11
Construction: Richard Jankovich, Columns 9, 14, 15
Prime Contractor/Consultant/Municipality forwards DBE information to District Designee by the 3rd of each month
DBE payment information submitted by the 5th of each month by District Designee for ARRA projects

Information for the report is submitted to (within CDOT):
Ted Szymanski, Division of Internal Audits, Office of the Commissioner

Report completed by:
Ted Szymanski, Division of Internal Audits, Office of the Commissioner

Frequency/Due Date of updating the information:
Report to be submitted to FHWA within 10 calendar days after the end of every month until September 2012.

Completed report submitted to:
Due to: To be sent by the State to the official FHWA Division Office mailbox (Connecticut.fhwa@dot.gov). Within 2 days of receiving the State's submittal, the FHWA Connecticut Division Office will submit them to (ARRA.Submittal@dot.gov).

Completed report distributed to:
Bureau Chiefs, Cheryl Malerba, P Scarrozzo, T Szymanski, R Jankovich,
david.w.nardone@fhwa.dot.gov; amy.jackson-grove@fhwa.dot.gov; george.poirier@fhwa.dot.gov

FHWA – 1585: Monthly Recipient Project Status Report (guidelines)

Monthly Recipient Project Status Report (Form: FHWA-1585):
(Source: ARRA Reporting Procedure 3/31/09 – David Nardone)
This form is required within 10 calendar days after the end of every month until September 2012. ConnDOT will send this form to the CT Division Official Mailbox.

The official e-mail will be forwarded to the MPTL and FM and tracked per our normal procedures. The MPTL will check the boxes 3, 4, 5, 6, 7, 8, 9, 10, 11, and 13. The FM will simply check boxes 4 and 5 against the FHWA-1586 or FMIS. All comments will be forwarded to the Program Support Assistant for inclusion in the spreadsheet and will be saved on the common drive h:\arra\forms\form 1585.xls. Previous versions will be saved over.

Within 2 days after receiving the State's submittal, the Division will post the file to the FHWA intranet website. A snapshot of each month will be saved in ERS, Subject File 012 with a description "Form FHWA-1585, MM/YYYY" by the Program Support Assistant. The status will be closed out as per our tracking procedures.

Monthly Recipient Project Status Report (Form: FHWA-1585 guidelines)
(American Recovery and Reinvestment Act of 2009, Reporting Requirements, April 27, 2009)
On this form the State will provide information on the status of all Recovery Act projects. These data will be used for meeting the reporting requirements of Sections 1201 and 1512. The following information is required for each Recovery Act project.

Format: The State can use the FHWA provided form, or submit the information as an MS Excel spreadsheet.

Due date: Within 10 calendar days after the end of every month until September 2012.

Due to: To be sent by the State to the official FHWA Division Office mailbox (*state*.fhwa@dot.gov). Within 2 days of receiving the State's submittal, the Division Office will send the file as an e-mail attachment to ARRA.Submittal@dot.gov.

Submittal: Please use the following naming convention "AA_1585_date.xls" where AA=2 character State abbreviation (New York = NY) and date=the date of submittal as "*mmddyy*." When e-mailing your file, please use the 2 character State abbreviation and form number in the subject.

1585 Coding instructions

BOX 1. **State:** Enter the 2 digit State FIPS code. If the form is being filled out for Federal Lands, provide the FLH Division or Federal Land Managing Agency (FLMA) region code. See Appendix A for a list of the State FIPS and FLMA region codes.

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 DOT 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 seven digit format reported in FMIS. For example, the project STM-1222(12) should be reported as "*1222012*." Enter "*TBD*" If no federal-aid project number has been assigned yet. Do not enter multiple federal-aid project numbers; this field can only contain one project number.

BOX 5. **State project number or identification number:** The State project number or ID as assigned by the State or its funding recipient, consistent with the format reported in FMIS. Federal Lands will use this column to assign the "State" where the project is located. Do not enter multiple State project numbers or identification numbers; this field can only contain one project number.

BOX 6. **Contract Number:** If multiple contracts exist on individual projects then list the contract numbers. Note that the combined State Project Number and Contract Number must be unique. Do not enter multiple contract numbers in one cell, each contract number must be a new line in the form.

BOX 7. **Advertisement date:** The date that the Recovery Act project was advertised, reported as *mm/dd/yyyy* (e.g. "May 1, 2009" would be coded as "05/01/2009"). If the project is re-advertised, enter the new date. Leave blank if the project has not yet been advertised; do not enter future dates.

BOX 8. **Award date:** The date that the Recovery Act project was awarded, reported as *mm/dd/yyyy* - (e.g. "May 1, 2009" would be coded as "05/01/2009"). Leave blank if the project has not yet been advertised; do not enter future dates.

BOX 9. **Notice to proceed date:** The notice to proceed date for the Recovery Act project, reported as *mm/dd/yyyy* - (e.g. "May 1, 2009" would be coded as "05/01/2009"). Leave blank if the project has not yet been advertised; do not enter future dates.

BOX 10. **Contract Amount R.A. Funds:** The total amount of Recovery Act (R.A.) funds on the awarded contract. Enter the cost as whole dollars; do not provide costs in thousands or millions of dollars.

BOX 11. **Contract Amount Total Funds:** The total amount of the awarded contract. Enter the cost as whole dollars; do not provide costs in thousands or millions of dollars**.**

BOX 12. ***DBE Goal:*** *The DBE Goal established by the recipient for the project as a percentage (XX.XX%) of the total estimated project cost. If there is no established goal for the project, report as "0".*

BOX 13. ***DBE Commitment:*** *The DBE commitment made by the prime contractor at the time of award as a percentage (XX.XX%) of the total contract amount.*

BOX 14. ***DBE Actual Payments:*** *Cumulative actual dollars paid to DBE's for labor, materials, equipment, etc., from the start of the project ($XX,XXX.XX) Include payments to DBE's for projects with race neutral or "0" goal.*

BOX 15. **Percent complete:** The status of the project; the amount of elapsed time since work begun relative to the estimated total time to complete the project. Reported as a decimal equivalent i.e. 25% complete = 0.25.

BOX 16. **Contractor name:** The official business name of the contractor or consultant awarded the Recovery Act project.

BOX 17. **Address:** The official business address of the contractor or consultant. Enter the street address, City, State, and zip code separated by commas. For example the address for the U.S. Department of Transportation would be entered as "*1200 New Jersey Ave., SE, Washington, DC, 20590.*" Do not enter each individual part of the address in separate columns e.g. one column each for the street address, city, state, and zip code.

BOX 18. **DUNS number:** The unique nine-digit number issued by Dun & Bradstreet followed by the optional 4 digit DUNS Plus number. All prime contractors must have a DUNS number. Reported as *999999999.9999*

BOX 19. **E-mail address:** The official e-mail address for the contractor. Leave blank if the contractor does not have one.

To complete the Form FHWA-1585, Monthly Recipient Project Status Report all Prime Contractors must have or obtain a DUNs number. All US Government contractors, grantees and loan recipients can request a DUNS number or modification to an existing DUNS record by using the online web form process at http://fedgov.dnb.com/webform (for US and International locations) or they can call 866-705-5711, option 3. The toll free number is for US locations only. Registrants will be asked for their entity name, address, city, state, country, postal code, highest ranking individual's name and title, line of business, # of employees and legal structure (i.e.: corporation, non profit, etc.) and socio economic data (veteran owned, women owned, etc) If they use the web form, there is a mailing address area, SIC code and annual revenue data lines but these are optional.

Form FHWA-1585, Monthly Recipient Project Status Report has been modified to capture Disadvantage Business Enterprise (DBE) information for each project. The data elements are for project specific DBE goal, prime contractor commitment at the time of award, and the actual dollars paid to the DBE's. Recovery Act specifically states that the DBE requirements apply and thus by reference the authority to collect data collection is grounded in the DBE regulations.

FHWA – 1586: Initial ARRA Project Plan

Report Purpose:
This section covers the by-project information to be provided by each State which accounts for how it plans to invest its allotment of ARRA funding. The list needs to be consistent with the list of projects provided in the State's Section 1511 certification, as it may be amended. States should provide their best estimates of complete list of projects to be funded with ARRA grants as of the plan's due date. If a State has not programmed all ARRA funds by that time, that information should be provided as well.

Brief description of the information to be included on the report:
The project list should be provided in an electronic format that allows for data sorting. For the purpose of this initial project plan report, the State may provide the Section 1511 list of projects if that list of projects provides all data are listed below. Simply referencing the STIP will likely not be sufficient, since most do not contain all of the required data.

State/Federal Guidelines:
This section covers the by-project information to be provided by each State which accounts for how it plans to invest its allotment of ARRA funding. The list needs to be consistent with the list of projects provided in the State's Section 1511 certification, as it may be amended

Identify the source/type of the information (Bureau/Unit/Info):
Policy & Planning forwards 1511 information to Phil Scarrozzo
Finance & Administration, Capital Services provides 1586 Report information for sections 3 – 9, 21-24
Engineering provides 1586 Report information for sections 10-20

Information for the report is submitted by (Individual):
Policy and Planning: Maribeth Wojenski
Finance and Administration, Capital Services: Patricia Hustus
Construction: Richard Jankovich

Report completed by: Ted Szymanski, Division of Internal Audits, Office of the Commissioner

Frequency/Due date of updating the information:
This form is required within 2 weeks of the state issuing a new Section 1511 certification.
Process will continue on an as needed basis to September 2012.

Completed report is submitted to:
ARRA.Submittal@dot.gov; Connecticut.FHWA@dot.gov

Completed report distributed to:
Bureau Chiefs, Cheryl Malerba, P Scarrozzo, T Szymanski, R Jankovich,
david.w.nardone@fhwa.dot.gov; amy.jackson-grove@fhwa.dot.gov; george.poirier@fhwa.dot.gov

<u>FHWA – 1586: Initial ARRA Project Plan (guidelines)</u>

Initial ARRA Project Plan (Form: FHWA-1586):
(Source: ARRA Reporting Procedure 3/31/09 – David Nardone)

This form is required within 2 weeks of the state issuing a new Section 1511 certification until September 2012. The state will e-mail the form directly to ARRA.Submittal@dot.gov with a carbon copy of the e-mail to the CT Division Official Mailbox: Connecticut.FHWA@dot.gov.

The official e-mail will be forwarded to the Major Projects Team Leader (MPTL), the Planning, Environment &Research Program Manager (PERPM), and the Financial Manager (FM) and be tracked as per our normal procedures.

These three managers will perform a quality control check on the information as follows:
The PERPM will check that all 1511s are included in the form and also check boxes 15, 16, 17, 18, 19, and 20. The MPM will check boxes 7, 10, 12, 21, 22, 23, and 24. The FM will check using FMIS information boxes 5, 6, 9, and 10. If any discrepancies are found, an e-mail will be sent to ConnDOT for reconciliation and possible update prior to the next month's submittal.

Distribution of Form 1586: As mentioned previously, the form is already sent to HQ by the state. We will save an updated form on the Common Drive at h:\ARRA\Forms\Form 1586.xls. Previous versions will be saved over. After the quality control check is performed as mentioned above, a snapshot of each month will be saved in ERS, Subject File 012 with a description "Form FHWA-1586, MM/YYYY" by the Program Support Assistant. The status will be closed out as per our tracking procedures

<u>Initial ARRA Project Plan (Form: FHWA-1586 guidelines)</u>
(American Recovery and Reinvestment Act of 2009, Reporting Requirements, April 27, 2009)
This section covers the by-project information to be provided by each State which accounts for how it plans to invest its allotment of Recovery Act funding. The list needs to be consistent with the list of projects provided in the State's Section 1511 certification, as it may be amended. States should provide their best estimates of complete list of projects to be funded with Recovery Act grants as of the plan's due date. If a State has not programmed all Recovery Act funds by that time, that information should be provided as well. The project list should be provided in an electronic format that allows for data sorting. For the purpose of this initial project plan report, the State may provide the Section 1511 list of projects if that list of projects provides all data are listed below. Simply referencing the STIP will likely not be sufficient, since most do not contain all of the required data. These data will be used for meeting the reporting requirements of Sections 1201, and 1512. The data are also used to link together State DOT and FHWA provided Recovery Act project data.

Format: The file can be provided as either a geospatial information system (GIS) shape file, or an MS Excel spreadsheet.

Due date: By March 31, 2009. The State shall provide an additional list of projects within 2 weeks of the State issuing a new Section 1511 certification until September 2012.

Due to: The States will e-mail their list of projects to: ARRA.Submittal@dot.gov, with a copy sent to the FHWA Division Office official mailbox (*state*.fhwa@dot.gov). Questions should be directed to ARRA.Questions@dot.gov. Submittal of data to this e-mail account will not qualify as the required submittal under section 1511.

Submittal: Please use the following naming convention "AA_1586_date.xls" where AA=2 character State abbreviation (New York = NY) and date=the date of submittal as "*mmddyy*." When e-mailing your file, please use the 2 character State abbreviation and form number in the subject.

Coding Instructions

BOX 1. **State:** Enter the 2 digit State FIPS code. If the form is being filled out for Federal Lands, provide the FLH Division or Federal Land Managing Agency (FLMA) region code. See Appendix A for a list of the State FIPS and FLMA region codes.

BOX 2. **Report date:** The date the list of projects is submitted, reported as *mm/dd/yyyy* (e.g. "May 1, 2009" would be coded as "05/01/2009").

BOX 3. **State/County:** A 5 digit code comprised of the 2 digit State FIPS code and 3 digit County FIPS Code. For example, the county of Somerset Maine would be coded as "*23025*." A complete list of State/County codes can be found in Appendix B. Federal Land Management Agencies will use this field to indicate the State and county where the majority of the project is located.

BOX 4. **County:** County FIPS Code

BOX 5. **Congressional District:** The numeric Congressional District consistent with FMIS. Multiple districts should be separated by a comma. States with one Congressional District should enter "*0*" (zero).

BOX 6. **Federal-aid project number:** The State assigned federal-aid project number, consistent with the seven digit format reported in FMIS. For example, the project STM-1222(12) should be reported as "*1222012*." Enter "*TBD*" If no federal-aid project number has been assigned yet. Do not enter multiple federal-aid project numbers; this field can only contain one project number.

BOX 7. **State project number or identification number:** The State project number or ID as assigned by the State or its funding recipient, consistent with the format reported in FMIS. Federal Lands will use this column to assign the "State" where the project is located. Do not enter multiple State project numbers or identification numbers; this field can only contain one project number**.**

BOX 8. **Project Type:** A character code used to denote the type of project. Projects are divided into individual projects and area wide projects. Individual projects are defined as a project primarily on a single highway. Area wide projects can be disbursed over a large geographic area, often on multiple highways.

Code	Description
I	**Individual project**
D	**District wide project**
S	**State wide project**
O	**Other area wide project**

Project name: Consistent with the project name in the STIP and/or FMIS.

BOX 9. **Project description:** Consistent with 1511 Certification, project description provided in the 1511 Certification. To the extent possible, should include a quantifiable description of the work, especially for area wide projects, e.g. replace 50,000' of guardrail throughout District 1.

BOX 10. **Project purpose:** Enter the predominant two digit numeric improvement type code description consistent with FMIS. Provide the text description of and not the FMIS. For example, the FMIS improvement type "1" should be entered as "New Construction Roadway" should be coded as *"01*." The complete list of FMIS improvement type codes and descriptions are provided in Appendix C.

BOX 11. **Total Amount of ARRA Funds:** The estimated total amount of Recovery Act (R.A.) funds to be expended on the project. Enter the cost as whole dollars; do not provide costs in thousands or millions of dollars**.**

BOX 12. **Estimated Total Project Cost**: The estimated total cost of all Recovery Act and non-Recovery Act funds consistent with the STIP and/or FMIS. Enter the cost as whole dollars; do not provide costs in thousands or millions of dollars.

BOX 13. **Project Schedule. :** Estimated project or construction completion date reported as *mm/yyyy* (e.g. "May 2009" would be coded as "05/2009)".

BOX 14. **Project rationale:** The recipient's rationale for funding the infrastructure investment with funds made available under this Act. Explain how the infrastructure investment will contribute to one or more of the purposes using the following codes:

Code	Description
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

BOX 15. **Economically Distressed Area:** A yes/no check-box to indicate if the project is in an economically distressed area. Enter either "yes" or "no."

BOX 16. **NEPA Class of Action:** Enter one of the following codes:

Code	Description
TBD	To be determined
CE	All types of categorical exclusions
EA	Environmental assessment or finding of no significant impact
EIS	Environmental impact statement
NA	Not applicable

BOX 17. **NEPA Milestone Completed:** Enter one of the following codes:

Code	Description
TBD	To be determined
CE	All types of categorical exclusions
EA	Environmental assessment
FONSI	Finding of no significant impact
DEIS	Draft environmental impact statement
FEIS	Final environmental impact statement
SEIS	Supplemental environmental impact statement
ROD	Record of decision
NA	Not applicable

BOX 18. **FHWA NEPANEPA completion date:** Enter date that FHWA approved the NEPA document indicated in Box 16. Enter the date as *mm/dd/yyyy* (e.g. “May 1, 2009” would be coded as “05/01/2009”).

BOX 19. **Number of federal permits/approvals requiring NEPA decisions or NEPA document adoptions by other agencies:** Such as 404 Permits, Coast Guard Bridge Permits or federal land transfers.

BOX 20. **Status of federal environmental permits or approvals:** A character code used to denote the status of any outstanding federal permits or approvals, including those which are not reported in box 19 because they do not require a NEPA decision, such as ESA section 7 and Section 106 of the NHPA. If multiple permits or approvals our outstanding, choose the code that best describes the permit that is expected to be the last one approved.

Code	Description
TBD	To be determined
NOT	Not Applied
PEND	Applied/Pending
COMP	Completed
NA	Not applicable

BOX 21. **Federal agency NEPA completion date:** Enter the date of the last federal 404 permit, Coast Guard permit, Federal Land transfer, etc is completed. If no other federal agency NEPA actions are required, enter the date that the FHWA NEPA action was completed consistent with Box 18. Enter the date as *mm/dd/yyyy* (e.g. “May 1, 2009” would be coded as “05/01/2009”).

BOX 22. **Route number:** Where applicable, the numeric identifier for the route on which the project is located. In some States this can be a mixed field consisting of both letters and numbers. Should be consistent with the route number provided for other federal reports, such as the Highway Performance Monitoring System (HPMS) or the National Bridge Inventory (NBI). Consistent with route number in STIP and/or FMIS. Do not enter multiple route numbers. If the project covers multiple routes, either choose the predominate route, or leave this field blank.

BOX 23. **Beginning mile point:** Where applicable, the beginning mile point for the project. For projects covering multiple routes, either choose the beginning reference post for the predominant route, or leave this field blank.

BOX 24. **Ending mile point:** Where applicable, the ending mile point for the project. For projects covering multiple routes, either choose the ending reference post for the predominant route, or leave this field blank.

BOX 25. **Length (mile):** the centerline length of the project. If the project covers multiple routes, enter the total mileage.

FHWA – 1587: Monthly Summary Employment Report

Report Purpose:
State provided summary employment information for all active ARRA projects.

Brief description of the information to be included on the report:
The State DOT is responsible for compiling and reporting the State, local, consultant, contractor and all sub-contractors/sub-consultants provided employment data for each project. The State can use the FHWA provided form, or submit the information as an MS Excel spreadsheet.
ConnDOT will provide the data form to those responsible for providing the information. The completed form will be submitted via email.

State/Federal Guidelines:
State provided summary employment information for all active ARRA projects. These data will be used for meeting the reporting requirements of Sections 1201 and 1512 and are due to FHWA no later than the 20th day of each month for the preceding month's data. The State needs to complete a report each month until September 2012

Identify the source/type of the information:
Monthly 1589 Report submittals provide the basis for completing this report

Information for the report is submitted by (Unit/Individual):
Prime Contractor, Prime Consultant, Municipalities, Utilities submit 1589 forms to the District Designee

Information for the report is submitted to (within CDOT):
Completed form will be submitted to Ted Szymanski at the following address:
Theodore.szymanski@po.state.ct.us

Frequency/Due Date of updating the information:
All data from the projects (1589 Form) must be submitted no later than the 5th of the month to the District Designee. Final 1587 Report must be submitted by the 20th of the month with the preceding month's data.

Report completed by:
Ted Szymanski, Division of Internal Audits, Office of the Commissioner

Completed report is submitted to:
Connecticut.FHWA@dot.gov

Completed report distributed to:
Bureau Chiefs, L. Cannon, P Scarrozzo, T Szymanski, R Jankovich, david.w.nardone@fhwa.dot.gov; amy.jackson-grove@fhwa.dot.gov; george.poirier@fhwa.dot.gov

FHWA – 1587: Monthly Summary Employment Report (guidelines)

Monthly Summary Employment Report (Form FHWA-1587):
(Source: ARRA Reporting Procedure 3/31/09 – David Nardone)

The State needs to complete a report each month until September 2012.

This form is required within 20 calendar days after the end of the preceding month's data. ConnDOT will send this form to the CT Division Official Mailbox.

The form will be forwarded to the MPTL and the FM and tracked per our normal procedures. The FM will check boxes 3, 4 and 5 against FMIS and the FHWA-1589. The MPTL will verify all the rest of the information on the form. In particular, the status of contractor employment reports will be verified against the 1589s. The MPTL will follow up with ConnDOT any uncompleted reporting.

Once the form is verified, it will be saved on the common drive h:\arra\forms\1587.xls. Previous versions will be saved over. Within 2 days of receiving the State's submittal, the Program Assistant will post the file to the FHWA intranet website. A snapshot of each month will be saved in ERS, Subject File 012 with a description "Form FHWA-1587, MM/YYYY" by the Program Support Assistant. The status will be closed out as per our tracking procedures.

Monthly Summary Employment Report (Form: FHWA-1587)
(American Recovery and Reinvestment Act of 2009, Reporting Requirements, April 27, 2009)
State provided summary employment information for all active Recovery Act projects. These data will be used for meeting the reporting requirements of Sections 1201 and 1512 and are due to FHWA no later than the 20th day of each month for the preceding month's data

The following data are to be provided for each Recovery Act project. The State DOT is responsible for compiling and reporting the State, local, and contractor provided employment data for each project.

Format: The State can use the FHWA provided form, or submit the information as an MS Excel spreadsheet.

Due date: Within 20 calendar days after the end of every month until September 2012.

Due to: To be sent by the State to the official FHWA Division Office mailbox (*state*.fhwa@dot.gov). Within 2 days of receiving the State's submittal, the Division Office will send the file as an e-mail attachment to ARRA.Submittal@dot.gov.

Submittal: Please use the following naming convention "AA_1587_date.xls" where AA=2 character State abbreviation (New York = NY) and date=the date of submittal as "*mmddyy*." When e-mailing your file, please use the 2 character State abbreviation and form number in the subject.

Coding Instructions

If the State wishes to submit summarized employment data for State Employees receiving ARRA funds, the first line of the report provides a the location for the State to provide their data on Total Employees (Box 8), Total Hours (Box 9) and Total Payroll (Box 10). If the State wishes to enter State Employment data by project please use the other lines of the form and enter contract number zero (0) for (Box 5)

BOX 1. **State:** Enter the 2 digit State FIPS code. If the form is being filled out for Federal Lands, provide the FLH Division or Federal Land Managing Agency (FLMA) region code. See Appendix A for a list of the State FIPS and FLMA region codes.

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. **Federal-aid project number:** The State assigned federal-aid project number, consistent with the seven digit format reported in FMIS. For example, the project STM-1222(12) should be reported as "*1222012*." Enter "*TBD*" If no federal-aid project number has been assigned yet. Do not enter multiple federal-aid project numbers; this field can only contain one project number**.**

BOX 4. **State project number or identification number:** The State project number or ID as assigned by the State or its funding recipient, consistent with the format reported in FMIS. Federal Lands will use this column to assign the "State" where the project is located. Do not enter multiple State project numbers or identification numbers; this field can only contain one project number.

BOX 5. **Contract Number:** If multiple contracts exist on individual projects then list the contract numbers. Note that the combined State Project Number and Contract Number must be unique. Do not enter multiple contract numbers in one cell, each contract number must be a new line in the form. If this row is used for entering State employment data by project then enter zero (0) in this cell.

BOX 6. **Project description:** The State's general description of the project scope.

BOX 7. **Contractor name and State/local agency:** The official business name of the contractor or consultant awarded the Recovery Act project. The name of the State DOT or funding recipient (other State agency, Federal agency, tribe, MPO, city, county, or other funding recipient).

BOX 8. **Status of contractor employment reports:** A numeric code field that describes the completeness of the prime contractor's or consultant's monthly jobs report to the State.

Code	Description
0	The State has received jobs, hours, and payroll data for the prime contractor or consultant, including at least one subcontractor.
1	The State has received jobs, hours, and payroll data for the prime contractor or consultant but not for any subcontractors.
2	The State has received jobs, hours, and payroll data for at least one subcontractor, but not for the prime contractor or consultant.
3	The State has not received jobs, hours, or payroll data for the prime contractor, consultant and/or subcontractors.

Box 9 **Total Employees:** The number of people employed by the prime contractor or consultant and all their subcontractors during the reporting month for each project. Reported as a whole number.

Box 10 **Total Hours:** The total hours for all people employed by the prime contractor or consultant, and subcontractor employees for the reporting month. Reported as a whole number.

Box 11 **Total Payroll:** The total dollar amount of wages paid by the prime contractor or consultant and all their subcontractors during the reporting month. Rounded to the nearest whole dollar and reported as a whole number.

FHWA – 1588: Periodic Grouped Project Report

Report Purpose:
This suggested report form is for cases in which a State needs to provide information on one or more individual ARRA projects that are part of a previously awarded grouped, bundled or area wide project, as indicated in the Initial Project List (Project Type = "D", "S", or "O"). These data will be used for meeting the reporting requirements of Sections 1201, and 1512. States shall provide the required information as individual projects. If a State or Federal Lands agency has no grouped or bundled projects, then no report is necessary. An example of an area wide grouped or bundled project would be a district wide bridge project that involves re-decking one bridge and replacing the guardrail on a second. Each of these individual bridge projects would be reported on this form after they have been awarded.

Brief description of the information to be included in the report:
Project data to be included: county, congressional district, State/fed project numbers, project purpose, cost, completion date, economically distressed area, route, start/end point, award date

State/Federal guideline reference (if applicable):
These data will be used for meeting the reporting requirements of Sections 1201, and 1512. States shall provide the required information as individual projects. If a State or Federal Lands agency has no grouped or bundled projects, then no report is necessary.

Identify the source of the information:
Finance and Administration: Capital Services, columns 1-9; Contracts, column 16
Engineering/Construction, columns 10-11
Planning, column 12

Information for the report is submitted to (within CDOT):
Ted Szymanski, Division of Internal Audits, Office of the Commissioner

Frequency/Due Date of updating the information:
Within 2 weeks of the project being awarded.

Completed report is submitted by:
Ted Szymanski, Division of Internal Audits, Office of the Commissioner

Completed report is submitted to:
The State will e-mail the file to: ARRA.Submittal@dot.gov, with a copy to the FHWA Division Office official mailbox Connecticut.FHWA@dot.gov (*state*.fhwa@dot.gov).

Completed report distributed to:
Bureau Chiefs, Cheryl Malerba, P Scarrozzo, T Szymanski, R Jankovich,
david.w.nardone@fhwa.dot.gov; amy.jackson-grove@fhwa.dot.gov; george.poirier@fhwa.dot.gov

FHWA – 1588: Periodic Grouped Project Report (guidelines)

Periodic Grouped Project Report (Form: FHWA-1588)

(American Recovery and Reinvestment Act of 2009, Reporting Requirements, April 27, 2009)

This suggested report form is for cases in which a State needs to provide information on one or more individual Recovery Act projects that are part of a previously awarded grouped, bundled or area wide project, as indicated in the Initial Project List (Project Type = "D", "S", or "O"). These data will be used for meeting the reporting requirements of Sections 1201, and 1512. States shall provide the required information as individual projects. If a State or Federal Lands agency has no grouped or bundled projects, then no report is necessary. An example of an area wide grouped or bundled project would be a district wide bridge project that involves re-decking one bridge and replacing the guardrail on a second. Each of these individual bridge projects would be reported on this form after they have been awarded.

Format: The State can use the FHWA provided form, or submit the information as either a geospatial information system (GIS) shape/file, or an MS Excel spreadsheet.

Due date: Within 2 weeks of the project being awarded.

Due to: The State will e-mail the file to: ARRA.Submittal@dot.gov, with a copy to the FHWA Division Office official mailbox (*state*.fhwa@dot.gov). Questions should be directed to: ARRA.Questions@dot.gov.

Submittal: Please use the following naming convention "AA_1588_date.xls" where AA=2 character State abbreviation (New York = NY) and date=the date of submittal as "*mmddyy*." When e-mailing your file, please use the 2 character State abbreviation and form number in the subject.

Coding Instructions

BOX 1. **State:** Enter the 2 digit State FIPS code. If the form is being filled out for Federal Lands, provide the FLH Division or Federal Land Managing Agency (FLMA) region code. See Appendix A for a list of the State FIPS and FLMA region codes.

BOX 2. **Report date:** The date the list of projects is submitted, reported as *mm/dd/yyyy* (e.g. "May 1, 2009" would be coded as "05/01/2009").

BOX 3. **State/County:** A 5 digit code comprised of the 2-digit State FIPS code and 3 digit County FIPS Code. For example, the county of Somerset Maine would be coded as "*23025*." A complete list of State/County codes can be found in Appendix B. Federal Land Management Agencies will use this field to indicate the State and county where the majority of the project is located.

BOX 4. **Congressional District:** The numeric Congressional District consistent with FMIS. Multiple districts should be separated by a comma. States with one Congressional District should enter "*0*" (zero).

BOX 5. **Federal-aid project number:** The State assigned federal-aid project number, consistent with the seven digit format reported in FMIS. For example, the project STM-1222(12) should be reported as "*1222012*." Enter "*TBD*" If no federal-aid project number has been assigned yet. Do not enter multiple federal-aid project numbers; this field can only contain one project number.

BOX 6. **State project number or identification number:** The State project number or ID as assigned by the State or its funding recipient, consistent with the format reported in FMIS. Federal

BOX 7. Lands will use this column to assign the "State" where the project is located. Do not enter multiple State project numbers or identification numbers; this field can only contain one project number.

BOX 8. **Project description:** Consistent with STIP description and/or project description in FMIS. To the extent possible, should include a quantifiable description of the work, especially for area wide projects e.g. replace 50,000' of guardrail throughout District 1.

BOX 9. **Project purpose:** Enter the predominant improvement type description consistent with FMIS. Provide the text description of the improvement type and not the FMIS code. For example, the FMIS improvement type "1" should be entered as "*New Construction Roadway*." The complete list of FMIS improvement type codes and descriptions are provided in Appendix C.

BOX 10. **Total Cost of Recovery Act funds:** The estimated total amount of Recovery Act funds to be expended on the project. Enter the cost as whole dollars; do not provide costs in thousands or millions of dollars**.**

BOX 11. **Total Cost**: The estimated total cost of all Recovery Act and non-Recovery Act funds consistent with the STIP and/or FMIS. Enter the cost as whole dollars; do not provide costs in thousands or millions of dollars**.**

BOX 12. **Project Schedule. :** Estimated project or construction completion date. reported as *mm/yyyy* (e.g. "May 2009" would be coded as "05/2009)".

BOX 13. **Project rationale:** The recipient's rationale for funding the infrastructure investment with funds made available under this Act. Explain how the infrastructure investment will contribute to one or more of the purposes using the following codes:

Code	**Description**
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

BOX 14. **Economically Distressed Area:** A yes/no check-box to indicate if the project is in an economically distressed area.

BOX 15. **Route number:** Where applicable, the numeric identifier for the route on which the project is located. In some States this can be a mixed field consisting of both letters and numbers. Should be consistent with the route number provided for other federal reports, such as the Highway Performance Monitoring System (HPMS) or the National Bridge Inventory (NBI) and consistent with route number in STIP and/or FMIS.

BOX 16. **Beginning mile point:** Where applicable, the beginning mile point for the project.

BOX 17. **Ending mile point:** Where applicable, the ending mile point for the project.

BOX 18. **Award date:** The date that the Recovery Act project was awarded, reported as *mm/dd/yyyy*. (e.g. "May 01, 2009" would be coded as "05/01/2009)".

FHWA – 1589: Monthly Employment Report

Form Purpose:
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.

State/federal guideline reference (if applicable):
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.

Required Report Information:

- 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. This also includes any engineering personnel, inspectors, sampling and testing technicians, and lab technicians performing work directly in support of the ARRA funded project.
- The State's reports should include their own project labor, including permanent, temporary, and contract project staff.
- Employment information for each/every contractor/consultant/municipality constructing/inspecting the ARRA funded project
- Information includes: number of employees utilized, total labor hours, total labor $$ based upon the paid hourly rate for each employee (does not include fringes or any other benefits)
- Completed signed Form 1589 representative of the prior month's data will be submitted to the respective CTDOT District Office Designee by the 3rd of each month
- District Designee will electronically forward the completed 1589 to Ted Szymanski (Theodore.szymanski@ct.gov) by the 5th of each month

Identify the source/type of the information:
Project labor records would be the source (i.e. certified payrolls) for providing labor information. Note: Reported labor information is subject to audit and must be fully supported.

Information for the report is submitted by:
Municipal Projects: The designated project director is responsible for gathering the required labor data from the prime contractor and consultant for their workforce and the workforce of their subcontractors active during the reporting month. (If inspected by municipal inspectors, their labor data would be included). The 1589 completed forms will be forwarded to the District Designee within the first 3 days of each month
State Projects: The Prime Contractor and Prime Consultant will be responsible for gathering the required labor data for their workforce and the workforce of their sub-contractors active during the reporting month. The 1589 completed forms will be forwarded to the District Designee within 3 the first 3 days of each month

- CTDOT labor data will be provided by Finance and Administration – Kevin Lawton
- Ct State Police (when applicable) will submit directly - Ann Williams

Information for the report is submitted to (within CDOT):
Completed 1589 forms are submitted by the Prime Contractor, Prime Consultant, and Municipality to the District Designee by the 3rd of each month
District Designee submits completed 1589 forms by the 5th of each month to Ted Szymanski at the following address: Theodore.Szymanski@ct.gov

Frequency/Due Date of updating the information:
Data submitted from the District - no later than the 5th of each month

Final Report submitted:
By: Ted Szymanski, Division of Internal Audits, Office of the Commissioner

Final Report submitted to: Connecticut.FHWA@dot.gov (1589 data is utilized to complete the 1587 Form, which is forwarded along)

Completed report distributed to:
Bureau Chiefs, P Scarrozzo, T Szymanski, R Jankovich, david.w.nardone@fhwa.dot.gov; amy.jackson-grove@fhwa.dot.gov; george.poirier@fhwa.dot.gov

FHWA – 1589: Monthly Employment Report (guidelines)

Monthly Employment Report (Form: FHWA-1589):
(Source: ARRA Reporting Procedure 3/31/09 – David Nardone)
The prime contractor or consultant needs to complete a report each month from the date of the notice to proceed until the completion of the contract or September 2012.

This form is required within 20 calendar days after the end of the preceding month's data. ConnDOT will send this form to the CT Division Official Mailbox.

The form will be forwarded to the MPTL and the FM. The FM will check boxes 3 and 4 against FMIS and the FHWA-1585 and 1586. The MPTL will verify all the rest of the information on the form. In particular, a check will be made to assure all contracts with a Notice to Proceed date already past (on Form 1585) have a 1589 submitted. Once the forms are verified, they will be saved on the common drive h:\arra\forms\statenumber\state number 1589 – MM/YYYY.xls The form will also be saved in the project file in ERS with a description: Form 1589, MM/YYYY.

Monthly Employment Report (Form: FHWA-1589)
(American Recovery and Reinvestment Act of 2009, Reporting Requirements, April 27, 2009)
This form is a guide for the States in providing employment information on each Recovery Act project. Monthly employment information on each Recovery Act 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 Recovery Act funded contract. The data requirement in Recovery Act 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 Recovery Act-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 Recovery Act 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 Recovery Act 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 20th 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 Recovery Act 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 Recovery Act 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 Recovery Act funded project prime contractor or consultant to the designated office in each State DOT or Federal Lands Division Office.

Coding Instructions

BOX 1. **Report Month:** The month and year covered by the report, as *mm/yyyy* (e.g. "May 2009" would be coded as "05/2009").

BOX 2. **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 3. **Federal-aid project number:** The State assigned federal-aid project number, consistent with the seven digit format reported in FMIS. For example, the project STM-1222(12) should be reported as "*1222012*"

BOX 4. **State project number or identification number:** The project number or ID, as assigned by the State or its funding recipient, consistent with the format reported in FMIS.

BOX 5. **Project location:** The 2 digit State Federal Information Processing Standard (FIPS) code for the project. If the project is being performed for Federal Lands, provide the 4 digit FLH Division or Federal Land Managing Agency (FLMA) region code. See Appendix A for a list of the State FIPS and FLMA region codes.

BOX 6. **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 7. **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 8. **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 tele-work 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 Recovery Act 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 Recovery Act 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 included 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 9. **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.

b**.** **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").

<u>1607: ARRA Acceptance</u>

Form Purpose:
That the State accepts the stimulus funding provided by ARRA and will maintain a level of funding/effort to continue regular/previous programs.

State/Federal Guidelines

Section 1607 - The Governor must certify by April 3, 2009, that, for funds provided to any State or agency thereof, the State will request and use funds provided by this Act and the funds will be used to create jobs and promote economic health. If the Governor does not provide this certification, then the State legislature may act to accept the funds. As this certification covers funding beyond the scope of highway funding, this certification will be coordinated by the OST. Additional information regarding the certification process will be provided pending instructions from the OST.

Completed report is prepared/submitted by:
Governor's Office

Completed report submitted to:
Connecticut.FHWA@dot.gov

Connecticut Department of Transportation
American Recovery and Reinvestment Act (ARRA)
OMB Reporting Plan

Appendix A:

	Report	*revised July 7, 2009			Within CDOT	Report	Report					2009											2010					
	Form	Report Title	Purpose	Timeframe	Info Provided by:	Prepared by:	Sent to:	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D
1	1201	1201 Certification (Initial)	Maintenance of Effort	One-time Report	Finance & Admin	P. Scarrozzo	Governor to USDOT																					
	FTA	1201 Certifcation (Periodic)		Continuous	Charlene Casamento		Connecticut.fhwa@dot.gov		18			1						1										
2	1511	1511 Certification (basis for 1586)	TIP, STIP, Obligated	2 weeks after T&S	Policy&Planning	P. Scarrozzo	website																					
		(must be posted on Web for funds to be obligated)		Continuous	Maribeth Wojenski		Connecticut.fhwa@dot.gov																					
3	1512	1512 Recipient Report	ARRA project info	Due July 10, 2009	Finance & Admin	T Szymanski	FTA				10																	
			Compliance Report	Other dates TBA	Construction							1																
4	1585	Monthly Recipient Project	Status of the project	Due from F&A by	F&A - Contracts	T Szymanski	Connecticut.fhwa@dot.gov	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
		Status Report		the 1st of the month	Construction																							
5	1586	Initial Project Information	Initial project info	Within 2 weeks of	Policy&Planning	T Szymanski	Connecticut.fhwa@dot.gov																					
		(derived from new 1511's)		issuing a new 1511	F&A, Construction		ARRA.Submittal@dot.gov																					
6	1587	Monthly Summary Employment Rprt	Total Project	Project response 5th	Project coordinators	T Szymanski	Connecticut.fhwa@dot.gov	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20
		(derived from 1589 info)	Employment info	Due 20th to Feds	R Jankovich if issues																							
7	1588	Periodic Grouped Project Report	1201 & 1512 info for	Due within 2 weeks	Cap Svcs	T Szymanski	Connecticut.fhwa@dot.gov																					
		(Not required if no bundled projects)	previously awarded	of award	Construction		ARRA.Submittal@dot.gov																					
			or bundled project		Planning																							
8	1589	Montlhly Employment Report	Project employment	Project response 5th	Towns, contractors	T Szymanski	Connecticut.fhwa@dot.gov	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20
		(basis for 1587)	data	Due 20th to Feds	CORE info (internal)		ARRA.Submittal@dot.gov																					
9	1607	1607 Certification	Accept stimulus	One-time Report		Governor	Governor to Washington DC	3																				
			provided by ARRA																									
10	1609	1609 Section - Title XVI	Status & progress of				To be determined		1			1			1			1			1			1			1	
			NEPA projects																									
11	T&I	Table 1	Aggregate data	Varies	F&A, Construction	P. Scarrozzo	P.Scarrozzo to Governor	4	15	15	15	20	20		20													
			by Formula Program		Planning		to Washington DC																					
12	T&I	Table 2	Aggregate data	Varies	F&A, Construction	P. Scarrozzo	P.Scarrozzo to Governor	4	15	15	15	20	20		20													
			Project specific				to Washington DC																					
13	T&I	Table 3	Coordinator info	Varies	Phil Scarrozzo	P. Scarrozzo	P.Scarrozzo to Governor	4	15	15	15	20	20		20													
14	T&I	Table 4	MPO info	Varies	Maribeth Wojenski	P. Scarrozzo	P.Scarrozzo to Governor	4	15	15	15	20	20		20													
15		MOE Expenditure Tracking	Maintenance of Effort	Varies	F&A Pat Hustus	P. Scarrozzo	Connecticut.fhwa@dot.gov	18																				
	FTA	FAA Reporting		Varies	Robert Bruno	R Bruno	FTA FAA																					
16		Periodic Reports		Varies					18			16						17										
17		Interim Application Guidance for the		Due June 17, 2009						17																		
		Three Grant Types																										
18		Applications Due		Due Aug 16, 2009								16																
19		Governor's Report	TBA	Monthly	TBA		TBA			24		3	3	3	3	3	3	3	3	3	3	3	3	3	3	3		
20		OPM Report	ARRA project info	Varies	F&A, Construction	P. Scarrozzo	OPM		20																			
21		Report of ARRA Projects	Status of projects	Monthly	Ted Szymanski		Amy				3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3		
22	FTA	Financial Status Report (FSR) &	FTA Circular 5010	Due quarterly,			FTA				10			10			10			10			10			10		
23		Milestone Progress Report (MPR)		on the 10th																								
24		Weekly Status	Notice to proceed	weekly	Phil Scarrozzo		David Winters	Weekly																				
25		RPO Project Status Report	Provide RPO status		Ted Szymanski		J. Parker	Weekly																				
		Comptroller's Report			F&A		Comptroller/Feds						30															