



FEDERAL TRANSIT ADMINISTRATION

FTA Oversight and Reporting

May 14, 2015

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FTA Oversight and Reporting

- **Oversight Definition:**

- Continuous review and evaluation of grantee and FTA processes to ensure compliance with statutory, administrative, and regulatory requirements.

- **Oversight Goal:**

- Projects provide their promised benefits, are safe and can be properly maintained, and are delivered on time, within budget and in compliance with all applicable Federal requirements.

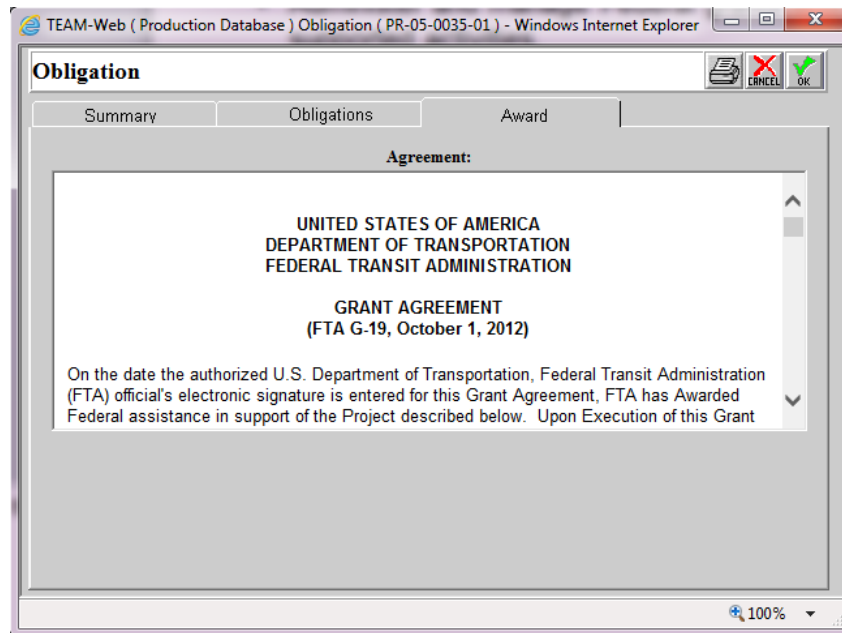
FTA Oversight and Reporting

- **Grantee Responsibilities**
- Grant Management
- Financial Management
- FTA Reviews
- Reporting Requirements
- Grant Modifications
- Guidance and Resources



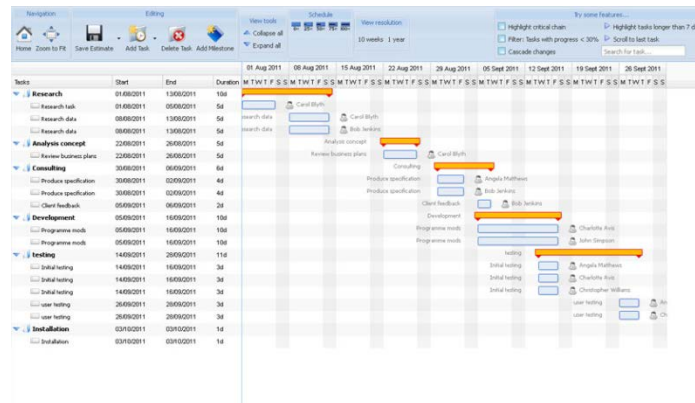
Grantee Responsibilities

- Administer and manage Federal grants and grant supported activities.
- Ensure conformity to grant agreements, applicable statutes, codes, ordinances, and safety standards.



Grantee Responsibilities

- Maintain the project work schedule
- Monitor grant activities to ensure that schedules are met and other performance goals are achieved.
- Ensure compliance with FTA requirements on the part of agencies (sub-recipients), consultants, contractors, and subcontractors working under approved third party contracts or inter-agency agreements.



Grantee Responsibilities

- Account for project property, provide for its repair and replacement, and maintain property inventory records
- Request and withdraw Federal cash only in amounts and at times as needed to make payments that are immediately due and payable (3 day Rule)
- Keep expenditures within the latest approved budget.



Grantee Responsibilities

- Demonstrate and retain satisfactory continuing control over the use of project property.
- Ensure that effective control and accountability is maintained for all grants, subgrants, cash, project property, and other assets.
- Grantees and subgrantees must ensure that resources are properly used and safeguarded, and that funds, equipment, and property are used solely for authorized purposes.

Grantee Responsibilities

- Preventive Maintenance
 - Rolling Stock
 - Facilities
 - Equipment



Grantee Responsibilities



- Prepare and submit FTA required reports
 - ❑ TEAM/TrAMS, NTD, Civil Rights, Drug and Alcohol, etc.
- Update and retain FTA required reports and records for availability during reviews
- Ensure an annual single audit is conducted in accordance with OMB Omni Circular

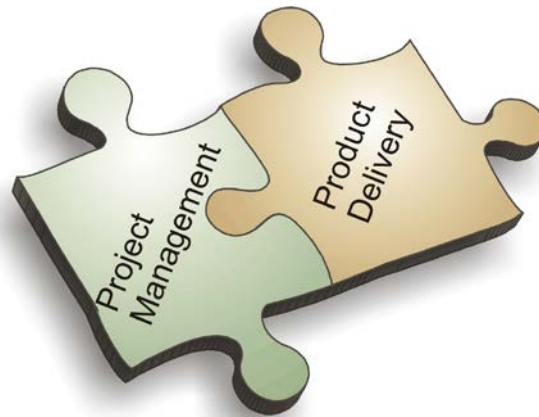
Grant Management

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Grant Management

FTA C 5010.1D:

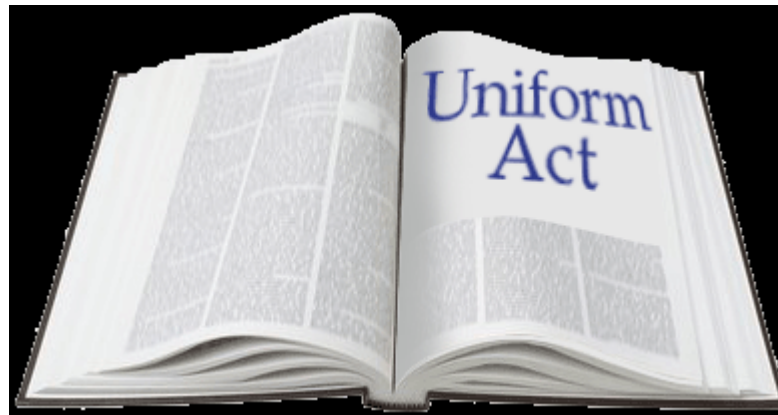
Real property, equipment and supplies, rolling stock, and facilities purchased or constructed for project purposes must be managed, used, and disposed of in accordance with applicable laws and regulations.



Grant Management

Real Property

- NEPA Approval
- Must Meet Uniform Act 49 CFR Part 24
- Appraisals and Review Appraisals on file
- FTA Concurrence
 - ☐ >\$500k
 - ☐ In kind contributions
 - ☐ Administrative settlements >\$50k



Grant Management

- Satisfactory Continuing Control of FTA Assets: 49 CFR 18.32(b)
 - Useful Life
 - ☐ Use FTA Useful Life Policy, unless not defined
 - ☐ If not defined in FTA Circular 5010.1D, grantee shall propose method to FTA Regional Office



Grant Management

- Rolling Stock and Equipment Management Procedures
 - ☐ Equipment Records must be maintained by grantee (C 5010.1D, page IV-23)
- Disposition
 - ☐ Reached Useful Life?
 - ☐ Fair Market Value >\$5k?



Grant Management

Incidental Use

- Defined as the **authorized** use of real property (and equipment) **acquired or improved** with FTA funds for purposes of transit, but which also has **limited** non-transit purposes due to transit operating circumstances.



Grant Management

- Inactive Grant
 - fully disbursed or more than three years old and no disbursements for past year
- Grant Close out
 - 90 days after all activities are completed

A screenshot of a web application window titled "TEAM-Web (Production Database) Project Close Out FL-37-X062-01 - Windows Internet Explorer". The window displays a "Project Close Out" form with three tabs: "Close Out", "Funds Status", and "Close Out / Deobligation". The "Close Out" tab is active. It contains a table with three rows: "Budget", "Final FFR", and "Final Milestone Report". Each row has a small thumbnail image and a checked checkbox to its right. The bottom right corner of the window shows a zoom level of "100%".

Financial Management

- Grantee Responsibilities
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Financial Management

- Internal Controls
 - Grantees and sub-grantees must ensure that resources are properly used and safeguarded, and that they are used solely for authorized purposes.
- Allowable and Disallowed Costs - (FTA C5010.1D, page VI-7)
- Indirect Costs – must have approved Cost Allocation Plan (CAP)
- Three Day cash disbursement rule.
- Local match: available at time of disbursement
- Financial Plan



Financial Management

- ECHO: Electronic Clearing House Operation
 - Records must support ECHO requests.
 - When making any changes to the ECHO Web System, please remember you must submit:
 - ECHO Web Change/Modify Form
 - ECHO Web User Access Form (signed by the Authorizing Official) – No communal e-mail addresses
 - Rules of Conduct Form
 - Authorization and Certification Form (this form must be submitted on your letterhead)
 - If you have any questions:
 - Derethia Johnson at 404-865-5627
email: derethia.johnson@dot.gov

FTA Oversight and Reporting

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FTA Reviews

- **Oversight Reviews:**
 - Triennial Review
 - State Management Review (SMR)
 - Financial Management Oversight (FMO)
 - Procurement Systems Review (PSR)
 - Drug and Alcohol
 - Civil Rights

FTA Reviews

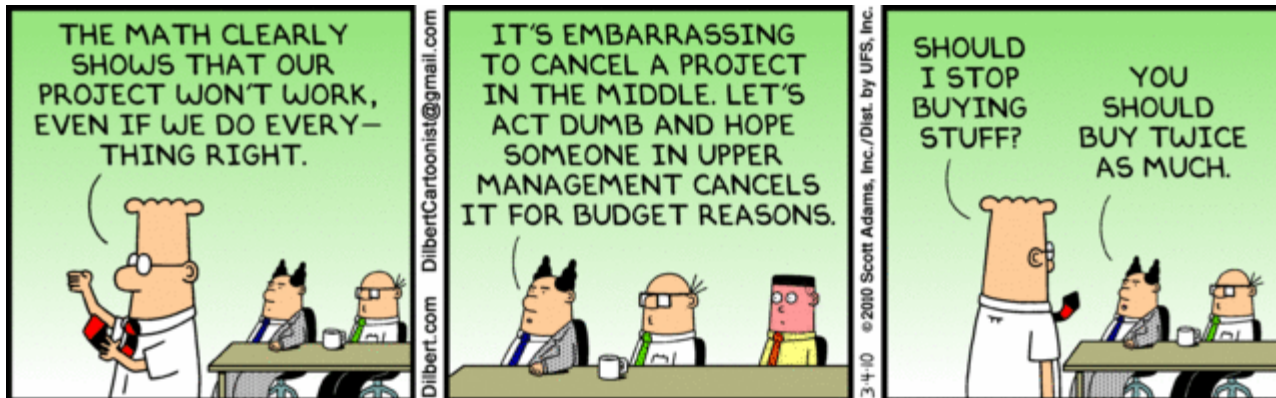
- **Project Level Reviews**
 - Safety Security Readiness Review (SSRR)
 - Project Management Oversight (PMO)
 - Financial Capacity Review

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Reporting Requirements

- Federal Financial Reports (FFR)
- Milestone Progress Reports (MPR)



Reporting Requirements

- The purpose of the FFR is to provide a current, complete and accurate financial picture of the grant
- Prepared on the accrual basis of accounting
- FFR must be submitted for all active grants
- Submitted electronically in TEAM/TrAMs system

Reporting Requirements

- If you requested Pre-Award authority then you must submit an initial FFR
- If you have not incurred costs, enter \$0 expenditures
- If you have incurred pre-award costs enter expenses in Lines F (Fed) and G (Recipient)
- Enter unliquidated obligations in lines I (Fed) and J (Recipient) for contracts awarded but not yet invoiced
- To attach additional files use the paperclip icon

Federal Financial Report			
Summary		Financial Status	Remarks and Certification
Line:	Transactions:	Previous	This Period
A.	Federal Cash on Hand at Beginning of Period:		Cumulative \$0.00
B.	Federal Cash Receipts :		\$7,320,960.00
C.	Federal Cash Disbursements:		\$7,320,960.00
D.	Federal Cash on Hand at End of Period:		\$0.00
E.	Total Federal Funds Authorized:		\$11,729,948.00
F.	Federal Share of Expenditures:	\$5,672,944.00	\$1,648,016.00
G.	Recipient Share of Expenditures:	\$1,418,237.00	\$412,005.00
H.	Total Expenditures:(F+G)	\$7,091,181.00	\$2,060,021.00
I.	Federal Share of Unliquidated Obligations:		\$373,243.00
J.	Recipient Share of Unliquidated Obligations:		\$93,380.00
K.	Total Unliquidated Obligations(I+J):		\$466,623.00
L.	Total Federal Share (F+I):		\$7,694,203.00
M.	Unobligated Balance of Federal Funds(E-L):		\$4,035,745.00
N.	Total Recipient Share Required:		\$2,932,487.00
O.	Remaining Recipient Share to be provided N-(G+J):		\$1,008,865.00
P.	Federal Program Income on Hand at Beginning of Period:		\$0.00
Q.	Total Federal Program income earned:		\$0.00
R.	Federal Program income expended in accordance with the deduction alternative:		\$0.00
S.	Federal Program income expended in accordance with the addition alternative:		\$0.00
T.	Federal Program income expended on allowable Transit Capital and Operating expenses:		\$0.00
U.	Federal Unexpended Program income (P+Q- R or S or T):		\$0.00

Milestone Progress Reports (MPRs)

Milestone Progress Reports contain:

- Detailed discussion of all budget or schedule changes.
- The dates of expected or actual requests for bid, delivery, etc.
- Revised estimated completion dates when original estimated completion dates are not met.
 - *Explanation of why revised milestones or completion dates were not met*
- Actual completion dates for completed milestones
- Complete list in FTA C 5010.1D, page III-4

Milestone Progress Reports (MPRs)

TEAM-Web (Production Database) D - Microsoft Internet Explorer

Milestones Status Report [ADD] [DELETE] [COPY] [PASTE] [PRINT] [REDO] [UNDO] [CANCEL] [OK]

Summary Milestone Status

☒ Work In Progress ☐ Submit Report

Recipient: [] []

Project: [] Statewide Capital Equipment Project

Amendment: []

Period: [FY2008, 1st Quarter] Paper Award? ☐ Yes ☒ No Pre-Award Authority? ☒ Yes ☐ No

☒ Quarterly ☐ Monthly ☐ Other Initial Submission: []

Final Report? [No, Not Final Report] Last Update: [1/25/2008]

Report Status: [MS/P Report In Progress; FSR In Progress]

Project Status: [Active Amendment]

Project Status Overview

1st qtr 2008. Majority of funds expended. Grant balance is earmarked for City of [] County. Anticipate grant balance will be obligated and expended during 2008.

Milestone Progress Reports (MPRs)

TEAM-Web (Production Database) - Microsoft Internet Explorer

Milestones Status Report

Summary | Milestone Status

Scope-ALI	Seq No	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date
99604-111215	1	RFP/IFB OUT FOR BID	2/28/2000		0	2/28/2000
	2	CONTRACT AWARDED	3/15/2000		0	3/15/2000
	3	FIRST VEHICLE DELIVERED	6/15/2000	9/30/2005	2	2/28/2005
	4	ALL VEHICLES DELIVERED	9/15/2002	12/31/2007	4	
	5	CONTRACT COMPLETE	12/30/2002	12/31/2007	6	
99605-111204	1	RFP/IFB OUT FOR BID	2/28/2000		0	2/28/2000
	2	CONTRACT AWARDED	3/15/2000		0	3/15/2000
	3	FIRST VEHICLE DELIVERED	6/15/2000		0	10/31/2001
	4	ALL VEHICLES DELIVERED	9/15/2001		0	10/31/2001

Line Item: 111215 buy replacement van (83)

FTA Amount: \$63,919.00 Total Eligible Cost: \$77,013.00 Quantity: 2

3rd Party Contractor Code:

Milestone Detail Description | Milestone Progress

Manufacturer has not yet completed testing, delaying delivery by 60 days.

If Orig. Est. Comp Date has passed as of the end of the Quarter enter a Revised Est. Comp. with an explanation in the textbox.

Date of Actual Comp Date MUST be provided.

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Grant Modifications

Types of grant modifications:

1. Budget Revision
2. Grant Amendment



Grant Modifications

Budget Revision - Budget revisions can be made in TEAM and do not increase the Federal funds or change the scope of the grant. Budget revisions are generally changes to Activity Line Item (ALI) amounts or descriptions.

See FTA Circular 5010.1D for allowable budget revision requirements, and the rules governing when prior FTA approval is needed or not.

Grant Modifications

Grant Amendment - A grant amendment is required when there is either a change in scope or Federal funds added to an existing grant. Grant amendments are subject to the same application requirements as a new grant (FTA review).

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Guidance and Resources

- *Master Agreement (21)* www.fta.dot.gov/documents/21-Master.pdf
- *5010.1D Grants Management* www.fta.dot.gov/legislation_law/12349_8640.html
- *4220.1F Third Party Contracting* www.fta.dot.gov/legislation_law/12349_8641.html
- *9030.1E Urbanized Area Formula Application Instructions*
www.fta.dot.gov/legislation_law/12349_15209.html
- *Best Practices Procurement Manual* http://www.fta.dot.gov/grants/13054_6037.html
- *Third Party Frequently Asked Questions* <http://www.fta.dot.gov/grants/14032.html>
- *NTI Courses* www.ntionline.com
- *FTA Triennial Review Workshop Workbook* www.fta.dot.gov/grants/12897.html
- *National Transit Database Glossary* www.ntdprogram.gov/ntdprogram/Glossary.htm

Questions?



Don't Forget the Survey!

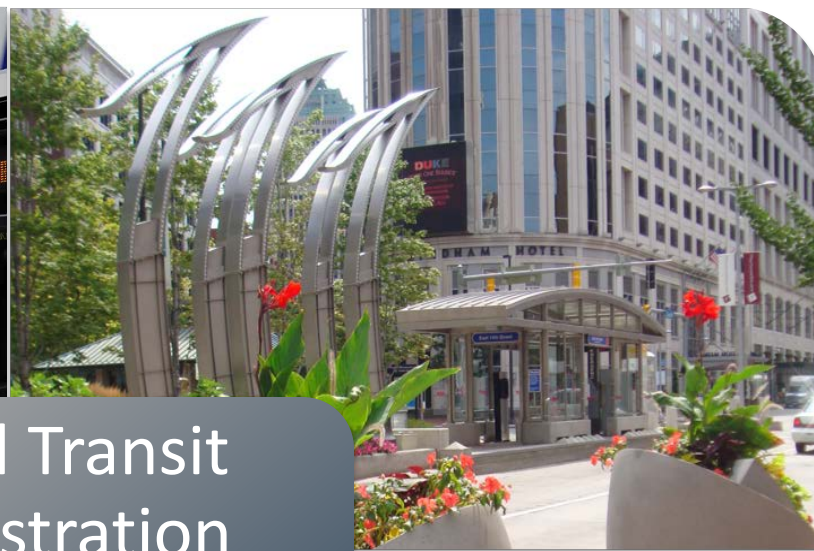
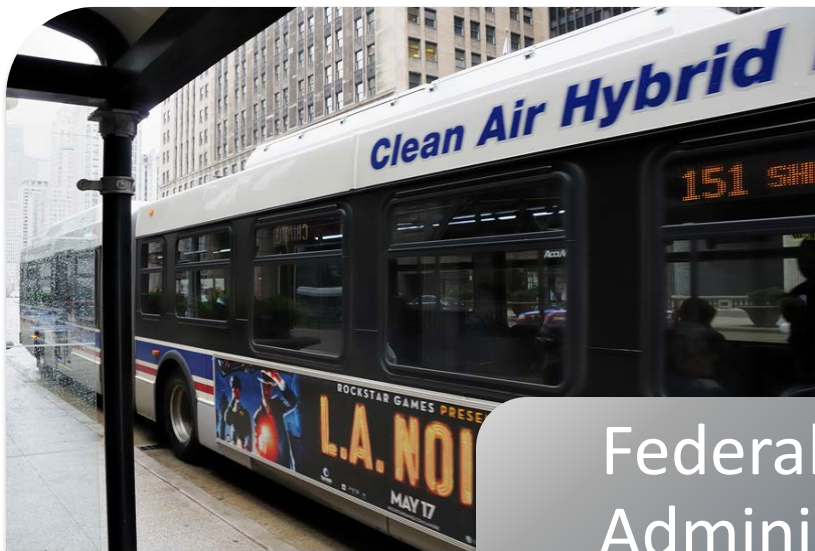
Please remember to complete the survey for this session by visiting the Guidebook App or

<http://goo.gl/forms/hhOzdnpmKK>

- Choose “Thurs., 3:30 p.m. - Grant Management Oversight & Reporting” from the dropdown list

Special Thanks to Our Vendors & Sponsors!

The logo for HNTB, featuring the letters "HNTB" in a bold, dark blue sans-serif font. The letter "H" has a small orange square on its left vertical bar.The logo for wendel, featuring a stylized graphic of three overlapping squares in blue, green, and dark blue, followed by the word "wendel" in a lowercase, blue, sans-serif font.The logo for HDR, featuring the letters "HDR" in a bold, dark gray, sans-serif font.The logo for National RTAP, featuring the text "National RTAP" in a green, sans-serif font, with "RTAP" being larger and bolder. To the right is a circular logo with a blue upper half and a green lower half, separated by a white swoosh. Below the text is "Rural Transit Assistance Program" in a smaller, green, sans-serif font.The logo for RouteMatch Software, featuring a stylized graphic of three interlocking cubes in blue and yellow, followed by the text "RouteMatch" in a blue, sans-serif font, with "Match" being larger and bolder. Below the text is "Software" in a smaller, italicized, blue, sans-serif font.



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