

FTA Circular 5010.1E Changes  
Revision 1, Changes dated July 21, 2017

1. Pages ii. PURPOSE has been revised to show the correct Authority citation, “49 CFR § 1.91.”
2. Chapter III. Subparagraph 2. APPLICATION PROCESS f has been revised to reflect how the applicant may indicate pre-award authority and now states “The identification of whether pre-award authority has been exercised for the Award and submission of an initial Federal Financial Report, if pre-award authority was exercised.”
3. Chapter III. Subparagraph 3. REPORTING REQUIREMENTS a(4) “General Reporting Purpose,” has been revised to reflect changes to overall end dates and now states, “If the Award requires a change in the overall end date of the Agreement, the recipient should consult the FTA Regional Office to determine if the change to the overall end date will be made through a budget revision or an amendment. Adjustments to individual activities may be made as part of the MPR.”
4. Chapter III. Subparagraph 3. REPORTING REQUIREMENTS b “Reports of Significant Events,” has been revised to indicate that a separate special report should be submitted under certain circumstances. “Separate” was added to provide clarity and better understanding.
5. Chapter III. Subparagraph 3. REPORTING REQUIREMENTS b(1) “Reports of Significant Events,” has been revised to reflect changes to end dates of Awards and now states, “If the Award requires a change in the overall end date of the Agreement, the recipient should consult the FTA Regional Office to determine if the change to the overall end date will be made through a budget revision or an amendment.”
6. Chapter III. Subparagraph 3. REPORTING REQUIREMENTS b(3) and b(4) have been deleted. b(3) stated, “Local events occur that affect transit in general, such as bond issues, a major service change, a major new employer, a loss of employer, public policy, or transit district in news” and b(4) stated, “Areas of non-compliance and potential conflicts of interest are identified.” These items were deleted to be consistent with Uniform Guidance.
7. Chapter III. Subparagraph 3. REPORTING REQUIREMENTS d(1)(c) “Milestone Progress Reports,” has been revised to reflect changes to end dates of Awards and now states, “If the milestone date exceeds the Award end date, the recipient should consult the FTA Regional Office to determine if the change to the Award end date will be made through a budget revision or an amendment.”
8. Chapter III. Subparagraph 3. REPORTING REQUIREMENTS i(2)(d) “Reporting Transit Vehicle Manufacturers,” has been revised to reflect the correct web site address for transit vehicle manufacturers.

FTA Circular 5010.1E Changes  
Revision 1, Changes dated July 21, 2017

9. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD has been revised to provide clarity and better understanding regarding modifications to the scope of work. Information regarding impacts to scopes of work, ALI codes, and the definition of “scope of work” have been deleted. Further details regarding the definition of scope of work can be found in the Chapter I, Subsection 5(a) “Definitions.”
10. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD a(1) “Award Budget Revisions,” has been revised and “of the Award and its Project(s) and its associated activities,” has been deleted to provide clarity regarding budget revisions requirements.
11. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD a(1)(a) “Award Budget Revisions” has been revised by deleting the example and adding the following statement, “the Recipient should consult with the Regional Office as to whether the action may necessitate an amendment” to provide clarity and better understanding of “zeroed out scope codes” and the need for an amendment or budget revision.
12. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD a(2)(a) “Procedures” information has been revised to indicate the criteria when prior approval is required for Award Budget Revisions. “For construction” has been deleted as the criteria applies to all Awards, not applied exclusively to construction projects.
13. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD a(2)(d) “Procedures” has been revised for clarity and better understanding by deleting “provided this action does not increase the federal or non-federal shares; otherwise it is an amendment.”
14. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD a(2)(f) “Procedures” has been revised by deleting “an earmark or discretionary” and “competitive” has been added to provide clarity and better understanding.
15. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD a(4) “Period of Performance” has been revised to reflect changes to periods of performance for Awards and now states, “may be made through a budget revision or an amendment with prior FTA approval. No new expenditures should be made beyond the end date of an Award. The recipient should consult the FTA Regional Office to determine if the change to the Award end date will be made through a budget revision or an amendment.”
16. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD a(5) “Rolling Stock Changes” has been revised to indicate when FTA prior approval is needed for changes to Rolling Stock changes and now states, “FTA prior approval is required for Fixed Guideway Capital Investment Program projects – New and Small Starts and Core Capacity Improvements (Section 5309). Section 5309 recipients should consult with the FTA Regional Office.” “FTA will determine whether the proposed change is a revision to the Award or constitutes an Amendment” has been deleted. This change was made to reduce the burden on FTA recipients.

FTA Circular 5010.1E Changes  
Revision 1, Changes dated July 21, 2017

17. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD c(1) “the new EAMS” was deleted and replaced with the name of the new system “TrAMS.”
18. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD (c)(3)(e) has been revised to reflect changes to period of performance. The following text was revised to state, “Change to Period of Performance, meaning, the beginning and end date of the Award. The Period of Performance may be modified by amending the Award or by submitting an Award budget revision. The recipient should consult the FTA Regional Office to determine if the change to the Period of Performance will be made through a budget revision or an amendment. No new expenditures should be made beyond the completion date of an Award.”
19. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD (c)(3)(e) thru (c)(3)(h) have been revised to correct the number order.
20. Chapter III. Subparagraph 4. MODIFICATIONS TO THE AWARD (c)(3)(e) has been revised to delete “or required matching funds.” This change was made to reduce the burden on FTA recipients.
21. Chapter III. Subparagraph 5. AWARD CLOSEOUT (c) “Adjustments to the Federal Share of Costs” has been revised to delete, “Federal assistance is not available for audit or activities in support of the Award after the Award has been closed.”
22. Chapter III. Subparagraph 7. RETENTION AND ACCESS REQUIREMENTS FOR RECORDS (c)(1) “Starting Date of the Retention Period” general information has been revised to state, “In most circumstances, the starting date for retention of records is the date when the recipient submits the final expenditure report to FTA.” This change was made for clarity and better understanding, as well as to reduce the burden on FTA recipients.
23. Chapter IV. Subparagraph 4. EQUIPMENT AND SUPPLIES (INCLUDING ROLLING STOCK). o(3)(d) “Like-Kind Exchange Policy” has been revised to replace “vehicle” with “equipment.” “For Example” was added to provide clarity and better understanding of the policy.
24. Chapter VI. Subparagraph 2. INTERNAL CONTROLS f(2) “Internal Control Self-Assessment” has been revised to include a weblink to the Internal Control Self-Assessment Tool.
25. Chapter VI. Subparagraph 5. FEDERAL PRINCIPLES FOR DETERMINING ALLOWABLE COSTS c(1) “Disallowed Costs” has been revised to delete, “or the Award Budget (whichever is earlier).” This change was made to reduce the burden on FTA recipients.

FTA Circular 5010.1E Changes  
Revision 1, Changes dated July 21, 2017

26. Chapter VI. Subparagraph 6. INDIRECT COSTS a “General” has been revised to delete, “and identify indirect costs in a separate budget line item to be eligible for reimbursement under an Award” and replaced with the correct citation from Uniform Guidance.
27. Chapter VI. Subparagraph 6. INDIRECT COSTS c “Cognizant Federal Agency” has been revised to state, “OMB has assigned cognizant audit agencies for state and local governments” for clarity and better understanding.
28. Chapter VI. Subparagraph 7. PROGRAM INCOME a “General” has been revised to add, “minus the cost of generating program income.” This change was made to provide clarity and better understanding.
29. Appendix B. FEDERAL FINANCIAL REPORT (FFR) Q “Total Federal Program Income Earned” has been revised to add “minus the cost of generating program income.” This change was made to provide clarity and better understanding.
30. Appendix F. COST ALLOCATION PLANS 3(d)(4) was revised to state, “All central service cost allocation plans will be prepared by governmental units or agencies that receive over \$35 million per year in direct Federal funding and, when required, submitted within six months after the close of each of the governmental unit’s fiscal years in which it proposes to claim central service costs. Extensions may be granted by the cognizant agency for indirect costs on a case-by-case basis.” This change was made to reflect the correct citation from Uniform Guidance.