

# Summary Grants Management

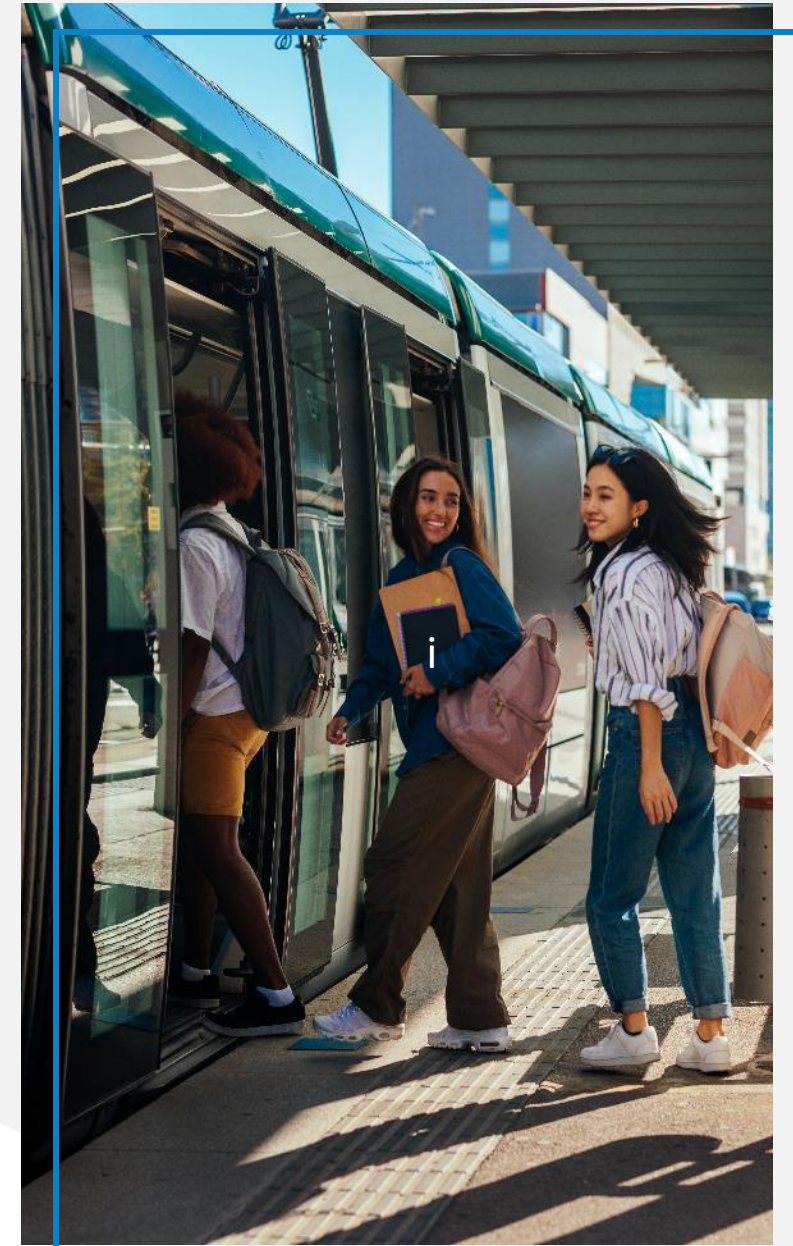
External Session 2 – Governmentwide  
Requirements

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FTA Office of Program Management



U.S. Department of Transportation  
Federal Transit Administration

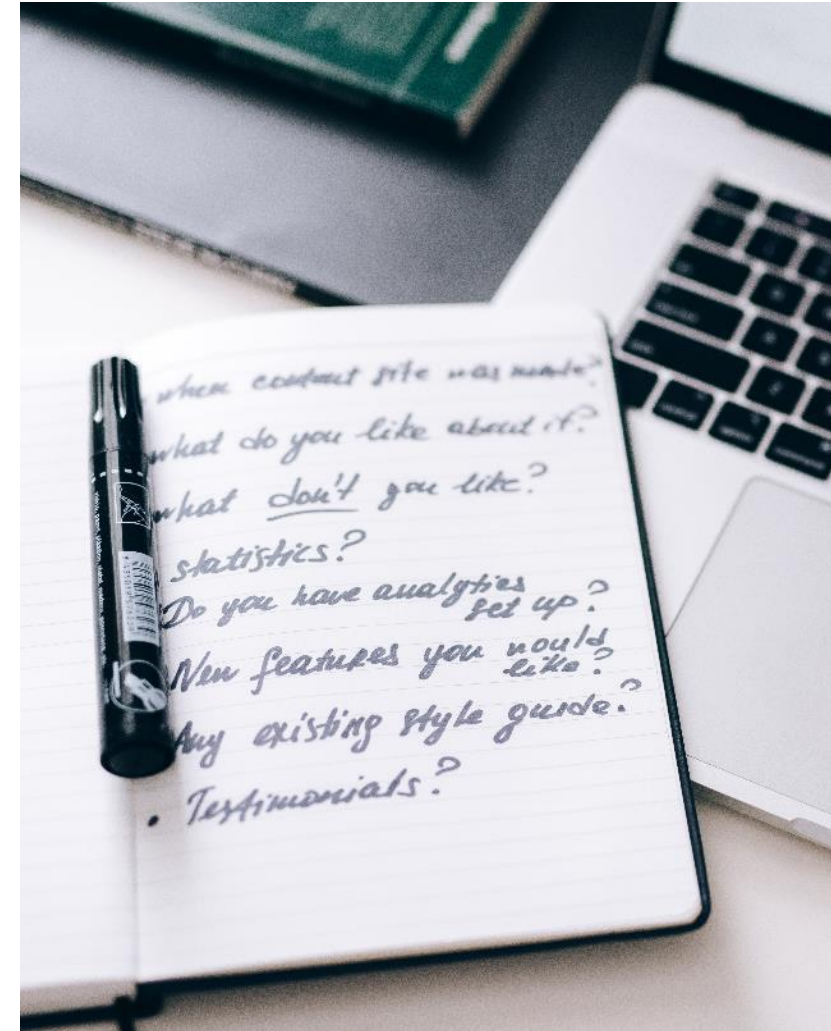


# Disclaimer

The contents of this presentation do not have the force and effect of law and are not meant to bind the public in any way. This presentation is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Recipients and subrecipients should refer to FTA's statutes and regulations for applicable requirements.

# The “Route” Ahead

- Welcoming Remarks
- Governmentwide Requirements Overview
- SAM.gov
- Accounting and Financial Requirements
- Single Audit
- Special Topics
  - Prohibited Sources
  - Indirect Costs
  - Procurement
  - Pass-through Requirements
- Next Steps

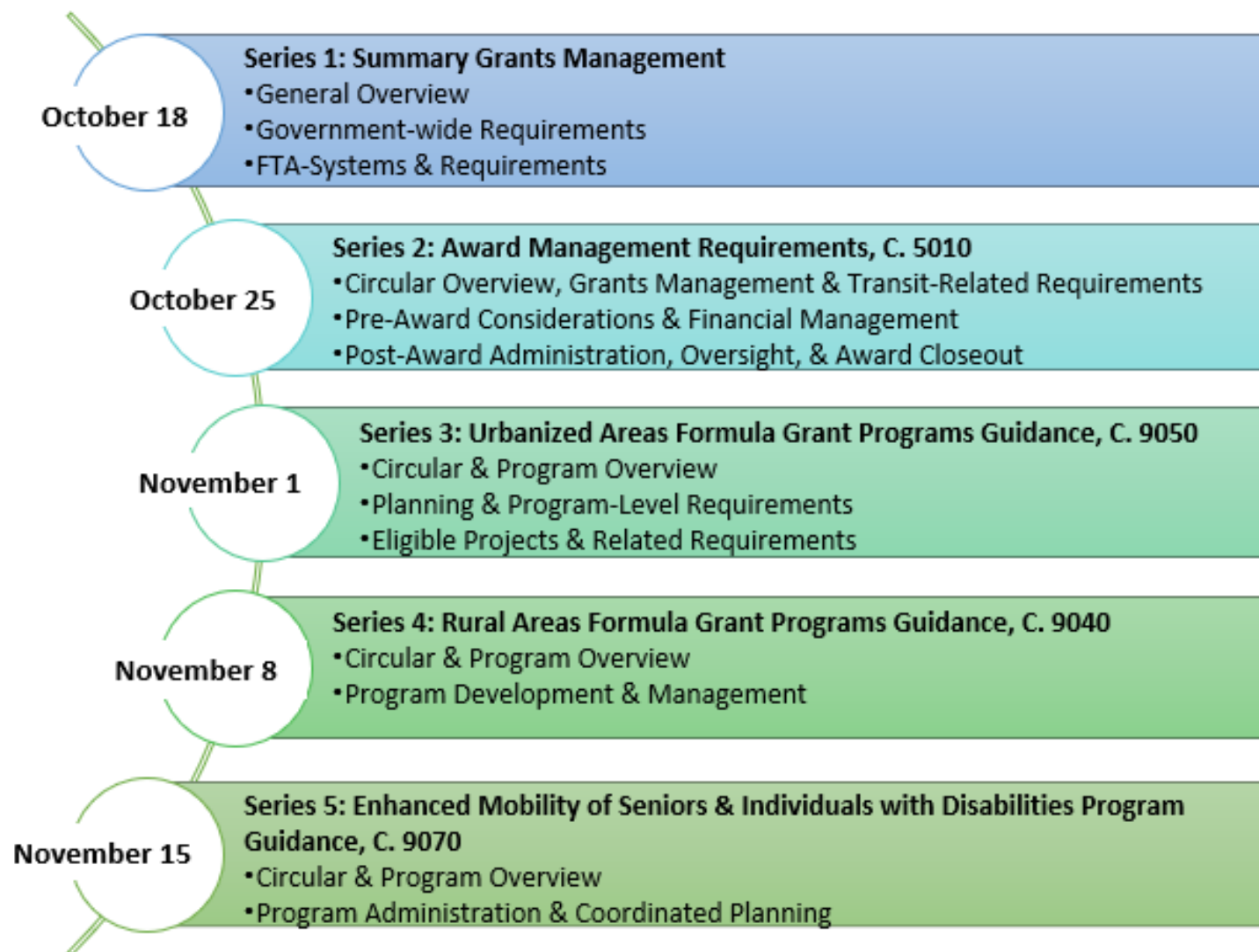


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# Video Placeholder

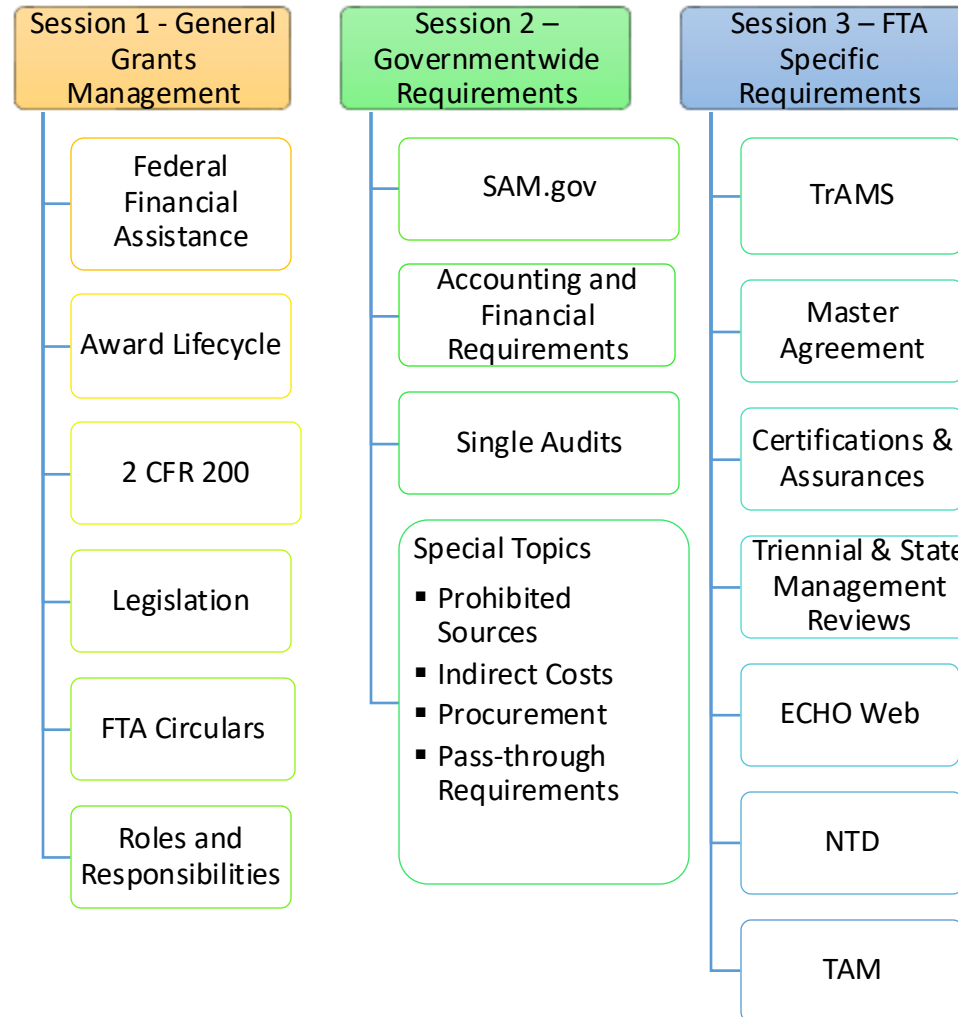
# Circular Rollout Video Release Schedule

Each Friday from October 18 through November 15, 2024, FTA will post a series of prerecorded videos addressing summary grants management information and highlight the requirements outlined in each of the revised circulars - 5010, 9050, 9040, and 9070.



# What is the External Summary Grants Management Video Series?

As part of the training planned for the updated Federal Transit Agency (FTA) circular publication, a series of sessions on general grants management and its systems & requirements was developed to create a baseline understanding of processes, tools and terminology. These trainings will help to create a foundation to understand updates to the circulars.



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# SAM.gov

# SAM.GOV

The System for Award Management (SAM.gov) is an official website of the U.S. Government and the first stop for contract and financial assistance recipients. The site is used to:

- Register to do business with the U.S. Government;
- Update, renew, or check the status of an entity's registration;
- Search for entity registration and exclusion records;
- Search for assistance listings (formerly CFDA.gov), wage determinations (formerly WDOL.gov), contract opportunities (formerly FBO.gov), and contract data reports (formerly part of FPDS.gov); and
- Access publicly available award data via data extracts and system accounts.





# SAM.GOV

## SAM Requirements (§ 25.200)

- Be registered in the SAM prior to submitting an application or plan;
- Maintain an active SAM registration with current information, including information on a recipient's immediate and highest-level owner and subsidiaries, etc.
- Provide its unique entity identifier in each application or plan it submits to the Federal awarding agency.

## Unique Entity Identifier (§ 25.205)

- At the time a Federal awarding agency is ready to make a Federal award, if the intended recipient has not complied with an applicable requirement to provide a unique entity identifier (UEI) or maintain an active SAM registration with current information, the Federal awarding agency:
1. May determine that the applicant is not qualified to receive a Federal award; and
  2. May use that determination as a basis for making a Federal award to another applicant.

## Subrecipient UEI (§ 25.300)

- A recipient may not make a subaward to a subrecipient unless that subrecipient has obtained and provided to the recipient a UEI.
- A recipient must notify any potential subrecipients that the recipient cannot make a subaward unless the subrecipient has obtained a UEI.

[85 FR 49523, Aug. 13, 2020]

# SAM.GOV & TrAMS

## UEI & SAM

- Every Recipient must be registered in SAM and have a 12-digit UEI number
- Every Recipient must be Registered and Active in SAM to apply for and receive federal assistance
- SAM account information must be reviewed and updated annually

## SAM.gov and Grants Management

FTA is required to check SAM when creating a new vendor and when every application is submitted.

FTA is reviewing to confirm that:

- SAM registration is current and active for the applicant
- SAM record does not include any prohibitions – suspensions or debarments – for parties included in the application
- Because FTA staff use a government registration, a complete record with more information regarding the recipient and its administrative personnel is reviewed

## SAM & TrAMS

- TrAMS (Transit Award Management System) is FTA's Grants Management System
- SAM registration is required for effective award management in TrAMS

# SAM.GOV & TrAMS

## Setting up a New FTA Recipient

- Financial, technical, and legal capacity has been determined sound.
- All documentation has been submitted (including civil rights program information as applicable).
- Financial information is submitted (ACH Form and Tax Identification Information, Banking Information and Delphi – all linked to the recipient/vendor ID).

## How TrAMS uses UEI and SAM

- TrAMS uses the grantee's Unique Entity ID (UEI) number to sync with the System for Award Management (SAM).
- TrAMS only allows for a one-to-one relationship – this means there should only be one UEI associated with SAM registration and associated with an FTA Vendor ID.
- UEI numbers and information cannot be shared among recipients; it is unique for each organization.



# SAM.GOV

Additional information or assistance can be obtained by Recipient from SAM's federal service desk:  
[https://www.fsd.gov/gsafsd\\_sp](https://www.fsd.gov/gsafsd_sp)

The screenshot shows the FSD.gov website interface. At the top, there is a navigation bar with links for "Home", "Knowledge Base", and "Live Chat with FSD". Below the navigation bar is the "fsd.gov" logo, which features the text "fsd.gov" in a stylized font with green lines radiating from the "d". To the right of the logo is a red-bordered badge that says "Official U.S. Government Website 100% Free".

The main content area is titled "Federal Service Desk" and includes the text: "Start here for help on SAM.gov, FPDS.gov, eSRS.gov, and FSRS.gov". Below this, there is a section for "Have a question?" with a search bar and a search icon. The search bar contains the text "Search" and a magnifying glass icon. Below the search bar, there is a link to "Search Help" and a list of categories: "User Guides, FAQs, Videos, Definitions".

On the right side of the page, there is a blue box with the SAM.GOV logo (a stylized American flag) and the text "Why is my entity Validation Incident in both SAM.gov and FSD.gov?". Below this text are two green buttons: "Entity Validation Help" and "Check Entity Status Chat".

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# Accounting & Financial Management Requirements

# Financial Management

Financial management allows for the proper, efficient and effective use of funds to accomplish an award's scope of work. Recipients are required to establish and use financial management systems in compliance with federal statutes, regulations and the terms and conditions of the award. The financial system must:

<p>Identify all federal awards received and expended including the awarding agency, the Federal Award Identification Number (FAIN), the appropriate fiscal year, the assistance listing title and number, and the pass-through entity, if applicable.</p>	<p>Identify the source and application of funds for federally funded activities, which contain information about authorizations, financial obligations, unobligated balances, assets, expenditures, income and interest.</p>	<p>Have effective control, accountability, and safeguarding for all funds, property, and other assets that must be used for authorized purposes in accordance with 2 CFR 200.303.</p>	<p>Compare expenditures with budgeted amounts.</p>	<p>Include written procedures to implement the requirements of federal payment a determining allowable costs in accordance with the Cost Principles included under Subpart E of 2 CFR 200.</p>	<p>Be accurate, current, and completely disclose the financial situation of awards for reporting, as established under 2 CFR 200.328.</p>
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# Internal Controls

## Under 2 CFR 200.303 – Internal Controls – a recipient must:

- Establish and maintain internal controls in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States or the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- Evaluate and monitor recipient’s compliance with statutes, regulations and the terms and conditions of Federal awards.
- Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- Take reasonable measures to safeguard protected personally identifiable information and other information the awarding agency or pass-through entity designates as sensitive or the recipient considers sensitive consistent with applicable Federal, State, local, and tribal laws regarding privacy and responsibility over confidentiality.

# Generally Accepted Accounting Principles - GAAP

GAAP sets out to standardize the classifications, assumptions and procedures used in accounting in industries across the United States. The purpose is to provide clear, consistent and comparable information on organizations financials.

Cost Principles – 2 CFR 200.403 - a cost must meet the following general criteria in order to be allowable under Federal awards: “Be determined in accordance with generally accepted accounting principles (GAAP), except, for state and local governments and Indian tribes only, as otherwise provided for in this part.”

Audit Requirements – 2 CFR 200.515 - the auditor’s report(s) must state that the audit was conducted in accordance with this part and include the following: “The type of report the auditor issued on whether the financial statements audited were prepared in accordance with GAAP...”

Since several components require records adhere to GAAP, recipients must build their internal system for tracking federal awards costs in accord with and to accurately maintain GAAP requirements.



# Payment

Federal payment procedures are addressed in the Uniform Guidance under 2 CFR 200.305. Under this provision:

- Federal agencies include payment information as part of the award terms and conditions.
- Payments to states are governed by Treasury-State Agreements (TSAs) under 31 CFR Part 205.
- Recipients must minimize the time elapsing between receiving funds from the federal government or the pass-through entity and their disbursement.
- Payments can only be withheld if the recipient has failed to comply with the project objectives, federal statutes, regulations, or the award's terms and conditions; once an issue is resolved, the recipient should be paid.

# Payment



## FTA Payments:

- While advance payment is outlined under 2 CFR 200.305, FTA awards primarily use reimbursement as the preferred method of payment.
- FTA uses the Electronic Clearing House Operation (ECHO)-Web application for payments.

# Accounting & Financial Management Resources

Topic	Resource
Federal Financial Assistance – Government-wide	• <a href="https://www.cfo.gov/">https://www.cfo.gov/</a>
Federal Financial Assistance Training – cfo.gov	• <a href="https://www.cfo.gov/resources/federal-financial-assistance-training/">https://www.cfo.gov/resources/federal-financial-assistance-training/</a>
GAAP Fact Sheet	• <a href="https://www.ojp.gov/sites/g/files/xyckuh241/files/media/document/GAAP_Guide_Sheet_508.pdf">https://www.ojp.gov/sites/g/files/xyckuh241/files/media/document/GAAP_Guide_Sheet_508.pdf</a>
ECHO Web User Guide	• <a href="https://www.transit.dot.gov/sites/fta.dot.gov/files/2024-05/ECHOWeb-User-Guide-v3.7.pdf">https://www.transit.dot.gov/sites/fta.dot.gov/files/2024-05/ECHOWeb-User-Guide-v3.7.pdf</a>

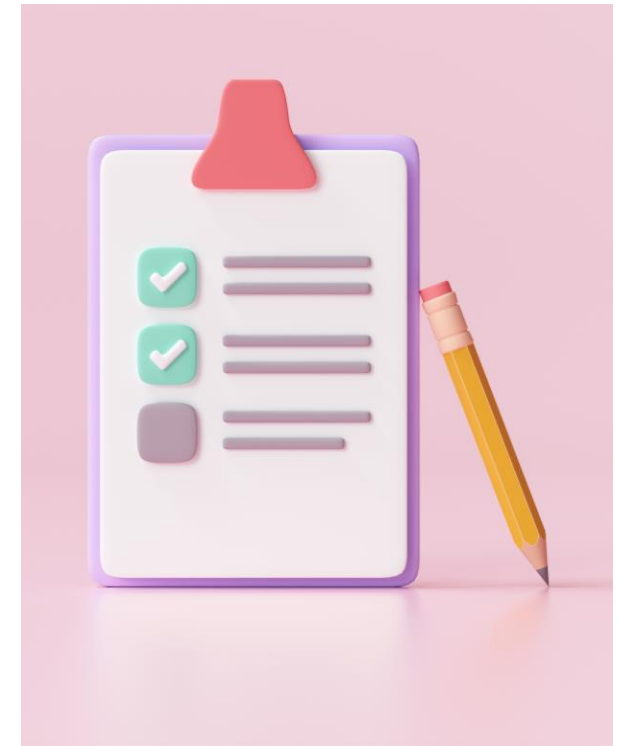
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# Single Audit

# Single Audit

The Single Audit is a tool to help financial assistance program management monitor Federal program activities. A Single Audit includes an audit of both an organization's financial statements and compliance with Federal award requirements. Through the audit process, independent auditors determine if an organization's financial statements fairly present the financial position and if they are presented in accordance with Generally Accepted Accounting Principles (GAAP) or another comprehensive basis of accounting.

The Single Audit process engages the recipient, conducting financial and program compliance audits, and submitting a report to a federally administered clearinghouse. The results of the audit provide information necessary to improve the stewardship of Federal financial assistance funds.



# Single Audit Responsibilities

## Auditee Responsibilities

Establish and maintain effective internal control over federal award.

Comply with federal statutes, regulations, and the terms and conditions of each award.

Procure and arrange for the audit.

Prepare financial statements and Schedule of Expenditures of Federal Awards (SEFA).

Follow up and take corrective action on audit findings identified by auditors, including preparing a summary schedule of prior audit findings, and a corrective action plan for current audit findings.

Submit the SF-SAC Data Collection Form, and the single audit report package to the Federal Audit Clearinghouse (FAC). Ensure the documents do not contain any personally identifiable information (PII).

Conduct audit in accordance with GAGAS, 2 CFR Part 200, Subpart F, and the Compliance Supplement, if applicable.

Determine whether auditee financial statements are presented fairly in all material respects in conformity with GAAP.

Test the auditee's internal controls.

Determine whether the auditee complied with applicable statutes, regulations, and terms and conditions of federal awards.

Follow up on the status prior-year audit findings schedule and related corrective action plan (e.g. implemented, in progress, or repeat).

Complete and sign the specified sections of the SF-SAC in the FAC.

## Auditor Responsibilities

# Single Audit FAQs

## Who Is Subject to a Single Audit?

- Auditees that receive \$1 million or more in federal funding within their fiscal year.
- For-profit organizations and foreign entities are not typically subject to Single Audits.

## Who Conducts Single Audits?

- Recipients are responsible for procuring the services of an independent auditors to conduct the audit.

## When are Single Audits Conducted?

- An auditee's Single Audit is conducted after the conclusion of their fiscal year.
- Single Audit reporting packages are due to the Federal Audit Clearinghouse (FAC) the earlier of 30 calendar days after receipt of an Auditor's report, or within nine months after the Auditee's fiscal year end.

## What Types of Programs are Subject to Single Audits?

- Programs that award federal financial assistance (e.g., grants, cooperative agreements, direct payments for specified use awards, and loans).

## What is the Compliance Supplement?

- 2 CFR Part 200, Subpart F – Audit Requirements includes broad instructions for agencies, auditees, and auditors for how to conduct Single Audits and program-specific audits. OMB issues the Compliance Supplement annually to provide Auditors with guidance and program-specific instructions for how to evaluate auditees that is distinct from what is required in 2 CFR Part 200.

# Single Audit & Management Decisions

If there is a problem with the audit and there are findings, recipients must follow up and address the issues. Recipients create plans to address the findings through corrective actions, and the appropriate federal or pass through agency will issue a “Management Decision Letter” that will document needed corrective action.

Management decisions are the awarding agency's or pass-through entity's written determination, of the adequacy of the auditee's proposed corrective actions to address the findings, based on its evaluation of the audit findings and proposed corrective actions.



The management decision must clearly state:

- Whether or not the audit finding is sustained;
- The reasons for the decision; and
- If the proposed corrective actions are sufficient to close the finding.



# Single Audit Resources

Topic	Resource
2 CFR 200 Subpart F – Audit Requirements	<ul style="list-style-type: none"> <li>• <a href="https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-F?toc=1">https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-F?toc=1</a></li> </ul>
Federal Audit Clearinghouse	<ul style="list-style-type: none"> <li>• <a href="https://www.fac.gov/">https://www.fac.gov/</a></li> </ul>
U.S. Department of the Treasury – Introduction to Single Audits and the Compliance Supplement	<ul style="list-style-type: none"> <li>• <a href="https://home.treasury.gov/system/files/136/Introduction_Single_Audits_Compliance_Supplement_Tribal_Entities_071223.pdf">https://home.treasury.gov/system/files/136/Introduction_Single_Audits_Compliance_Supplement_Tribal_Entities_071223.pdf</a></li> </ul>
U.S. Department of Health and Human Services – Understanding Single Audits Course	<ul style="list-style-type: none"> <li>• <a href="https://oig.hhs.gov/reports-and-publications/featured-topics/ihs/training/understanding-single-audits/content/#/">https://oig.hhs.gov/reports-and-publications/featured-topics/ihs/training/understanding-single-audits/content/#/</a></li> </ul>
Single Audit Point of Contact (TSO-30)	<ul style="list-style-type: none"> <li>• Dante Wells (<a href="mailto:Dante.Wells@dot.gov">Dante.Wells@dot.gov</a>)</li> </ul>

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# Special Topics

# Special Topics

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## 1. Prohibited Sources – 2 CFR 200.215 & 200.216



U.S. Department of Transportation  
Federal Transit Administration



## 2 CFR 200.215 & 200.216

Federal awarding agencies and recipients are subject to the regulations implementing Never Contract with the Enemy contained in 2 CFR Part 183 and compliance with [Public Law 115-232](#), section 889. These requirements reflect procurement and national security mandates and are integrated into 2 CFR Part 200 through the following provisions:

- Never contract with the enemy
- Applies provisions to overseas financial assistance awards exceeding \$50,000, performed outside the United States and its territories, and are in support of a contingency operation in which members of the Armed Forces

200.215



- Prohibition on certain telecommunications and video surveillance services or equipment.
- prohibits recipients and subrecipients from obligating or expending a loan or grant funds to obtain equipment from “covered telecommunications equipment or services” sources

200.216



- Telecommunication costs and video surveillance costs
- This provision of the Cost Principles excludes the covered sources as allowable expenses

200.471



## 2 CFR 200.216

- The prohibition under 200.216 applies to existing Federal awards.
  - The section 889 prohibition on covered telecommunications and video surveillance services or equipment is effective on all expenditures charged to Federal awards as of August 13, 2020
  - FTA is responsible for ensuring that recipients are aware of this prohibition apply the requirement to all open awards – new, existing or amended.
- In addition to the 3 entities outlined in 200.216, any additional entities will be incorporated into the excluded parties list in the SAM ([www.sam.gov](http://www.sam.gov)).
  - When a user conducts a search of the excluded parties list, a record will appear describing the nature of the exclusion for any entity identified as covered by this prohibition.
  - Recipients are reminded of the need to check sam.gov to ensure all subrecipient entities are monitored for risk and compliance.
- Recipients are permitted to use their own funds to procure covered equipment and services, but these cannot be used for meeting match requirements.

# Special Topics

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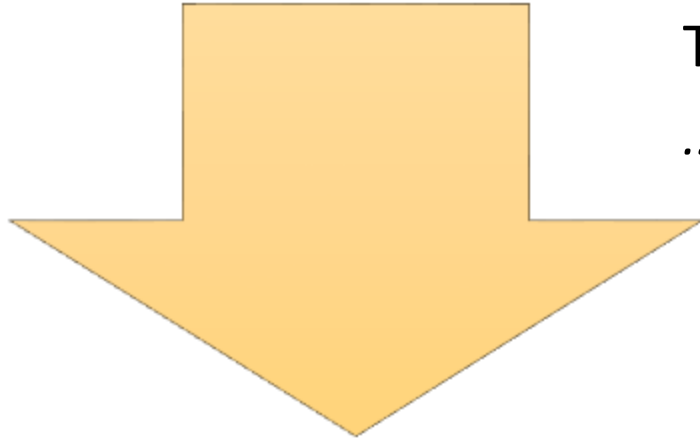
## 2. Indirect Costs



U.S. Department of Transportation  
Federal Transit Administration

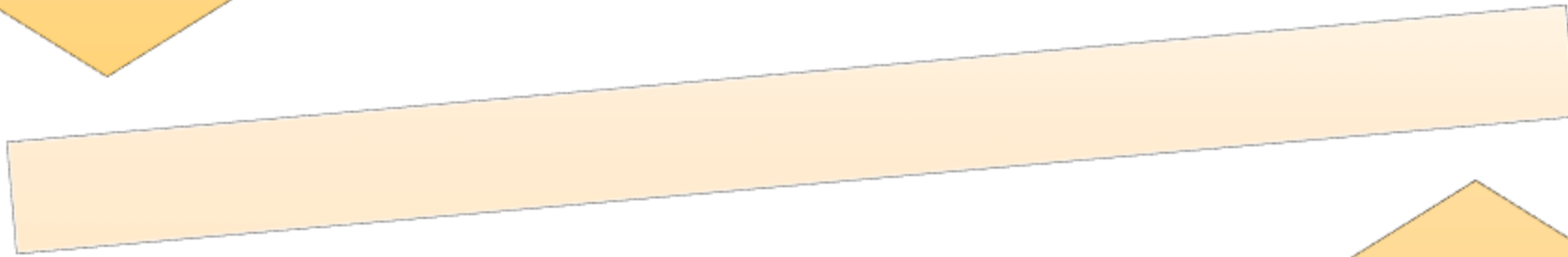


# Indirect Costs Definition



The *Uniform Guidance* defines **direct costs** as:

*...those costs that can be identified specifically with a particular final cost objective, such as a Federal award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.*



**Indirect costs** (F&A costs) are defined as:

*...those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved.*







# Indirect Costs Requirements & Awards

Applicants are not required to charge indirect costs, but if there is an indirect cost rate agreement for their organization, it must be followed.

Applicants must supply approval documentation if indirect costs are included in an award, unless they qualify for the De Minimis Rate.

Applications must note if indirect cost are included in the award budget and what the indirect cost rate is for the recipient organization, based on the indirect cost rate agreement or election of the De Minimis Rate.

As indirect cost rate agreements change, the recipient must support their rate(s) with the revised documentation to support any adjustments in rates or effective periods, which are most commonly the recipient's fiscal year.

# Indirect Costs Plans

## Cost Allocation Plan (CAP)

- Used by Governmental organizations
- Can be used to establish the rates requested with cognizant agencies
- Establishes a rate when using the formula – Indirect / Direct

## Indirect Cost Rate Proposal (ICRP)

- **May** be used by governments and **must** be used by non-profits
- An organization's cost allocation plan or similar document is used to create the rate approval submission

# Indirect Cost Rate Agreement

Basic information that should be included in the supplied Indirect Cost Agreement documentation:

Applicable Fiscal Year	Rate(s)	Rate Type	Base
<ul style="list-style-type: none"><li>• Provides timeframe for the agreement to be in effect</li><li>• Coincides with the recipient organization's fiscal year</li></ul>	<ul style="list-style-type: none"><li>• Established from organization's own direct and indirect cost pools</li><li>• Applied to the items of cost that are outlined in the base and included in the award budget</li></ul>	<ul style="list-style-type: none"><li>• Determines if the rate needs to be finalized with subsequent approvals or adjustments</li><li>• FTA can use predetermined rates</li></ul>	<ul style="list-style-type: none"><li>• Recipient selected</li><li>• Agreement documentation should include items excluded from base or limitations, such as equipment</li></ul>

These four pieces of information are from the indirect cost proposal application and are used to provide clarity for application to all federal awards.

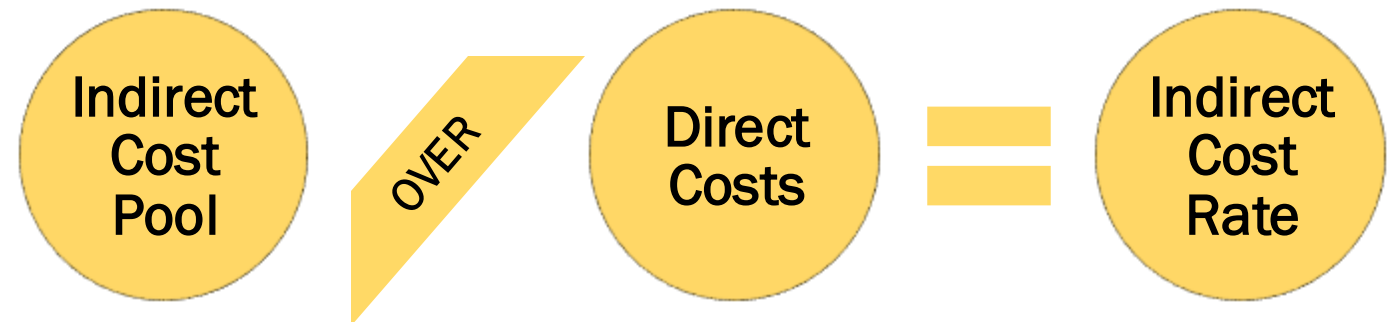
# Indirect Cost Rate Information

A ratio is created when the indirect costs are compared to the direct costs – indirect over direct – which becomes the rate documented in the agreement.

Rates may be:

- Provisional
- Final
- Fixed with Carry-Forward
- Predetermined

An organization may have multiple indirect cost rates for a particular year based on how it organizes costs, such as costs incurred for in-house and off-site activities or fringe rates.



# The De Minimis Indirect Cost Rate

The de minimis rate is the percentage of the Modified Total Direct Cost (MTDC) that can be used by non-governmental entities who do not have a negotiated Indirect Cost Agreement.



An applicant or recipient is eligible to apply the de minimis 15% indirect cost rate if receives less than \$35 million in federal funding.



The de minimis rate for an indefinite period of time, once elected, but organizations must still be compliant with the financial threshold in future fiscal years.



Unlike CAPs and ICRPs, a review of costs, plans, and documentation is not required; there is no need to have negotiations or a countersigned agreement.

# The De Minimis Indirect Cost Rate

Modified Total Direct Costs (MTDC) comprise the base costs upon which the de minimis rate is applied.



## MTDC are:

- All direct salaries and wages
- Applicable fringe benefits
- Materials and supplies
- Services
- Travel
- Up to the first \$50,000\* of each subaward (regardless of the period of performance of the subawards under the award)

## MTDC exclude:

- Equipment
- Capital expenditures
- Charges for patient care
- Rental costs
- Tuition remission
- Scholarships and fellowships
- Participant support costs
- The portion of each subaward in excess of \$50,000

# Using Indirect Costs

- The most basic requirement for preparing an acceptable indirect cost rate proposal and maintaining satisfactory supporting records is an adequate accounting system.
- An adequate accounting system does not refer to a specific piece of software but to the documented processes and procedures that are used to collect and report the accounting data.
- FTA recipients certify that they have this type of system under the Certifications and Assurances and when instituting the internal review requirements.
- When FTA is the cognizant agency for an organization submitting a central service CAP with individual departments for review,
  - FTA will review the central services CAP.
  - Department specific indirect cost rates need to be approved by the cognizant agency for those departments.
  - FTA will review rates only for departments included in the CAP where FTA provides the largest dollar value of direct federal award.



# Special Topics

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## 3. Procurement



U.S. Department of Transportation  
Federal Transit Administration





# Subrecipient vs. Contractor

Subrecipient	Contractor
Determines who is eligible to receive what Federal assistance	Provides the goods and services within normal business operations
Has its performance measured in relation to whether objectives of a Federal program were met	Provides similar goods or services to many different purchasers
Has responsibility for programmatic decision making	Normally operates in a competitive environment
Is responsible for adherence to applicable federal program requirements specified in the Federal award	Provides goods or services that are ancillary to the operation of the federal program
Uses the federal funds to carry out a program for a public purpose specified in an authorizing statute	Is not subject to compliance requirements of the federal program (such as eligible applicants or performance measures)

# Distinct Procurement Requirements

## States and other Recipients

- States must follow the same policies and procedures it uses for procurements from its non-Federal funds, under 200.317
- All other recipients and subrecipients of a State must follow the procurement standards in 200.318 through 200.327.

In general, the dollar amount of a purchase or contract impacts procurement requirements. The following three ranges outline the thresholds:

- Micro-purchase - \$10,000 or less is considered and involves the fewest federal requirements
- Small Purchase - \$10,000 to \$250,000 triggers additional requirements, including comparing costs from multiple vendors
- Larger Purchase – over \$250,000 is considered a larger purchase, which triggers the need for a formal competitive solicitation and other additional requirements

Governmentwide, contracts are governed by the Federal Acquisition Regulations (FAR) (48 CFR Subpart 2.1). However, FTA's recipients, in general, must adhere to the procurement standards the U.S. DOT implemented under 2 CFR Part 1201, FTA's authorizing legislation, and FTA's Master Agreement. See FTA's C. 4220.1F, Third Party Contracting Guidance, for additional information.

# FTA Requirements

FTA's Circular 4220.1F, "Third Party Contracting Guidance," dated 03-18-13 provides contracting guidance for recipients of federal assistance when using that federal funds to finance procurements (third party contracts).

To clarify requirements, FTA has a collection of resources to assist recipients in understanding requirements:

- [Best Practices Procurement Manual](#) - includes procedures, methods, and examples of procurement practices
- [Third Party Procurement FAQs](#) - is an extensive collection of questions and FTA's responses provided to recipients on procurement issues
- [Guidance in Response to Cost and Payment Questions](#) - a set of FAQs developed regarding a recipient's ability to modify the prices of existing federally assisted contracts or to structure their federally assisted contracts using advance or progress payments.
- [Guide for Procurement System Reviews](#) - is a structured way review the recipient procurement systems against 54 mandatory procurement standards.

# Special Topics

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## 4. Pass-Through Requirements



U.S. Department of Transportation  
Federal Transit Administration



# Pass-Through Recipient Requirements per 2 CFR 200.332

- Issue formal subawards to all subrecipients
  - Required elements are similar to those for the Federal Awarding agency
  - Identify all requirements imposed on the subrecipient to ensure compliance with federal statutes, regulations, and federal award terms & conditions
  - Identify the indirect cost rate(s)
  - Permit the pass-through entity and auditor access to financial records and statements
  - Include information on subaward closeout
- Conduct a risk assessment
- Impose specific subaward conditions
- Monitor subrecipients to ensure compliance
  - Review financial and programmatic reports
  - Follow up & ensure that the subrecipient has corrected identified deficiencies
  - Issue management decisions for audit findings
- Evaluate records
- Remedy non-compliance

# FTA Regulations and Programs

For FTA to effectively monitor awards and federally funded projects, FTA provides recipients with various documents, tools and resources to guide actions. Recipients should review the following links to meet mandated documentation, reporting, and procedures that share program guidance, regulations, Dear Colleague Letters, and more:

- Demonstrating legal, financial, and technical capacity to carry out programs and projects, through [FTA Circulars](#)
- Ensuring compliance with [procurement requirements](#)
- Complying with all applicable [civil rights statutes](#) and implementing regulations
- Complying with applicable [safety](#) and [asset management](#)
- Complying with [Transportation Planning Requirements](#), including Environmental and
- Ensuring [real property requirements](#) are met
- Participating in [oversight activities](#), specifically through the mandated Triennial and State Management Reviews



# Cross Cutting Issues Resources

Topic	Resource
2 CFR Part 200	<ul style="list-style-type: none"><li>• <a href="https://www.cfo.gov/assets/files/2CFR-FrequentlyAskedQuestions_2021050321.pdf">https://www.cfo.gov/assets/files/2CFR-FrequentlyAskedQuestions_2021050321.pdf</a></li></ul>
2 CFR Part 200 Frequently Asked Questions	<ul style="list-style-type: none"><li>• <a href="https://www.cfo.gov/assets/files/2CFR-FrequentlyAskedQuestions_2021050321.pdf">https://www.cfo.gov/assets/files/2CFR-FrequentlyAskedQuestions_2021050321.pdf</a></li></ul>
U.S. Department of the Treasury – Introduction to Single Audits and the Compliance Supplement	<ul style="list-style-type: none"><li>• <a href="https://home.treasury.gov/system/files/136/Introduction_Single_Audits_Compliance_Supplement_Tribal_Entities_071223.pdf">https://home.treasury.gov/system/files/136/Introduction_Single_Audits_Compliance_Supplement_Tribal_Entities_071223.pdf</a></li></ul>

# Next Steps

**Additional Trainings: Stay tuned to FTA's FY 2024 Circular Launch Page For Upcoming Friday Releases**

## Shared Mailbox

[FTACircularUpdate2024@dot.gov](mailto:FTACircularUpdate2024@dot.gov)

## Resources

### Learn More:

- [Grant Programs for Urbanized Areas: Program Guidance and Application Instructions \(9050\) Proposed Circular](#)
- [Award Management Requirements \(5010\) Proposed Circular](#)
- [Rural Areas Formula Grant Programs \(9040\) Proposed Circular](#)
- [Enhanced Mobility of Seniors and Individuals With Disabilities Program Guidance and Application Instructions \(9070\) Circular](#)



# FTA Mission, Vision, Values



## Mission

Improve America's Communities through Public Transportation



## Vision

A Better Quality of Life for All Built on Public Transportation Excellence

## Values

*Service*

Provide reliable, transparent, responsive, and anticipatory services to meet stakeholder needs

*Integrity*

Commitment to the highest professional and ethical standards

*Innovation*

Foster new ideas, concepts, and solutions for improved outcomes

*Sustainability*

Optimize decisions, resources, and systems to make long-term positive impacts on the environment, infrastructure, and safety

*Equity*

Remove barriers for systemically underserved communities to access all aspects of economic, social, and civic life

# Thank you!

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