FTA Oversight and Reporting
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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.
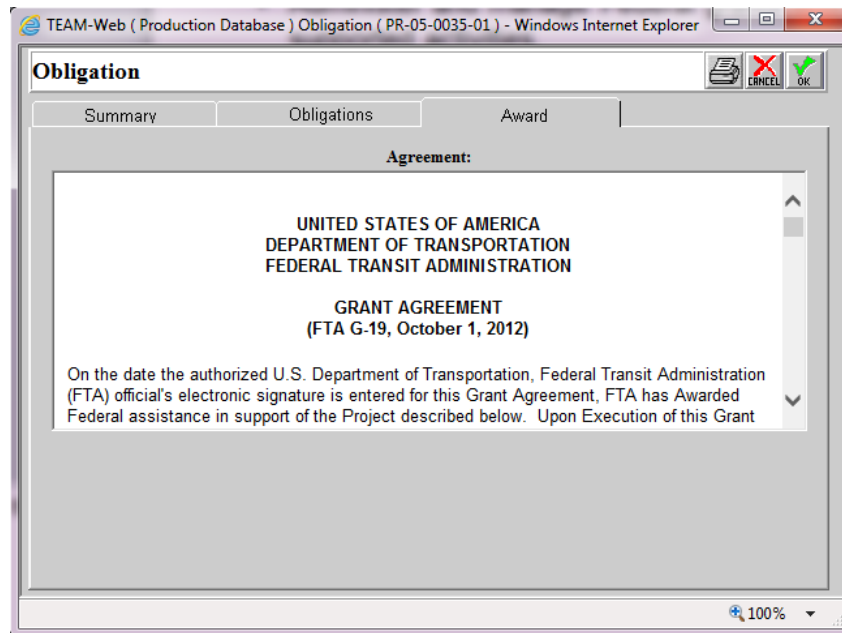
Grantee Responsibilities

- 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.
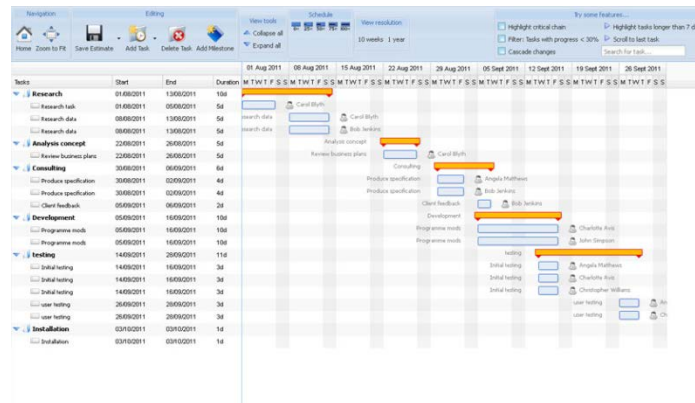
Grantee Responsibilities

- 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.

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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 safe-guarded, 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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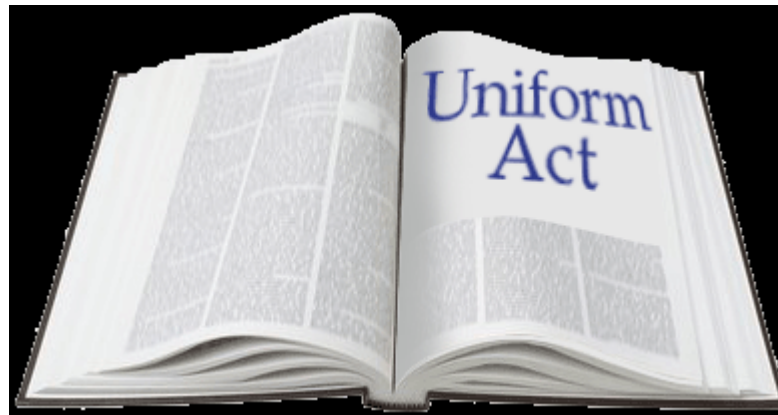
Grant Management

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.
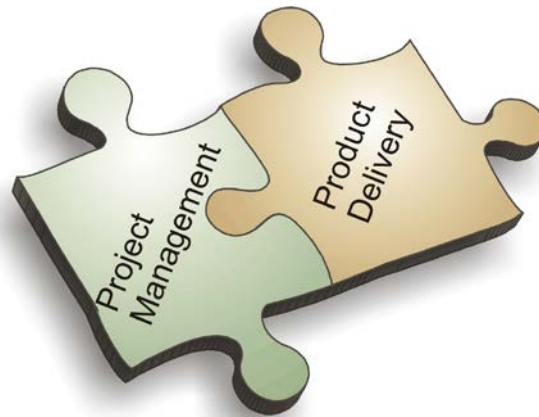
Grant Management

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

Financial Management

- Grantee Responsibilities

- Grant Management

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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

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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)
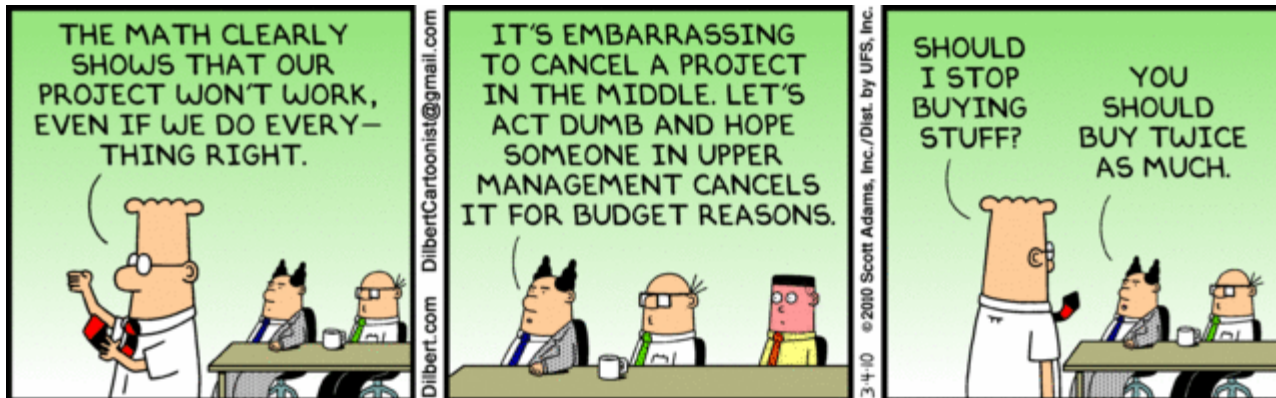
Reporting Requirements

- 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

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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	Cumulative
A.	Federal Cash on Hand at Beginning of Period:			$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	$7,320,960.00
G.	Recipient Share of Expenditures:	$1,418,237.00	$412,005.00	$1,830,242.00
H.	Total Expenditures:(F+G)	$7,091,181.00	$2,060,021.00	$9,151,202.00
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)

Milestone Progress Reports (MPRs)

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?

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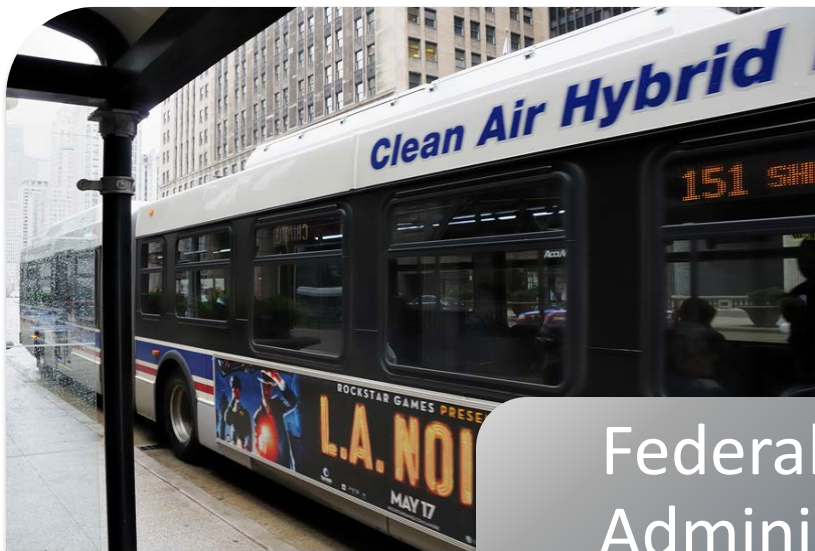FEDERAL TRANSIT ADMINISTRATION

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

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