



U.S. Department
of Transportation
**Federal Transit
Administration**

REGION VIII
Colorado, Montana,
North Dakota,
South Dakota,
Utah, and Wyoming

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REGION 8 BULLETIN NO: 2013-16

Subject: Financial and Milestone Progress Reports
Program Area: Oversight & Program Mgmt.
Date: October 21, 2013

To: ALL Federal Transit Administration (FTA) Region 8 Grantees

Re: Annual Federal Financial and Milestone Progress Reports for all Grantees with active Grants

Dear Grantees:

This is a reminder to all grantees with active grants. You have until October 30th, 2013 to enter annual/fourth quarter FY13 Federal Financial and Milestone Progress Reports into TEAM.

These reports are a Federal requirement and each grantee certifies, per FTA's Master Agreement and Annual Certifications and Assurance, they will comply with all applicable Federal Statutes, regulations, executive orders, FTA circulars and other Federal requirements. Future draw downs and grant awards could be delayed if reports are not completed on time and accurately. We appreciate your promptness and your attention to these requirements.

To enable you to enter this information correctly, we have attached guidance to assist you in filling out these reports. Please contact the appropriate FTA staff, noted below; if you have any questions on entering this data.

If you have further questions, please contact Ms. Donna Douville, Region 8, at 720-963-3332, donna.douville@dot.gov or the appropriate point of contact listed below for your geographic location.

Montana, South Dakota, North Dakota and Minnesota grantees:
Ryan Hammon, 720-963-3336 or ryan.hammon@dot.gov

State DOTs and Tribal grantees:
Jennifer Stewart, 720-963-3317 or jennifer.stewart@dot.gov

ARRA grants:
Ryan Hammon, 720-963-3336 or ryan.hammon@dot.gov

RTD and Wyoming grants:

Tim Sullivan, 720-963-3311 or timothy.sullivan@dot.gov

Colorado Grantees:

Tiffany Gallegos, 720-963-3312 or tiffany.gallegos@dot.gov

Utah Grantees:

Donna Douville, 720-963-3332 or donna.douville@dot.gov

Sincerely,

Charmaine R. Knight

Linda M. Gehrke
Regional Administrator

Attachments:

1. Federal Financial Report Checklist
2. Milestone progress Reports Checklist

Milestone Progress Reports Checklist

Milestone Progress Reporting is an important function of the grant process as it is the primary written communication between the grantee and FTA. It is important that the project managers and grant developers work together to ensure complete and accurate information is transmitted in these reports and submitted at the required intervals. Milestone Progress Reports (MPR) and Financial Status Reports (FSR) are required for all active grants as follows:

Annually – All Grantees: All Active Grants - **due by October 30th**

Quarterly – 1. Grantees > (200,000 population): All Active Grants - **due 30 days after end of quarter**

2. 5309 Grants: All that include construction of facilities - **due 30 days after end of quarter**

Attached is a 2-page checklist of the milestone information that you should be reporting as required by C5010.1D. This checklist includes **Yes** and **No** boxes to help you determine the applicability of certain questions and content you should provide. These questions are not necessarily in the same order as written in the circular, but rather divided by the content requested for the Summary and Milestone Status tabs in TEAM. *This checklist is not intended to replace any content from C5010.1D; grantees should defer to the circular for any clarifications.*

Summary tab

Milestone Status tab

TEAM-Web (PRODUCTION Database) WY-90-X042-00 - Microsoft Internet Explorer

Milestones Status Report

Summary | Milestone Status

Work In Progress Submit Report

Recipient: 1171 CITY OF CASPER

Project: WY-90-X042-00 2 Vans/PM & OA for FY 08

Amendment:

Period: FY2009, 1st Quarter Paper Award? Yes No Pre-Award Authority? Yes No

Quarterly Monthly Other Initial Submission:

Final Report? No, Not Final Report Last Update:

Report Status: MS/P Report In Progress; No FSR

Project Status: Active Amendment

Project Status Overview

purchased in this grant will be ADA accessible. Two buses were received however the contract was not completed until October due to a problem with seatbelts leaving a balance of \$8,984. The City of Casper purchased bus stop benches and the contract was completed July, 2008. One bus stop shelter was ordered in September and should be delivered in October. A new computer was put into service in July

Text box for narrative

Milestone Progress Reports Checklist

I. Is this grant made only for Operating Assistance?

- Yes** If Yes, reporting requirements are limited to the estimated and actual expenditure dates when all funding has been expended.
- No** If No, please continue with this checklist.

Under the **'Summary' tab**, in the **"Project Status Overview" text box**, the following should be described:
(Examples of informative project status overviews are attached)

I. A narrative description of projects, status, any problems encountered in implementation, specification preparation, bid solicitation, resolution of protests, and contract awards. It is preferable that you begin the narrative with the date you are submitting the milestone report.

II. A detailed discussion of all budget or schedule changes.

III. Do you have any claims on your project?

- Yes** If Yes, please do the following:
 - a. List all outstanding claims exceeding \$100,000, and all claims settled during the reporting period. This list should be accompanied by a brief description, estimated costs, and the reasons for the claims.
 - b. List all claims or litigation involving third party contracts and potential third party contracts that: i.) have a value exceeding \$100,000; ii.) involve a controversial matter, irrespective of the amount; or iii.) involve a highly publicized matter, irrespective of the amount.
 - c. If the claims do not meet the above criteria, you are not required to include information in your narrative report; however, if you are encountering many claims you are encouraged to contact the FTA Region 8 Office.
- No** If No, please write in the narrative that there are no claims.

IV. Do you have any change orders on your project?

- Yes** If Yes, list all potential and executed change orders and amounts exceeding \$100,000, pending or settled, during the reporting period. This list should be accompanied by a brief description. If the change orders do not exceed \$100,000, you are not required to include information in your narrative report; however, if you are experiencing many change orders you are encouraged to contact the FTA Region 8 Office.
- No** If No, please write in the narrative that there are no change orders.

V. Are you acquiring or donating any real property?

- Yes** If Yes, list all real property acquisition actions, including just compensation, property(s) under litigation, administrative settlements, and condemnation for each parcel. **Reminder:** FTA must review and concur in appraisals and review appraisals for acquisitions over \$500,000 or in-kind contributions of any value before Federal funds are expended, or the value is used as local match.
- No** If No, you do not need to prepare any narrative in response to this question.

Milestone Progress Reports Checklist

Under the **Milestone Status' tab:**

- I. Reflect the actual completion dates for completed milestones.
- II. Revise estimated completion dates when original estimated completion dates are not met.
- III. For vehicle purchases, the drop down menu for the 3rd Party Contractor Code becomes active when the "CONTRACT AWARDED" milestone is selected. Don't forget to select the appropriate contractor code.

In the **"Milestone Progress" text box, the following should be described:**

- I. Current status of each open ALI within the active/executed grant.
- II. The dates of expected or actual requests for bid, delivery, etc.
- III. Explanation of why scheduled milestones or completion dates were not met. Identification of problem areas and narrative on how the problems will be solved. Discussion of the expected impacts and the efforts to recover from the delays.
- IV. Analysis of significant project cost variances. Completion and acceptance of equipment and construction or other work should be discussed, together with a breakout of the costs incurred and those costs required to complete the project. Use quantitative measures, such as hours worked, sections completed, or units delivered.

TIPS for working in TEAM

- ❖ Click on the **Work in Progress** button to save your work so you don't lose it if you leave the screen or exit TEAM.
- ❖ Select "**Yes – Final Report**" from the drop down menu if the project is finished, the money expended, and you are preparing to close the grant.
- ❖ When you are finished entering in all the required data, click on the **Submit Report** button first, then click on the **OK** button (with the **green check mark**) in the top right corner of the TEAM screen.

Examples of informative project status

overviews are attached below.

Milestone Progress Reports Checklist

Summary	Milestone Status	<input checked="" type="radio"/> Work In Progress <input type="radio"/> Submit Report	
Recipient:	<input type="text" value="6265"/>	<input type="text" value="CITY OF ST. GEORGE, UTAH"/>	
Project:	<input type="text" value="UT-04-0005-01"/>	<input type="text" value="CONST - Bus Garage"/>	
Amendment:	<input type="text" value="CONST - Bus Garage"/>		
Period:	<input type="text" value="FY2011, 2nd Quarter"/>	Paper Award?	<input type="radio"/> Yes <input checked="" type="radio"/> No
		Pre-Award Authority?	<input type="radio"/> Yes <input checked="" type="radio"/> No
	<input checked="" type="radio"/> Quarterly <input type="radio"/> Monthly <input type="radio"/> Other	Initial Submission:	<input type="text"/>
Final Report?	<input type="text" value="No, Not Final Report"/>	Last Update:	<input type="text"/>
Report Status:	<input type="text" value="MS/P Report In Progress; No FFR"/>		
Project Status:	<input type="text" value="Active Amendment"/>		
Project Status Overview			
<p>1/25/11 r.m.: Construction for this project is in final inspection stage as of the Jan 19 2011. The next quarter draw down should close out this grant. There were some delays due to flooding and weather of 3 weeks. The architect has closed his business and moved. We are working directly with his sub's to finish the project and we will pay them directly. We have not received any claims on this project. No significant change orders.</p> <p>10/20/10 r.m.: 8 months into this project and it is going well. One month has been added to the design completion time due to material change orders and inspection delays. The contract has an 8 month completion date in it so the PM and design approvals for this will coincide with that time frame. The building is at significant completion and now there is just the landscape and parking lot to do. There are no official claims with this contractor but there have been some issues with timely disbursement of payment to his sub contractors. We have agreed with the contractor that the City of St.</p>			

Summary	Milestone Status	<input type="radio"/> Work In Progress <input checked="" type="radio"/> Submit Report	
Recipient:	<input type="text" value="1172"/>	<input type="text" value="DURANGO, CITY OF"/>	
Project:	<input type="text" value="CO-04-0067-00"/>	<input type="text" value="2010 Capital : NEV, bus/trolley, sh"/>	
Amendment:	<input type="text"/>		
Period:	<input type="text" value="FY2011, 2nd Quarter"/>	Paper Award?	<input type="radio"/> Yes <input checked="" type="radio"/> No
		Pre-Award Authority?	<input type="radio"/> Yes <input checked="" type="radio"/> No
	<input checked="" type="radio"/> Quarterly <input type="radio"/> Monthly <input type="radio"/> Other	Initial Submission:	<input type="text" value="4/4/2011"/>
Final Report?	<input type="text" value="No, Not Final Report"/>	Last Update:	<input type="text" value="4/4/2011"/>
Report Status:	<input type="text" value="MS/P Report Submitted; FFR Submitted"/>		
Project Status:	<input type="text" value="Active Amendment"/>		
Project Status Overview			
<p>4/4/11: I. There are 5 projects included in this grant. (a) Sedan purchase, zero emissions vehicle, this project is complete. There are remaining funds on this project in the amount of 5006.00. (b) Yield to bus signs. We have requested a budget revision to change the ALI to Electronic Communications, if granted we plan to purchase 800 MZ radios, and electronic communications devices for the buses. We anticipate these purchases to be completed in 2011. (c) Salazar Trolley 939 to replace trolley 936, this project is now complete. (d) Bus shelter project is complete. (e) Two <30 replacement buses. One Type I to replace bus 923 was ordered April 1, 2010 and this bus was held up a Goshen and we continue to await delivery of this vehicle. The Type II bus to replace bus 963 was also ordered on April 1, 2010; it arrived on August 5, 2010. II. There are no budget or schedule changes. IV. No, we do not have any change orders on this project.</p> <p>3/29/11: I. There are 5 projects included in this grant. (a) Sedan purchase, zero emissions vehicle, this project is complete.</p>			

FEDERAL FINANCIAL REPORT (FFR) CHECKLIST- NEW SF425 FORM

Annually – All Grantees: All open Grants - **due by October 30th**

Quarterly – 1. Grantees > (200,000 population): All open Grants - **due 30 days after end of quarter**

2. 5309 Grants: That includes construction of facilities - **due 30 days after end of quarter**

Due Dates for Reports in TEAM:

Quarter 1 – October thru December: Due January 30th

Quarter 2 – January thru March: Due April 30th

Quarter 3 – April thru June: Due July 30th

Annual/Quarter 4 – July thru September: Due October 30th - **all open grants require reporting at this time**

TEAM INSTRUCTIONS

Enter **TEAM**: at Main Menu go to “Program Management” (query for recipient id or project number)

Click on **Federal Financial Report** (first item under Project Management)

Note: Information can only be entered in boxes with **blue lines around** them. All other boxes are automatically calculated.

The screenshot shows the 'Federal Financial Report' form in a web browser. The form is divided into several sections:

- Summary** (selected tab): Includes 'Work In Progress' and 'Submit Report' buttons.
- Recipient:** 1172, DURANGO, CITY OF
- Project:** CO-04-0067-00, 2010 Capital : NEV, bus/trolley, sh
- Amendment:** 2010 Capital : NEV, bus/trolley, shelter
- DUNS Number:** 010628352
- EIN Number:** 9804026
- Report Type:** Quarterly (selected), Monthly, Annual, Other
- Period:** 2011,2nd Quarter
- Final Report?:** No, Not Final Report
- Indirect Expense:** Type: N/A, Rate: 0.00%, Base: \$0.00, Period From: , Period To: , Amount Charged: \$0.00, Federal Share: \$0.00
- Initial Submission:** 4/4/2011
- Last Update:** 4/4/2011
- Pre-Award Authority?:** Yes, No
- Report Status:** MS/P Report Submitted, FFR Submitted
- Project Status:** Active

Numbered callouts in the image:

- 1:** Points to the 'Work In Progress' button.
- 2:** Points to the 'Report Type' section.
- 3:** Points to the 'Final Report?' dropdown menu.
- 4:** Points to the 'Indirect Expense' section.

Summary TAB:

1. Click on **work in progress** so you don't lose your work in case you have to leave TEAM screen
(Remember you can only work in current quarter, but can view past quarters)
2. Report Type: Select appropriate type of report- (quarterly or annual)
3. Final Report: No selection needs to be made unless closing the grant then select “Yes-Final Report”
4. Indirect Expenses: Required to be completed if charging indirect costs
 - Grantees seeking payment for indirect costs must have prepared and received an approved Cost Allocation Plan (CAP) or indirect Cost Rate Proposal by FTA.
 - The information to be reported will be found in the approved CAP/CRP.

Financial Status TAB:

Note: Information can only be entered in boxes with **blue lines around** them (A–B–C–E–F–G–I–J–N–P–Q–R–S–T). All other boxes are automatically calculated.

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 :			\$129,243.00		Fed funds received (ECHO draws)
C. Federal Cash Disbursements:			\$129,243.00		Fed funds disbursed
D. Federal Cash on Hand at End of Period:			\$0.00		If not 0 explain why not disbursed
E. Total Federal Funds Authorized:			\$305,069.00		Fed funds authorized in grant + amendments
F. Federal Share of Expenditures:	\$236,936.00	\$0.00	\$236,936.00		Accrual basis – total Fed. Funds Expended
G. Recipient Share of Expenditures:	\$68,043.00	\$0.00	\$68,043.00		Accrual basis – total Local Funds Expended
H. Total Expenditures:(F+G)	\$304,979.00	\$0.00	\$304,979.00		
I. Federal Share of Unliquidated Obligations:			\$36,800.00		Fed Funds under contract-not expended
J. Recipient Share of Unliquidated Obligations:			\$9,200.00		Local Funds under contract-not expended
K. Total Unliquidated Obligations(I+J):			\$46,000.00		
L. Total Federal Share (F+I):			\$273,736.00		Fed funds expended + obligated
M. Unobligated Balance of Federal Funds(E-L):			\$31,333.00		Balance—Fed Funds not in use
N. Total Recipient Share Required:			\$76,268.00		
O. Remaining Recipient Share to be provided N-(G+J):			\$0.00		
P. Federal Program Income on Hand at Beginning of Period:			\$0.00		
Q. Total Federal Program income earned:			\$31,225.00		Program funds earned
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:			\$31,225.00		Program funds expended
U. Federal Unexpended Program income (P+Q- R or S or T):			\$0.00		

Lines A, B, C, D –cash basis –refers to FEDERAL MONIES only - cumulative

Line A –Cash on hand: ECHO draws – not paid out (will need to add explanation under Remarks & Certification tab why funds are still in bank)

ANY FEDERAL FUNDS HELD IN BANK MORE THAN 3 DAYS INCUR INTEREST THAT MAY BE REQUIRED TO BE PAID BACK TO FTA

Line B –Cash Receipts: total Federal funds (ECHO draw downs) received since origination of grant

Line C – Cash Disbursements: Federal dollars actually paid out by grantee

Line D – Federal Cash on hand (lines A +B –C): (in bank) Amount is automatically calculated

- Should be “0” -If not “0” add explanation under Remarks & Certification tab why funds are still in bank

Line E – Total Federal Funds authorized: amount awarded in grant plus any amendments

- If Line E is -0-, and Pre-Award Authority is marked “NO”:
 - Grant Award and Execution were completed in present quarter.
 - Authorized Federal funds will not appear in the FFR until the beginning of the next Quarter.
 - If the grant funds were also drawn down in the same quarter as the Award and Execution of the grant, the FFR will not be able to be updated/finalized until the next quarter begins.
- If Line E is -0-, and Pre-Award Authority is marked “YES”: An FFR must be submitted prior to grant execution

Line F – Federal Share of Expenditures: **accrual basis - Outlays = Expenditures**

- Sum of actual cash disbursement: (Examples)
 - Project construction costs or driver wages or fuel or operating expenses
 - If operating assistance, subtract: farebox revenues, rebates, refunds, other credits- see **FTA C 9030.1C Appendix D**
- Indirect expense incurred – overhead costs
- Value of in-kind contributions: (use of facilities, donated services, land, right-of-way)
- Accounts Payable –goods and services received but not paid for

2

LINE F (EXPENDITURES/INVOICES) SHOULD EQUAL OR BE GREATER THAN THE AMOUNT IN TEAM PROJECT FUND STATUS DISTRIBUTION TOTAL. THIS IS A GOOD CHECK TO SEE IF FFR IS ACCURATE.

Line G – Recipient Share of Expenditures:

How much of the amount expended (line H) is locally funded. If grant was approved for deferred local share, the amount on line F should be “0” zero until the local share is paid.

Line H – Total Expenditures: It is automatically calculated. (Lines F +G)

This amount is Federal dollars plus Recipient dollars

UNLIQUIDATED OBLIGATIONS: COMMITMENTS/CONTRACTS THAT CANNOT BE CANCELLED WITHOUT SUBSTANTIAL PENALTIES; PURCHASE AGREEMENT OF GOODS/SERVICES NOT YET RECEIVED OR RENDERED

Line I – Federal Share of Unliquidated Obligations –

Line J – Recipient Share of Unliquidated Obligations

Line K – Total Unliquidated Obligations: Federal and Recipient – automatically calculated (lines I + J)

Line L – Total Federal share: It is automatically calculated and **SHOULD NOT** be more than Line E
This amount is Federal dollars expended plus Federal dollars under contract (line F + I)

Line M – Unobligated Balance of Federal Funds. This is automatically calculated

Amount of Federal funds not paid out or obligated

Negative amounts are NOT allowed except when pre-award authority is marked “YES” and the authorized Federal Funds are not shown in the FFR

Line N – Total Recipient Share Required: to be automatically populated- taken from budget

esoht neve stneipicer-bus dna stneipicer yb dedivorp stnuoma hctam & gnirahs tsoc LLA sedulcni
amounts in excess of amount required (over match)

Line O – Remaining recipient share to be provided (N-(G+J)): automatically calculated

Lines P thru U – Program Income: Cumulative --gross income received by grantee directly generated by this grant supported activity or earned as result of grant agreement-do not have to report if grant is closed.

Program Income is NOT: **REBATES, INTERESTS, CREDITS, FAREBOX REVENUES (FOR THIS PURPOSE), OR PROCEEDS FROM THE SELLING OF ASSETS**

FTA grantees may exercise the provisions of the Common Rule @ 49 CFR part 18.25(g)(5) where program income can be retained and used for transit purposes (capital and operating costs)Non-Profit grantees refer to 49CFR Part 19

- Examples of program income can be found FTA 5010.1D, Chap. VI-9, 7b

Line P - Program income on hand at beginning of period

Line Q - Total Federal program income earned

Line R - Program income expended in accordance with deduction alternative - (usually “0”- SPECIAL INSTANCES LIKE NON-PROFIT)

Line S - Program income expended in accordance with addition alternative - (should be “0”- FTA DOESN'T AUTHORIZE)

Line T - Program income expended on allowable capital and operating expenses for transit

Line U - Unexpended program income (P+Q-R or T)”-value will automatically populate in line P next report

Remarks & Comments TAB – REQUIRED FIELD

TEAM-Web (PRODUCTION Database) CO-04-0067-00 - Windows Internet Explorer

Federal Financial Report

Summary | Financial Status | Remarks and Certification

Recipient Remarks

4/4/11: No money was spent on this grant during this period. The Type I bus is under contract, with an anticipated delivery of 4/20/11. When the bus arrives teh funds will be paid to Intermountain Coach.

When this report is submitted to FTA, the submitter and the individuals providing the information submitted to FTA, if any, certify that it is true, complete, and accurate to the best of their knowledge. They are aware that any false, fictitious, or fraudulent information may subject them to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001).

Name: Date:

FTA Remarks

I reviewed the report and any associated review comments are documented in the FTA remarks field.

Name: Date:

Recipient Remarks - Explain

- Why Federal funds were refunded?
- Why no activity occurred?
- Do you foresee a delay in expending funds and closing grant?

Important – When ready to submit FFR: Go to Summary tab click on “submit” radial button.

Then go back to remarks & Comments tab:

- Click on small certification box and Team will populate your name in appropriate box
- At tool bar --click on the save icon  and the green checkmark “OK” icon 
- You are done with your part for this period :)

Do not close screen prior to clicking on green check ✓ mark, the ok button