

# FTA

FEDERAL TRANSIT ADMINISTRATION

## FTA Oversight and Reporting April 26, 2015



U.S. Department of Transportation  
Federal Transit Administration

# 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, 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

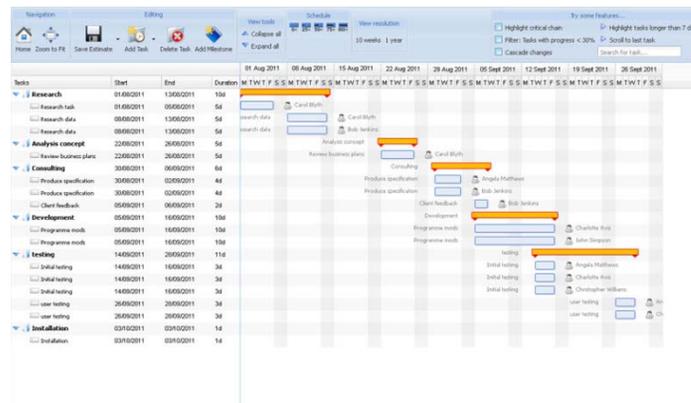


# Grantee Responsibilities

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

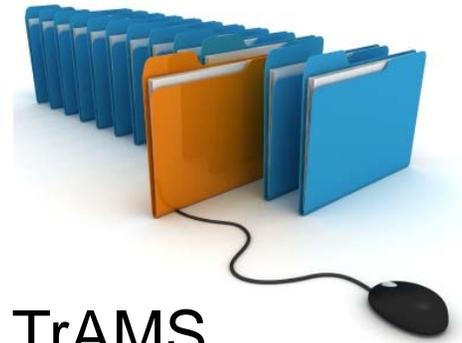
# Grantee Responsibilities

Ensure Project Property is maintained in a State of Good Repair with a proper Preventive Maintenance Program and effective Asset Management System

- Rolling Stock
- Facilities
- Equipment



# Grantee Responsibilities



- Prepare and submit FTA required Reports - TrAMS, NTD, Civil Rights, Drug and Alcohol, etc.
- Update and retain FTA required reports and records for availability during reviews – SMR, Triennials
- Ensure an annual single audit is conducted in accordance with OMB Omni Circular
- Ensure any other program reviews are submitted – TIGER, NS

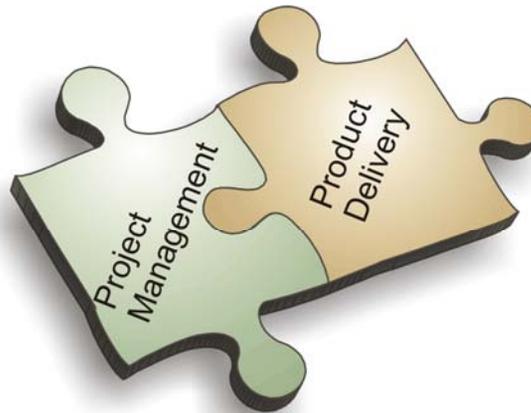
# Grant Management

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# Grant Management

## **FTA C 5010.1D:**

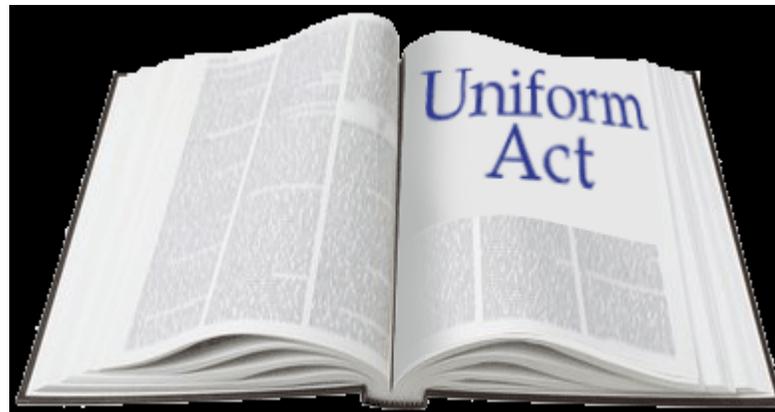
*Real property, equipment and supplies, rolling stock, and facilities purchased or constructed for project purposes must be managed, used, and disposed of in accordance with applicable laws and regulations.*



# 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 (during grant application process)
  - Administrative settlements >\$50k



# Grant Management

- Satisfactory Continuing Control of FTA Assets: 49 CFR 18.32(b)
  - Useful Life
    - ❑ Use FTA Useful Life Policy
    - ❑ 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
- Disposition
  - Reached Useful Life?
  - Fair Market Value >\$5k?
  - Casualty?
  - Available options per 5010.1D



# 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.
- FTA concurrence per new **Incidental Use form**



# 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

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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)
- Indirect Costs – must have **approved** Cost Allocation Plan (CAP) by cognizant agency
- Three Day cash disbursement rule.
- Local match: available at time of disbursement for each draw
- Ensure sound Financial Plan for project implementation and long term operations



# Financial Management

- ECHO: Electronic Clearing House Operation
  - Records must support each ECHO request.
  - 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:
    - Lauren Pessoa at 404-865-5620  
email: [lauren.pessoa@dot.gov](mailto:lauren.pessoa@dot.gov)

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# FTA Reviews

- **Oversight Reviews:**
  - State Management Review (SMR)
  - Triennial Review
  - 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) Reviews
    - Readiness for Operations OP-54 Review
    - Financial Capacity Review
    - Technical Capacity
    - Rail Activation Plan
    - Etc.

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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's must be submitted for all active grants
- Submitted electronically in TrAMS system

# FFR Reporting at Grant Execution

- If you requested Pre-Award authority then you must submit an initial FFR at grant execution
- 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 to TrAMS as needed
- Use FFR Instruction Guide for Grantees for guidance

# Milestone Progress Reports (MPRs)

## Milestone Progress Reports contain:

- Include details for all budget or schedule changes.
- Include dates of expected or actual requests for bid, delivery of assets, etc.
- Enter revised estimated completion dates when original estimated completion dates are not met.
  - *Explain why revised milestones or completion dates were not met*
- Enter actual completion dates for completed milestones
- Complete list in FTA C 5010.1D, page III-4

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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 TrAMS for grants that were transferred from TEAM.

- Overall grant amount must not change.
- New scopes may not be added.
- Budget revisions are generally changes to Activity Line Item (ALI) amounts or descriptions moving funds from one ALI to another.
- New ALI's may be added to existing scopes.

# Grant Modifications

**Funding Purpose Code (FPC)** – remember a FPC change must be made when moving funding from, for example, Capital to Planning, in a Budget Revision. Coordinate FPC changes through your program manager.

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

# Grant Modifications

**Grant Amendment** - A grant amendment is required when there is either a change in scope or Federal funds are added to an existing grant.

Grant amendments are subject to the same application requirements as a new grant (FTA review).

Grant amendments cannot be made for grants that were transferred from TEAM to TrAMS.

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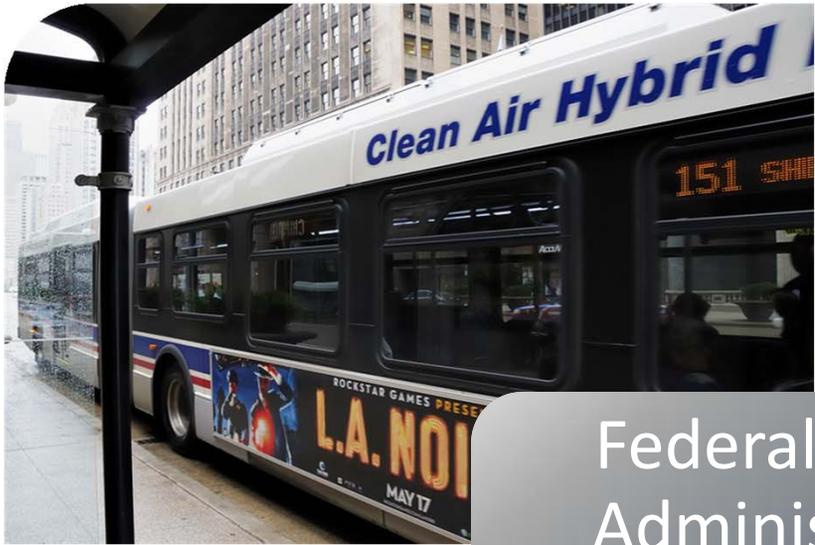
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# Guidance and Resources

- *Master Agreement (21)* [www.fta.dot.gov/documents/21-Master.pdf](http://www.fta.dot.gov/documents/21-Master.pdf)
- *5010.1D Grants Management* [www.fta.dot.gov/legislation\\_law/12349\\_8640.html](http://www.fta.dot.gov/legislation_law/12349_8640.html)
- *4220.1F Third Party Contracting* [www.fta.dot.gov/legislation\\_law/12349\\_8641.html](http://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](http://www.fta.dot.gov/legislation_law/12349_15209.html)
- *Best Practices Procurement Manual* [http://www.fta.dot.gov/grants/13054\\_6037.html](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](http://www.ntionline.com)
- *FTA Triennial Review Workshop Workbook* [www.fta.dot.gov/grants/12897.html](http://www.fta.dot.gov/grants/12897.html)
- *National Transit Database Glossary* [www.ntdprogram.gov/ntdprogram/Glossary.htm](http://www.ntdprogram.gov/ntdprogram/Glossary.htm)

# Questions?





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