



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

Grants Management 101

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FTA Region IV 2008 Conference





Grant Mgt 101 - Overview

- Disbursements
- Grant Execution
- Grantee Responsibilities
- Reporting Requirements
- Budget Revisions
- Grant Close-outs





Grant Mgt 101 - Disbursements

- **TEAM** – Transportation Electronic Award and Management System for obligation of program funds to FTA's grantees.
- **ECHO** – Electronic Clearing House Operations System for disbursement of program funds to FTA and FAA grantees.
- <http://www.fta.dot.gov/documents/ECHOWebGranteeUserManual.pdf>





Grant Mgt 101 - Disbursements

- **Internet based access for grantees as of Dec 2007:**
 - Up to three Users now have access to ECHO (1 person performs inquiries, 1 person performs draw-downs, and 1 person backs up primary draw-down person).
 - Passwords are e-mailed to authorized users, no more registered letters with return receipts.
 - System accessible via internet with no dial-up connectivity.
 - Payment request in by 2:00 pm EST is paid on next business day.
- **Other features include Payment History search**
 - Year end closing on 9-26-08 @ 3:00 pm EST
 - Open for business on 10-2-08 @ Noon EST





Grant Mgt 101 - Disbursements

- **ECHO-Web access for grantees require following information:**
 - Authorization and Certification Letter from organization's authorizing official.
 - User Access Request and Rules of Conduct forms for each user designated in the letter.
 - FTA Payment Information Form for ACH Payments.
- **ECHO-Web access is set-up by the financial systems staff after the grantee's ECN (ECHO Control Number) has been established by accounting.**





Grant Mgt 101 - Disbursements

What is Pay.gov?

Pay.gov is a web based application allowing you to fill out and submit forms online as well as make online payments to government agencies by credit card or by debit from your checking or savings account.

How do I access Pay.gov?

Our web address is <https://www.pay.gov>. You will have the best experience with our site if you use Internet Explorer 5.5 with Service Pack 2 or higher on the Windows operating system.





Grant Mgt 101 - Disbursements

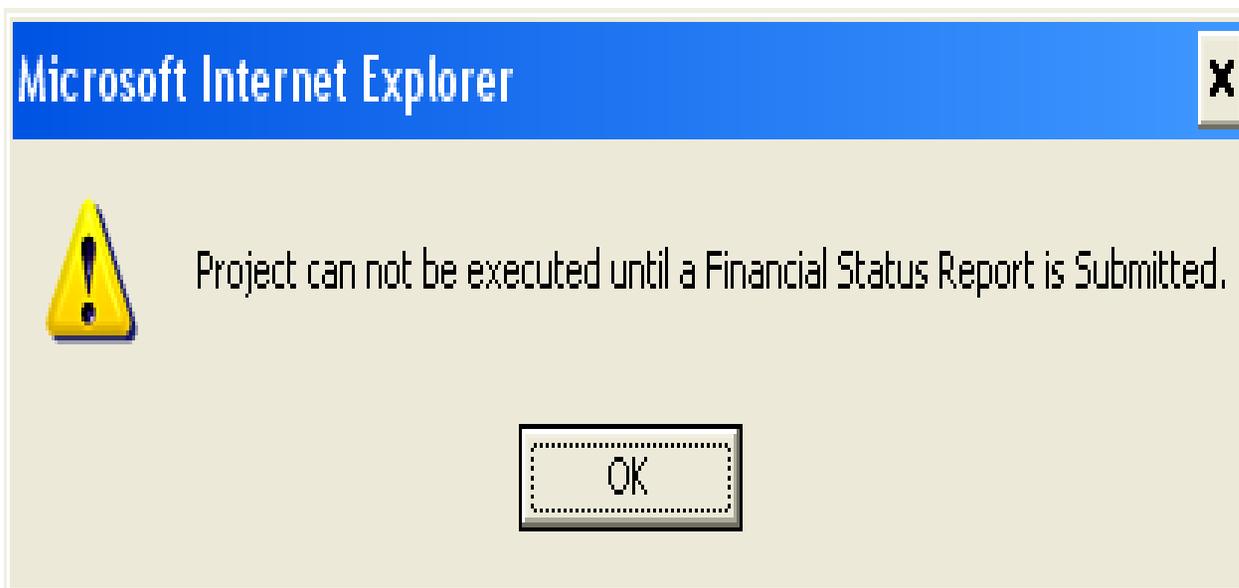
Is Pay.gov secure?

Yes. Pay.gov uses 128-bit SSL encryption to protect your transaction information while you're logged into Pay.gov. In addition, any account numbers you set up in your profile are encrypted before being stored in our database; you are the only person who can see them.





Grant Mgt 101 - Execution





Grant Mgt 101 - Execution

TEAM-Web (Quality Assurance Database) FL-90-X642-00 - Microsoft Internet ...

Financial Status Report

Summary | Financial Status | Remarks & Comments

Line: Transactions:	Previous	This Period	Cumulative
A. Total Outlays:	\$0.00	\$0.00	\$0.00
B. Recipient Share of Outlays:	\$0.00	\$0.00	\$0.00
C. Federal Share of Outlays:	\$0.00	\$0.00	\$0.00
D. Total Unliquidated Obligations:			\$0.00
E. Recipient Share of Unliq. Oblig:			\$0.00
F. Federal Share of Unliq. Oblig.:			\$0.00
G. Total Federal Share (C+F):			\$0.00
H. Total Federal Funds:			\$1,671,555.00
I. Unobl. Bal. of Fed Funds (H-G):			\$1,671,555.00

No quarterly report exist for the selected period: 2008, 2nd

Trusted sites





Grant Mgt 101 - Responsibilities

- Administer and manage the grant in compliance with Federal regulations, grant agreement and applicable FTA circulars.
- Manage and report on progress of projects, expend grant funds in a timely and effective manner and, close out grants when activities are complete.





Grant Mgt 101 - Responsibilities

- Maintain the project work schedule and constantly monitor grant activities to ensure that schedules are met and other performance goals are achieved.
- Ensure compliance with FTA requirements





Grant Mgt 101 - Responsibilities

- Account for project property, provide for its repair and replacement, and maintain property inventory records that contain all the elements required.
- Request and withdraw Federal cash only in amounts and at times as needed to make payments that are immediately due and payable.
- Keep expenditures within the latest approved budget.





Grant Mgt 101 - 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.





Grant Mgt 101 - Responsibilities

- Prepare and submit FTA required reports (TEAM, NTD, Civil Rights, Drug and Alcohol, etc.)
- Update and retain FTA required reports and records for availability during audits and oversight reviews.
- Ensure an Annual A-133 Audit is conducted in accordance with OMB Circular, A-133.





Grant Mgt 101 - Reporting

- Financial Status & Milestone Progress Reports (TEAM)
- Civil Rights Reports
- National Transit Database (NTD)
- Annual Single Audit (A-133)





Grant Mgt 101 - Reporting

- Financial Status Reports (FSRs)
 - Provides a current, complete and accurate financial picture of the grant and the projects within the grant
 - FSR must be submitted for all active grants
 - Submitted electronically in TEAM system





Grant Mgt 101 - Reporting

TEAM-Web (Production Database) AL-03-0029-00 - Microsoft Internet Explorer

Financial Status Report

Summary | Financial Status | Remarks & Comments

Work In Progress Submit Report

Recipient: 1000 ALABAMA DEPARTMENT OF TRANSPORTATION

Project: AL-03-0029-00 Statewide Capital Equipment Project

Amendment: Statewide Capital Equipment Project

Quarterly Monthly Other

Period: 2008,1st Quarter

Final Report? No, Not Final Report

Paper Award? Yes No

Initial Submission:

Last Update: 1/22/2008

Pre-Award Authority? Yes No

Report Status: MS/P Report In Progress, FSR In Progress

Project Status: Active

Cost Plan:

Type of Rate: N/A

Rate: 0.00%

Base: \$0.00

Total Amount: \$0.00

Federal Amount: \$0.00





Grant Mgt 101 - Reporting

TEAM-Web (Production Database) AL-03-0029-00 - Microsoft Internet Explorer

Financial Status Report

Summary | Financial Status | Remarks & Comments

Line: Transactions:	Previous	This Period	Cumulative
A. Total Outlays:	\$6,156,394.00	\$0.00	\$6,156,394.00
B. Recipient Share of Outlays:	\$1,088,337.00	\$0.00	\$1,088,337.00
C. Federal Share of Outlays:	\$5,068,057.00	\$0.00	\$5,068,057.00
D. Total Unliquidated Obligations:			\$0.00
E. Recipient Share of Unliq. Oblig:			\$0.00
F. Federal Share of Unliq. Oblig.:			\$0.00
G. Total Federal Share (C+F):			\$5,068,057.00
H. Total Federal Funds:			\$5,166,184.00
I. Unobl. Bal. of Fed Funds (H-G):			\$98,127.00





Grant Mgt 101 - Reporting

TEAM-Web (Production Database) AL-03-0029-00 - Microsoft Internet Explorer

Financial Status Report

Summary Financial Status Remarks & Comments

Recipient Remarks

1st qtr FY 2008..No activity in grant during this reporting period. Balance of grant is earmarked for City of Dothan and Marshall County. Anticipate grant balance will be obligated and expended during 2008.

FTA Remarks





Grant Mgt 101 - Reporting

- Milestone/Progress Reports (MPRs)
 - Provides the current status of activities contained in the grant; includes detailed discussion of all budget and schedule changes, including explanation of expected delays.
 - MPR must be submitted for all active grants
 - Submitted electronically in TEAM system





Grant Mgt 101 - Reporting

TEAM-Web (Production Database) AL-03-0029-00 - Microsoft Internet Explorer

Milestones Status Report

Summary | Milestone Status

Work In Progress Submit Report

Recipient: 1000 ALABAMA DEPARTMENT OF TRANSPORTATION

Project: AL-03-0029-00 Statewide Capital Equipment Project

Amendment:

Period: FY2008, 1st Quarter **Paper Award?** Yes No **Pre-Award Authority?** Yes No

Quarterly Monthly Other **Initial Submission:**

Final Report? No, Not Final Report **Last Update:** 1/25/2008

Report Status: MS/P Report In Progress; FSR In Progress

Project Status: Active Amendment

Project Status Overview

1st qtr 2008..Majority of funds expended. Grant balance is earmarked for City of Dothan and Marshall County. Anticipate grant balance will be obligated and expended during 2008.





Grant Mgt 101 - Reporting

TEAM-Web (Production Database) AL-03-0029-00 - Microsoft Internet Explorer

Milestones Status Report

Summary | Milestone Status

Scope-ALI	Seq No	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date
99604-111215	1	RFP/IFB OUT FOR BID	2/28/2000		0	2/28/2000
	2	CONTRACT AWARDED	3/15/2000		0	3/15/2000
	3	FIRST VEHICLE DELIVERED	6/15/2000	9/30/2005	2	2/28/2005
	4	ALL VEHICLES DELIVERED	9/15/2002	12/31/2007	4	
	5	CONTRACT COMPLETE	12/30/2002	12/31/2007	6	
99605-111204	1	RFP/IFB OUT FOR BID	2/28/2000		0	2/28/2000
	2	CONTRACT AWARDED	3/15/2000		0	3/15/2000
	3	FIRST VEHICLE DELIVERED	6/15/2000		0	10/31/2001
	4	ALL VEHICLES DELIVERED	9/15/2001		0	10/31/2001

Line Item: 111215 buy replacement van (83)

FTA Amount: \$63,919.00 Total Eligible Cost: \$77,013.00 Quantity: 2

3rd Party Contractor Code: [Dropdown]

Milestone Detail Description | Milestone Progress



Grant Mgt 101 - Reporting

- Due Dates:
 - Annual: 30 days after the end of the Federal Fiscal year, which ends October 30.
 - Quarterly: within 30 days after the end of each calendar quarter, i.e., by January 30, April 30, July 30, and October 30.





Grant Mgt 101 - Reporting

- FTA Review

- Review FSR Data and comments
- Review Project Fund Status information
- Compare reported expenditures to recorded disbursements
- Review MPR information for current dates and project status
- Monitor progress and status of projects
- Follow-up with grantee on any discrepancies





Grant Mgt 101 - Reporting

Civil Rights

- Title VI
 - Triennial Basis, report on compliance
 - Circular 4702.1
- EEO
 - Applicability: 50 or more employees; \$1 million more of FTA assistance
 - Requirement: Triennial Basis, report on compliance
- DBE
 - Applicability: Receive \$250,000 or more in FTA funds each year, excluding vehicle procurement
 - Requirement: Establish Goals on an Annual Basis
 - Due Date: Required by August 1 of each year
 - Submitted to Region CR officer (Frank Billue)





Grant Mgt 101 - Reporting

National Transit Database

- NTD is the FTA primary national database for statistics on the transit industry.
- Recipients of Section 5307 and 5311 are required by statute to submit data to the NTD.
- NTD performance data are used to apportion FTA funds to transit agencies.
- Annual NTD reports are submitted to Congress summarizing transit service and safety data.
- Reporting Manual: <http://www.ntdprogram.gov>





Grant Mgt 101 - Reporting

A-133 Audit

- Grantees that expend more than \$500,000 or more in Federal awards
- Requirement: Conduct an annual organization-wide audit in accordance with OMB Circular A-133.
- Due Date: Audit completed within 9 mos. of the end of grantee's fiscal year.
 - If no FTA findings, submit copy of clearinghouse transmittal forms (SF-SAC) to Regional office
 - If FTA findings, submit entire report and copy of clearinghouse transmittal forms (SF-SAC) to Regional office





Grant Mgt 101 – Budget Revision

Revise Project Budget (NC-90-X416-00) - Microsoft Internet Explorer

Revise Project Budget

Summary | **Revise Budget** | View Budget | Change Log | Revise Control Totals

Recipient: 1060 CITY OF DURHAM
Project: NC-90-X416-00 Municipal Bus Service
Amendment: Municipal Bus Service

Revision #: Rev. No.: 4 (Current-Submitted)
Reason: Funds needed to cover overage and additional
Created: 4/28/2008 Harriet Lyons
Submitted: 4/28/2008 Harriet Lyons
Approved:

	Quantity	FTA Amount	Total Elig. Cost
Current:	16	\$2,769,193.00	\$3,461,491.00
Change:	0	\$0.00	\$0.00
Revised:	16	\$2,769,193.00	\$3,461,491.00
% Change:	0.00%	0.00%	0.00%

Approver Notes:

This Budget Revision Request is Submitted and is therefore Read-Only.

Trusted sites





Grant Mgt 101 – Budget Revision

Revise Project Budget (NC-90-X416-00) - Microsoft Internet Explorer

Revise Project Budget

Summary | Revise Budget | View Budget | Change Log | Revise Control Totals

Pending **PROJECT CONTROL TOTALS:** 16 \$2,769,193.00 \$3,461,491.00
 Current **DIFFERENCE:** 0 \$0.00 \$0.00

Scope	Scope Description	Qty	FTA Amount	Total Elig. Cost
11700	OTHER CAPITAL ITEMS (BUS)	0	\$1,935,437.00	\$2,419,296.00
11900	TRANSIT ENHANCEMENTS (BUS)	7	\$33,900.00	\$42,375.00
11100	BUS - ROLLING STOCK	1	\$247,682.00	\$309,603.00
11400	BUS: SUPPORT EQUIP AND FACILITIES	0	\$123,084.00	\$153,854.00
11600	SIGNAL & COMM EQUIPMENT (BUS)	0	\$9,871.00	\$12,340.00
PROJECT BUDGET		16	\$2,769,193.00	\$3,461,491.00

Scope/ALI: 11700 **Details:**

Std. Desc: OTHER CAPITAL ITEMS (BUS)

User Desc: OTHER CAPITAL ITEMS (BUS)

Fuel: [Dropdown]

Reviewer Messages: [Text Area]

This Budget Revision Request is Submitted and is therefore Read-Only. Trusted sites



Grant Mgt 101 - Close-out

- “New Closeout Process” in TEAM
- Grantee must submit a Final FSR, MPR, and budget
- FTA may unilaterally initiate grant closeout.
- All financial, programmatic records and supporting documentation must be retained for a period of 3 years.





Grant Mgt 101 - Close-out

- 2 Year Rule
 - FTA has established guidelines to close-out grants *with no signs of activity for 2 years*, unless the grantee provides justification to support the grant remaining open.
- 5 Year Rule
 - FTA has established guidelines to close-out grants *that have remained open for 5 years*, unless the grantee provides justification to support the grant remaining open.





Grant Mgt 101 - Close-out

- Prepare & provide close-out schedule for all active grants
- Track 95-100% disbursed
- Consider deobligating small amounts of funding
- Submit Final FSR and MPRs (mark report "Yes, Final Report" in TEAM)
- 3  Checks on the "Closeout" Screen
- Email FTA a list of grants that have been prepared for close-out





Grant Mgt 101 - Summary

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