U.S. Department of Transportation
Federal Transit Administration

Grants Management 101

Dee Johnson
Jessica Granell, Ph.D
Leonard Tennessee

FTA Region IV 2008 Conference
Grant Mgt 101 - Overview

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

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
• **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.**
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.
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.
Project can not be executed until a Financial Status Report is Submitted.
### Financial Status Report

<table>
<thead>
<tr>
<th>Line</th>
<th>Transactions</th>
<th>Previous</th>
<th>This Period</th>
<th>Cumulative</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>Total Outlays</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>B.</td>
<td>Recipient Share of Outlays</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
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<tr>
<td>C.</td>
<td>Federal Share of Outlays</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
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<tr>
<td>D.</td>
<td>Total Unliquidated Obligations</td>
<td></td>
<td></td>
<td>$0.00</td>
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<tr>
<td>E.</td>
<td>Recipient Share of Unliq. Oblig</td>
<td></td>
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<td>$0.00</td>
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<tr>
<td>F.</td>
<td>Federal Share of Unliq. Oblig.</td>
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<td></td>
<td>$0.00</td>
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<tr>
<td>G.</td>
<td>Total Federal Share (C+F)</td>
<td></td>
<td></td>
<td>$1,671,555.00</td>
</tr>
<tr>
<td>H.</td>
<td>Total Federal Funds</td>
<td></td>
<td></td>
<td>$1,671,555.00</td>
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<tr>
<td>I.</td>
<td>Unobl. Bal. of Fed Funds (H-G)</td>
<td></td>
<td></td>
<td>$1,671,555.00</td>
</tr>
</tbody>
</table>

No quarterly report exist for the selected period: 2006, 2nd Quarter.
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

![Financial Status Report](image)

**Recipient:** 1000
ALABAMA DEPARTMENT OF TRANSPORTATION

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

**Amendment:** Statewide Capital Equipment Project

**Period:** 2008, 1st Quarter

**Final Report?** No, Not Final Report

**Paper Award?** Yes

**Initial Submission:**

**Last Update:** 1/22/2008

**Pre-Award Authority?** Yes

**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
## Financial Status Report

<table>
<thead>
<tr>
<th>Line</th>
<th>Transactions:</th>
<th>Previous</th>
<th>This Period</th>
<th>Cumulative</th>
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</thead>
<tbody>
<tr>
<td>A.</td>
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<td>$6,156,394.00</td>
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<td>$6,156,394.00</td>
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<td>B.</td>
<td>Recipient Share of Outlays:</td>
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<td>C.</td>
<td>Federal Share of Outlays:</td>
<td>$5,068,057.00</td>
<td>$0.00</td>
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<td>D.</td>
<td>Total Unliquidated Obligations:</td>
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<td>$0.00</td>
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<tr>
<td>G.</td>
<td>Total Federal Share (C+F):</td>
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<td>$5,068,057.00</td>
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<td>H.</td>
<td>Total Federal Funds:</td>
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<td>$5,166,184.00</td>
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Grant Mgt 101 - Reporting

Financial Status Report

<table>
<thead>
<tr>
<th>Summary</th>
<th>Financial Status</th>
<th>Remarks &amp; Comments</th>
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</table>

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
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

Milestones Status Report

<table>
<thead>
<tr>
<th>Summary</th>
<th>Milestone Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

Recipient: 1000 ALABAMA DEPARTMENT OF TRANSPORTATION

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

Amendment: 

Period: FY2008, 1st Quarter

Paper Award? Yes

Pre-Award Authority? Yes

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.
### Milestones Status Report

<table>
<thead>
<tr>
<th>Scope-ALI</th>
<th>Seq No</th>
<th>Milestone Description</th>
<th>Orig. Est. Comp. Date</th>
<th>Rev. Est. Comp. Date</th>
<th># Rev</th>
<th>Actual Comp. Date</th>
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<td>99604-111215</td>
<td>4</td>
<td>ALL VEHICLES DELIVERED</td>
<td>9/15/2002</td>
<td>12/31/2007</td>
<td>4</td>
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<td>99605-111204</td>
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<td>10/31/2001</td>
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<td>99605-111204</td>
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<td>ALL VEHICLES DELIVERED</td>
<td>9/15/2001</td>
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<td>0</td>
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</tr>
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</table>

**Line Item:** 111215 buy replacement van (83)

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

**3rd Party Contractor Code:**
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
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)
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.
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

**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:**

<table>
<thead>
<tr>
<th></th>
<th>Current</th>
<th>FTA Amount</th>
<th>Total Elig. Cost</th>
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</thead>
<tbody>
<tr>
<td><strong>Quantity</strong></td>
<td>16</td>
<td>$2,769,193.00</td>
<td>$3,461,491.00</td>
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<tr>
<td><strong>Change</strong></td>
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<td>0.00</td>
<td>0.00</td>
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<tr>
<td><strong>Revised</strong></td>
<td>16</td>
<td>$2,769,193.00</td>
<td>$3,461,491.00</td>
</tr>
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**% Change:** 0.00%

**Approver Notes:**

This Budget Revision Request is Submitted and is therefore Read-Only.
Grant Mgt 101 – Budget Revision
“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.
• **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.
• 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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