



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

Grant Management Reporting & Close-outs

*David Schilling
State Programs Team Meeting
Atlanta, GA
April 15-16, 2009*





Overview

- **Financial Status Report (FSR)**
- **Milestone Progress Report (MPR)**
- **Report Due Dates**
- **Grant Close-Outs**





Financial Status Reports (FSRs)

- Financial Status Reports (FSRs)
 - The purpose of the FSR is to provide a current, complete and accurate financial picture of the grant.
 - It is prepared on the accrual basis of accounting.
 - FSR must be submitted for all active grants
 - Submitted electronically in TEAM system





Financial Status Reports (FSRs)

The FSR contains the following elements:

- Financial Facts
- Financial Data
- Based on required supporting documentation





Financial Status Reports (FSRs)

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





Financial Status Reports (FSRs)

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





Financial Status Reports (FSRs)

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





Financial Status Reports (FSRs)

- Pre-Award Authority
 - If you have pre-award authority then you must submit an initial FSR
 - If you have not incurred costs, you must submit a \$0 FSR
 - You must enter information in Lines A (Total Outlays) and B (Recipient Share of Outlays) if you have incurred pre-award costs.
 - You must enter information in lines D (Total Unliquidated Obligations), and E (Recipient Share of Unliq. Oblig.) for total and local amounts for contracts awarded but not yet paid (only for the end of the quarter).
- To attach additional files use the paperclip icon





Milestone Progress Reports (MPR)

Milestone Progress Reports contain:

- Detailed discussion of all budget or schedule changes.
- The dates of expected or actual requests for bid, delivery, etc.
- Actual completion dates for completed milestones.
- Revised estimated completion dates when original estimated completion dates are not met.
- Explanation of why scheduled milestones or completion dates were not met.





Milestone/Progress Reports (MPRs)

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.





Milestone/Progress Reports (MPRs)

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

[Empty text area for Milestone Detail Description]

[Empty text area for Milestone Progress]





FSRs and MPRs

- 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.
- ARRA Due Dates:
 - Quarterly: within 10 days after the end of each calendar quarter, i.e., by January 10, April 10, July 10, and October 10.





FSRs and MPRs – FTA role

- 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 Close-outs

- Close-Out Process in TEAM
- Grantee must submit a Final FSR, MPR, and budget; if necessary, a request to de-obligate funds and any other report as required by the terms of the grant.
- FTA may unilaterally initiate grant closeout.
- All financial, programmatic records and supporting documentation must be retained for a period of 3 years.





Grant Close-outs

- 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 Close-outs: Friendly Reminders

- Prepare & provide close-out schedule for all active grants
- Track 95-100% disbursed
- Consider deobligating small amounts of funding; if not request a budget revision and drawn down funds immediately
- Submit Final FSR and MPRs (mark report "Yes, Final Report" in TEAM)
- 3  Checks on the "Closeout" Screen
- Email your FTA Program Manager a list of grants that have been prepared for close-out





Questions?

