U.S. Department of Transportation
Federal Transit Administration

Grant Management
Reporting & Close-outs

Jamie Pfister
State Programs Team
Housekeeping

- FY 2008 Grant Making
- Grant Reporting
  - FSRs and MPRs
- Grant Close-outs
FY 2008 Grant Making

• FY 2008 Apportionment and Allocation Notice has been published (January 28, 2008)

• Supplemental notice dealing with earmarks and project extensions identified in Reports accompanied the FY 08 Appropriations Act.

• Start preparing grants for FY06 (lapse) funds first, then FY 07, FY 08
FY 2008 Grant Making

Region IV deadlines for complete grant applications in TEAM:

• Discretionary Grant Programs
  – June 15, 2008

• Formula Grant Programs
  – July 15, 2008
Financial Status & Milestone Progress Reports (TEAM)

Civil Rights Reports

National Transit Database (NTD)

Annual Single Audit (A-133)
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
# Financial Status Reports (FSRs)

**Recipient:** 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. Total Outlays</td>
<td></td>
<td>$6,156,394.00</td>
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<td>$6,156,394.00</td>
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<tr>
<td>B. Recipient Share of Outlays</td>
<td></td>
<td>$1,088,337.00</td>
<td>$0.00</td>
<td>$1,088,337.00</td>
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<tr>
<td>C. Federal Share of Outlays</td>
<td></td>
<td>$5,068,057.00</td>
<td>$0.00</td>
<td>$5,068,057.00</td>
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<tr>
<td>D. Total Unliquidated Obligations</td>
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<td></td>
<td>$0.00</td>
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<tr>
<td>E. Recipient Share of Unliq. Oblig.</td>
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<td></td>
<td></td>
<td>$0.00</td>
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<tr>
<td>F. Federal Share of Unliq. Oblig.</td>
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<td></td>
<td></td>
<td>$0.00</td>
</tr>
<tr>
<td>G. Total Federal Share (C+F)</td>
<td></td>
<td></td>
<td></td>
<td>$5,068,057.00</td>
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<tr>
<td>H. Total Federal Funds</td>
<td></td>
<td></td>
<td></td>
<td>$5,166,184.00</td>
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<tr>
<td>I. Unobl. Bal. of Fed Funds (H-G)</td>
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<td>$98,127.00</td>
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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

- No FTA Remarks entered.
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
**Milestone/Progress Reports (MPRs)**

**Milestones Status Report**

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

- **Recipient:** 1000 ALABAMA DEPARTMENT OF TRANSPORTATION
- **Project:** AL-03-0029-00 Statewide Capital Equipment Project
- **Amendment:**
- **Period:** FY2008, 1st Quarter
- **Paper Award?**
- **Pre-Award Authority?**
- **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)

### Milestone 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>ALL VEHICLES DELIVERED</td>
<td>9/15/2002</td>
<td>12/31/2007</td>
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<tr>
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<td>5</td>
<td>CONTRACT COMPLETE</td>
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<td>12/31/2007</td>
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<td>99605-111204</td>
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<td>RFP/FB OUT FOR BID</td>
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<td>2/28/2000</td>
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<td>FIRST VEHICLE DELIVERED</td>
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<td>0</td>
<td>10/31/2001</td>
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<tr>
<td></td>
<td>4</td>
<td>ALL VEHICLES DELIVERED</td>
<td>9/15/2000</td>
<td></td>
<td>0</td>
<td>10/31/2001</td>
</tr>
</tbody>
</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:
- **[Blank]**

### Milestone Detail Description
- [Blank]

### Milestone Progress
- [Blank]
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.
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

• “New Closeout 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

• 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
Questions?
Route to Success: Today and Beyond

• Partnering with FTA
  • State Programs Team
    • Semi-Annual Meetings – Rotate and Atlanta
    • Conference Calls – Quarterly or as needed
    • Individual Quarterly Meetings
  • Training
  • DOT sponsored meetings (FTA rep. available)

• Upcoming Region-wide Conference
  • Awards’ Nominations
  • Breakout Sessions – Presentations
  • Executive Track/Agenda
  • Emergency Preparedness Exercise
Route to Success: Today and Beyond

• What: Region IV Region-wide Conference
  http://routetosuccess.net
• Who: State DOTs, Grantees, Transit Associations
• Where: Loudermilk Conference Center
• When: May 28-30, 2008
• REGISTER BY APRIL 25th!!