



U.S. Department
of Transportation

**Federal Transit
Administration**

CIRCULAR

FTA C 5010.1D

November 1, 2008
Rev. 1, August 27, 2012

Subject: GRANT MANAGEMENT REQUIREMENTS

1. **PURPOSE.** This circular is a re-issuance of guidance for post-award grant administration and project management activities for all applicable Federal Transit Administration (FTA) grant programs. This revision incorporates provisions of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), and includes the most current guidance for the Federal public transportation program as of the date of publication.

These requirements are intended to assist grantees in administering FTA-funded projects and in meeting grant responsibilities and reporting requirements. Grantees have a responsibility to comply with regulatory requirements and to be aware of all pertinent material to assist in the management of federally assisted grants.

2. **CANCELLATION.** This circular cancels FTA Circular 5010.1C, "Grant Management Guidelines," dated 10-1-98.
3. **AUTHORITY.**
 - a. Federal Transit Laws, codified at 49 U.S.C. Chapter 53.
 - b. 49 CFR 1.51.
4. **WAIVER.** FTA reserves the right to waive any provision of this circular to the extent permitted by Federal law or regulation.
5. **FEDERAL REGISTER NOTICE.** In conjunction with publication of this circular, a *Federal Register* notice was published on September 30, 2008 (73 FR 56892), addressing comments received during the development of the circular.
6. **AMENDMENTS TO THE CIRCULAR.** FTA reserves the right to update this circular to reflect changes in other revised or new guidance and regulations that undergo notice and comment without further notice and comment on this circular. FTA will post updates on our website: www.fta.dot.gov. The website allows the public to register for notification when FTA issues *Federal Register* notices or new guidance; visit the website and click on "sign up for e-mail updates."
7. **ACCESSIBLE FORMATS.** This document is available in accessible formats upon request. To obtain paper copies of this circular as well as information regarding these accessible

Distribution: FTA Headquarters Offices (T-W-2)
FTA Regional Offices (T-X-2)

OPI: Office of Program
Management

formats, telephone FTA's Administrative Services Help Desk, at 202-366-4865. Individuals with hearing impairments may contact the Federal Relay Service at 1-800-877-8339 for assistance with the call.

/S/ Original Signed by

James S. Simpson

Administrator

PROGRAM CIRCULAR**TABLE OF CONTENTS**

<u>CHAPTER</u>	<u>PAGE</u>
I. <u>INTRODUCTION AND BACKGROUND</u>	I-1
1. The Federal Transit Administration (FTA).....	I-1
2. Authorizing Legislation	I-1
3. How to Contact FTA	I-1
4. Grants.gov.....	I-2
5. Definitions	I-2
II. <u>CIRCULAR OVERVIEW</u>	II-1
1. General	II-1
2. Applicable Program Descriptions	II-1
3. Responsibilities of Grant Management	II-6
4. Civil Rights Requirements	II-8
5. Cross-Cutting Requirements	II-12
III. <u>GRANT ADMINISTRATION</u>	III-1
1. Overview	III-1
2. Grant Application Process	III-1
3. Reporting Requirements	III-2
4. Grant Modifications	III-9
5. Grant Close-Out	III-15
6. Suspension and Termination	III-16
7. Retention and Access Requirements for Records	III-17
IV. <u>PROJECT MANAGEMENT</u>	IV-1
1. General	IV-1
2. Real Property	IV-1
3. Equipment, Supplies, and Rolling Stock	IV-13
4. Design and Construction of Facilities	IV-32
V. <u>FTA OVERSIGHT</u>	V-1
1. General	V-1
2. General Reviews	V-2
3. Program-Specific Reviews	V-3
4. Project Level Reviews	V-6
VI. <u>FINANCIAL MANAGEMENT</u>	VI-1
1. General.....	VI-1

2. Internal Controls	VI-1
3. Local Match.....	VI-5
<u>CHAPTER</u>	<u>PAGE</u>
4. Financial Plan	VI-5
5. General Principles for Determining Allowable Costs	VI-5
6. Indirect Costs	VI-7
7. Program Income	VI-9
8. Annual Audit	VI-10
9. Payment Procedures	VI-11
10. De-Obligation of Funds.....	VI-15
11. Debt Service Reserve	VI-15
12. Right of FTA to Terminate	VI-15

TABLES, GRAPHS, AND ILLUSTRATIONS

1. Application of Insurance Proceeds: Example 1	IV-30
2. Application of Insurance Proceeds: Example 2	IV-31
3. Table of FTA Circulars	A-1
4. Example: Rolling Stock Status Report	D-2
5. Exhibit 1: ACH Vendor/Miscellaneous Payment Enrollment Form (SF3881)	F-3
6. Instructions for Completing SF 3881 Form	F-4
7. Exhibit 2: Request for Advance or Reimbursement (SF-270)	F-5
8. Instructions for Completing SF-270 Form.....	F-6

APPENDICES

APPENDIX A	<u>TABLE OF FTA CIRCULARS</u>	A-1
APPENDIX B	<u>FEDERAL FINANCIAL REPORT</u>	B-1
APPENDIX C	<u>REAL ESTATE ACQUISITION MANAGEMENT PLAN</u>	C-1
	1. General	C-1
	2. RAMP Content	C-1
APPENDIX D	<u>GUIDE FOR PREPARING AN APPRAISAL SCOPE OF WORK</u>	D-1
	1. General	D-1
	2. Example	D-1
APPENDIX E	<u>ROLLING STOCK STATUS REPORT</u>	E-1
	1. General	E-1
	2. Replacements at the End of Minimum Useful Life	E-1
	3. Early Disposition	E-1

4. Example: Rolling Stock Status Report/TransAmerica
BusesE-2

<u>CHAPTER</u>	<u>PAGE</u>
APPENDIX F	<u>COST ALLOCATION PLANS</u>F-1
	1. RequirementsF-1
	2. ContentF-1
	3. Purpose of the PlanF-1
	4. Development of Cost Allocation PlanF-2
	5. Submission of Cost Allocation Plan/Indirect Cost Rate ProposalsF-3
	6. Plan ApprovalF-3
APPENDIX G	<u>REQUEST FOR ADVANCE OR REIMBURSEMENT (SF-270)</u>G-1
	1. GeneralG-1
	2. InstructionsG-1
	3. Review of the SF-270G-2
APPENDIX H	<u>REFERENCES</u>H-1
APPENDIX I	<u>FTA REGIONAL AND METROPOLITAN CONTACT INFORMATION</u>I-1
INDEX	<u>SUBJECT AND LOCATION IN CIRCULAR</u>

