

# FTA

FEDERAL TRANSIT ADMINISTRATION

## FTA 101 & Grants Development

FPTA Briefing: September 16, 2019

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U.S. Department of Transportation  
Federal Transit Administration

# Discussion Topics

- ✓ Overview of FTA Region IV
- ✓ Funding
- ✓ Helpful Guidance & Updates
- ✓ FFY20 Grant Making Guidance
  - ✓ Pre-award considerations
  - ✓ Grant development
  - ✓ NEPA & Section 106
  - ✓ Post-award Considerations
- ✓ Questions & Answers

# FTA Region IV Overview

# Overview of FTA Region IV

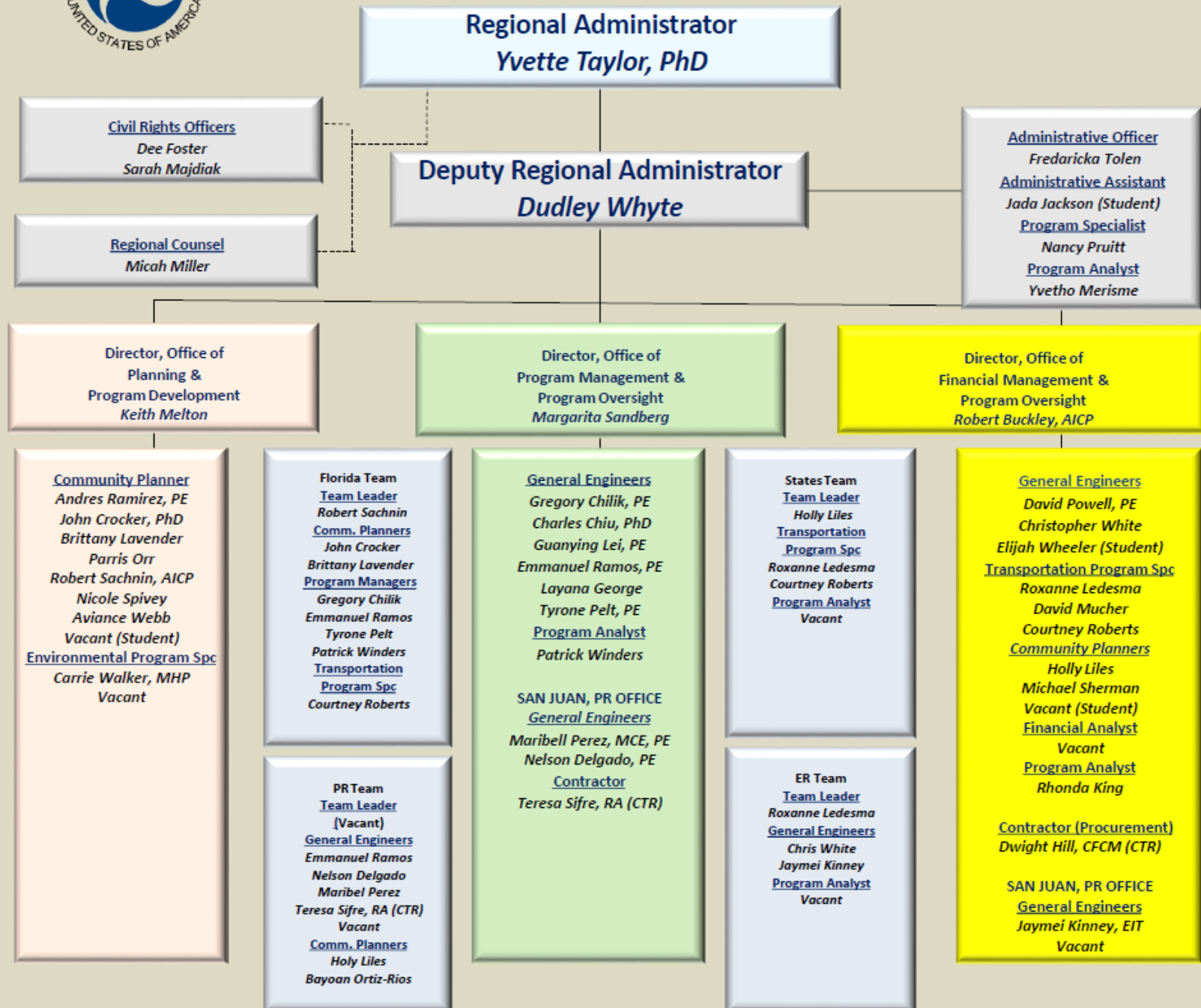


## Areas Served

Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee, The Commonwealth of Puerto Rico, and the United States Virgin Islands



# Federal Transit Administration Region IV, Organizational Chart



# Funding

# FFY19 Grant Totals

- ✓ As of 9/10/19
- ✓ 389 grants processed
- ✓ Nearly \$1.2 billion awarded
- ✓ FL top state in grants and funding
  - ✓ 104 applications
  - ✓ \$570,384,533 in application funding

# FTA Funding Opportunities

FY 2019 Competitive Program	Amt Available	NOFO Publication Date	Submittal Deadline
Crime Prevention and Public Safety Awareness	~\$2M	3/29/2019	5/28/2019
Grants for Bus & Bus Facilities	~\$423M	5/15/2019	6/21/2019
Tribal Transit Grants	~5M	5/10/2019	7/9/2019
Integrated Mobility Innovation (IMI) Demonstration Program	~\$15M	5/8/2019	8/6/2019
TOD Pilot Planning Grants	~\$19M	Summer 2019	TBD
Emergency Relief – Tranche #3	~ 10M	TBD	TBD



# Helpful Guidance & Updates

# End of FFY 19: Important Dates

- ✓ **September 24, 2019 @8pm**: TrAMS Shuts down for Financial Activities
- ✓ **September 25, 2019 @2pm**: ECHO Shuts down
- ✓ **October 4, 2019 @2pm**: ECHO re-opens for FFY 2020
- ✓ Additional details on year end closeout, from FTA's website, may be found [here](#).

# Emergency Reporting Before, During and After

- What is most important now?
  - Status of transit agency (add an estimate restoration of service)
  - Evacuation support (# of passengers/ buses/trips)
  - Agency preparations prior to the incident
  - Fatalities and serious injuries, property damage, and/or personnel impacts
  - Resource needs
  - Emergency declarations
  - Any additional information needed for situational awareness

# Emergency Relief Funding

- Keep all documentation and provide a summary of all expenses once requested. If Emergency Relief funding is provided it may be used for reimbursement of:
  - Capital projects to protect, repair, reconstruct, or replace equipment and facilities of a public transportation system that is in danger of suffering serious damage or has suffered serious damage as a result of an emergency
  - Operating costs of public transportation equipment and facilities in an area directly affected by an emergency
- Statute: 49 U.S.C. § 5324
- Regulation: 49 CFR Part 602

# Emergency Relief Funding

- When Congress appropriates Emergency Relief funds to FTA, FTA assumes **sole responsibility** for disaster relief grants for transit-related costs. From this point forward all transit related reimbursements should be made directly to FTA.
- Any approved or in-progress FEMA grants for transit-related costs must be transferred to FTA's Emergency Relief Program.
- Transit-related costs already reimbursed by FEMA do not need to be returned to FEMA and they are not eligible for FTA funding.

# Emergency Relief Funding

For ER questions please contact

**Roxanne Ledesma**

ER Team Lead

Email: [roxanne.ledesma@dot.gov](mailto:roxanne.ledesma@dot.gov)

O: (404) 865-5631 | C: (202) 774-8003

ER Website: [FTA Emergency Relief Program](#)

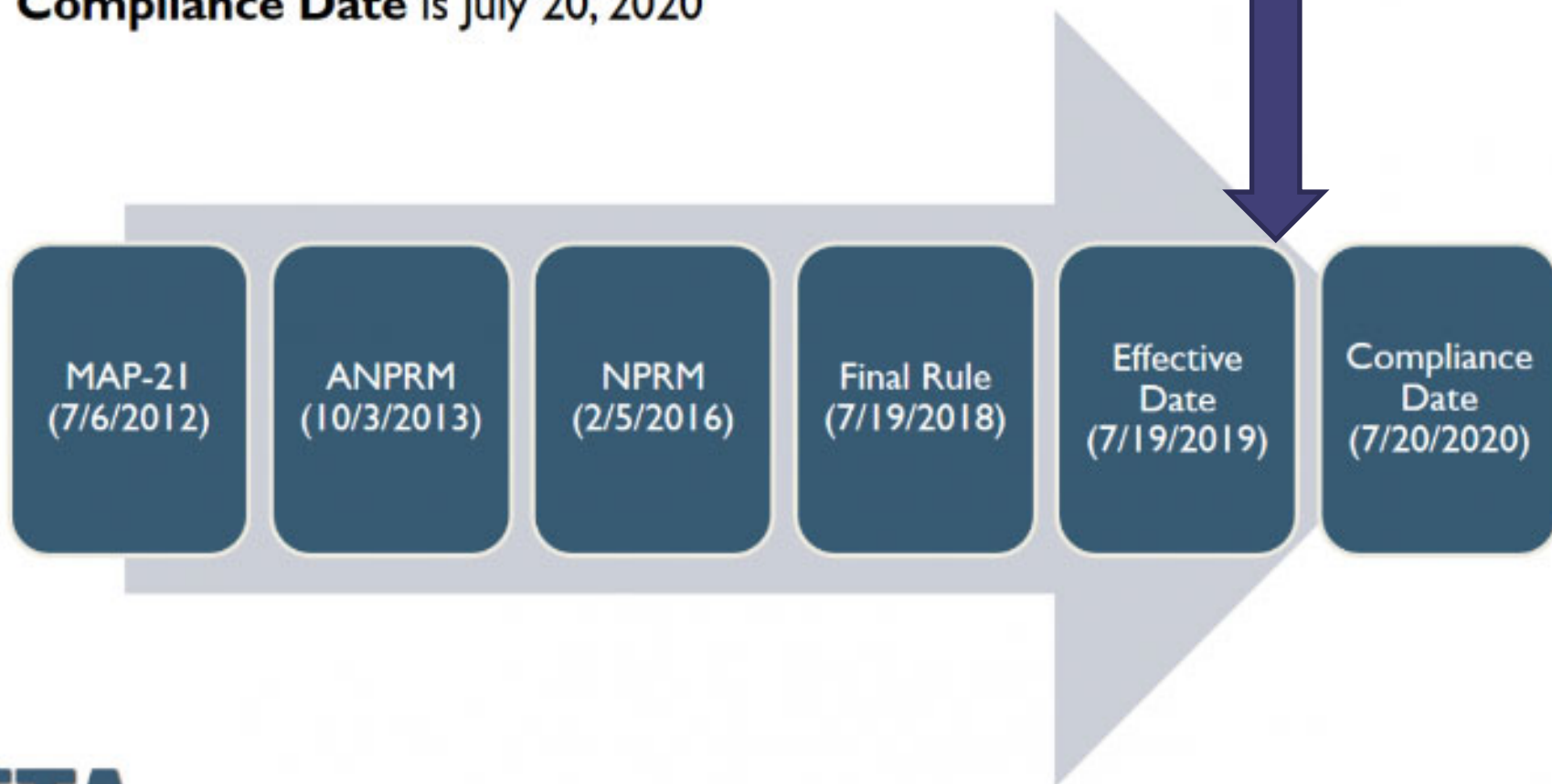
# PTASP Timeline

**Final Rule Published** on July 19, 2018

**Effective Date** is July 19, 2019

**Compliance Date** is July 20, 2020

We are here



# PTASP

- ✓ Public Transportation Agency Safety Plan (PTASP) Final Rule
- ✓ Applicability: recipients and sub-recipients of Urbanized Area Formula Funds, operating a public transportation system and/or rail transit.
  - ✓ Deferred for small operators only receiving 5310 and/or 5311 funds.
- ✓ Does not apply to activities regulated by other agencies (i.e. FRA: commuter rail, U.S. Coast Guard: passenger ferry service)
- ✓ Effective 7/19/19, safety plan must be in place by 7/20/20



# PTASP

- ✓ Safety plan should include targets based on safety performance measures established in National Public Transportation Safety Plan (NPTSP):
  - ✓ **Fatalities**: 1) total number of reportable fatalities and 2) rate per total vehicle revenue miles, by mode
  - ✓ **Injuries**: 1) total number of reportable injuries and 2) rate per total vehicle revenue miles, by mode
  - ✓ **Safety Events**: 1) total number of reportable events and 2) rate per total vehicle revenue miles, by mode.
  - ✓ **System Reliability**: mean distance between major mechanical failures, by mode.
- ✓ Additional information may be found on [FTA's PTASP website](#).

# TAM

- ✓ **Reminder**: annual Transit Asset Management (TAM) annual requirements for applicable agencies:
  - ✓ Submit the following to NTD:
    - ✓ Annual narrative report.
    - ✓ Annual data report.
  - ✓ Continue reporting on facility condition assessments.
  - ✓ Set performance targets, to be approved by accountable executive
  - ✓ Revisit TAM plans (as applicable).

# TAM

## ✓ Caveats:

- ✓ TAM project sponsors must submit one consolidated annual data report and one consolidated annual narrative on behalf of its participants.
- ✓ MPOs do not need to revisit targets annually, but are encouraged to coordinate with FDOT and relevant transit providers to revisit targets, as applicable.
- ✓ **Targets should be included in the Transportation Improvement Program (TIP) and Metropolitan Transportation Plans (MTP).**
- ✓ **TIP/STIPs and MTPs without targets may result in project delays.**

# Joint Development

- ✓ Public comment period for proposed changes to [Circular 7050.1A](#) closed 6/3/19.
- ✓ Proposed changes seek to streamline process:
  - ✓ Fair Share of Revenue:
    - ✓ Eliminate minimum revenue threshold and monetary requirement.
    - ✓ Project sponsor must continue to report amount and source of revenue received, which must be used for transit purposes.
  - ✓ Submission & Review Process - revise project request form to reflect changes to fair share of revenue, including removing:
    - ✓ Baseline market analysis, and
    - ✓ Certification of compliance

# Project Management Oversight Rule

- ✓ FTA seeks public comment on revisions to Project Management Oversight (PMO) rule.
- ✓ Notice of Proposed Rulemaking issued 8/26/19, comments due 10/25/19
- ✓ Proposed changes seek to streamline process by redefining a “major capital project” as:
  - ✓ a new rail transit or bus rapid transit project, OR
  - ✓ an extension, rehabilitation, or modernization of an existing system AND:
  - ✓ A total project cost of \$300 million or more, AND
  - ✓ Federal investment of \$100 million or more.

# FFY20 Grantmaking Guidance

# Anticipated Award Activity (AAA)

- ✓ Similar process to last year (FFY19)
- ✓ Recipients may note anticipated FY20 grant activity
  - ✓ # of applications, associated details, prerequisites, & expectations.
  - ✓ Recommend recipients prioritize lapsing & “critical” applications.
- ✓ **Likely more narrow definition of “Critical”**
- ✓ **GM/CEO/City Manager may be asked to confirm “criticality” of application.**

# Anticipated Award Activity (AAA)

- ✓ Consideration of:
  - ✓ Consolidated and/or multi-sourced (“Super Grant”) applications
  - ✓ Time sensitive activities, such as: Discretionary grants, Construction projects
- ✓ Please contact your Pre- and Post-Award Managers to discuss FFY 20 game plan!
- ✓ Early engagement may reduce potential future delays.



# Helpful Grantmaking Resources

- ✓ [TrAMS User Guide](#): helps recipients navigate TrAMS
- ✓ [TrAMS Webpage](#): includes webinars and tip sheets.
- ✓ [FTA TRO-4 Trainings](#): includes pre-award, MPR/FFR, and others.
- ✓ [FTA Regulations & Guidance](#)
- ✓ [FTA Apportionments](#): identify amount of funds available to a State and/or urbanized areas.
- ✓ [Final Circulars](#): guidance for FTA and related programs.

# TrAMS User Guide

- ✓ Excellent initial reference for TrAMS related questions.
  - ✓ Often contains answers to common questions.
- ✓ Contains helpful information for many functions:
  - ✓ User roles & capabilities
  - ✓ Executing Certifications & Assurances
  - ✓ Application development, transmission and submission
  - ✓ And many others!

# Example: TrAMS User Guide

## 4.4.6 Submit Application to FTA

After the FTA has completed their initial review of the application and has assigned a FAIN to the application, FTA will return the application to the recipient for formal submission. A 'Task' will be assigned to users in the recipient organization with the Submitter role group. All Submitters will receive an email notice indicating that a task has been assigned.

12) **Submit to FTA:** To submit the application, click the 'Submit to FTA' button.

A horizontal bar containing four buttons. The first button, 'Submit to FTA', is green with white text and is highlighted with a red rectangular border. The other three buttons, 'View/Print', 'Return with Comment to FTA', and 'Cancel', are light gray with black text.

13) The 'Application Validation | Submit Application for FTA Review' Screen will be shown. Enter your 4-digit PIN in the 'User PIN' field and click the 'Confirm' button. Refer to the [Required PIN Resets](#) page if you do not know your PIN number. 'Cancel' to return the submission task to the 'Task' tab.

## Application Validation | Submit Application for FTA Review

### Please review the content below to confirm submission

To the best of my knowledge and belief, all data entered are true and correct. Submission of this application is duly authorized by the appropriate governing officials of the applicant and the applicant will comply with the certifications and assurances if the federal assistance is awarded.

If you agree, click on the Confirm button to complete submission of this application to the Federal Transit Administration (FTA).

### Enter User PIN

Please note that this verification is being recorded under the name of:

**Name** Jane Trams

**Date** Feb 23, 2018

**Title** Sr. Financial Analyst

**User PIN**

A rectangular text input field with a red border, intended for entering a 4-digit PIN.

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# Example: TrAMS User Guide

## 4.4.6 Submit Application to FTA

After the FTA has completed their initial review of the application and has assigned a FAIN to the application, FTA will return the application to the recipient for formal submission. A 'Task' will be assigned to users in the recipient organization with the Submitter role group. All Submitters will receive an email notice indicating that a task has been assigned.

Step by step instructions  
With visuals

12) **Submit to FTA:** To submit the application, click the 'Submit to FTA' button.



Submit to FTA Submit with Comment to FTA Return with Comment to FTA Cancel

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**Name** Jane Trams

**Title** Sr. Financial Analyst

**Date** Feb 23, 2018

**User PIN**

# Application Development: Pre-requisites

- ✓ Ensure your SAM is active
- ✓ Civil Rights documents & programs are current or in review status
- ✓ Certifications & Assurances PIN'd by designated official **and** attorney
- ✓ Compliant TAM Plan **with certification checked in 2020 C & A's**
- ✓ Early NEPA & Section 106 Consultation (as applicable) **for construction**
- ✓ Designated Recipient information **in TrAMS Recipient Profile** (as applicable)
- ✓ Correct Section of Statute entered **in TrAMS**
- ✓ **\*New\*** Compliant Public Transportation Agency Safety Plan (effective 7/20/20)

# Application Development: Attachments

- ✓ Project/Activity programmed in TIP/STIP Split letter (large urban) or Governor's apportionment letter (small urban)
- ✓ If applicable, also include:
  - ✓ FDOT approval of Transportation Development Credits (if applicable)
  - ✓ Program of Projects Documentation
  - ✓ FHWA Form 1576 (flex funds) signed by FHWA and FDOT
  - ✓ Table 3a – Special Rule Operating (large urban)
  - ✓ Relevant page(s) of UPWP (5307 planning funds)
  - ✓ Form 424 (Discretionary)

# Application Development: Financial Considerations

- ✓ Reservation Considerations:
  - ✓ Multiple Urbanized Areas = Multiple Projects
  - ✓ PM and ADA paratransit = separate projects
  - ✓ CMAQ and STP/STBG Flex = separate projects
- ✓ If planning to apply indirect costs, please ensure appropriate documentation is in place.

# Application Development: FTA Program “tips”

- ✓ Section 5339: preventive maintenance (PM) & operating are ineligible activities.
- ✓ Section 5307:
  - ✓ 1% security is applied at the urbanized area level.
  - ✓ There are no monetary operating caps for small urbanized areas.
- ✓ Section 5310:
  - ✓ 55% must be spent on “traditional” 5310 projects. Eligible activities may be found [here](#).
  - ✓ Projects should be derived from a Locally Coordinated Human Services Plan.
- ✓ Section 5337: PM is eligible, operating is not.



# Application Development: Application & Project Titles

- ✓ Application Title
  - ✓ FTA Program (i.e. 5307, FHWA Flex to 5307)
  - ✓ Activity (i.e. bus procurement, operating, PM, etc.)
  - ✓ Urbanized Area(s)
- ✓ Project Title
  - ✓ Project-specific activities
  - ✓ If the application contains more than one of the following, include:
    - ✓ Urbanized Area
    - ✓ FTA program

# Application Development: Period of Performance

- ✓ Period of Performance:
  - ✓ 2 years after last milestone
  - ✓ Round up to next March 30<sup>th</sup>.
  - ✓ Example:
    - ✓ Last milestone = May 20, 2019
    - ✓ 2 years after = May 20, 2021
    - ✓ Round up to next March 30, making Period of Performance = March 30, 2022.

# Application Development: Executive Summary

- ✓ Should include:
  - ✓ Federal and nonfederal funding amounts (totals & by year)
  - ✓ Section of Statute(s) (i.e. 5307)
  - ✓ **Brief** overview of activities to fund
  - ✓ Application attachments (i.e. TIP/STIP, split letter, etc.)
- ✓ Note the following requires additional language:
  - ✓ Procurement of rolling stock
  - ✓ Use of 3<sup>rd</sup> party contractors.

# Application Development: Executive Summary

- ✓ For procurement of rolling stock, please add:
  - ✓ [RECIPIENT NAME] will ensure that all vehicles purchased are accessible, purchased from an FTA approved TVM, and reported to FTA within 30 days after contract is signed.
  - ✓ [RECIPIENT] will check the current listing of Transit Vehicle Manufacturers (TVM)  
(<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/eligible-tvms-list>) to ensure each is listed as a certified TVM in compliance with FTA regulations.

# Application Development: Executive Summary

- ✓ For use of 3rd party contractors, please add:
  - ✓ The recipient or Sub-recipient (when applicable) will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance)
  - ✓ The recipient or Sub-recipient (when applicable) will ensure contractors procured will not be on the FTA Suspension and Debarment list.

# Application Development: Executive Summary

✓ **For 5337 funds**, please add:

- ✓ *“By executing this award, we certify that projects funded in this award are included in the [20XX] TAM plan investment prioritization section.”*

# Application Development: Executive Summary

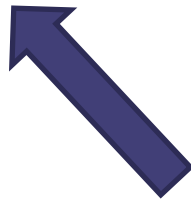
- ✓ It is unnecessary to include the following in the application details/executive summary section. These are now TrAMS prompts:
  - ✓ Research and indirect costs
  - ✓ Period of performance
  - ✓ Application end date

# Application Development: Executive Summary

Describe the general purpose of the award

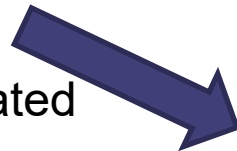
**Does this application  
include funds for  
research and/or  
development  
activities?**

- ☐ Yes, this application includes funds for research and/or development activities.  
☒ No, this application does not include funds for research and/or development activities.



Now a TrAMS prompt (in application details)

Period of performance has  
it's own section, to be populated  
(in application details)



\* Period of  
Performance End  
Date

03/30/2025

Select the date for which all award activities will be completed



# Application Development: Project Information

- ✓ Project-level details, such as:
  - ✓ FTA program
  - ✓ Total federal and nonfederal costs for project (not application)
  - ✓ Overview of project activities
  - ✓ Any other project-related details.
- ✓ For example, an \$100,000 application with 2 projects:
  - ✓ Project 1: \$80,000 FTA 5307, \$20,000 local funds for preventive maintenance and purchase of bus shelters.
  - ✓ Project 2: \$20,000 FTA 5339, \$5,000 for procurement of security cameras

# Application Development: Project level “tips”

- ✓ Certain activities should be separated into different projects
  - ✓ Different Sections of Statute = different projects
  - ✓ Multiple Urbanized Areas = Multiple Projects
  - ✓ PM and ADA paratransit = separate projects
  - ✓ CMAQ and STP/STBG Flex = separate projects
  - ✓ 5337: high intensity motorbus & State of Good Repair = separate projects.

# Differentiating CMAQ vs. STBG

FHWA Form 1576 (flex funds) References  
Funding Source, Recipient, & Amount

## FHWA TRANSFER REQUEST

Reset Form

Type of Transfer: Funds to a DOT Agency or Federal Department

In accordance with provisions of title 23 U.S.C., the State transportation department indicated below requests that Federal-aid Highway Program contract authority and obligation authority be transferred as shown.

Requesting Agency: Florida Department of Transportation

Transfer  
Request  
Contact:

Name  
Title  
Email  
Phone

### Tracking Numbers

Recipient FHWA

Item #	Description of Fund - From	Fiscal Year	Program Code	Demo ID or Urban Area Code	Amount	From #	Description of Entity - To	Amount
1	STBG PGM AREAS W/ POP OVER 5K TO 200K-FAST ACT				2,520,405.00			3,600,000.00
2	CONGESTION MITIGAT (CMAQ) - FAST ACT				680,327.00			
3	STBG FLEX - Any Area FAST ACT				399,268.00			
4	STBG, PGM-URBANIZED AREAS POP OVER 200K				7,913,353.00			9,175,850.00
5	STBG, PGM-URBANIZED AREAS POP OVER 200K				1,262,497.00			
6								
7								
8								
9								
10								
From/To out of balance by: <b>\$0.00</b>					<b>TOTAL FROM</b>		<b>\$12,775,850.00</b>	
							<b>TOTAL TRANSFER</b>	<b>\$12,775,850.00</b>

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# Differentiating CMAQ vs. STBG

FHWA Form 1576 (flex funds) References  
Funding Source, Recipient, & Amount

CMAQ

## FHWA TRANSFER REQUEST

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FHWA

Item #	Description of From	Fiscal Year	Program Code	Demo ID or Urban Area Code	Amount	From #	Description of Entity - To	Amount
1	STBG PGM AREAS W/ POP OVER 200K TO 200K-FAST ACT				2,520,405.00			3,600,000.00
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From/To out of balance by: <b>\$0.00</b>					<b>TOTAL FROM</b>		<b>TOTAL TRANSFER</b>	<b>\$12,775,850.00</b>
					<b>\$12,775,850.00</b>			

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# Application Development: Scope and ALIs

- ✓ Each activity should have a corresponding scope of activity line item (ALI)
- ✓ Examples:
  - ✓ 300 scope = Fixed route operating
  - ✓ 111 scope = Bus rolling stock
  - ✓ 11.12.XX ALI = buy replacement bus
- ✓ FTA's website has a [Scope & ALI tree](#) for application development.

# Application Development: “tips”

- ✓ Multiple years of operating = multiple ALIs (1 per year)
- ✓ Large urban (special rule) and small urban have different ALIs for fixed-route operating
  - ✓ **“Special Rule” operating amount cannot exceed table 3a cap**
- ✓ ADA paratransit operating is a different scope/ALI than fixed-route

# Example: Fixed-Route Operating Scope/ALIs

Scope Code	Scope Code Name	Activity Type	ALI #	ALI Description
300-00	Operating Assistance	Operating Assistance	30.80.01	Operating Assistance CMAQ Capital Only
			30.09.01	Operating Assistance up to 50% Federal Share
			30.09.02	Operating Assistance Sliding Scale (5311 and 5310 Pilot Only)
			30.09.03	Special Rule Operating 1 - 75 Buses
			30.09.04	Special Rule Operating 75 - 100 Buses
			30.09.05	Job Access and Reverse
			30.09.06	EMER RELIEF - OPERATING 80%
			30.09.07	EMER RELIEF - OPERATING 90%
			30.09.08	EMER RELIEF - OPERATING 100%

# Example: Fixed-Route Operating Scope/ALIs

Small Urbanized Area  
Operating ALI

Scope Code	Scope Code Name	Activity Type	ALI #	ALI Description
300-00	Operating Assistance	Operating Assistance	30.80.01	Operating Assistance - CMAQ Capital Only
			30.09.01	Operating Assistance up to 50% Federal Share
			30.09.02	Operating Assistance Sliding Scale (5311 and 5310 Pilot Only)
			30.09.03	Special Rule Operating 1 - 75 Buses
			30.09.04	Special Rule Operating 75 - 100 Buses
			30.09.05	Job Access and Reverse
			30.09.06	EMER RELIEF - OPERATING 80%
			30.09.07	EMER RELIEF - OPERATING 90%
				TING 100%

Large Urbanized Area  
Operating ALI

- Two ALIs – depending on number of buses (Table 3a)



# Example: Accessing Table 3a



Home » Funding » Apportionments

Funding

Grant Programs

Applying

Grantee Tools ▼

Resources ▼

## Fiscal Year 2019 Apportionment Tables (Full Year)

- Table 1. [FTA Appropriations and Apportionments for Grant Programs](#)
- Table 2. [Section 5303 and 5304 Statewide and Metropolitan Planning Apportionments](#)
- Table 3. [Section 5307 and 5340 Urbanized Area Formula Appropriations](#)
- Table 3A. [Section 5307 Operating Assistance Special Rule Operator Caps](#)**
- Table 4. [5307 Apportionment Formula](#)
- Table 5. [Formula Apportionments Data Unit Values](#)

*Related Links*

- [Archived Apportionments](#)

*Contact Us*

**Office of Program Management**  
Federal Transit Administration  
1200 New Jersey Avenue, S.E.  
Washington, DC 20590  
United States

Phone: 202-366-2053  
Fax: 202-366-7951

Can be found (by year) on [FTA apportionments page](#)

# Example: Table 3a

Details RE: operating cap outlined in “NOTES” section at top of table 3a

Updated March 15, 2019

<b>NOTES:</b>							
1. Agencies that are included in this table AND that are eligible for grants under the Section 5307 Urbanized Area Formula Program are eligible to receive operating assistance under the provisions of 5307(a)(2)(A), subject to local allocation, up to the amounts specified in column "H" in Fiscal Year 2019.							
2. Beginning in FY17, agencies may <u>alternatively</u> use program funds up to the amount shown in column "I" for operating assistance under 5307(a)(2)(B), provided that this amount is no greater than 50 or 75 percent of the total amount allocated to them for eligible projects through the local planning process, consistent with the eligible percent factor shown in column "G".							

B	C	D	E	F	G	H	I
Urbanized Area of Service Provided	Public Transportation System Operator	Vehicles Operated in Peak Fixed Route and Demand Response Service	Apportionment to Urbanized Area	Percent of Apportionment Attributable to Operator based on Vehicle Revenue Hours	Eligible Percent Factor Category	FY 2019 Maximum Amount of Section 5307 Operating Assistance Allowed	FY 2019 Maximum Amount of Section 5307 Operating Assistance Allowed 5307(a)(2)(B)
Urbanized Area XXXX	Transit Agency XXXX	12	\$ 3,527,036	100.000%	75%	\$ 2,645,277	\$ 2,645,277

# Example: Table 3a

Details RE: operating cap outlined in “NOTES” section at top of table 3a

Updated March 15, 2019

<b>NOTES:</b>							
1. Agencies that are included in this table AND that are eligible for grants under the Section 5307 Urbanized Area Formula Program are eligible to receive operating assistance under the provisions of 5307(a)(2)(A), subject to local allocation, up to the amounts specified in column "H" in Fiscal Year 2019.							
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Urbanized Area of Service Provided	Public Transportation System Operator	Vehicles Operated in Peak Fixed Route and Demand Response Service	Apportionment to Urbanized Area	Percent of Apportionment Attributable to Operator based on Vehicle Revenue Hours	Eligible Percent Factor Category	FY 2019 Maximum Amount of Section 5307 Operating Assistance Allowed	FY 2019 Maximum Amount of Section 5307 Operating Assistance Allowed 5307(a)(2)(B)
Urbanized Area XXXX	Transit Agency XXXX	12	\$ 3,527,036	100.000%	75%	\$ 2,645,277	\$ 2,645,277

Number of vehicles  
(for use in determining  
Correct ALI)

Potential eligible cap percentage  
And/or amounts (see NOTES section)

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# Example: ADA Paratransit Scope/ALI

Scope Code	Scope Code Name	Activity Type	ALI #	ALI Description
117-00	Other Capital Items (Bus)	Other Capital Items (Bus)	11.73.00	Contingencies/Program Reserve
			11.74.00	Public Buyout
			11.77.00	Project Income
			11.78.00	Capital Project Income
			11.79.00	Project Administration
			11.7A.00	Preventive Maintenance
			11.7B.00	SIB Capitalization
			11.7C.00	Non Fixed Route ADA Paratransit
			11.7E.00	Community Service Facilities
			11.7F.00	TDM Activities - CMAQ only
			11.7L.00	Mobility Management (5302(a)(1)(L)
			11.7M.00	Debt Service Reserve (5302(a)(1)(K)
			11.7P.00	Transit Asset Management (5337, 5307, 5311)

## Reminders:

- Be mindful of ADA operating cap at urbanized area level
- Preventive maintenance + ADA paratransit = two projects
  - \*required to reserve funds in TrAMS

# Application Development: “tips”

- ✓ In Section 5307, Preventive Maintenance is eligible for the current and/or preceding year (max of 2 ALIs).
- ✓ 5337: insert TAM language in Executive Summary
- ✓ Milestones:
  - ✓ 3rd party contactors = at least 3 milestones
  - ✓ Rolling stock procurement = at least 5 milestones

# Example: 3<sup>rd</sup> Party Contractor Milestones

Milestone Name	Est. Completion Date	Description
Start Date	11/1/2018	ADA Complementary Paratransit Start Date
End Date	9/30/2019	ADA Complementary Paratransit End Date
RFP	10/1/2018	ADA Complementary RFP published

# Example: Rolling Stock Milestones

Milestone Name	Est. Completion Date	Description
RFP Issue Date	8/1/2018	RFP published
Contract Award Date	10/1/2018	Contract Awarded
Initial Delivery Date	3/1/2019	First Vehicle Delivered
Final Delivery Date	2/14/2020	All Vehicles delivered
Contract Completion Date	5/1/2020	Contract closed out

# Application Development: Extended Budget Descriptions

- ✓ Each activity ALI should have an extended budget description (EBD)
- ✓ The EBD should adequately describe the associated activity, for example:
  - ✓ Provide useful life for capital items over \$5,000 in value.
  - ✓ Rolling stock replacements should include make, model, year, VIN# and mileage (in EBD or as attachment)
  - ✓ ALIs using 1% security projects for 5307 should note this in the EBD.



# Application Development: Program Specific Considerations

- ✓ For Preventive Maintenance, please include the following in the EBD:
  - ✓ Period of activity (i.e. 10/1/2018-9/30/19)
  - ✓ Useful life of items over \$5k in value
  - ✓ For items under \$5k, insert:
    - ✓ The agency [Name] does not anticipate the purchase of items over \$5,000 in value at this time. Any items with value over \$5,000 identified during the execution of the activities under this ALI will be included via budget revision (actual value and useful life)."

# Application Development: Environmental Findings

- ✓ Environmental Class of Action is critical to application advancement and pre-award authority
  - ✓ Review appropriate FTA circular to program-specific requirements
- ✓ Generally, 1 environmental finding per ALI

# NEPA & Section 106 Consultation

- ✓ Early consultation may reduce potential delays
- ✓ Consult FTA Environmental Protection Specialists for activities that may involve:
  - ✓ New construction
  - ✓ Rehabilitation or Renovation (of a structure)
  - ✓ Demolition
  - ✓ Fixed-guideway or corridor base bus/rail
  - ✓ Historic or Cultural Resources

# Environmental Class of Action

## ✓ Three Types:

### ✓ Categorical Exclusions (CE)

✓ Listed CEs

✓ Documented CEs

### ✓ Environmental Assessments (EA)

### ✓ Environmental Impact Statements (EIS)

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# Application Considerations: Amendments vs. Budget Revisions

- ✓ Amendment - significant change to:
  - ✓ scope and/or federal funding
  - ✓ NEPA determination
- ✓ Budget Revision - no changes to:
  - ✓ Scope/purpose
  - ✓ Type/amount of federal funding

# Application Considerations: Amendments vs. Budget Revisions

- ✓ Please review [FTA Circular 5010.1E](#) for specific details
- ✓ Coordination with FTA Pre- and Post-award managers are highly recommended.
- ✓ Budget Revisions and Amendments (including zero-dollar amendments) may result in unforeseen consequences.
- ✓ FTA staff can review your details and advise as to the best course of action