

FY2023

# FTA Region V Grantmaking Reference Guide



*The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Grantees should refer to applicable regulations and statutes referenced in this document.*

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## Overview

This document serves as a reference guide to grantmaking in the Federal Transit Administration's (FTA) Transit Award Management System (TrAMS). Grantees are strongly encouraged to contact their assigned FTA Region V Grant Representative prior to creating a new TrAMS grant application. The Region V Grantee Resource Center<sup>1</sup> includes a link to this Grant Making Reference Guide, Grant Timeline Guidance, and other resources. Region V recommends that recipients consult the Grant Timeline Guidance on the Region V website. The timeline is a good resource to help you internally plan out grantmaking activities and supports the award of grants by the end of Federal Fiscal Year.

The Region V Grantmaking Reference Guide is a tool to assist with grant development. Additional resources and more detailed information related to FTA's programs and TrAMS can be found on FTA's website<sup>2</sup>.

## National Environmental Policy Act<sup>3</sup>

The National Environmental Policy Act (NEPA) is a procedural statute intended to ensure Federal agencies consider the environmental impacts of their actions in the decision-making process. FTA is responsible for managing the environmental review process for projects that receive financial assistance from FTA. This process includes ensuring compliance with NEPA and other relevant federal environmental laws, reviewing and approving environmental documents, and issuing decision documents. The project sponsor, is the co-lead agency with FTA and is responsible for completing many steps in the environmental review process, such as:

- conducting technical studies
- leading public involvement
- preparing environmental documents

Additional environmental documentation and/or FTA approval may be required if you have a project that involves acquisition<sup>4</sup> or construction. The review and approval of environmental documentation takes time to complete, so it's important to contact your grant representative well in advance of when

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<sup>1</sup> The Region V Grantee Resource Center can be found at:

<https://www.transit.dot.gov/about/regional-offices/region-5/grantee-resource-center>

<sup>2</sup> FTA's annual Apportionments, Allocations, and Program Information Federal Register Notice:

<https://www.transit.dot.gov/funding/apportionments>

- FTA Program circulars for information about FTA's grant programs:  
<https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/fta-circulars>.
- Guidance and training tools on TrAMS can be found at:  
<https://www.transit.dot.gov/funding/grantee-resources/teamtrams/transit-awardmanagement-system-trams>.
- The TrAMS User Guide can be found at:  
<https://www.transit.dot.gov/sites/fta.dot.gov/files/2022-08/TrAMS-User-Guide-v2.9-Recipient.pdf>

<sup>3</sup> Additional environmental guidance may be found on the FTA website:

<https://www.transit.dot.gov/regulations-and-guidance/environmental-programs/environmental-programs>

<sup>4</sup> Dear Colleague Letter regarding FTA policies on the acquisition of real property:

<https://www.transit.dot.gov/funding/grants/dear-colleague-letter-real-estate-and-nepa>

you put the project in a grant application. FTA can then make a determination on whether additional environmental information is required.

### ***Certifications & Assurances***

The Certifications and Assurances (C&As) must be pinned electronically in TrAMS by both the Authorizing Official (AO) and Attorney before grants can be awarded. If both parties cannot pin electronically, then they must be completed electronically, and a hard copy of the C&As must be uploaded with the wet signatures of both the AO and Attorney in the C&A module. The selections in the hard copy must match what was selected in the electronic version. A Delegation of Authority for PIN User Roles must also be uploaded to the Recipient Documents for each person who has not pinned electronically<sup>5</sup> Additionally, the recipient must upload a justification as to why both users cannot pin electronically. If found inadequate, no grant awards can be made until the C&As are pinned electronically.

### ***Funding***

Federal funds appropriated under The Bipartisan Infrastructure Law (BIL), as enacted in the Infrastructure Investment and Jobs Act (IIJA) (Fiscal Year (FY) 2022 and forward) can be included in a single grant application with funds appropriated in FY 2021 and prior years. However, funds, at a minimum, must be separated into different scope codes within a project. Alternatively, the funds may be awarded as separate projects within a single grant application or be awarded in separate grants.

- Example 1 – Funds included in separate projects: Your grant includes FY 2021 and FY 2022 Section 5307 funds for operating assistance (scope 300-00), the FY 2021 and FY 2022.
- Example 2 – Funds within the same project: Your grant includes FY 2021 and FY 2022 Section 5339 funds, utilizing the FY 2021 funds on a bus purchase (Scope 117-00) and the FY 2022 funds on a software purchase (Scope 114-00).

### ***New Grant vs. Grant Amendment***

Before entering a grant in TrAMS, it is important to have a discussion with your Grant Representative(s) so that you can both agree on the best approach; either creating a new grant or amending an existing grant. For example, if your proposed project meets both of the following criteria, you should consider adding it through an amendment to an existing grant to minimize your total number of grants.

- The entire timeline of your proposed projects would fit within the timeline of an existing grant (i.e., the new projects being added would finish at the same time or before the existing projects in the grant).
- The federal funding source you plan to use is already being used in the existing grant (e.g., 5307, STBG, 5339).

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<sup>5</sup> Delegation of Authority for Pin User Roles:

<https://www.transit.dot.gov/funding/grantee-resources/teamtrams/delegation-authority-pin-user-roles>

Discussions with your grant representative should include assessing the status of the recipient's existing grant portfolio, best utilizing existing grant funding for current project needs, and opportunities to close out old grants before new ones are created. New grants should not be created when the first project activities are not expected to begin within one year of the grant being awarded.

Keep in mind the following when creating a grant amendment:

- TrAMS does not allow you to add new funding programs to an awarded grant. For example, if the original grant only contained Section 5307 funds, you cannot amend the grant to add Section 5339 funds.
  - o There are instances where a funding program (such as Section 5339) is distributed through formula and competitive/discretionary selection (for example Low or No Emissions and Bus and Bus Facilities). Although the funds are awarded from the same program, the formula and discretionary funds should be treated as two different funding programs when developing a grant in TrAMS.
- No more than three fiscal years of funding for operating assistance and preventive maintenance can be contained in a grant and corresponding amendments. For example, if you apply for an annual operating assistance grant (that contains full year apportionments), you should only amend the original grant twice to add another two years of funding for those specific activities.
  - o Note that there is no limit on the number of times a grant containing operating assistance and preventative maintenance can be amended, as long as the grant and corresponding amendments have no more than three full fiscal years (apportionment) of funding. For example, if you apply for half of your annual year apportionment in a grant and corresponding amendments for fiscal years 2021, 2022, and 2023, you can amend the grant five times (the original grant plus one amendment with FY 2021 funds, and two amendments each with FY 2022 and 2023 funds.
- Amendments are treated as if you are creating a new grant, including a new Executive Summary, Project Description, and Extended Budget Description, etc. There are sections throughout this document that provide samples for how to handle amendment language.

### ***“Super” Grants***

TrAMS allows grantees to combine funding from different FTA programs into a single grant. This is a departure from how our previous grant award system, the Transportation Electronic Award Management System (TEAM) functioned. If you plan on creating a grant with multiple funding sources, also known as a “Super” Grant, please consult with your Grant Representative on how to best set up the grant.

Super Grants should be used if any of the following conditions apply:

- Multiple funding programs are being used to fund related activities such as a capital improvement project, a construction project or system-wide improvement project.
- Multiple funding programs are being used for the same budget scope and activity line item.

- Transferring funds from the Federal Highway Administration (FHWA) (i.e., Surface Transportation Block Grant (STBG) and/or the Congestion Mitigation and Air Quality (CMAQ) Programs) for the same or related projects which also use FTA program funds.
- An applicant is applying for funding apportioned under different formula programs (such as Section 5307, 5337, and 5339) within the same urbanized area(s).

Super Grants may not be optimal if the following conditions are present:

- Timelines/Periods of Performance for different projects are not efficiently synchronized.
  - For example milestone dates for preventive maintenance end on 12/31/2023, and a bus facility construction project ends on 12/31/2027.
- An application contains funding programs with different requirements e.g., Department of Labor (DOL) review or Reporting Frequency, etc.
- FTA recommends keeping discretionary awards in their own grant.
- Coronavirus relief funding sources (ARPA, CRRSAA, CARES Act) are not eligible to be included in Super Grants.

When developing a Super Grant, different funding sources can be incorporated into the same project, but not into the same scope. Please see the section below for more details.

### ***Grant Structure – Funding Sources***

Each grant program including funds flexed from FHWA to FTA (such as CMAQ and STBG) has a unique account classification code (ACC) that is used to reserve funds. In many instances, a grant program (such as 5310, 5311, and 5339) has multiple ACC codes. This is important to note when setting up your budget in TrAMS because only one ACC type can be used under each scope code. But you can combine different fiscal years of funding under the same scope.

For example, the 5310 program has multiple ACC codes (one each for funds designated to the rural, small urban, and larger urban programs). If your grant will include funding for rural and small urban areas, then you will be required to use separate scopes, or use the same scope in different projects for the rural and small urban funds. In many instances, you will have to create an additional project in TrAMS to ensure that rural and small urban funds are not included in the same scope.

Financial purpose codes (FPC) are assigned to each funding type. TrAMS only allows one FPC type per scope. For example, an operating assistance Activity Line Item (ALI) (FPC 04) and a capital activity ALI (FPC 00) cannot be under the same scope. There are a couple of exceptions to this rule (mainly involving the 5311 Program) that will be noted in this document. The following are the FPC codes for the following type of projects:

<u>FPC</u>	<u>Description</u>
00	Capital (including preventive maintenance)
01	Research & Training
02	Planning
03	Job Access and Reverse Commute (JARC)/New Freedom and Resiliency/Emergency

04	Operating Assistance
06	State & Program Administration
07	RTAP
08	ADA Paratransit
09	Multiple Types

### ***Grant Structure – Projects***

TrAMS allows for grant activities to be grouped by Projects. Some grants may only contain one Project while other grants contain several Projects. Grants with multiple Projects are often separated by funding sources or by function (operating assistance, planning, vehicle purchase, facility renovation, etc.). Even if your grant only has one source of funding, there may be times when it makes sense to have multiple projects in the grant as opposed to placing all activity line items under a single project. Again, it is important to have a discussion with your Grant Representative so that you can both agree on the best approach. Please prepare for these discussions by having all of your proposed projects listed out, along with the federal funding source you plan to use for each.

### ***Titling Your Grant Application***

When titling your grant application (under Application Name) please note the following:

- The Application/Award Name will exist throughout the life of the Award and cannot be edited once the grant has been awarded, even when amending.
- Do not include the fiscal year(s). You will include the fiscal year(s) of funds in the Project Title. See the “*Projects*” Section for more information.
- The Application/Award Name is published in USAspending.gov and should be something searchable in USAspending.gov.
- The Application/Award Name should reflect the Scope of Work to be completed and something the public can understand.
- The Application/Award Name should also include the Section number(s) of funding (Section 5307, 5309, etc.).
- Examples:
  - Section 5311 Operating, Intercity Bus, and RTAP
  - Sections 5307 and 5337 Bus Purchases, Facility Improvements, and Fare Collection Equipment
  - Section 5310 Rural and Small Urban Paratransit Vehicles and Operating Assistance

### ***Award Description***

The following five elements are to be provided for each award and written in plain language (see below and Appendix 4 for examples):

- Purpose



- o Activities to be performed
- o Expected outcomes
- o Intended beneficiaries
- o Subrecipient Activities

**Purpose:** *The purpose of this award is to provide 1 year of operating assistance for the City of Oshkosh's transit system (GO Transit) to assist it in fixed route transit operations during the for period of 1/01/2021 to 12/31/2021.*

**Activities to be performed:** *Funds will be used to cover all eligible operating expenses such as driver salaries, fuel, items having a useful life of less than one year.*

**Expected outcomes:** *Funding will permit GO Transit to continue to provide operations.*

**Intended beneficiaries:** *GO Transit and the riders that rely on its service will benefit from continued services, permitting workers to get to work and other destinations.*

**Subrecipient Activities:** *None*

## **Executive Summary (ES)**

The Executive Summary (ES) should provide a high-level explanation of the type of projects that you are applying for. The ES should include the following information:

- 2 It is important that grantees provide the funding breakdown when there are multiple funding years, multiple funding programs, and/or multiple UZAs included in the grant application. Therefore, the first sentence in all Executive Summaries should begin with the following sentence for each fiscal year, Section or Flex Fund program, and/or UZAs/States (as applicable):
  - o "This application is to request FY20XX Section 53XX funds apportioned to the [UZA or STATE NAME] in the amount of \$XXXX."
- Total amount of each Federal fiscal year of funding that will be used.
- The type of funds that will be used (Section 5307, 5311, 5339, CMAQ, STBG, etc.).
- The projects/activities that are included in the grant application (purchasing replacement buses, operating assistance, preventive maintenance, renovation of a bus garage, etc.).

For urban areas over 200,000 in population – If the grant includes FY 2022 or later Section 5307 funds, include a short narrative (it may be as short as a sentence) noting how 0.75% of the 5307 funds will be used on a safety project. See the Section 5307 Page of this guide for me details. The source(s) of matching funds<sup>6</sup>.

- The supporting documents that are attached in the grant application (STIP approval letter, STIP project listings, 5310 Program of Projects and split letter designating apportionments, etc).

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<sup>6</sup> If applicable, include an explanation of why the grant includes local overmatch or a higher federal share. This should also be explained in the Extended Budget Description for the ALIs that contain the overmatch.

- If using 5337 program funds, recipients must add the following statement in their grant application's executive summary: *"By executing this grant, we certify that projects funded in this grant are included in the [20XX] Transit Asset Management (TAM) Plan investment prioritization section."*
- For projects that include vehicles, must add the following two statements:
  - *"In executing this grant, the [Name of Agency] agrees to abide by Section 3011 of the FAST Act (49 U.S.C. 5323(j)(2)(C) regarding the phased increase in domestic content under the Buy America statute for rolling stock."*
  - *"As Grant Agreement includes an FTA-funded transit vehicle purchase, Recipient agrees to comply with the related requirements set forth in 49 CFR § 26.49(a). Specifically, Recipient must ensure as a condition of being authorized to bid or propose on FTA-assisted transit vehicle procurements, that each transit vehicle manufacturer certified that it complied with DOT requirements for submitting a DBE program and goal to FTA prior to bidding. Recipient is also required to submit the name of the successful bidder and the total dollar value of the contract within 30 days of making an FTA- assisted transit vehicle award using the required FTA reporting tool. Recipient understands that failure to comply with these requirements may result in formal enforcement action or appropriate sanction as determined by FTA, including reimbursement of FTA funds used for the vehicle procurement."*

#### Sample #1

This application is to request Section 5307 funds apportioned by the State of Wisconsin to the Oshkosh UZA in the amount of \$1,000,000. *This grant provides \$1,000,000 of FY 2021 Section 5307 operating assistance to the City of Oshkosh's transit system (GO Transit) for the period of January 1, 2021–December 31, 2021. The local share for operating will be \$500,000 provided through local tax levies (city and county), and \$500,000 from the State of Wisconsin.*

*Attachments to this application include the TIP Table referencing 2021 operating expenses, DOL Information, FTA STIP Approval Letter dated 1/20/20, and FY 2021 Wisconsin State 5307 Allocation Letter.*

#### Sample #2

*This application is to request Section 5307, 5337 (Bus), 5337 (Rail), and 5339 funds apportioned to the Minneapolis/St. Paul UZA in the amount of \$68,217,994. This application requests funding for multiple projects, including bus purchases, design/engineering and construction for garage projects, Communication system enhancements, Rail vehicle overhaul, fare collection upgrade, capital cost of contracting, and facility energy conservation and enhancement. This grant application is for a total of \$83,322,313, with \$68,217,994 federal and \$15,104,319 local match. The Federal funds are from the following programs:*

- *Section 5307 funds in the amount of \$2,615,027 is FFY 2020; \$37,762,967 is FFY 2021.*
- *Section 5337 (Bus) funds in the amount of \$2,383,413 is FFY 2020; \$3,776,587 is FFY 2021.*
- *Section 5337 (Rail) funds in the amount of is \$6,301,560 is FFY 2020; \$4,978,440 is FFY 2021.*

- o Section 5339 funds in the amount of \$1,631,911 is FFY 2019; \$4,579,942 is FFY 2020; and \$4,188,147 is FFY 2021.

*In executing this grant, the Metropolitan Council agrees to abide by Section 3011 of the FAST Act (49 U.S.C. 5323(j)(2)(C) regarding the phased increase in domestic content under the Buy America statute for rolling stock.*

*As Grant Agreement includes an FTA-funded transit vehicle purchase, Metropolitan Council agrees to comply with the related requirements set forth in 49 CFR § 26.49(a). Specifically, Recipient must ensure as a condition of being authorized to bid or propose on FTA-assisted transit vehicle procurements, that each transit vehicle manufacturer certified that it complied with DOT requirements for submitting a DBE program and goal to FTA prior to bidding. Recipient is also required to submit the name of the successful bidder and the total dollar value of the contract within 30 days of making an FTA- assisted transit vehicle award using the required FTA reporting tool. Recipient understands that failure to comply with these requirements may result in formal enforcement action or appropriate sanction as determined by FTA, including reimbursement of FTA funds used for the vehicle procurement.*

*By executing this grant, we certify that projects funded in this grant are included in the 2020 TAM plan investment prioritization section.*

*Of the local match, all is funding from Regional Transit Capital except for \$750,000 of Motor Vehicle Sales Tax for Capital Cost of Contracting. Documents attached include the FTA/FHWA STIP approval letter of 10/20/20, relevant STIP pages for the various projects, our Federal Indirect Rates letter, and project descriptions and NEPA documents as appropriate for larger projects.*

### ***Executive Summary (Amendments)***

TrAMS will keep the information for the original grant, and previous amendments. DO NOT delete the information carried over from the grant/grant amendment. Be sure that the descriptions for the amendment are included above the descriptions of the previous grant/amendment.

#### ***Grant Amendment Sample***

*Amendment 1: This application is to request Section 5307 funds apportioned by the State of Wisconsin to the Oshkosh UZA in the amount of \$2,000,000. This grant provides \$2,000,000 of FY 2021 Section 5307 operating assistance to the City of Oshkosh's transit system (GO Transit) for the period of January 1, 2021 – December 31, 2021.*

*The local share for operating will be \$1,000,000 provided through local tax levies (city and county), and \$1,000,000 from the State of Wisconsin. Attachments to this application include the TIP Table*

*referencing 2021 operating expenses, DOL Information, FTA STIP Approval Letter dated 1/20/21 and FY 2021 Wisconsin State 5307 Allocation Letter.*

*Original Grant: This application is to request Section 5307 funds apportioned by the State of Wisconsin to the Oshkosh UZA in the amount of \$1,000,000. This grant provides \$1,000,000 of FY 2020 Section 5307 operating assistance to the City of Oshkosh's transit system (GO Transit) for the period of January 1, 2020 – December 31, 2020.*

*The local share for operating will be \$500,000 provided through local tax levies (city and county), and \$500,000 from the State of Wisconsin. Attachments to this application include the TIP Table referencing 2020 operating expenses, DOL Information, FTA STIP Approval Letter dated 1/20/20, and FY 2020 Wisconsin State 5307 Allocation Letter.*

After entering the ES, TrAMS requires information related to the period of performance, funding allocations, and direct/indirect cost information. TrAMS will prompt you with questions related to these topic areas as you develop your grant. Please note the following:

- Research and Development - You must answer one of the following responses; 1) “Yes, this application includes funds for research and/or development activities”; or 2) “No, this application does NOT include funds for research and/or development activities.”
- Period of Performance (Start/End Dates) - The Start Date will always be the date of grant award. TrAMS requires you to enter an End Date. The End Date should be no less than 2 years after the last milestone date of all the projects listed in the application to allow for closeout activities and any potential delays. This 2-year window is in place to accommodate project schedule contingencies.
  - o The End Date<sup>7</sup> should be set to the next March 30 after the 2-year minimum outlined above.
    - Example #1: If the last milestone of all the projects included in the grant is 2/15/2021, add two years (2/15/2023). This date should be extended to 3/30/2023.
    - Example #2: If the last milestone of all the projects included in the grant is 05/25/2021, add two years (5/25/2023). Since this date falls after March 30, the end date should be set to 3/30/2024.
  - o The End Date represents the last day in which FTA funds can be expended. An FTA action (budget revision, or grant amendment) will be required to extend the period of performance after grant award.
  - o When there are multiple projects in a grant, you should use the latest milestone date (i.e., furthest out of any of the projects) when determining the End Date.
  - o Certain special funding programs such as RAISE or FTA 5339 Discretionary have specific requirements related to the Period of Performance End Date and take precedence over the guidance outlined above.

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<sup>7</sup> Grantees are still required to follow award closeout procedures as outlined in Circular C 5010.1E Award Management Requirements.

- Pre-award Authority<sup>8</sup> – Check “yes” or “no” to whether the grant will utilize pre-award authority.
- Suballocation Funds - If your application includes sub-allocated funds please indicate if you are a Direct Recipient or a Designated Recipient.<sup>9</sup> TrAMS requires you to upload the appropriate suballocation letter(s) if you are a direct recipient of suballocated funds.
- Indirect Cost Rate<sup>10</sup> - TrAMS will direct you to choose whether indirect costs will be used in the grant application. Include one of the following statements if Indirect Costs WILL be applied; 1) “The cognizant agency [enter agency name] approved [enters applicant’s name on [date] and a copy of the organization’s approved rate is on file with FTA (in the EAMS). The approved rate(s) of [provide percentage(s)] will be applied to the applicable activity line descriptions”; or 2) “[Applicant’s Name] has submitted FTA’s certification and elected to use the de minimis indirect cost rate of 10%; the agency certification and FTA’s response noting acceptance of the election of this rate is attached in the recipient profile in the EAMS.”
- Delinquent federal Debt – Check “yes” or “no”. TrAMS requires you to provide details if you check “yes”.
- State E.O. 12372 Review - Check “yes” or “no”. TrAMS requires you to provide a State Application ID and date submitted for State review if you check “yes”.

## Projects

Your Project Title should include the following information:

- Federal fiscal year of the funding that will be used.
- The type of funds that will be used (Section 5307, 5311, 5339, CMAQ, STBG, etc.).
- A description of the major activities within the project.
- *Project Title Example* – “FY2021 Section 5307 Vehicles, Facility Rehabilitation and Miscellaneous Equipment.”

The Project Description (PD) section should include a high-level summary of the project activities with further details on each of the Activity Line Items included in their respective Extended Budget Descriptions.

### *Project Description (PD) Examples:*

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<sup>8</sup> Information on pre-award authority can be found on page 25386 of the “Notice of FTA Transit Program Changes, Authorized Funding Levels and Implementation of the Infrastructure Investment and Jobs Act; and FTA Fiscal Year 2022 Apportionments, Allocations, Program Information and Interim Guidance” Federal Register Notice dated April 28, 2022:

<https://www.govinfo.gov/content/pkg/FR-2022-04-28/pdf/2022-09143.pdf>

<sup>9</sup> A Designated Recipient is: (i) an entity designated, in accordance with the planning process under Sections 5303 and 5304, by the governor of a state, responsible local officials, and publicly owned operators of public transportation, to receive and apportion amounts under Section 5336 to urbanized areas of 200,000 or more in population; or (ii) a state or regional authority, if the authority is responsible under the laws of a state for a capital project and for financing and directly providing public transportation. A Direct Recipient is an eligible entity authorized by a designated recipient or state to receive Urbanized Area Formula Program funds directly from FTA.

<sup>10</sup> The Grantee is responsible for uploading indirect cost information in EAMS.

- Funding is to support the acquisition of both replacement and expansion vehicles, reconstruction of the Downtown Transit Terminal, acquisition/installation of security cameras and fareboxes for the buses, and a vehicle wheel alignment apparatus.
- Funding for a new bus operation and maintenance garage, which will support 186 buses. The new garage will be located at 100 1<sup>st</sup> Street in Chicago, IL. The purpose of the garage is to provide additional bus storage, operations and support functions, and maintenance space to support continued growth in ridership demand.

The Project Benefits section should include specific details on the purpose, need and qualitative and quantitative benefits of the underlying projects to the public. For example, the project might meet state of good repair goals, replace vehicles that have met their useful life, or increase service and offer greater opportunity for riders to reach new jobs, schools, etc. or otherwise improve the rider experience. The narrative should be meaningful to the public. If the grant contains CMAQ funds, the details should briefly explain how the project benefits air quality in the region. Grantees in Transportation Management Areas (TMAs – areas over 200,000 in population) should confirm that any projects utilizing Section 5337 funding are included in the priority list of their TAM Plan.

Be sure to check “yes” or “no” under Capital Investment Project Details. You will check “no” unless your project is funded through the Capital Investment Grant (CIG) Program.

The Project Location section will prompt for the appropriate Urbanized Area (UZA), Congressional Districts, and a Location Narrative. The Location Narrative should describe the general location of the projects and addresses as appropriate.

The Project Plan section will prompt for planning information relevant to the project. Please include details about the uploaded (Statewide Transportation Improvement Program (STIP) document (e.g., page number where the project is mentioned in the document), similar details about the Unified Planning Work Program (UPWP) document (if appropriate), and a reference to the Long-Range Transportation Plan and dates of adoption.

### ***Budget Activity Line Item (ALI)***

A Project Budget is made up of scopes and ALIs. A Scope Code is a five-digit number with an associated general category description that will be funded (for example 111-00 – Bus Rolling Stock). Each scope has associated ALIs. FTA funds are reserved at the Scope code level. FTA funding programs may have different requirements for scope codes (for example all Tribal Transit Program project line items must use scope code 600-00). When developing an application, please discuss the most appropriate Scope Codes for a project with your Grant Representative.

The ALI is a six-digit number and an associated title that describes a specific activity to be funded (such as 11.12.04 – Buy Replacement <30 FT Bus). When developing the budget in TrAMS, each ALI has an

associated Scope Code, ALI, quantity, total cost, FTA fund source and amount, Extended Budget Description, and a set of Milestones.

Line Item numbers are three sets of two-digit numbers used to narrow and categorize possible project work items. The first set of the Line Item number is defined at the scope code level. For example, #11 is used for Bus Rolling Stock capital items. The second set of numbers is defined as an Activity Type. For example, 11.12 is used for Bus Rolling Stock procurements that are replacements (typically to replace vehicles that have reached their useful life). The third and last set of numbers is the specific item description. In this example #11.12.02 would define a bus rolling stock capital item to procure replacement buses of the type: “Bus STD 35 FT.” When developing an application, please discuss the appropriate Line Item number with your Grant Representative<sup>11</sup>.

### ***Budget Activity Line Item Extended Budget Descriptions (EBD)***

The ALI Extended Budget Description (EBD) should include the following information:

- A generously detailed description of the project. FTA should have a very clear understanding about the project overall activity and specific components.
- Useful life information for both the old and new rolling stock and facilities.
- For Operating Assistance (OA) and Preventive Maintenance (PM), the period of performance for the funding (for example January 1, 2021-December 31, 2021), and sufficient information to explain the routine activities that will be funded (this does not have to be an exhaustive list). Also, state that the undertakings are consistent with allowable activities outlined in C9030.1E, pages IV-14 to IV-15 and Appendix B, respectively.
- A statement that includes the dollar amount of the Transportation Development Credit (TDC); if TDC is part of the local match.
- STIP ID number and/or page where the project is listed in the STIP (or UPWP ID number and/or page for planning projects).

In addition to the samples below, there are additional examples of EBDs for common ALIs in Appendix 1.

#### ***Sample #1***

*Metro Transit will use \$10,000,000 in FY 2020 Section 5307 funds to construct a bus operation and maintenance garage for 220 buses near its existing facility, the Heywood Garage, Office and Transit Control Center at 570 Sixth Avenue North in Minneapolis, Minnesota. The proposed structure, “Heywood II,” is estimated to be primarily a one-story facility with a second story in the Bus Operations and Maintenance Operations support areas; the estimated size of the garage is 350,000 square feet. Rooftop parking is planned for the site. Funding will be used for construction-related activities,*

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<sup>11</sup> The Scope ALI Tree is located at:

<https://www.transit.dot.gov/funding/grantee-resources/teamtrams/scope-activity-line-item-tree>

*including hazardous abatement, demolition, and soil corrections, including the removal of contaminated soils and replacement with clean soils. Useful life of the facility is 30 years. STIP ID#: Sequence 1489, TRF-TCMT-18Z, page 16 of 41 was approved as a STIP Modification on 3/9/20.*

#### Sample #2

*Valley Transit will use funds for paratransit services beyond ADA requirements. Project is turn-key capital cost of contracting. The service is contracted to a provider who owns and maintains the vehicles used for the service. Pursuant to Circular 9030.1E, pages IV-11 to IV-13, one half of the total contract for turnkey service (Type 6 contract) that includes contracted maintenance and leased service is eligible for federal capital cost of contracting funds at 80% of the resultant amount. For the period January 1, 2021 - December 31, 2021, Valley Transit is projecting a contract expense of \$183,577. Therefore, the total eligible cost of contracting is one-half this amount or \$91,788. The allowable federal share is 80% of this, or \$73,431 with a local share of \$18,357. Capital cost of contracting covers the depreciation of the vehicles and equipment in addition to maintenance of facility leasing costs. STIP ID#: Fox Cities TIP#252-17-014*

### **Budget Activity Line Item Extended Budget Descriptions (Amendments)**

#### Grant Amendment

TrAMS will keep the information for the original grant, and previous amendments. DO NOT delete the information carried over from the grant/grant amendment. Be sure that the descriptions for the amendment are included above the descriptions of the previous grant/amendment.

*Amendment 1: This grant adds \$5,000,000 of FY 2021 Section 5307 funds to continue the activities as described in the Original Grant for the Heywood II Garage. STIP ID#: Sequence 1200, page 20 of 52 of FY 2021 STIP.*

*Original Grant: Metro Transit will use \$10,000,000 in FY 2020 Section 5307 funds to construct a bus operation and maintenance garage for 220 buses near its existing facility, the Heywood Garage, Office and Transit Control Center at 570 Sixth Avenue North in Minneapolis, Minnesota. The proposed structure, "Heywood II," is estimated to be primarily a one-story facility with a second story in the Bus Operations and Maintenance Operations support areas; the estimated size of the garage is 350,000 square feet. Rooftop parking is planned for the site. Funding will be used for construction-related activities, including hazardous abatement, demolition, and soil corrections, including the removal of contaminated soils and replacement with clean soils. Useful life of the facility is 30 years. STIP ID#: Sequence 1489, page 16 of 41 of the FY 2020 STIP.*

In the example above, the amount and FY of federal funds are included in the amendment description. There is no need to repeat the description given in the "Original Grant" if you are merely adding funding for the same activities, but this should be stated in the updated description.



## ***Budget Activity Line Item Milestones***

At least 2 Milestones are required for each ALI. At least 3 Milestones are required for ALIs that involve contracts/3<sup>rd</sup> party contractors. Be sure to check the appropriate option ("yes" or "no") as to whether 3<sup>rd</sup> Party contractors will be used to fulfill the ALI; if you do so, these ALIs will require at least 3 milestones. This is located after the Extended Budget Description. TrAMS provides default milestones for some ALIs, such as rolling stock. The default milestones should be used in these instances. Each Milestone has an estimated completion date and a narrative description detailing the measure of completion. No Milestone may have an estimated completion date after the period of performance end date of the Award. If any Milestone has an estimated completion date before the Award is approved and FTA funds reserved, then the Award must have Pre-Award Authority.

The Milestone descriptions should provide sufficient detail to understand how the applicant plans to demonstrate progress toward, and accomplishment of, the scope of work. Certain activities require additional milestones (such as rolling stock and other procurements). Rolling stock has the following default milestones:

- RFP/IFB Issue Date
- Contract Award Date
- Initial Delivery Date
- Final Delivery Date
- Contract Completion Date

For ALIs that involve contracts/3<sup>rd</sup> party contractors, suggested milestones include:

- Contract Award Date
- Service Begin Date
- Service End Date
- Project Close-Out

## ***Environmental Findings (EF)<sup>12</sup>***

Prior to approving a grant in TrAMS, FTA must find that the action complies with the National Environmental Policy Act (NEPA) and any other applicable environmental laws. 42 USC § 4321, *et seq.* TrAMS offers the option of selecting an Environmental Finding (EF) at the Project level (which means that all ALIs under that project are covered in one finding), or at the ALI level (which means that each ALI activity may have a different EF). For most entries in TrAMS, there will be one EF per "Project" in TrAMS (e.g., a bus purchase). In some cases, it may be desirable for one "Project" to have multiple EFs, and in that instance, there would be one EF identified per ALI (e.g., large formula grants covering multiple independent activities, or Projects that involve permissible early acquisition of real property where the early property acquisition has not been set up as its own "Project") rather than at the Project level.

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<sup>12</sup> Additional environmental guidance may be found on the Region V webpage:  
<https://www.transit.dot.gov/about/regional-offices/region-5/environment>

Contact your Grant Representative if you have questions about whether you should select the EFs at the Project or ALI level.

Be sure the proper EF is selected for each Project/ALI. Some of the EFs are straight forward and do not require additional information or documentation (such as C-4 for Operating Assistance and Planning Activities, and C-7 for vehicle purchases and preventive maintenance).

### ***Environmental Documentation***

In the application instances where environmental documentation was completed for the work in the application (Documented Categorical Exclusion (DCE), Environmental Assessment (EA), Environmental Impact Statement (EIS)). Please also state whether any Section 106 consultation has been completed.

If environmental documentation and FTA approval are completed:

- The appropriate EF should be selected.
- The signed FTA approval letter as well as the SHPO concurrence letter, if applicable, should be attached to the grant.
- A statement that environmental documentation was completed should be provided in the EF Details section.
- Complete the “Environmental Finding Dates” Section by adding the associated date of approval from FTA’s DCE Approval Letter.

Below are typical environmental findings for commonly used ALIs:

Operating Assistance:	EF 04
Bus/Vehicle Purchase:	EF 07
Bus Shelters (new or replacement)	EF 05
Capital Cost of Contracting:	EF 04
Mobility Management:	EF 04
Planning Activities:	EF 04
Signal/Rail Communication:	EF 05
Facility Rehab/Maintenance:	EF 08
Preventive Maintenance:	EF 07
Program Administration:	EF 04

Refer to FTA’s environmental standard operating procedures for additional guidance.<sup>13</sup>

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<sup>13</sup>Environmental Standard Operating Procedures:

<https://www.transit.dot.gov/regulations-and-guidance/environmental-programs/environmental-standard-operating-procedures>

## ***Indirect Costs***

Be sure to complete the Indirect Cost module (under “Related Actions” and “Apply Estimated Indirect Costs”) in TrAMS.

## ***Attachments***

Please be sure all documentation related to the grant application is uploaded in TrAMS. The most common attachments are:

- The FTA/FHWA signed approval of the current Statewide Transportation Improvement Program (STIP approval letter).
- The project listing(s) from the STIP.
- 5310 Program of Projects and split letter designating apportionments (if applicable).
- Administrative modification documentation (if applicable).
- The FTA signed STIP amendment approval letter (if the grant application contains projects that were amended in the STIP after the date of original STIP approval).
- The FTA signed environmental approval letter, as well as the SHPO concurrence letter (if applicable).
- Supporting documentation for replacement vehicles including the vehicle identification number (VIN), Age, Current Mileage, and Projected Mileage of all vehicles being replaced in the grant.
- Transportation Development Credit (TDC) Letter from the State DOT (if applicable).
- For in-kind match (property or services):
  - Property (such as land): FTA letter approving the value of the property being used as in-kind match.
    - An appraisal and review appraisal must be submitted to FTA.
  - For Services (such as staff salaries):
    - Documentation that details the rate(s), number of hours, and total value of the services that will be used toward match.
- Funds suballocation letter from the State DOT and/or the Designated Recipient (if applicable). Suballocation letters should:
  - Indicate the suballocations to the respective Direct Recipients listed in the letter as applicable, provide clarity on how suballocations comply with limitations on costs for ADA complementary paratransit service (5307, 5311) and program administration (5310, 5311) within the geographic area.
  - Incorporate language above the signatories to reflect this agreement.
  - Make<sup>14</sup> clear that the Direct Recipient will assume any/all responsibility associated with the award for the funds. When drafting the letter, Designated Recipients may use the template language below:

“As identified in this Letter, the Designated Recipient(s) authorize the reassignment/reallocation of [enter fund source; e.g. Section 5307 funds] to the Direct Recipient(s) named herein. The undersigned agree to the amounts

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<sup>14</sup> Refer to page 6715 of the *FTA Fiscal Year 2017 Apportionments, Allocations, Program Information and Interim Guidance* Federal Register Notice published on January 19, 2017.

allocated/reassigned to each direct Recipient. Each Direct Recipient is responsible for its application to the Federal Transit Administration to receive such funds and assumes the responsibilities associated with any award for these funds.”

- For 5311 grants, the State DOT is required to attach DOL’s Letter of Assurance<sup>15</sup>.
- For Discretionary Programs: The Applicant and Proposal Profile Form.
- The Cost Allocation Plan if an indirect cost rate will be used.
- Flex Fund transfer documentation.

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<sup>15</sup> More information on this letter and supporting documentation, can be found at:  
[https://www.dol.gov/olms/regs/compliance/transit/5311\\_info.htm](https://www.dol.gov/olms/regs/compliance/transit/5311_info.htm)

## ***Section 5307 Urbanized Area Formula Program***

Period of Availability:

- ☐ 6 years (Year of Apportionment plus 5 additional years)

Funding Source Selection in TrAMS:

- 5307 Formula: 5307 -Urbanized Area Formula Grants (2013 and Forward)
- 5307 CMAQ/STBG: FHWA Transfer to 5307 Urbanized Area Formula Grants

Catalog of Federal Domestic Assistance (CFDA) number:

- 20.507

Applicable ACCs for FY 2021 and prior funds:

- YEAR.25.90.91 Urban Formula
- YEAR.45.95.CX FHWA Transfer – Congestion Mitigation & Air Quality (CMAQ)
- YEAR.45.95.SX FHWA Transfer – Surface Transportation Block Grant (STBG)

Applicable ACCs for FY 2022 and future funds:

- YEAR.2J.90.91 Urban Formula
- YEAR.8J.95.CX FHWA Transfer – Congestion Mitigation & Air Quality (CMAQ)
- YEAR.8J.95.SX FHWA Transfer – Surface Transportation Block Grant (STBG)

Applicable FPCs:

- FPC 00 Capital
- FPC 02 Planning
- FPC 03 Job Access and Reverse Commute
- FPC 04 Operating Assistance
- FPC 08 ADA Paratransit

Grant Structure:

- The first three digits of the scopes and ALIs should match, except for the following situations: 646-00 (JARC Projects)
  - o All JARC activities must be included in this ALI.
  - o ALI 30.09.05 must be used for JARC operating assistance activities.

Sample 5307 Grant Budget:

SCOPE	ALI
111-00 (Bus- Rolling Stock)	
	11.13.15 (Bus Service Vehicle for Expansion)

114-00 (Bus Support Equipment)	
	11.42.07 (Acquire ADP Hardware)
300-00 (Operating Assistance)	
	30.09.01 (Operating Assistance)

**Important Program Notes:**

- Operating Assistance (Scope Code 300-00) - Scope code 300-00 should be used for operating activities under Section 5307. Other operating assistance ALIs should be used as appropriate when not pursuant to the 100 Bus/Special Rule, such as for UZAs under 200,000 in population; when the operating assistance is funded with a CMAQ transfer; or when the operating assistance may have a higher federal share pursuant to the sliding scale, which is permitted under 5311. The following ALIs are used for these activities:
  - 30.09.01: Operating Assistance up to 50% (also used for Tribes)
  - 30.09.03: Special Rule – Operating Assistance/1 – 75 Buses
  - 30.09.04: Special Rule - Operating Assistance/76 – 100 Buses
  - 30.80.01: Operating Assistance CMAQ Capital (Transfer to Section 5307)
- 1% for Security requirement - This is applied at the UZA level, not for each grantee. However, each grant application must provide documentation/explanation as to how the requirement will be satisfied. Applicants must address the security question as part of the application development process; there are options to certify that the 1% is not required.
- **For FY 2022 and future Section 5307 funds: NEW 0.75% for Safety requirement** - The Bipartisan Infrastructure Law requires recipients that serve urbanized areas with populations of 200,000 or more to allocate not less than 0.75% of their Urbanized Area Formula Program funds to safety related projects.
  - Provide a statement in the Executive Summary noting how the requirement is satisfied.
    - Example 1: To meet the requirement that 0.75% of FY 2022 Section 5307 funds will be used on safety, Metro will utilize the funds in ALI 11.42.20 - Acquire Misc Support Equipment in this grant to acquire driver survivor kits, and anti-slip flooring in entrance ways of Metro's bus facility. See the extended budget description for ALI 11.42.20 for more details.
    - Example 2: To meet the requirement that 0.75% of funds will be used on safety, the City will utilize operating assistance for the salary and benefits of a Safety and Compliance Specialist position.
    - Example 3: This application allocates \$8,000,000 in federal funds for preventive maintenance costs. Because the preventive maintenance expenses include safety-related activities such as general bus maintenance, including: inspection, maintenance and repair of revenue vehicles and maintenance of roadway and

track, structures, tunnels, bridges and passenger stations, it meets the 0.75 percent of Urbanized Area Formula Program funds for safety-related projects.

## ***Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program***

Period of Availability:

- 3 years (Year of Apportionment plus 2 additional years)

Funding Source Selection in TrAMS:

- 5310 Formula: 5310 -Mobility of Sr. & Indv. w/ Disabilities Formula
- 5310 CMAQ/STBG: FHWA Transfer to 5310 Seniors & Indv w/ Disabilities Formula

Catalog of Federal Domestic Assistance (CFDA) number:

- 20.513

Applicable ACCs for FY 2021 and prior funds:

- YEAR.25.16.DS Rural Formula
- YEAR.25.16.DM Small Urban Formula
- YEAR.25.16.DL Large Urban Formula
- YEAR.45.65.CX FHWA Transfer – Congestion Mitigation & Air Quality (CMAQ)
- YEAR.45.65.SX FHWA Transfer – Surface Transportation Block Grant (STBG)

Applicable ACCs for FY 2022 and future funds:

- YEAR.2J.16.DS Rural Formula
- YEAR.3J.16.SJ Rural Formula
- YEAR.2J.16.DM Small Urban Formula
- YEAR.3J.16.MJ Small Urban Formula
- YEAR.2J.16.DL Large Urban Formula
- YEAR.3J.16.LJ Large Urban Formula
- YEAR.8J.65.CX FHWA Transfer – Congestion Mitigation & Air Quality (CMAQ)
- YEAR.8J.65.SX FHWA Transfer – Surface Transportation Block Grant (STBG)

Applicable FPCs:

- FPC 00 Capital Activities
- FPC 03 New Freedom Projects
- FPC 04 Operating Assistance
- FPC 06 State and Program Administration

Grant Structure **(NOTE that only three scopes may be used when developing the budget for the 5310 program. They are):**

- 641-00 (5310 Projects)



- o All applicable ALIs for capital and operating activities should be included under this scope.
- ❓ 610-00 (State/Programs Administration)
  - o 11.80.00 is the only ALI that may be used under this scope.
- ❓ 647-00 (New Freedom Projects) This scope should be used for New Freedom type projects.

Sample 5310 Grant Budget:

SCOPE	ALI
641-00 (5310 Projects)*	
	11.7L.00 (Mobility Management)
	11.13.01 (Purchase 40-foot Bus)
610-00 (State/Programs Administration)	
	11.80.00 (State and Program Administration)
647-00 (New Freedom Projects)*	
	30.09.01 (Operating Assistance)

\*Operating Assistance (ALI code 30.09.01- FPC 04) cannot be included in the same scope with other ALIs.

#### Important Program Notes:

- Section 5310 funding fall into two categories:
  - o At least 55 percent of any rural, small urbanized area, or large urbanized area’s annual apportionment must be utilized for public transportation capital projects that are planned, designed, and carried out to meet the specific needs of seniors and individuals with disabilities (see FTA C 9070.1 G page II-1). It is not sufficient that seniors and individuals with disabilities are merely included (or assumed to be included) among the people who will benefit from the project. For these projects, a recipient may allocate the funds apportioned to it to: a. A private nonprofit organization; or b. A state or local governmental authority that:
    1. is approved by a state to coordinate services for seniors and individuals with disabilities; Governmental authorities eligible to apply for Section 5310 funds as “coordinators of services for seniors and individuals with disabilities” are those designated by the state to coordinate human service activities in a particular area. Examples of such eligible governmental authorities are a county agency on aging or a public transit provider which the state has identified as the lead agency to coordinate transportation services funded by multiple federal or state human service programs. or
    2. certifies that there are no nonprofit organizations readily available in the area to provide the service.
  - o Up to 45 percent of a rural, small urbanized area, or large urbanized area’s annual apportionment may be utilized for:

- o Public transportation projects (capital only) planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable;
  - o Public transportation projects (capital and operating) that exceed the requirements of ADA;
  - o Public transportation projects (capital and operating) that improve access to fixed-route service and decrease reliance by individuals with disabilities on ADA-complementary paratransit service; or
  - o Alternatives to public transportation (capital and operating) that assist seniors and individuals with disabilities with transportation.
- Eligible subrecipients for other eligible Section 5310 activities include a state or local governmental authority, a private nonprofit organization, or an operator of public transportation that receives a Section 5310 grant indirectly through a recipient.
- Operating Assistance and Program Administration can only be counted as part of the category 2 (up to 45%) funding.
- In urbanized areas with multiple designated/direct recipients:
  - o It is your responsibility to ensure that funding in the urbanized area meets the 55%/45% funding category.
- Up to 10 percent of an urbanized area's total fiscal year apportionment may be used to fund program administration costs including administration, planning, and technical assistance for projects funded under this program.
- All projects included in a grant application must meet all statutory requirements (such as planning and environmental requirements) at the time of grant award. This includes the Coordinated Public Transit Human Services Transportation Plan (HSTP) and a Program of Projects.
  - o The circular indicates that projects can be included as "Category B". Please contact your grant representative immediately (and well in advance of putting the grant in TrAMS) if you wish to fund a project that has not met all statutory requirements.

## ***Section 5311 Rural Area Formula Program***

### Period of Availability:

- For 5311 Formula: 3 years (Year of Apportionment plus 2 additional years)

### Funding Source Selection in TrAMS:

- 5311 Formula: 5311 – Rural Area Formula
- 5311 Tribal Transit Formula: 5311 – Tribal Transit Program Formula
- 5311 CMAQ/STBG: FHWA Transfer to 5311 Rural Area Formula

### Catalog of Federal Domestic Assistance (CFDA) number:

- 20.509

### Applicable ACCs for FY 2021 and prior funds:

- YEAR.25.18.81 Rural Formula
- YEAR.25.18.R7 Rural Transportation Assistance Program (RTAP)
- YEAR.25.18.TF Tribal Formula
- YEAR.45.85.CX CMAQ
- YEAR.45.85.SX STBG
- YEAR.25.18.AF Appalachian Transit Assistance
- 

### Applicable ACCs for FY 2022 and future funds:

- YEAR.2J.18.81 Rural Formula
- YEAR.2J.18.R7 Rural Transportation Assistance Program (RTAP)
- YEAR.2J.18.TF Tribal Formula
- YEAR.8J.85.CX CMAQ
- YEAR.8J.85.SX STBG
- YEAR.2J.18.AF Appalachian Transit Assistance

### Applicable FPCs:

- FPC 00 Capital
- FPC 02 Planning
- FPC 03 Job Access and Reverse Commute
- FPC 04 Operating Assistance
- FPC 06 State & Program Administration
- FPC 07 RTAP
- FPC 08 ADA Paratransit
- FPC 09 Multiple Types

### Grant Structure (Only use the following scopes when developing the budget):

600-00 (Other Program Costs)

- All applicable ALIs for capital, operating, and planning activities should be included under this scope.
- ALI 30.09.01 should be used for operating assistance activities.
  - Note that multiple FPC activities can be included under this scope.

610-00 (State/Programs Administration)

- 11.80.00 is the only ALI that can be used under this scope.

634-00 (Intercity Bus Transportation)

- All Intercity bus activities should be included under this ALI.
  - Note that multiple FPC activities can be included under this scope.

635-00 (RTAP)

- Specific ALIs beginning with (43) should be used. Please see FTA's scope code Activities Line Item document for additional information.

646-00 (JARC Projects)

- All JARC activities should be included in this ALI.
  - Note that multiple FPC activities can be included under this scope.
  - ALI 30.09.05 should be used for JARC operating assistance activities.

648-00 (Appalachian Program Funds)

- All Appalachian program activities should be included in this ALI.

Sample 5311 Grant Budget:

SCOPE	ALI
600-00 (Other Program Costs)	
	11.13.15 (Bus Service Vehicle for Expansion)
	30.09.01 (Operating Assistance)
634-00 (Intercity Bus Transportation)	
	11.12.01 (Buy Replacement 40-foot Bus)
	11.13.01 (Buy 40-foot Bus for Expansion)
	30.09.01 (Operating Assistance)
635-00 (RTAP)	
	43.50.01 (Training)
	43.50.02 (Technical Assistance)
	43.50.03 (Transit Research)

	43.50.04 (Related Support Services)
	43.50.05 (Program Reserve)
646-00 (JARC Projects)	
	11.12.15 (Buy Replacement Van)
	11.7L.00 (Mobility Management)
	30.09.05 (Operating Assistance)
648-00 (Appalachian Dev Pub Transit Assist)	
	11.12.02 (Buy Replacement 35-foot Bus)

Important Program Notes:

- Intercity Bus Activities - Grantees must use 15% of the apportionment towards Intercity Bus activities or provide a certification for FTA files stating that all Intercity Bus needs have been met (see FTA C 9040.1 G page II-1). The certification letter should be sent to the Regional Administrator and a copy to the Chief, Rural and Targeted Programs (Marianne Stock - [marianne.stock@dot.gov](mailto:marianne.stock@dot.gov)). Certification letters should also be uploaded to the recipient profile in TRAMS.
- Program Administration - The state may use not more than 10 percent of its apportioned Section 5311 funds, including funds apportioned under Section 5340 but not the RTAP allocation, to administer the Section 5311 program, related planning, and to provide technical assistance to subrecipients.

## ***Section 5329 State Safety Oversight Program (SSOP)***

Period of Availability:

- 3 years (Year of Apportionment plus 2 additional years)

Funding Source Selection in TrAMS:

- 5329 Formula: 5329 – State Safety Oversight Program

Catalog of Federal Domestic Assistance (CFDA) number:

- 20.528

Applicable ACCs for FY 2021 and prior funds:

- YEAR. 25.74.US.State Safety Oversight

Applicable ACCs for FY 2022 and future funds:

- YEAR. 21.74.US. State Safety Oversight

Applicable FPCs:

- FPC 00 Capital (for supplies and equipment purchased in excess of \$5,000 and a useful life of at least 1 year)
- FPC 06 State & Program Administration

Grant Structure:

- Scope 740-00 (State Safety Oversight 5329) is the only scope that should be used for this program.
- The only ALIs that should be used for this program are the following:
  - 74.10.01 Administrative Expenses
  - 74.10.02 Training
  - 74.10.03 Consultant Services
  - 74.10.04 Support Vehicles (FPC 00)
  - 74.10.05 Miscellaneous Equipment (FPC 00)
  - 74.10.06 Information Systems
  - 74.10.10 Other

Sample 5329 Grant Budget:

SCOPE	ALI
740-00 (State Safety Oversight_5329)	
	74.10.01 (Administrative Expenses)
	74.10.03 (Consulting Services)

740-00 (State Safety Oversight_5329)*	
	74.10.04 (Support Vehicles)

\* Note that if the grant includes administrative expenses and capital expenses (supplies and equipment purchased in excess of \$5000 and a useful life of at least 1 year), then be sure that all scopes in the grant only contain one FPC type.

**Important Program Notes:**

- Each applicant must demonstrate in its grant application that its proposed grant activities will develop, lead to, or carry out an enhanced SSOP that meets the requirements under 49 U.S.C. § 5329(e). Grant funds may be used for program operational and administrative expenses, including employee training activities.
- The following costs are ineligible:
  - o Project costs which cover rail transit system expenses;
  - o Project costs for State activities unrelated to the SSOP;
  - o Project costs which directly support the operation or maintenance of a rail transit system;
  - o Project costs for which the recipient has received funding from another Federal agency; and
  - o Other project costs that FTA determines are not appropriate for the SSOP.

## ***Section 5337 State of Good Repair Program***

Period of Availability:

- 4 years (Year of Apportionment plus 3 additional years)

Funding Source Selection in TrAMS:

- 5337 State of Good Repair Grants

Catalog of Federal Domestic Assistance (CFDA) number:

- 20.525

Applicable ACCs for FY 2021 and prior funds:

- YEAR.25.54.38 High Intensity Fixed Guideway
- YEAR.25.54.GR High Intensity Motorbus

Applicable ACCs for FY 2022 and future funds:

- YEAR.2J.54.38 High Intensity Fixed Guideway
- YEAR.3J.54.3J High Intensity Fixed Guideway
- YEAR.2J.54.GR High Intensity Motorbus
- YEAR.3J.54.GJ High Intensity Motorbus

Applicable FPCs:

- FPC 00 Capital
- FPC 01 Research & Training

Grant Structure:

- The first three digits of the scopes and ALIs should match.

Sample 5337 Grant Budget:

121-00 (Rail – Rolling Stock)	
	12.15.20 (Midlife Overhaul/Rebuild)
116-00 (Signal & Communication Equipment - Bus)	
	11.62.20 (Purchase Miscellaneous Communications Equipment)

Important Program Notes:



- State of Good Repair funds may be used for maintenance, rehabilitation or replacement of existing capital assets.
- High intensity fixed guideway funds shall be available exclusively for fixed guideway projects. The term “fixed guideway” means a public transportation facility— (A) using and occupying a separate right-of-way for the exclusive use of public transportation; (B) using rail; (C) using a fixed catenary system; (D) for a passenger ferry system; or (E) for a bus rapid transit system.
- High Intensity Motorbus funds can be used for eligible projects associated with both fixed guideway and high intensity motorbus systems.
  - o Contact your grant representative if you intend to utilize motorbus funds for fixed guideway projects **BEFORE** entering the grant in TrAMS. This will ensure that the budget is set up properly, and the correct funding is awarded.
- High intensity motorbus funds can be used for rehabilitation, and replacement of vehicles that are used for providing transit service on high occupancy vehicle (HOV) lanes, and equipment and facilities that are used for maintaining the vehicles.
  - o Projects that maintain and rehabilitate HOV lanes are not eligible for the high intensity motorbus funds.
  - o Projects that maintain and rehabilitate capital assets used for bus service other than on HOV lanes are not eligible for the high intensity motorbus funds.
  - o Public Transportation service on high occupancy toll (HOT) lanes are not eligible for high intensity motorbus funds.
- State of Good Repair is NOT eligible for expansion or modernization projects.

## ***Section 5339 – Bus and Bus Facility Formula Program***

Period of Availability:

4 years (Year of Apportionment plus 3 additional years)

Funding Source Selection in TrAMS:

- 5339 Formula: 5339 – Bus and Bus Facilities Formula

Catalog of Federal Domestic Assistance (CFDA) number:

- 20.526

Applicable ACCs for FY 2021 and prior funds:

- YEAR.25.34.BF Bus Formula
- YEAR.25.34.31 Statewide National Distribution

Applicable ACCs for FY 2022 and future funds:

- YEAR.2J.34.BF Bus Formula
- YEAR.2J.34.31 Statewide National Distribution

Applicable FPCs:

- FPC 00 Capital
- FPC 01 Research & Training

Grant Structure:

- The first three digits of the scopes and ALIs should match.

Sample 5339 Grant Budget:

114-00 (Bus Support Equipment & Facilities)	
	11.44.03 (Rehab/Renovate Admin/Maintenance Facility)
116-00 (Signal & Communication Equipment - Bus)	
	11.62.20 (Purchase Miscellaneous Communications Equipment)

Important Program Notes:

- Note that the 5339 Program has different ACCs for the formula and discretionary programs (Low or No Emissions and Bus and Bus Facilities). Only one ACC may be used per scope code. Refer to the *“Grant Structure – Funding Sources”* Section for more information.
- Eligible capital projects include projects to replace, rehabilitate, and purchase buses and related equipment, and projects to construct bus-related facilities.
- Planning activities, preventive maintenance activities (other than bus overhauls), and mobility management activities are not eligible under the section 5339 Bus Program.

## ***Appendix 1: Sample Extended Budget Descriptions for Common ALIs***

Please note that below are examples of the most commonly used ALIs. These are meant to be used as a guide. General grant structure, including funding year(s) and funding source(s) will dictate the level of details that must be included in the extended budget description. It is important to work with your Grant Representative to determine the appropriate information required for each ALI.

### **1. Operating Assistance:**

- This ALI will use FY 2021 Section 5307 funds for operating assistance for the period of January 1, 2021 - December 31, 2021. Funding is to operate, maintain and manage public transport service. Operating assistance activities consist of driver salaries, fuel costs and items with a useful life of less than one year as outlined in C9030.1E, pages IV-14 to IV-15. STIP ID#15

### **2. Operating Assistance with language for 100-Bus Rule:**

- This ALI will use FY 2021 Section 5307 funds for operating expenses from January 1, 2021 through December 31, 2021 under the special operating assistance rule for agencies with less than 75 buses. Valley Transit uses 21 buses during the peak hours. Funding is to operate, maintain and manage public transport service. Operating assistance activities include driver salaries and fuel costs and items with a useful life of less than one year as outlined in C9030.1E, pages IV-14 to IV-15. TIP# 252-18-000

### **3. Vehicle Purchase:**

- This ALI will use FY 2021 Section 5339 – Statewide National Distribution funds for the purchase of a replacement bus. The bus will replace an existing vehicle that has reached its useful life. The useful life of both the old and new bus is 10 years/150,000 miles.

The local match source is Illinois Transportation Development Credits (TDC) in the amount of \$25,000. Because TDCs do not reflect an actual monetary reimbursement, this activity line item reflects 100% Federal funding. STIP ID# 10

### **4. Capital Cost of 3<sup>rd</sup> Party Contracting:**

- Valley Transit will use FY 2021 Section 5307 funds for paratransit services beyond ADA requirements. Project is turn-key capital cost of contracting. The service is contracted to a provider who owns and maintains the vehicles used for the service. Pursuant to Circular 9030.1E, pages IV-11 to IV-13, one half of the total contract for turnkey service (Type 6 contract) that includes contracted maintenance and leased service is eligible for federal capital cost of contracting funds at 80% of the resultant amount. For the period January 1, 2021 - December 31, 2021 Valley Transit is projecting a contract expense of \$183,577. Therefore, the total eligible cost of contracting is one-half this amount or \$91,788. The allowable federal share is 80% of this, or \$73,431 with a local share of \$18,357. Capital

cost of contracting covers the depreciation of the vehicles and equipment in addition to maintenance of facility leasing costs. STIP ID# VT 349

5. Rehab/Renovate Bus Terminal:

- This ALI will utilize Section 5339 Bus Formula funds from FY 2019 and 2020 in the following amounts in federal dollars: FY 2019: \$1,000,000, and FY 2020: \$2,000,000.

This funding supports construction of the C-Line BRT, which includes 23 bus stations along the 8.4-mile-long C-Line corridor. Stations will include bump-outs, raised platforms, shelters, real-time signs, and off-board ticket purchasing. Useful life of stations is 12 years. Buses will travel using existing lanes in a mixed traffic operation, making limited stops at 23 stations roughly every quarter- to half-mile. These stations will receive upgrades, which vary by location and may include new curb bump-outs, shelters, platforms, lighting, pylon markers, signage, heating, fare collection equipment, security cameras, emergency call boxes, waste receptacles, and bicycle racks. Project description and NEPA documents are attached to this grant application.

STIP ID# TRF-TCMT-17AT

6. Metropolitan/Statewide Planning:

- This ALI will use FY 2021 Metropolitan Planning funds to update the 5 Year Transit Plan. Work that will be conducted includes ridership surveys, assessment of existing bus and rail service, and an origin/destination study to determine future transit needs. UPWP Listing: Page 8.

7. Preventive Maintenance:

- Funding for the Preventive Maintenance activities will come FY 2021 Section 5307 funds for the period of January 1, 2021 – December 31, 2021. The PM activities comprise of the purchase of inventory materials and supplies, equipment, as well as capitalized maintenance expenses (including mechanic labor) for buses and related activities allowable pursuant to C9030.1E, Appendix E. The STIP ID# is 257.

8. Program Administration:

- This ALI includes Section 5310 Large Urban funding from FY 2019 in amount of \$125,000, and FY 2020 in the amount of \$62,500 for administration expenses by Milwaukee County staff throughout 2019 (January - December), and 2020 (January – June). These expenses consist of: staff coordinated planning updated activities; project solicitation, selection and monitoring; and technical assistance provided to subrecipients. This accounts for the full FY 2019 10% allowance of Program Administration, and 5% of the FY 2020 allowance. TIP project 85.

9. Mobility Management:

- The ALI includes FY 2021 Section 5311 funds for Mobility Management Activities for the period of January 1, 2021 – December 31, 2021. This entails operation of a travel call center by a consortium of transport providers to coordinate the efficient provision of mobility services for the elderly, disabled and other disadvantaged populations. Additionally, funding supports travel training and trip planning services for customers. STIP Listing 507.

## ***Appendix 2: Common Acronyms***

ACC	Account Classification Code
ADA	Americans with Disability Act
ALI	Activity Line Item
ARPA	American Rescue Plan Act of 2021
BIL	Bipartisan Infrastructure Law
BRT	Bus Rapid Transit
CARES Act	Coronavirus Aid, Relief, and Economic Security Act
CCR	Central Contractor Registration
CDL	Commercial Driver's License
CE	Categorical Exclusion
CEQ	Council on Environmental Quality
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
CIG	Capital Investment Grant
CMAQ	Congestion Management and Air Quality
CNG	Compressed Natural Gas
CR	Continuing Resolution
CRRSAA	Coronavirus Response and Relief Supplemental Appropriations Act
DBE	Disadvantaged Business Enterprise
DCE	Documented Categorical Exclusion
DOL	Department of Labor
DOT	Department of Transportation
DUNS	Data Universal Numbering System
EAMS	Electronic Award and Management System
ECHO	Electronic Clearing House Operation
ECN	ECHO Control Number
EEO	Equal Employment Opportunity
EF	Environmental Finding
EJ	Environmental Justice
EO	Executive Order
FAIN	Federal Award Identification Number
FAST Act	Fixing America's Surface Transportation Act
FFATA	Federal Funding Accountability and Transparency Act
FFR	Federal Financial Report
FHWA	Federal Highway Administration
FONSI	Finding of No Significant Impact

FY	Fiscal Year
FPC	Financial Purpose Code
HOV	High Occupancy Vehicle
IIJA	Infrastructure Investment and Jobs Act
ITS	Intelligent Transportation System
JARC	Job Access and Reverse Commute
LoNo	Low or No Emission Vehicle Deployment Program
LRT	Light Rail Transit
MAP-21	The Moving Ahead for Progress in the 21 <sup>st</sup> Century Act
MPO	Metropolitan Planning Organization
MPR	Milestone Progress Report
NEPA	National Environmental Policy Act
NOFA/NOFO	Notice of Funding Availability/Notice of Funding Opportunity
NTD	National Transit Database
OMB	Office of Management and Budget
OST	Office of the Secretary
PMP	Program (or Project) Management Plan
POP	Program of Projects
PTASP	Public Transportation Agency Safety Plan
RAISE	Rebuilding American Infrastructure with Sustainability and Equity
RFP	Request for Proposals
ROD	Record of Decision
RTA	Regional Transportation Authority
RTAP	Rural Transportation Assistance Program
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act – A Legacy for Users
SAM	System for Award Management
SGR	State of Good Repair
SMP	State Management Plan
SOP	Standard Operating Procedure
SSO	State Safety Oversight
STBG	Surface Transportation Block Grant (formerly STP Program)
STIC	Small Transit Intensive City
STIP	Statewide Transportation Improvement Program
STP	Surface Transportation Program (See STBG for new program name)
TAM	Transit Asset Management



TCRP	Transit Cooperative Research Program
TDC	Transportation Development Credit
TEAM	Transportation Electronic Award Management System (No longer used - See TrAMS)
TIP	Transportation Improvement Program
TIFIA	Transportation Infrastructure Finance and Innovation Act
TIGER	Transportation Investment Generating Economic Recovery (Grant Program)
TMA	Transportation Management Area
TOD	Transit Oriented Development
TrAMS	Transit Award Management System (FTA's current electronic award and management system)
TVM	Transit Vehicle Manufacturer
UPWP	Unified Planning Work Program
U.S.C.	United States Code
UZA	Urbanized Area
VIN	Vehicle Identification Number

### **Appendix 3: Grant Checklist**

Please review and be sure your grant includes the following items in the Checklist below before you transmit in TrAMS.

**Grant Title:** (Refer to Page 5 of the Guide):

- Section number(s) of funding (Section 5307, 5309, etc.).
  - NOTE: Do not include fiscal years of funding.
- Scope of Work to be completed and something the public can understand.

**Award Description:** (Refer to Page 5 of the Guide):

- Provide details of the following 5 elements for your grant:
  - Purpose, Activities to be performed, Expected outcomes, Intended beneficiaries, and Subrecipient activities.

**Executive Summary:** (Refer to page 6 of the Guide):

- The first sentence in all Executive Summaries should begin with:
  - “This application is to request Section 53XX funds apportioned to the [UZA or STATE NAME] in the amount of \$XXXX.”
    - Include breakdown of all Sections and UZAs/States as applicable.

Bulleted list of the total amount of each Federal fiscal year of funding that will be used and the type of funds that will be used (Section 5307, 5311, 5339, etc.).

- The projects/activities that are included in the grant application (purchasing replacement buses, operating assistance, preventive maintenance, renovation of a bus garage, etc.).
- The source(s) of local funds.
- The supporting documents that are attached in the grant application (STIP approval letter, STIP project listings, etc.).
- Other Information:
  - Bus Statements for applications that include vehicle purchases.
  - Transit Asset Management (TAM) Plan Statement for grant applications using 5337 funds.

**Project Title(s):** (Refer to Page 10 of Guide):

- Federal fiscal year(s) of the funding that will be used.
- The type of funds that will be used (Section 5307, 5311, 5339, etc.).
- A description of the major activities within the project.

**Project Description:** (Refer to Page 10 of Guide):

- High-level summary of the project activities.
- The Project Benefits section should include specific details on the purpose, need and qualitative and quantitative benefits of the underlying projects to the public.
  - If the grant contains CMAQ funds, the details should briefly explain how the project benefits air quality in the region.
  - Grantees in TMAs should confirm that any projects utilizing Section 5337 funding are included in the priority list of their TAM Plan.

**The ALI Extended Budget Description:** (Refer to Page 12 and Appendix 1 of the Guide):

- A generously detailed description of the project that provides a very clear understanding about activities and specific components.
- Useful life information for both the old and new rolling stock and facilities.
- For Operating Assistance (OA) and Preventive Maintenance (PM), the period of performance for the funding (for example January 1, 2021-December 31, 2021).
  - Include sufficient information to explain the routine activities that will be funded (this does not have to be an exhaustive list).
  - State that the undertakings are consistent with allowable activities outlined in C9030.1E, pages IV-14 to IV-15 and Appendix B, respectively.
- A statement that includes the dollar amount of the Transportation Development Credit (TDC); if applicable.
- STIP ID number and/or page where the project is listed in the STIP (or UPWP ID number and/or page for planning projects).

**Milestones:** (Refer to Page 14 of the Guide)

- At least 2 Milestones are required for each ALI.
- At least 3 Milestones are required for ALIs that involve contracts/3<sup>rd</sup> party contractors.
  - Be sure to check the appropriate option (“yes” or “no”) to whether 3<sup>rd</sup> Party contractors will be used to fulfill the ALI; if you do so, these ALIs will require at least 3 milestones.

**Environmental Findings** (Refer to Page 14 of the Guide):

- Be sure that there is an EF per “Project” if appropriate; or
- An EF is provided for each ALI if the “Project” contains multiple independent activities.
- If environmental documentation was completed (such as a DCE Checklist or Section 106 Consultation):
  - Add a statement that environmental documentation was completed in the EF Description Details Section.
  - Complete the “Environmental Finding Dates” Section.

**Indirect Costs** (Refer to Page 16 of the Guide):

- Completed the Indirect Cost module under “Related Actions”.

**Attachments** (Refer to Page 16 of the Guide):

- The FTA/FHWA STIP Approval Letter.
- The project listing(s) from the STIP.
- The FTA signed STIP amendment approval letter.
- Supporting environmental documentation (if applicable) such as:
  - FTA signed environmental approval letter, and the concurrence by the State Historic Preservation Officer (SHPO), etc.

- Supporting documentation for replacement vehicles including the vehicle identification number (VIN), Age, Current Mileage, and Projected Mileage of all vehicles being replaced in the grant.
- Appropriate documentation for in-kind match.
- Transportation Development Credit (TDC) Letter from the State DOT (if applicable).
- Funds suballocation letter from the State DOT and/or the Designated Recipient (if applicable).
- The Certifications and Assurances (C&As) must be pinned electronically in TrAMS by both the Authorizing Official (AO) and Attorney.
- For 5311 grants, the State DOT is required to attach DOL's Letter of Assurance.
- For Discretionary Programs: The Applicant and Proposal Profile Form.
- The Cost Allocation Plan if an indirect cost rate will be used.
- Flex Fund transfer documentation.

## **Appendix 4: Sample Five Element Summaries**

### **Example 1: Section 5307 Urbanized Area Formula Program**

**Purpose:** The purpose of this award is to provide 1 year of preventive maintenance, 1 year of operating assistance, and the purchase of 4 replacement vehicles for ABC Transit Agency to assist it in fixed route transit operations during the period of 7/01/2021 to 6/30/2022.

**Activities to be performed:** Funds will be used to cover all eligible preventive maintenance and operating expenses such as driver salaries, fuel, items having a useful life of less than one year, and the purchase of 4 replacement vehicles.

**Expected outcomes:** Funding will permit ABC Transit Agency to meet preventive maintenance standards, continue to provide operations, and keep rolling stock vehicles in a state of good repair.

**Intended beneficiaries:** ABC Transit Agency and the riders that rely on its service will benefit from continued services, permitting workers to get to work and other destinations.

**Subrecipient Activities:** None

### **Example 2: Section 5311 Rural Area Formula Program (including RTAP)**

**Purpose:** The purpose of this award is to provide the state of XXX and its subrecipients operating assistance, eligible capital projects, and for the rural transit assistance program (RTAP) for the state and its subrecipients.

**Activities to be Performed:** Funds will be used to cover eligible operating expenses such as driver salaries, fuel, items having a useful life of less than one year, and preventive maintenance, in order to continue transit operations. Funds will also be used to cover eligible capital expenses such as the purchase of five 24-passenger buses. Funds will also be used for training, technical assistance, and state administration.

**Expected Outcomes:** Continued safe and effective operation of transit services for rural areas of XXX.

**Intended Beneficiaries:** XXX State transit agencies and citizens in the rural and non-urbanized areas of the state.

**Subrecipient Activities:** Three rural agencies will receive operating assistance, along with one intercity bus operator. 2 rural agencies will receive capital funding for the purchase of equipment.

**Example 3: Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities**

**Purpose:** The purpose of this award is to provide the XXX and its subrecipients operating assistance and capital funding to provide transportation services for people with disabilities and older adults.

**Activities to be Performed:** Funds will be used to cover eligible operating expenses such as driver salaries, fuel, items having a useful life of less than one year, and preventive maintenance in order to continue service for people with disabilities and older adults. Funds will also be used for eligible capital investment including the purchase of two 8-passenger vans.

**Expected Outcomes:** Funding will permit (insert transit agency or State DOT) and its subrecipients to continue to provide service for people with disabilities and older adults.

**Intended Beneficiaries:** People with disabilities and older adults in the state's rural and small urban areas.

**Subrecipient Activities:** The following subrecipients will receive operating assistance to maintain services. Subrecipient 1, Subrecipient 2, etc. The following subrecipients will receive vehicles or funding under this grant: Subrecipient 3, Subrecipient 4, etc.