

# FTA

FEDERAL TRANSIT ADMINISTRATION

## FTA Program Management “Hot Topics”

May 14, 2015



2015 Southeastern Regional Transit Conference

**BUILDING LADDERS  
OF OPPORTUNITY**  
Through Transportation Networks

Georgia  
Tech | School of Civil and  
Environmental Engineering  
College of Engineering



# Presentation Overview

- Organizational Structure
- Program Management Highlights
- Grant Management Highlights
- Capital Project Management Highlights

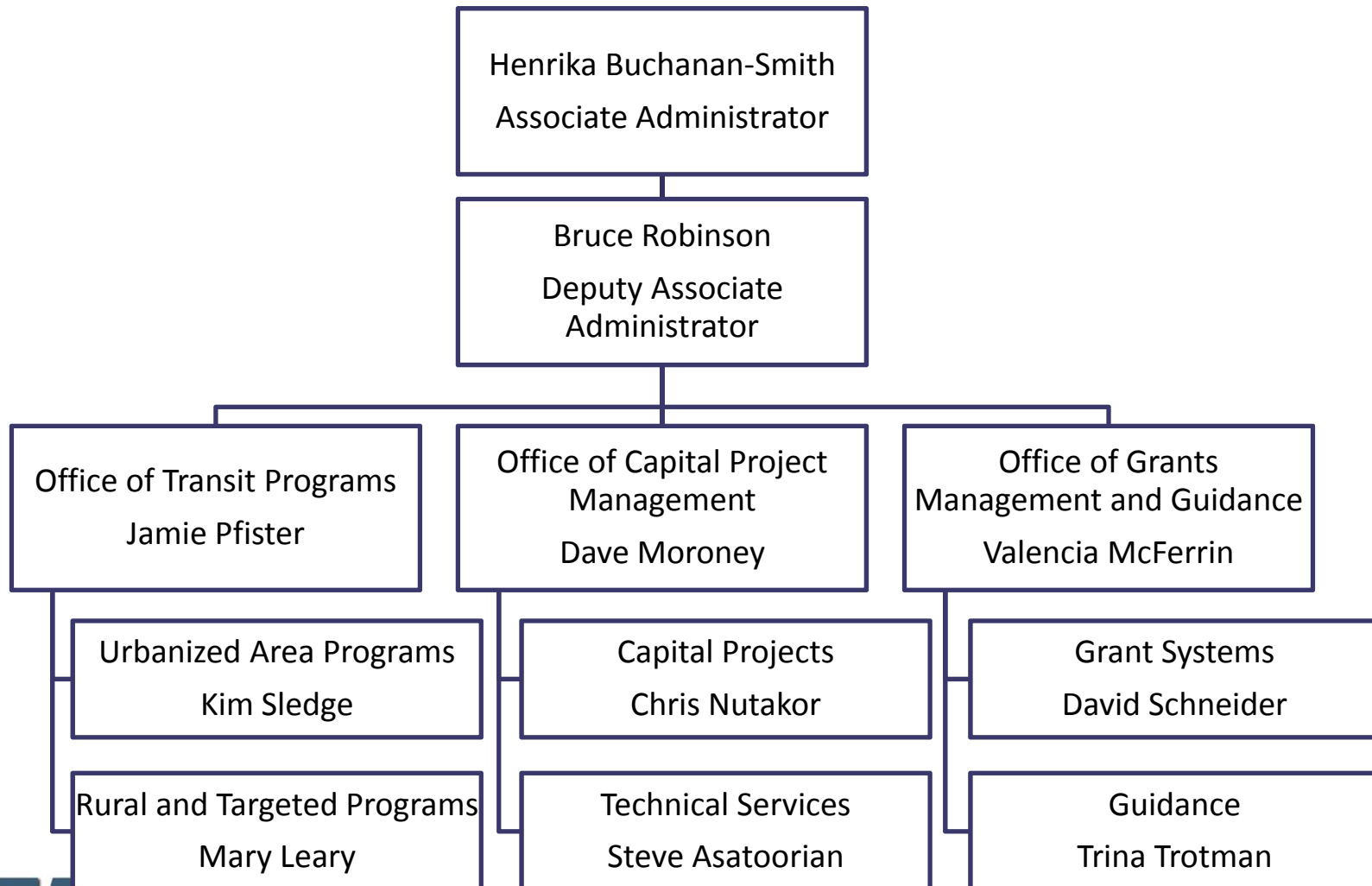
## **Office of Program Management**

- **Office of Transit Programs**
  - Formula Programs
  - Emergency Relief Program
  - Human Service Coordination
- **Office of Capital Project Management**
  - Project Management Oversight
  - Real Estate
- **Office of Grants Management & Guidance**
  - Program Circulars
  - Apportionment Management
  - Grant Systems (TEAM)

## **Office of Safety & Oversight**

- **Office of Systems Safety**
  - National Safety Plan
  - Technical Assistance
  - Safety Standards & Data
- **Office of Safety Review**
  - Safety Reviews
  - State Safety Oversight
  - Drug & Alcohol Program
- **Office of Program Oversight**
  - Reviews: Triennial, State Management, Financial System, etc.
  - Civil Rights Review Management

# Office of Program Management



## FY 2015 Apportionments Notice and Policies

- Apportionment Notice published February 9, 2015 in the *Federal Register*
- Formula funds apportioned at 8/12ths based on contract authority thru May 31, 2015

### Highlights

- All remaining American Recovery and Reinvestment Act funds MUST be disbursed (paid) from grants by the end of the 5<sup>th</sup> fiscal year after funds were required to be obligated (September 30, 2015).
- Vanpool In-Kind Match Provision – allows grantees to credit towards its local share the costs a private provider incurs from acquiring rolling stock for public transportation in the grantee's service area.
  - Handled like toll revenue credits
  - Excludes amounts received from the federal, state or local government when acquiring rolling stock
  - See section III.E of Apportionment Notice for list of information needed in TEAM/TRAMS
  - Contact Regional Office for assistance to use provision
- Flood Insurance – Reminder to maintain flood insurance for any building located in a special flood hazard area that received federal financial

## **FY 2015 Apportionments Notice and Policies (continued)**

- Local Geographical Preferences – Prohibits FTA from using FY 2015 funds to implement, administer, or enforce local hiring preferences for construction hiring.
- Congestion Mitigation and Air Quality policy clarification – FHWA in coordination with FTA clarified the provision that prohibits a time limitation for operating assistance for with CMAQ funding was made available, obligated or expended in FY 2012;
  - Made Available – Projects designated for CMAQ operating assistance in FY 2012;
  - Obligated – The date that the funds were obligated and FTA awarded the grant; and
  - Expended – The date that the grantee draws-down funds for eligible expenses from an FTA grant.

# MAP-21 Program Implementation

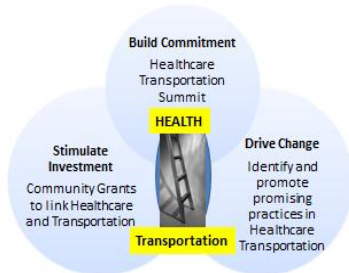
- **Section 5307** (Urbanized Area Formula Program) – Circular and *Federal Register* Notice published on January 16, 2014
- **Section 5310** (Enhanced Mobility of Seniors and Individuals with Disabilities) – Circular and *Federal Register* Notice published on June 6, 2014
- **Section 5311** (Formula Grants for Rural Areas) – Circular and *Federal Register* Notice published on October 24, 2014
- **Section 5337** (State of Good Repair) – Circular and *Federal Register* Notice published on January 28, 2015
- **Circular 6100** (Research, Technical Assistance and Training Program) and *Federal Register* Notice published April 10, 2015
- **Section 5339** (Bus and Bus Facilities) – Circular and *Federal Register* Notice published on April 16, 2015

# 5010 & Buy America Implementation

- Circular 5010 (Grant Management Requirements) – Anticipated publication for public comments September 30, 2015. Expected final publication January 2016
- Buy America Handbook – Anticipated publication for public comments May 29, 2015. Expected final publication September 30, 2015



Three-pronged Strategy for  
FTA's ACCESS TO HEALTH CARE  
TRANSPORTATION LADDERS OF  
OPPORTUNITY INITIATIVE



# Rides to Wellness

FEDERAL TRANSIT ADMINISTRATION  
ACCESS TO HEALTH CARE  
TRANSPORTATION LADDERS OF  
OPPORTUNITY INITIATIVE



*Vision: through rides people and community health thrive*

Rides to Wellness addresses health disparities

Rides to Wellness supports better health access that leads to:

- lower costs for chronic conditions
- improved quality of life for those with chronic conditions like diabetes, heart disease, etc.

Rides to Wellness promotes Public Transit as a go to partner to Healthcare providers & insurers

# Rides to Wellness Accomplishments and Next Steps

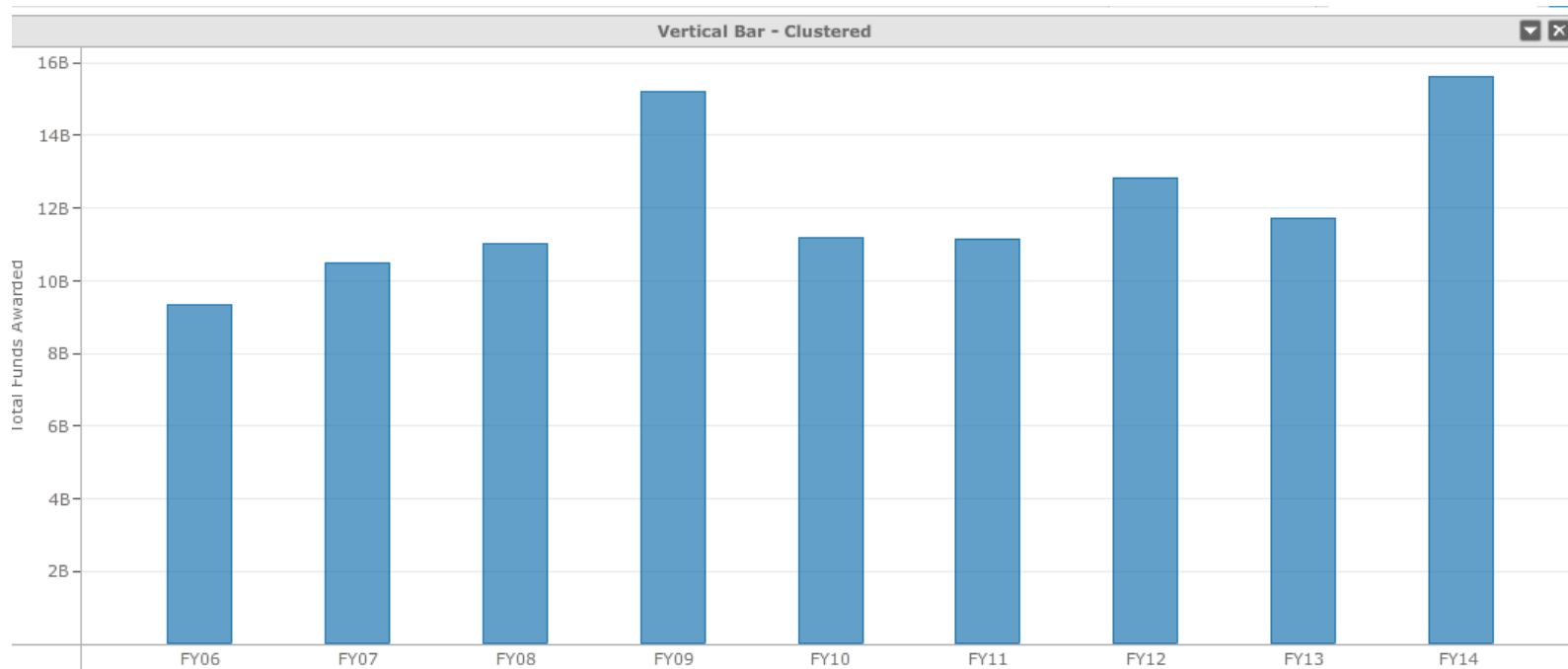
- **Rides to Wellness Summit**  
NCMM and FTA team brought together 100 professionals across the health and transportation industries

<http://nationalcenterformobilitymanagement.org/rides-to-wellness/>

- **15 Rides to Wellness NCMM Community Healthcare Design Grants** in four focus areas: preventive care, re-admission prevention, behavioral health access, and dialysis
- **Create** messaging around Rides to Wellness across the healthcare and transportation industries
- **Convene** the Coordinating Council on Access and Mobility
- **Develop** a jointly funded grant planning grants
- **Harness** the power, perspective and expertise in the research community

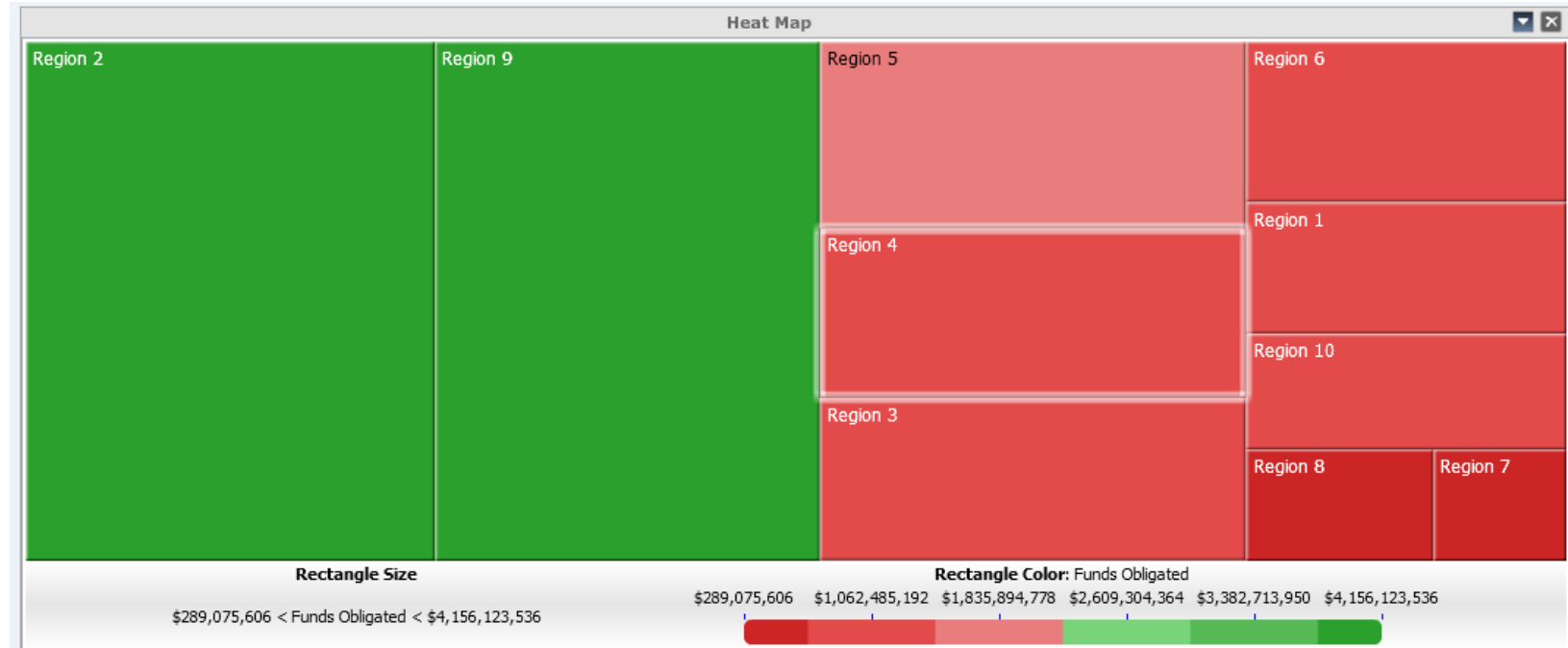
# FY 14 Grant Making

- FTA awarded over \$15.6 billion in FY 14, the highest amount awarded in any fiscal year. (Funds shown in FY 2009 and 2010 include ARRA awards).



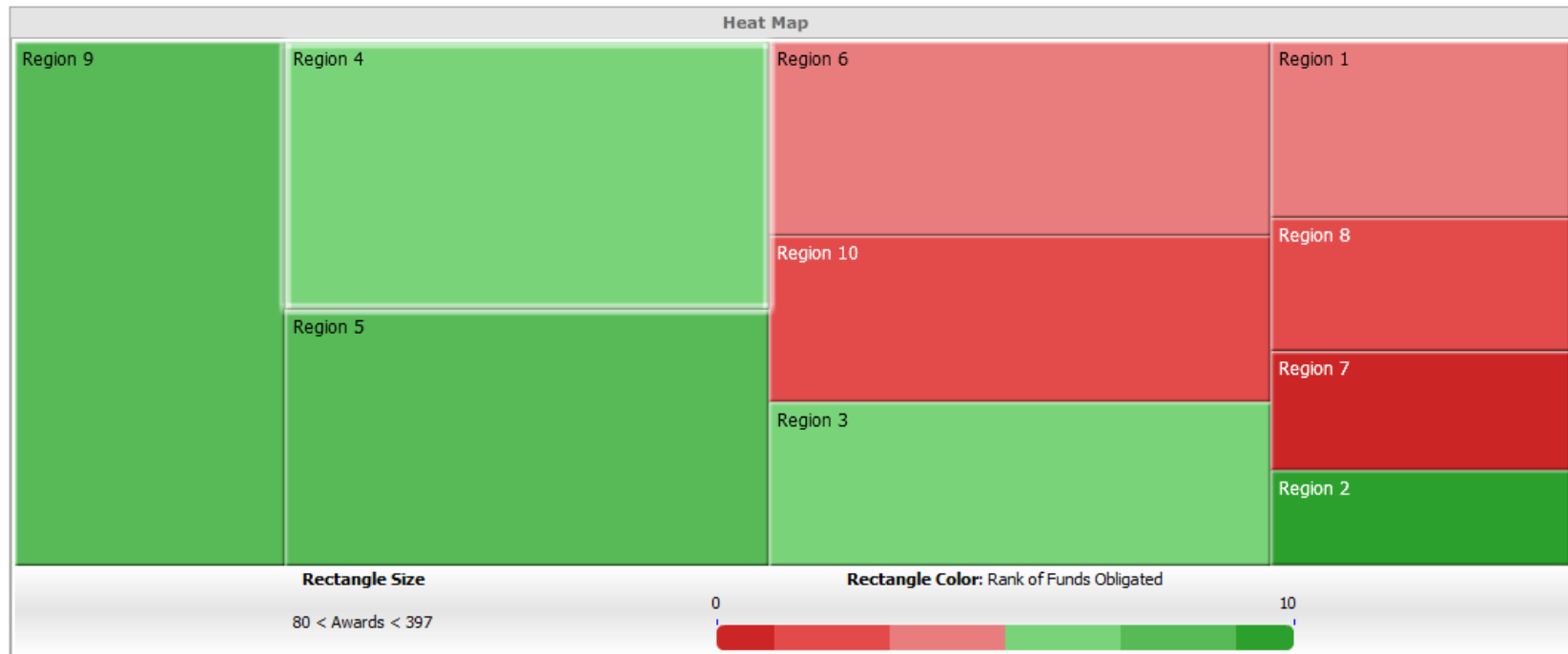
# FTA Funds Awarded in FY 14 by Region

- FTA awarded over \$1.4 billion in funds to recipients in Region 4. Region 4 ranked 4<sup>th</sup> in terms of funds awarded



# Awards made in FY 14 by Region

- FTA awarded 367 grants to recipients in Region 4. Region 4 ranked 2<sup>nd</sup> in terms of number of grants awarded.



# FY 15 Grant Making

- FTA has awarded 448 grants for almost \$4.3 billion as of 3/31/15.

FTA Office/Region	Grants Awarded	Funds Awarded
TRI	1	\$1,871,000
TRO-1	25	\$190,366,405
TRO-2	25	\$2,151,559,250
TRO-3	61	\$913,880,293
TRO-4	100	\$286,750,528
TRO-5	58	\$151,304,630
TRO-6	59	\$184,711,868
TRO-7	29	\$46,349,327
TRO-8	26	\$34,896,262
TRO-9	30	\$277,599,230
TRO-10	34	\$57,147,577
<b>Total</b>	<b>448</b>	<b>\$4,296,436,370</b>

# Closing out Fully Disbursed and Inactive Grants

- On an annual basis at the beginning of the fiscal year, FTA identifies grants that are fully disbursed and inactive.
- FTA expects its regional offices to close out these grants by the end of the fiscal year, or sooner, unless the regional office or grantee provides evidence that the grant is active or meets another one of our exclusion criteria (such as an inactive grant linked to a project with an active grant or ongoing litigation).
- If one or more of your grants is on our inactive list, you will receive a letter from Region 4 notifying you that the grant will be closed by the end of the Fiscal Year but also providing the opportunity to document that the projects in the grant are active.
- In order for a project in an inactive grant to be active, you should provide:
  - 1) A schedule for completing the projects funded by the grant that shows specific and significant activities to be completed in the current fiscal year.
  - 2) A schedule of draw-downs planned for this grant that includes significant draw-downs in the current fiscal year

# Closing out Fully Disbursed and Inactive Grants

## Definitions

- **Fully Disbursed:** A grant that is 100% disbursed (i.e. has less than \$1,000 remaining to be disbursed as of the beginning of the fiscal year).
- **Inactive:** A grant awarded three or more years prior to the beginning of the fiscal year and with no disbursements within the past 12 months (as of the beginning of the fiscal year) or that have never had a disbursement.
- Grants for **operating assistance and/or preventive maintenance only** and that have not had a disbursement within the past twelve months are also inactive, regardless of the year that the grant was awarded.



# FY 2014 Results

- **Fiscal Year 2014:**
  - **There were 492 Fully Disbursed grants targeted for closeout**
    - **100% of FTA's Fully Disbursed grants were closed by September 30, 2014**
      - **Region IV closed 100% of its 59 Fully Dispersed grants**

# FY 14 Results

- **Fiscal Year 2014:**
  - **There were 221 Inactive grants targeted for closeout**
    - **96% of FTA's Inactive grants were closed by September 30, 2014**
      - **Region IV closed 100% of its 29 Inactive grants**

# FY 2015 Results as of 3/31

- **Fiscal Year 2015 (10/1/2014 through 3/31/2015):**
  - **There were 363 Fully Disbursed grants**
    - **82% of FTA's Fully Disbursed grants were closed by March 31, 2015**
      - **Region IV has closed 92% of its 38 Fully Dispersed grants**

# FY 2015 Results as of 3/31

- **Fiscal Year 2015 (10/1/2014 through 3/31/2015):**
  - **There were 248 Inactive grants**
    - **22% of FTA's Inactive grants were closed by September 31, 2015**
      - **Region IV has closed 22% of its 55 Inactive grants**
      - **Some of the inactive grants on the FY 15 closeout list will be removed after FTA regional offices and grantees document that the projects funded in the grants are active.**

# Next Steps - TrAMS Testing

FTA and its Contractors:

- Ongoing testing and evaluation of TrAMS
- Ongoing development and testing of FTA's financial systems
- Testing of migrated information between the system and conducting quality check
- Preparation of User Resources

## Next Steps - ECHO

- ECHO is being reconfigured to recognize the differences between TEAM and TrAMS grants to draw down funds.

FTA's Budget Office  
will provide training on  
ECHO later in the year.



# Training

- In the Fall of 2014, FTA conducted a series of Hands on Training session in each of our Regional Office areas.

## More Training to Come

- Future Webinars
- User Resources
- Help Desk



# Next Steps Training

- FTA is working to develop videos or “how to use” TrAMS, in the system. They will be completed by module to focus on the areas you use most. (e.g. How to create an application or complete an FFR).
- FTA is working to provide grantees time to work directly in the system in advance of deployment to get familiar with TrAMS.





## Schedule

- TEAM is open for grant making, business as usual for the remainder of FY 2015.
- FTA closes TEAM at the end of each fiscal year to conduct year end close out. FTA will use this time to finalize financial actions and migrate information from TEAM to TrAMS.
- TrAMS will be active for FY 2016.

# Next Steps

You Can...

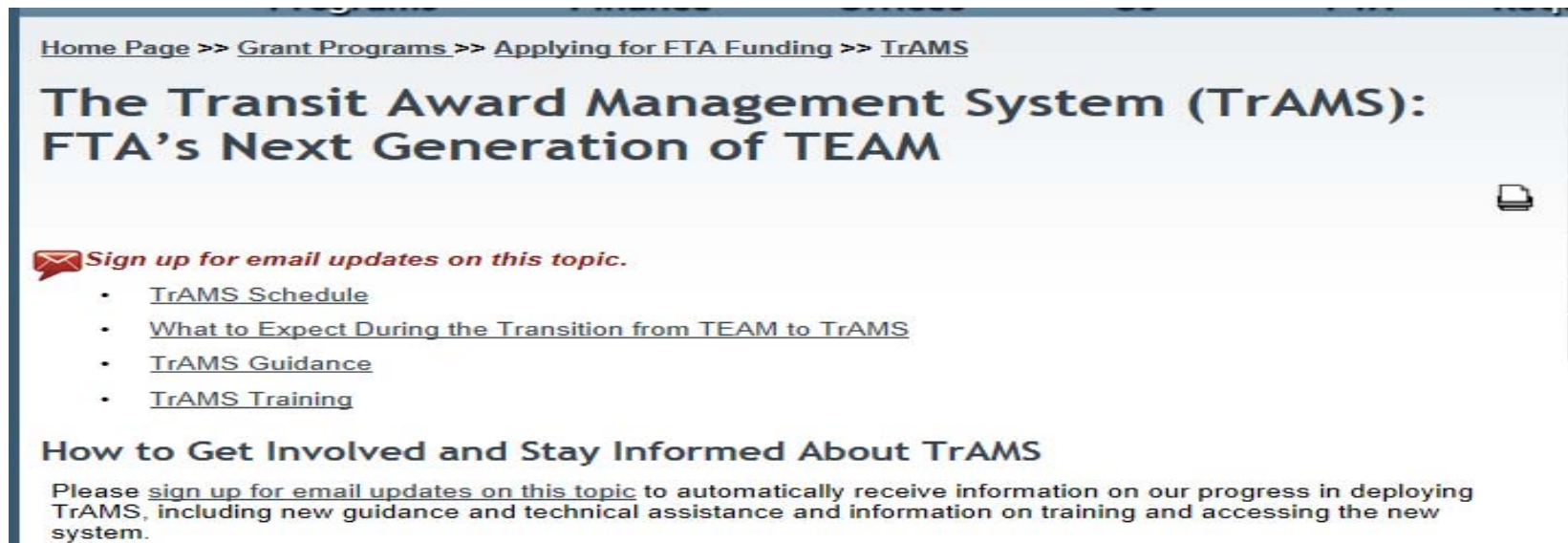
- ❖ Review your Points of Contact Information in TEAM and update as necessary.
- ❖ Review your Agency Information on SAM and Update Information if needed and keep it Active.
- ❖ Close out any completed grants.
- ❖ Identify a User Manager.

# Where to get information

## FTA's Website under Grant Programs

### Your Regional Office


### Sign up for Alerts to stay current




The screenshot shows a web page with a breadcrumb trail: [Home Page](#) >> [Grant Programs](#) >> [Applying for FTA Funding](#) >> [TrAMS](#). The main heading is "The Transit Award Management System (TrAMS): FTA's Next Generation of TEAM". To the right of the heading is a printer icon. Below the heading is a red envelope icon followed by the text "Sign up for email updates on this topic." and a bulleted list of links: [TrAMS Schedule](#), [What to Expect During the Transition from TEAM to TrAMS](#), [TrAMS Guidance](#), and [TrAMS Training](#). Below the list is the section "How to Get Involved and Stay Informed About TrAMS" with a paragraph: "Please [sign up for email updates on this topic](#) to automatically receive information on our progress in deploying TrAMS, including new guidance and technical assistance and information on training and accessing the new system."

[Home Page](#) >> [Grant Programs](#) >> [Applying for FTA Funding](#) >> [TrAMS](#)

## The Transit Award Management System (TrAMS): FTA's Next Generation of TEAM



 **Sign up for email updates on this topic.**

- [TrAMS Schedule](#)
- [What to Expect During the Transition from TEAM to TrAMS](#)
- [TrAMS Guidance](#)
- [TrAMS Training](#)

### How to Get Involved and Stay Informed About TrAMS

Please [sign up for email updates on this topic](#) to automatically receive information on our progress in deploying TrAMS, including new guidance and technical assistance and information on training and accessing the new system.

# TTBR: RBA Background and Outline

## ➤ **RBA Background:**

- TPM Leadership wanted a Risk-Based Approach (RBA) to Oversight of capital projects.
- The framework for the RBA came from the second phase of the TTBR conducted in the fall of 2014. Working Group participants from TPM, TRO, TPE, TCC, and TOA worked together to develop the RBA framework.

## ➤ **RBA Outline:**

- The RBA includes a Risk Evaluation Tool (RET) which determines the overall project and project sponsor risk ratings for capital projects. These risk ratings will determine an oversight plan for capital projects.
- The RBA working group will develop a Standard Operating Procedure (SOP) to accompany the RET which will explain how to use the tool as well as the methodology for adjusting the oversight plan based on other project specific factors.
- TPM will continue to develop the RBA and the RET through working groups with broad participation from the Regions and from HQ.

# TTBR: Risk-Based Approach (RBA) Accomplishments and Schedule

## ➤ **RBA Accomplishments:**

- Conducted seven working group meetings with TPM and TRO subject matter specialists in order to gather requirements and data for the Risk Evaluation Tool (RET)
- Developed overall approach, outline and methodology for the RET
- Developed outline for the RBA Standard Operating Procedure (SOP)

## ➤ **RBA Schedule:**

- Develop Draft RET – present-7/13/15
- Develop Draft RBA and Oversight Plan Development SOP – present-7/13/15
- Conduct the RET Demo with RBA Working Group – 6/11/15
- FTA Review and Approval period for Draft RET – 6/15/15-7/6/15
- Conduct the RET Demo with TPM Leadership – 7/7/15
- Conduct RBA Pilot Program – 8/3/15-12/21/15
- Submit Final RBA and RET – 2/29/16
- Submit RBA and Oversight Plan Development SOP – 2/29/16

# TTBR: OP Crosswalk and Roles and Responsibilities Milestones and Schedule

## ➤ **OP vs Top To Bottom Review Goals and Objectives Crosswalk Milestones and Schedule:**

- Continue preliminary research of OPs for OP Crosswalk work stream
- Develop OP Crosswalk – 6/1/15-11/27/15
- Conduct OP Crosswalk Working Group meeting – 8/12/15
- FTA Review and Approval Period for OP Crosswalk – 9/30/15-10/30/15
- Submit OP Crosswalk – 11/27/15

## ➤ **Oversight Roles and Responsibilities (R&R) SOP Milestones and Schedule:**

- Continue preliminary research of R&R based on previously developed RACI Matrices
- Develop Oversight R&R SOP – 9/1/15-1/29/16
- Conduct Oversight R&R SOP Working Group – 10/8/15
- FTA Review and Approval Period for Oversight R&R SOP – 11/30/15-12/23/15
- Submit Oversight R&R SOP – 1/29/16

# Don't Forget the Survey!

Please remember to complete the survey for this session by visiting the Guidebook App or

<http://goo.gl/forms/hhOzdnpmKK>

- Choose “Thurs., 8:00 a.m. - FTA Regulations Update/USDOT Office of the Inspector General” from the dropdown list

# Special Thanks to Our Vendors & Sponsors!

**HNTB**



**HDR**

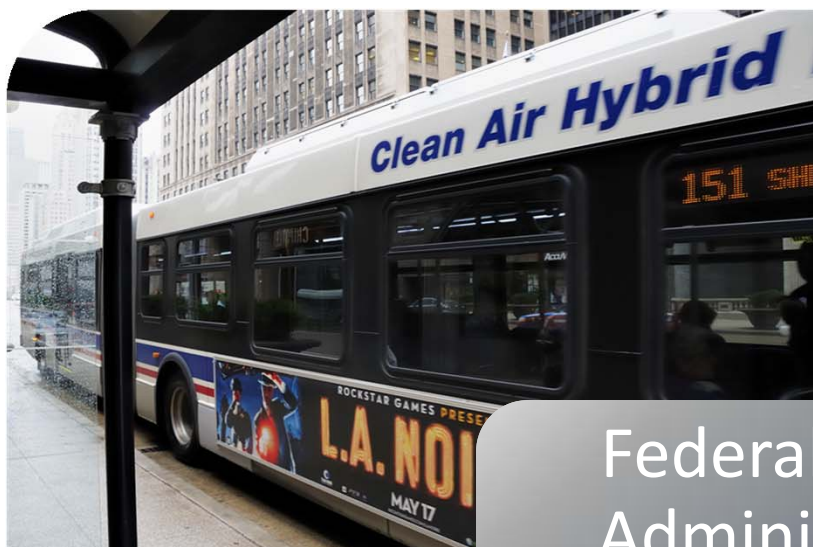
National  
**RTAP**  
Rural Transit Assistance Program

The logo for the National Rural Transit Assistance Program (RTAP) features a stylized graphic of a blue and green leaf or drop shape.

**FTA**

FEDERAL TRANSIT ADMINISTRATION





Federal Transit  
Administration  
[.dot.gov](http://www.fta.dot.gov)

