



FEDERAL TRANSIT ADMINISTRATION

FTA 101: Beginning to End

May 14, 2015

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2015 Southeastern Regional Transit Conference

**BUILDING LADDERS
OF OPPORTUNITY**
Through Transportation Networks

FTA

FEDERAL TRANSIT ADMINISTRATION

Georgia Tech School of Civil and Environmental Engineering
College of Engineering

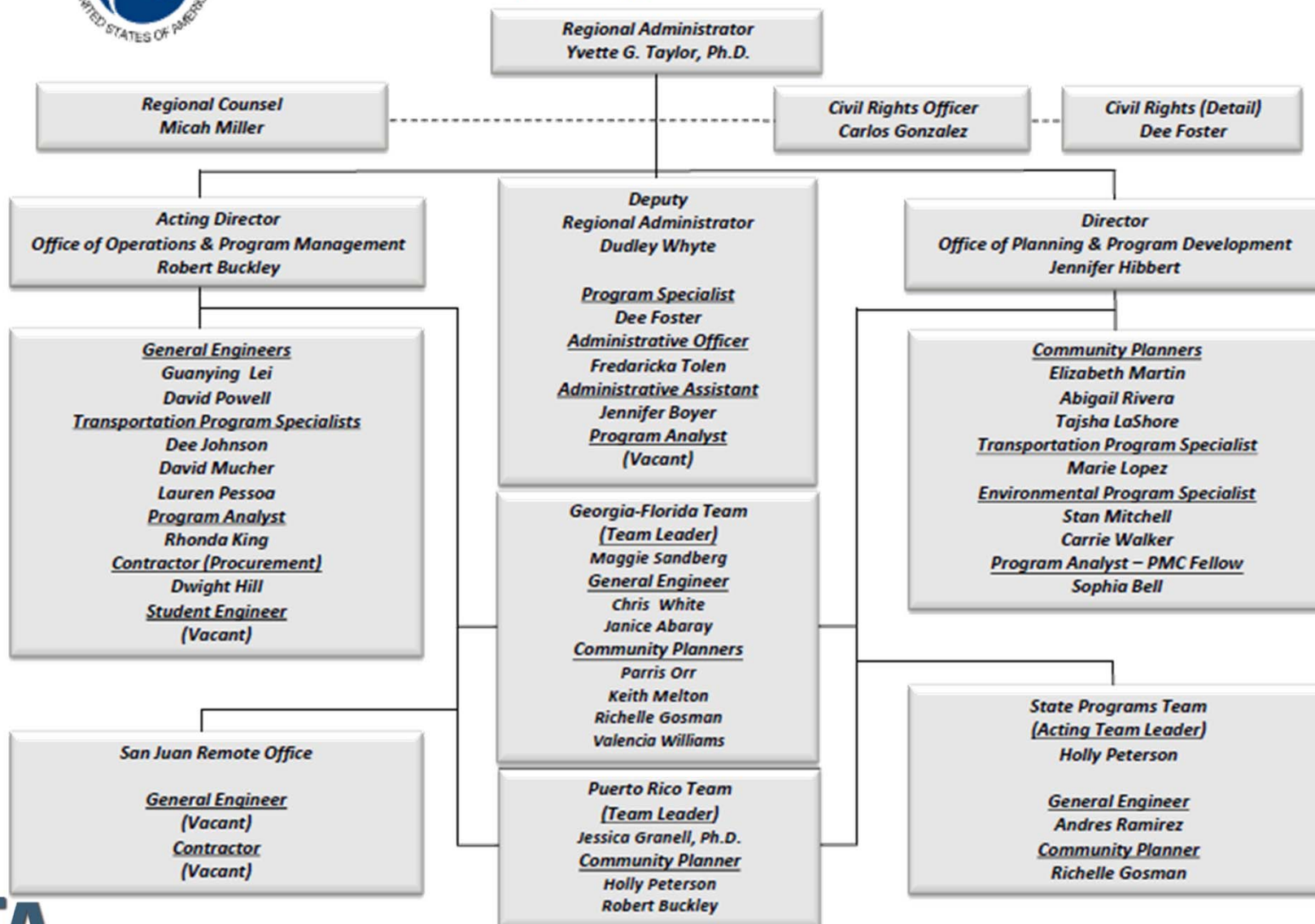


Agenda

- I. FTA Lingo & Programs
- II. FTA Electronic Systems
- III. FTA Grant Process
 - i. Prerequisites
 - ii. Regional Reviews & Award
 - iii. Oversight & Modifications
 - iv. Grant Closeout



U.S. Department of Transportation Federal Transit Administration Region IV Organizational Chart



FTA Lingo

- **Pre-award (Phase 1)** – most actions within the grant application process through execution of the grant
 - Primary Contact: Community Planner/TPS
 - ✓ Questions regarding plans/programs (i.e. STIP, UPWP), NEPA, eligibility, grant amendments
- **Post-award (Phase 2)** – most actions within the grant application process from execution until grant close-out
 - Primary Contact: Program Manager/Engineer/TPS
 - ✓ Questions regarding vehicles, construction, procurement, contracts, budget revisions

FTA Lingo

- **Program Manager/Engineer** – interchangeable; typically your contact for Post-Award/Phase 2
- **Transportation Program Specialist (TPS)** – planner or program manager working in the planning division or the program management division of FTA
- **Statewide Transportation Improvement Program (STIP)** – a statewide prioritized listing/program of federally-funded transportation projects covering a period of four years
- **Unified Planning Work Program (UPWP)** – a program of work identifying the planning priorities and activities to be carried out within an MPA during the next one or two-year period

FTA Lingo

- **Designated Recipient (DR)** – an entity designated, in accordance with the planning process under Sections 5303 and 5304, by the governor of a state, or his designee, responsible local officials, and publicly owned operators of public transportation, to receive and apportion amounts under Section 5336 (of the FRN) to urbanized areas of 200,000 or more in population; 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 (required for 5307, 5339, 5310 funding)
- **Direct Recipient** – an eligible entity authorized by a designated recipient or state to receive Urbanized Area Formula Program funds directly from FTA

FTA Lingo

- **Project Number/Grant Number** – interchangeable; number assigned in TEAM as identifier for grant application (ex: GA-90-X####)
- **Transmit** – term applied to action taken by grantee when requesting FTA review; usually via email
- **Submit** – term applied to action in TEAM, taken by grantee after all regional reviews & prior to DOL/FTA award; requires a PIN

FTA Lingo

- **Federal Financial Report (FFR)** – submitted to FTA quarterly/annually in TEAM to demonstrate financial progress of projects in grant application
- **Milestone Progress Report (MPR)** – submitted to FTA quarterly/annually in TEAM to demonstrate progress of project milestones outlined in grant application

FTA Grant Programs (MAP-21)

Section	Program	Example: Lapse Dates for FY 2015 Apportionments	Period of Availability
5303	Metropolitan Planning	9/30/2018	year of apportionment plus 3 additional years
5304	Statewide Planning	9/30/2018	year of apportionment plus 3 additional years
5309	Fixed Guideway Capital Investment	9/30/2019	year of apportionment plus 4 additional years
5307	Urbanized Area Formula	9/30/2020	year of apportionment plus 5 additional years
5307	Passenger Ferry Grants	9/30/2020	year of apportionment plus 5 additional years
5307	FHWA CMAQ & STP Transfers to FTA	9/30/2020	year of apportionment plus 5 additional years

FTA Grant Programs (MAP-21)

Section	Program	Example: Lapse Dates for FY 2015 Apportionments	Period of Availability
5310	Enhanced Mobility of Seniors	9/30/2017	year of apportionment plus 2 additional years
5311	Formula Grants for Rural Areas	9/30/2017	year of apportionment plus 2 additional years
5311	Rural Transportation Assistance (RTAP)	9/30/2017	year of apportionment plus 2 additional years
5311	Appalachian Development Public Transportation	9/30/2017	year of apportionment plus 2 additional years
5311	Tribal Formula	9/30/2017	year of apportionment plus 2 additional years
5329	State Safety Oversight	9/30/2017	year of apportionment plus 2 additional years
5337	State of Good Repair Formula	9/30/2018	year of apportionment plus 3 additional years
5339	Bus and Bus Facilities	9/30/2018	year of apportionment plus 3 additional years

Annual Apportionments & Federal Register Notices

- A Federal Register Notice (FRN) is published annually that includes apportionments, allocations, and program information.
 - **Important**: Please refer to this FRN, BEFORE you contact your community planner or transportation program specialist/general engineer
 - You may find the Annual Apportionment Notice and sign up for email updates here:
<http://www.fta.dot.gov/grants/12853.html>

TEAM Access

- For access to TEAM, complete TEAM Access Form and send to Richelle Gosman at richelle.gosman@dot.gov
- TEAM Access Forms & Instructions may be found on the TEAM homepage: <https://ftateamweb.fta.dot.gov>

TrAMS

RG1

Transportation Award Management System

- Will replace TEAM in FY 2016
- Adjustments to Grant Process possible
 - Grantee Training & Webinars Forthcoming
- For more information & to sign up for alerts, visit <http://www.fta.dot.gov/grants/16260.html>

Slide 13

RG1

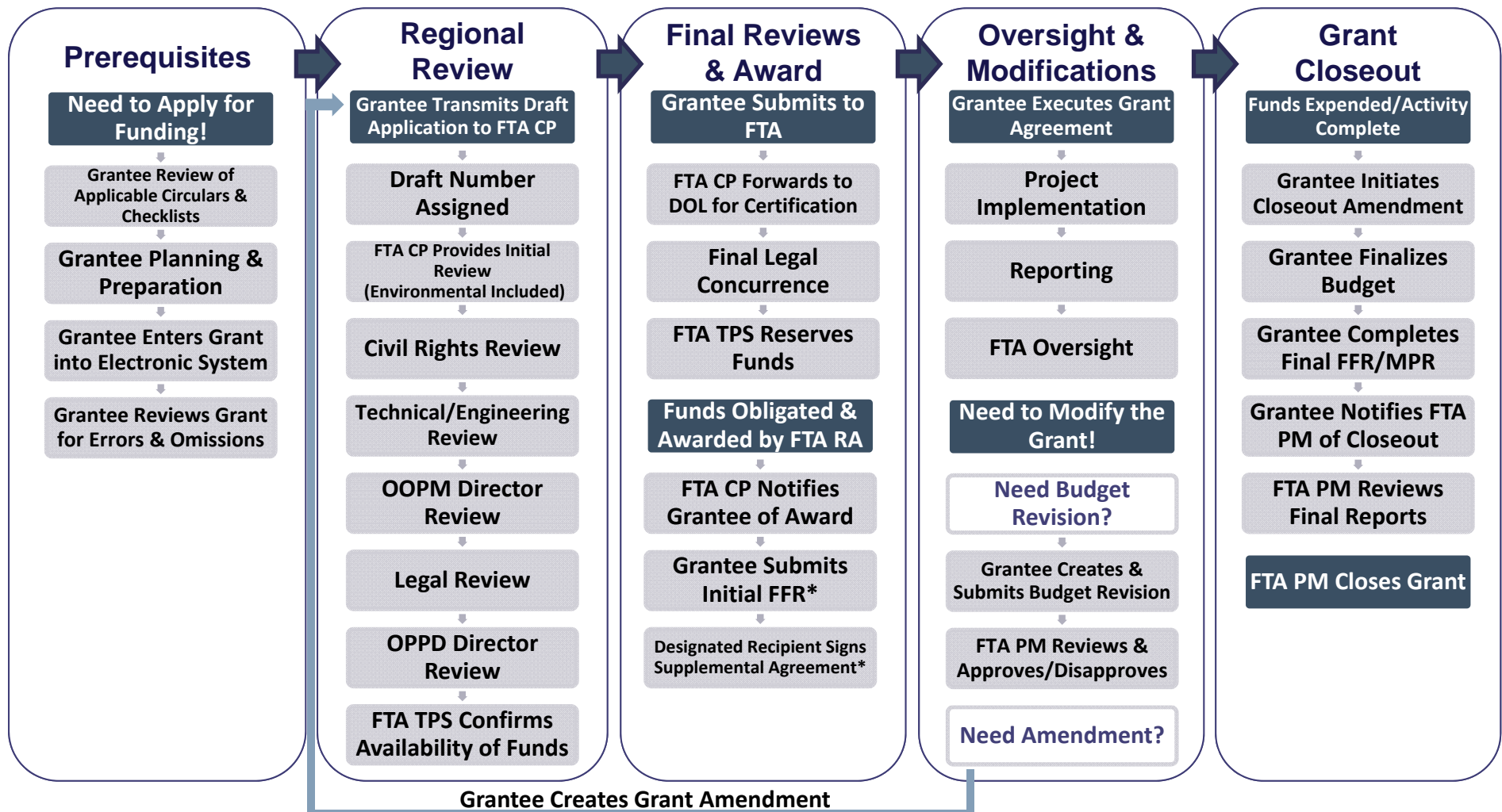
Should this be moved to after slid #10

rgosman, 4/29/2015

ECHO

Electronic Clearing House Operation

- ECHO forms and instructions may be found at http://www.fta.dot.gov/documents/Attachment_19_ECHO_User_Setup_Forms.pdf
- Region IV's ECHO contact is:
Derethia (Dee) Johnson
derethia.johnson@dot.gov



OOPM – Office of Oversight & Program Management

PM – Program Manager

*Applicability Varies by Grantee

*Applicability Varies by Grantee

Prerequisites

Need to Apply for Funding!



**Grantee Review of Applicable
Circulars & Checklists**



Grantee Planning & Preparation



**Grantee Enters Grant into
Electronic System**



**Grantee Reviews Grant for Errors
& Omissions**

Review Circulars & Checklists

- There is a Circular that corresponds to each major FTA program. Circulars outline the regulations and guidance that apply when using funding under a given program.
 - All FTA Circulars may be found here:
http://www.fta.dot.gov/legislation_law/about_FTA_circulars_guidance.html
 - Look out for program-specific requirements (e.g. – Security Expenditures, Transit Enhancements)
 - Take special note of the **Uniform Relocation Assistance and Real Property Acquisitions Act** before beginning grant process:
http://www.fta.dot.gov/legislation_law/12316_3302.html

Review Circulars & Checklists

Section	Program	Circular
5307	Urbanized Area Formula	C 9030.1E
5311	Rural Area Formula	C 9040.1G
5339	Bus & Bus Facilities	C 5100.1
5337	State of Good Repair	C 5300.1
5310	Enhanced Mobility of Seniors & Individuals with Disabilities	C 9070.1G
5309	Capital Investment Program	C 9300.1B
5303/5304	Metropolitan Planning & State Planning	C 8100.1C

Tip: There is a program-specific grant checklist located at the back of each program Circular!

Planning

- Funds must be programmed in **TIP/STIP**
- If planning project, must be programmed in **UPWP**
- Complete **Coordinated Planning** process, if applicable
- Initiate **NEPA** work & gather documentation, if applicable

NEPA/Environmental Review

Topics that may require documentation:



FTA NEPA Contacts

Stan Mitchell

Environmental Program Specialist
FTA Region IV
230 Peachtree Street, NW, Suite 1400
Atlanta, GA 30303
E-mail: stanley.a.mitchell@dot.gov

Julia “Carrie” Walker

Environmental Program Specialist
FTA Region IV
230 Peachtree Street, NW, Suite 1400
Atlanta, GA 30303
E-mail: julia.walker@dot.gov

Civil Rights

- Ensure Civil Rights Programs are current in TEAM-Web:
 - Title VI Program
 - DBE Program
 - DBE Goals
 - EEO Program
- Familiarize yourself with **Civil Rights requirements** for your service type
- Know triggers for **Service & Fare Equity Analysis** and for **Title VI Equity Analysis**

Civil Rights: Resources

FTA -Title VI of the Civil Rights Act of 1964

<http://www.fta.dot.gov/civilrights/12328.html>

Title VI Circular 4702.1B

http://www.fta.dot.gov/legislation_law/12349_14792.html

Civil Rights Training Materials

<http://www.fta.dot.gov/civilrights/12885.html>

FTA Civil Rights Contacts

Carlos Gonzalez

Civil Rights Officer

FTA Region IV

230 Peachtree Street, NW, Suite 1400

Atlanta, GA 30303

E-mail: carlos.gonzalez3@dot.gov

Aida Douglas

Civil Rights Contractor

FTA Region IV

E-mail: aida.douglas.ctr@dot.gov

Doretha “Dee” Foster

Detail: Civil Rights Officer

FTA Region IV

230 Peachtree Street, NW, Suite 1400

Atlanta, GA 30303

E-mail: doretha.foster@dot.gov

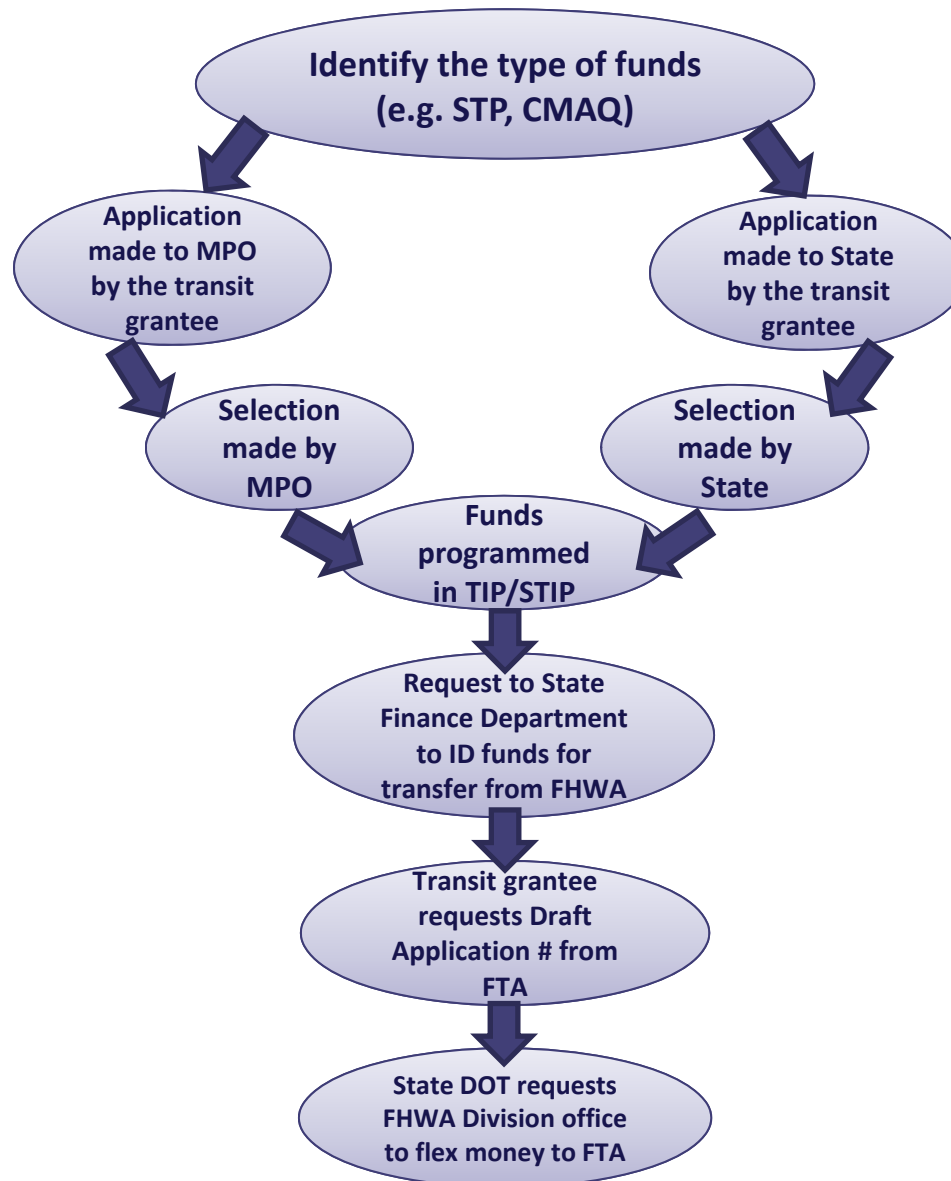
Preparation

Make sure your grant application is ready for review

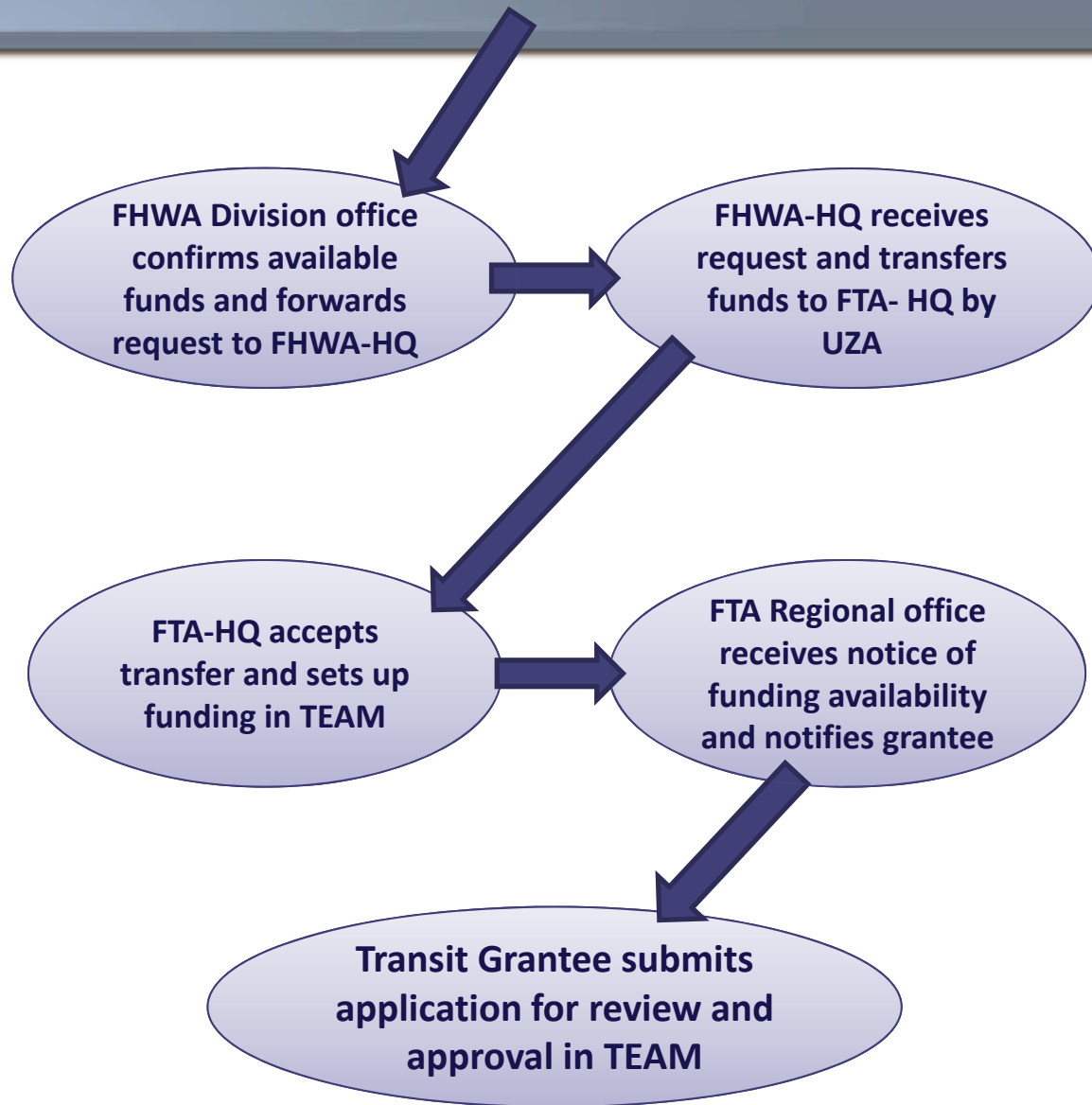
- Obtain copy of **Split or Governor's Allocation Letter** and attach to application in TEAM, if applicable
- Sign/PIN **Certification & Assurances**
- Identify source of **Local Match**
 - if transportation development credits, obtain approval letter from State
- Develop **Supplemental Agreements**, if applicable
- If **Flexing Funds** from FHWA, ensure that Region 4 has received funds

Local Process

STP & CMAQ Flex Funds



Federal Process



Grant Deadlines

- The deadline to Submit **ALL** grant applications is **June 30, 2015**.
 - This deadline is for applications containing lapsing funds, current year, or non-lapsing funding.
- FTA *cannot guarantee* that your grant will be awarded by the end of the FFY, September 2015, if your grant has not been submitted in TEAM by the June 30th deadline date.
- FTA *will continue to process* grant applications after the deadline. However, we cannot guarantee the funds will be awarded/obligated after the critical deadline date.

Enter Grant into TEAM

Complete
each screen:

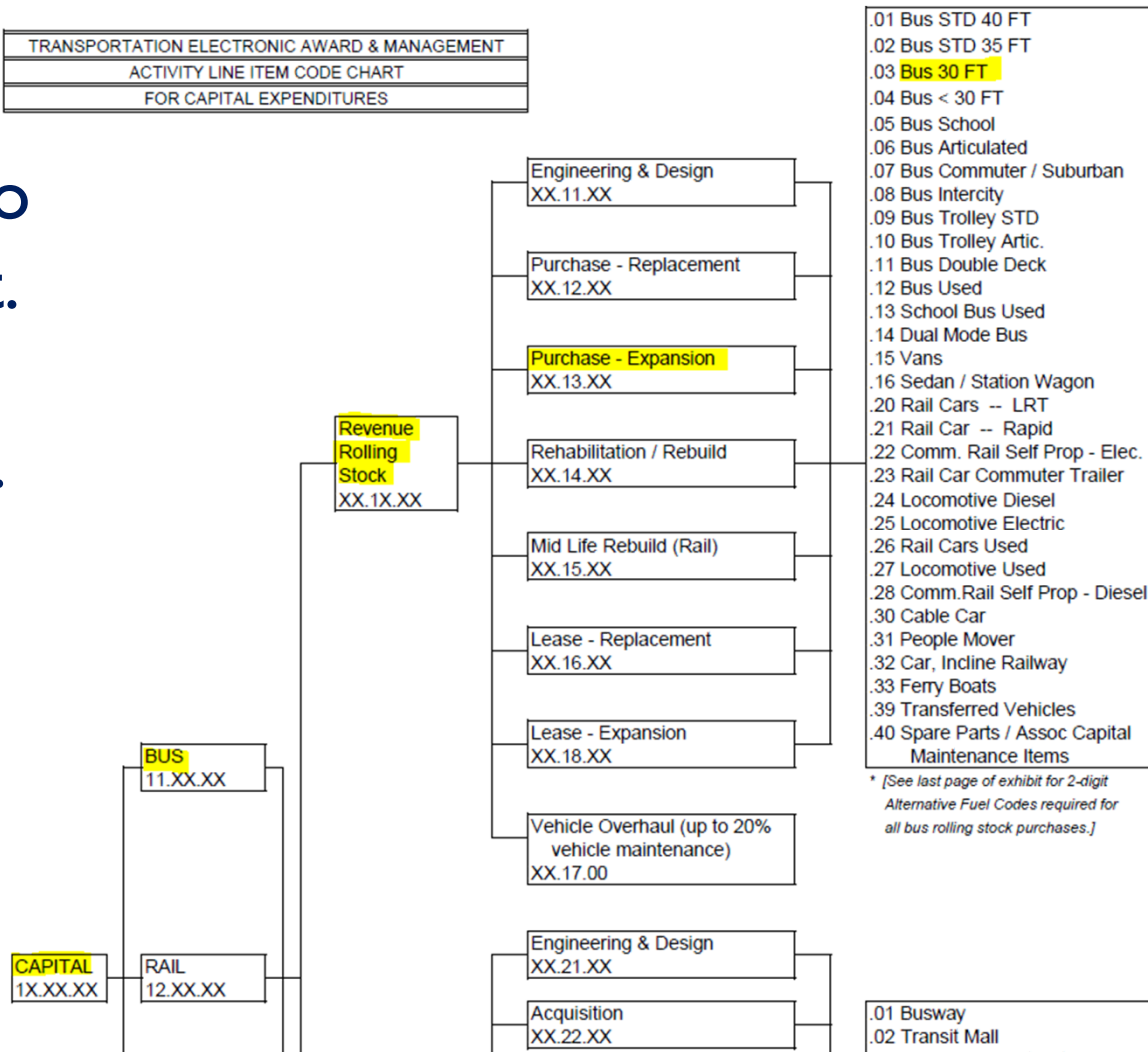
Screen	Key Action
Project Information	<ul style="list-style-type: none">Project Details – Identify year, program, amount of funding; provide overview of activity in grant
Budget	<ul style="list-style-type: none">Add Scopes/ALIs (http://www.fta.dot.gov/documents/ali.pdf)Details – Each ALI must have an extended budget description
Milestones	<ul style="list-style-type: none">At least two milestones (start/end date) must be assigned to each ALI
Environmental Findings	<ul style="list-style-type: none">An environmental finding must be assigned to each ALI
Fleet Status	<ul style="list-style-type: none">If have vehicles, must complete fleet status report

Example Scope & Activity Line Item (ALI)

TRANSPORTATION ELECTRONIC AWARD & MANAGEMENT
ACTIVITY LINE ITEM CODE CHART
FOR CAPITAL EXPENDITURES

You need to
buy a 30-ft.
bus for
expansion.


Scope: 111-00
ALI: 11.13.03



Review Grant

- Ensure Recipient contact information completed & budget is correct
- Check for spelling/grammatical errors
- Region IV has provided a list of Common TEAM Comments, available here:

http://www.fta.dot.gov/region4_12434.html



TIP: Application Reviewer - This screen in TEAM will point you to any basic mistakes or omissions.

FTA Review & Award



Transmit to FTA for Review

- When draft grant application appears complete, notify FTA community planner/grants manager that grant is ready for review via email.

Regional Review

Planner will guide grant application through regional process and notify grantee of any comments along the way.

Reviewer	Key Checks
Community Planner	<ul style="list-style-type: none"> • Is the grant application complete? • Does the application provide sufficient background & clearly outline proposed activity? • Are listed activities eligible under given program? • Are STIP/TIP, UPWP, Split Letter and/or POP attached? • Is Environmental work complete & documentation attached?
Civil Rights	<ul style="list-style-type: none"> • Are all Civil Rights Programs current? • Are there any additional Civil Rights Actions that should occur for the project?
Engineer	<ul style="list-style-type: none"> • Is Useful Life included for all items over \$5k? • Are Schedule, Cost/Budget reasonable; have funding sources identified; and is Real Property appraised/reviewed for Construction activities? • Is Fleet Status Report current; is Rolling Stock Status Report provided for vehicles to be replaced or vehicle purchase? • Are ITS elements consistent with Regional Architecture?
OOPM Director	<ul style="list-style-type: none"> • Does the application include information to fully inform oversight & program management?
Legal Counsel	<ul style="list-style-type: none"> • Are Certifications & Assurances pinned in TEAM?
OPPD Director	<ul style="list-style-type: none"> • Would language in application translate to the general public? • Have all other comments/concerns been addressed?
Transportation Program Specialist	<ul style="list-style-type: none"> • Are funds available under given program?

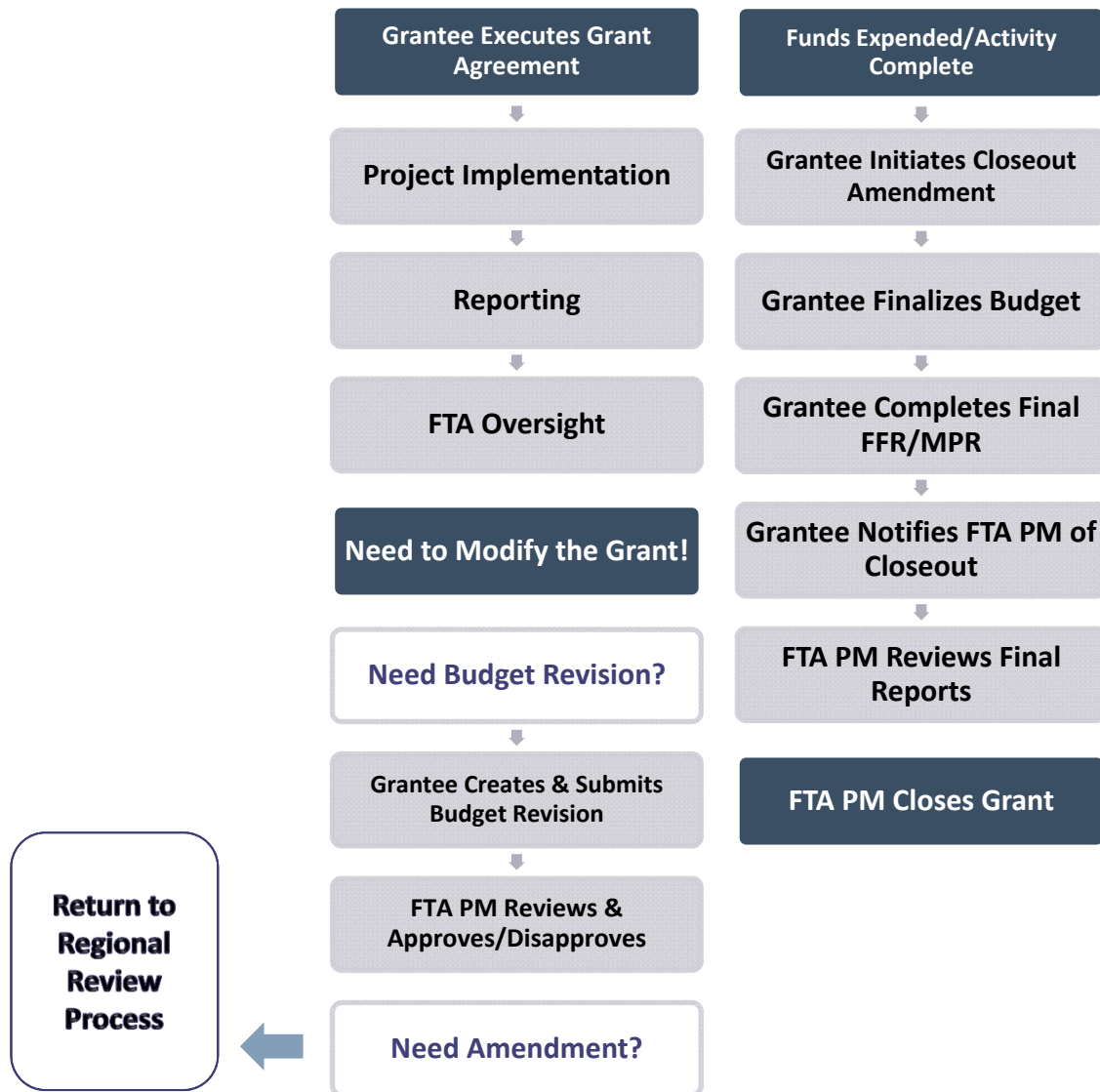
Submit Application

- When grant application passes all regional reviews, Community Planner will notify Grantee that application is ready to Submit in TEAM. Grantee representative must have PIN to Submit.
- Notify Planner when application has been Submitted. He/she will forward to Department of Labor for Certification or Information, if applicable.

Regional Review

Reviewer	Key Checks
Department of Labor (DOL)	<ul style="list-style-type: none">• Notifies local unions of action & addresses any objections
Legal Counsel	<ul style="list-style-type: none">• Final review for major flaws
Transportation Program Specialist	<ul style="list-style-type: none">• Are funds ready for reservation?
Regional Administrator	<ul style="list-style-type: none">• Is grant application ready for obligation & award?

Oversight & Modifications



Execute Application

- When grant has been awarded, Community Planner will notify Grantee that grant agreement is ready to Execute in TEAM. Grantee representative must have PIN to Execute.
- Grant agreements must be Executed within ninety (90) days of award. If timeframe is not met, the offer of award may be withdrawn.

Execution Process

- If grantee has Pre-award Authority on given grant, must complete an **Initial FFR** before executing.
- If grantee is not the designated recipient for funds, must notify the DR that grant has been awarded. DR representative will PIN the **Supplemental Agreement** in TEAM.

Grant Management Responsibilities

- **Grantees/Recipients** are responsible for the day-to-day management of your Federal grants and of grant supported activities.
- **FTA** monitors grants and federally funded projects to confirm that grantees establish and follow procedures that comply with Federal requirements.

FTA Circulars

Guidance Resources

- C 5010.ID - Grant Management Requirements
- C 4220.IF - Third Party Contracting Guidance

All FTA Circulars may be found here:

http://www.fta.dot.gov/legislation_law/about_FTA_circulars_guidance.html

Implementation

- Once the Grantee executes the Grant Agreement electronically, post-award grant requirements apply.
- **Reporting**
 - FFR and MPR
 - Civil Rights Reports
 - Associated Transit Improvement Report (200K Pop)
 - National Transit Database (NTD) Reporting

Modifications

- **Budget Revision** may be made as long as there is no change in the grant purpose, scope codes, and Federal funding of the grant (PM/Engineer)
- **Grant Amendment** is required when there is either a change in the scope or an addition of Federal funds to an existing grant. Grant amendments are subject to the same application requirements as a new grant request (CP/GM)

Project Management

Following items obtained for the project purposes must be managed, used, and disposed of in accordance with applicable laws and regulations:

- Real Property
- Equipment and Supplies, Rolling Stock
- Facilities purchased or constructed
 - See C 5010.1D

Financial Management

Financial management is one of the most important practices in the management of Federal funds:

- Internal Controls
- Annual Audit
- Electronic Clearing House Operation (ECHO)
 - See C 5010.ID

Oversight

FTA Oversight Review Program:

- General Reviews
 - Triennial Review and State Management Review
- Program-Specific Reviews
 - Financial Management Oversight (FMO), Procurement System Review (PSR), Civil Rights, Safety & Security
- Project-Level Reviews
 - Project Management Oversight (PMO), Financial Capacity

Grant Closeout

- Grantee must initiate close-out of a grant when all approved activities are completed and/or applicable Federal funds expended (90 days).
- A grant may be closed-out by FTA unilaterally under certain circumstances.
 - See C 5010.ID

End



Questions



Don't Forget the Survey!

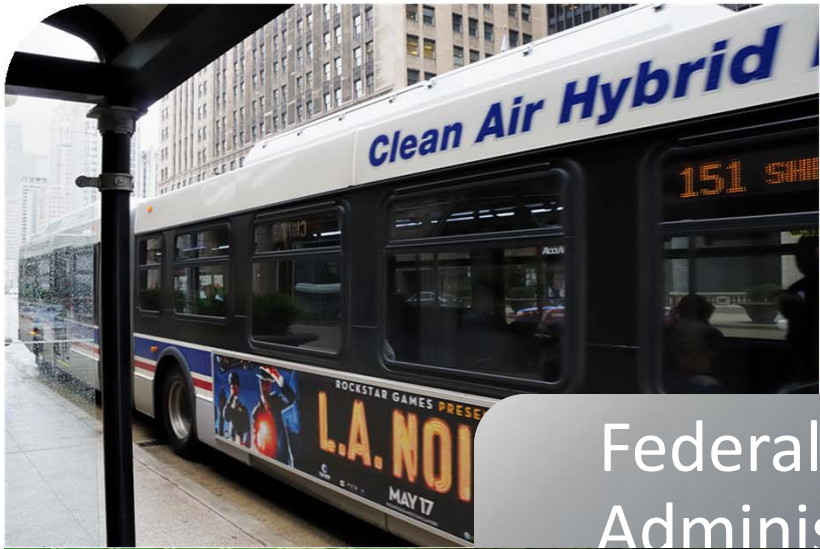
Please remember to complete the survey for this session by visiting the Guidebook App or

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

- Choose “Thurs., 9:30 a.m. - FTA 101: Beginning to End” from the dropdown list

Special Thanks to Our Vendors & Sponsors!

The logo for HNTB, featuring the letters "HNTB" in a bold, dark blue sans-serif font. The letter "H" has a small orange square on its left vertical bar.The logo for wendel, featuring a stylized graphic of three overlapping squares in light blue, green, and dark blue, followed by the word "wendel" in a dark blue sans-serif font.The logo for HDR, featuring the letters "HDR" in a bold, dark grey sans-serif font.The logo for National RTAP, featuring the text "National RTAP" in a green sans-serif font, with "RTAP" in a larger font size. To the right is a circular logo with a light blue upper half and a green lower half. Below the text is "Rural Transit Assistance Program" in a smaller green font.The logo for RouteMatch Software, featuring a stylized graphic of three interlocking cubes in blue and yellow, followed by the text "RouteMatch" in a blue sans-serif font and "Software" in a smaller, italicized blue font.



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