



# **U.S. Department of Transportation Federal Transit Administration**

## **State Programs Team FTA 101 Training Tampa, FL June 17-18, 2010**

David Schilling, Community Planner, *Team Leader*  
Andres Ramirez, General Engineer, *Team Member*  
Parris Orr, Community Planner, *Team Member*





# Overview – Thursday, June 17

<b>9:00 am</b>	<b>Welcome and Introductions</b>
<b>9:30 am</b>	<b>FTA Region IV Overview</b>
<b>9:45 am</b>	<b>Grant Programs and Guidance Update</b>
<b>10:30 am</b>	<b>Break</b>
<b>10:45 am</b>	<b>Grants (Pre-Award)</b>
<b>11:30 am</b>	<b>Real Estate/Transit Facilities</b>
<b>12:15 pm</b>	<b><i>Lunch</i></b>
<b>1:00 pm</b>	<b>NEPA</b>
<b>2:30 pm</b>	<b><i>Break</i></b>
<b>2:45 pm</b>	<b>Grants (Post-Award)</b>
<b>4:00 pm</b>	<b>Questions and Answers</b>
<b>4:15 pm</b>	<b>Adjourn</b>





# Overview – Friday, June 18

<b>8:30 am</b>	<b>ARRA Oversight and Reporting</b>
<b>9:15 am</b>	<b>Procurement</b>
<b>10:00 am</b>	<b><i>Break</i></b>
<b>10:15 am</b>	<b>Construction Management/Oversight</b>
<b>11:30 am</b>	<b>Wrap Up/Questions and Answers</b>





# FTA Region IV Overview





# Legislative Authority

- FTA is part of U.S. DOT
- U.S. DOT is part of the Executive Branch
- Congress delegates to executive agencies authority to carry out programs
- FTA's programs are authorized in the Federal Transit Act, as amended most recently by SAFETEA-LU (49 USC Ch 53)





# FTA Organization

- Approximately 520 staff
- HQ in Washington DC + 10 Regional Offices





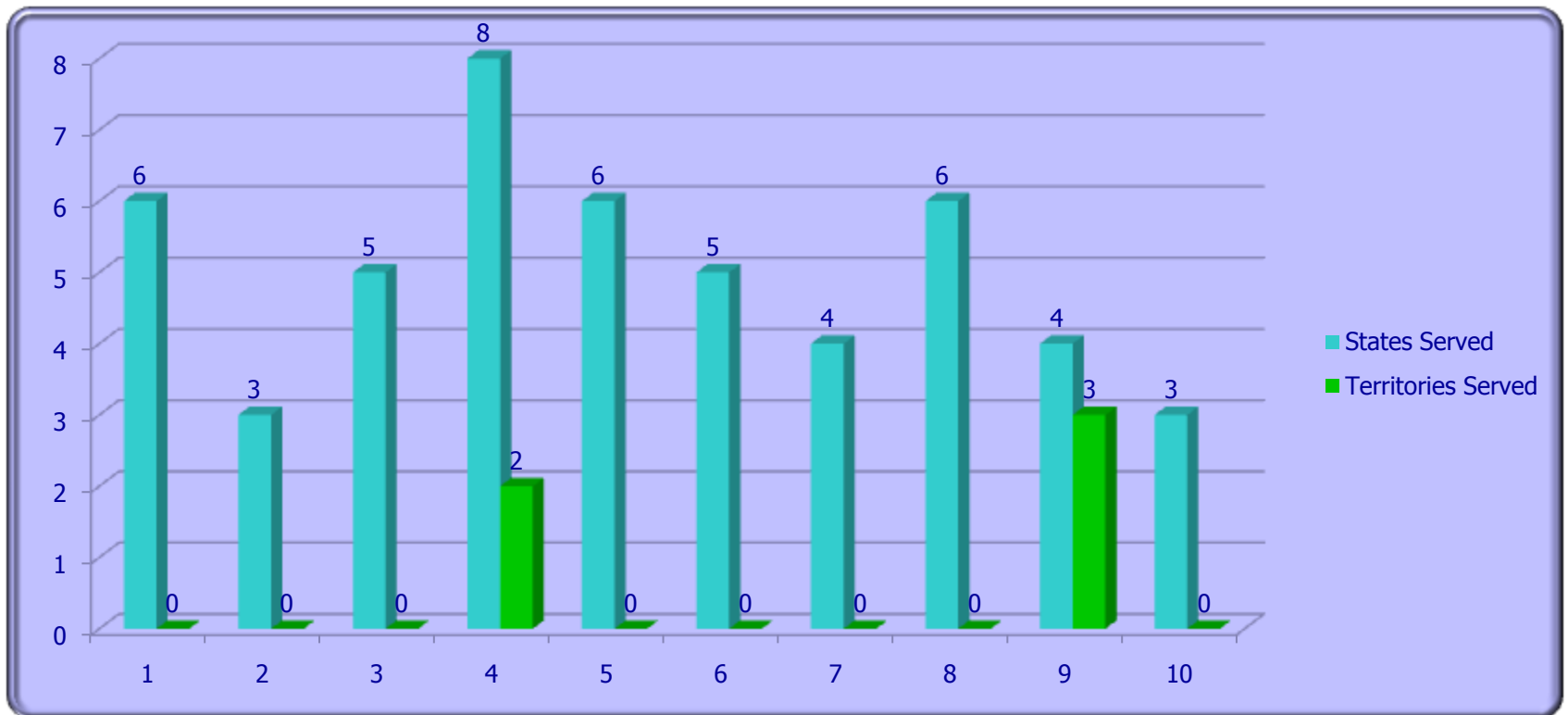
# Region IV Geographic Responsibility

## 8 States and 2 U.S. Territories





# Comparison of Regional Geographic Responsibilities







# Region IV Office

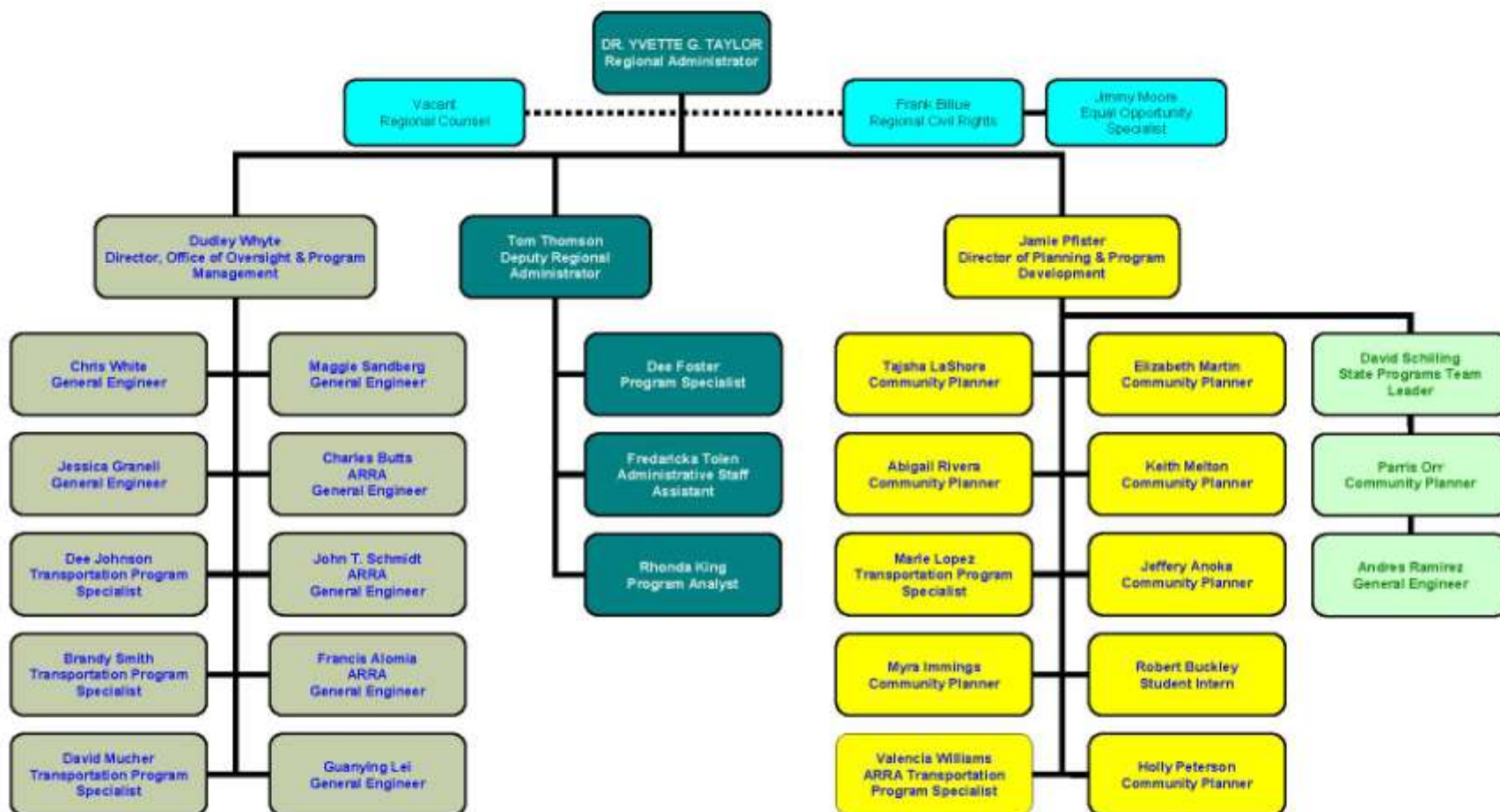
- Regional & Deputy Administrator
- Legal & Civil Rights Officer
- Community Planners & Transportation Program Specialists
- General Engineers & Transportation Program Specialists
- State Programs Team
- ARRA Support Staff (Temp)
- Support Staff





# Region IV Office

## Federal Transit Administration – Region IV Organizational Chart





# Region IV Office /Partnership with FDOT and FL Grantees

## Florida FTA Contacts:

- FDOT
  - Andres Ramirez, General Engineer, [andres.ramirez@dot.gov](mailto:andres.ramirez@dot.gov), 404.865.5611
- ARRA Oversight
  - Francis Alomia, ARRA General Engineer, [francis.alomia@dot.gov](mailto:francis.alomia@dot.gov), 404.865.5638
- Florida Urbanized Area Grantees Districts 1&7
  - Pre Award - Planning, NEPA, Grant Making
    - Elizabeth Martin, Community Planner, [elizabeth.martin@dot.gov](mailto:elizabeth.martin@dot.gov), 404.865.5609
  - Post Award - Grant and Project Management, Oversight
    - Margarita Sandberg, General Engineer, [margarita.sandberg@dot.gov](mailto:margarita.sandberg@dot.gov), 404.865.5612
- ARRA Oversight
  - Ted Schmidt, ARRA General Engineer, [john.t.schmidt@dot.gov](mailto:john.t.schmidt@dot.gov), 404.865.5643





# Region IV Office /Partnership with FDOT and FL Grantees

## Florida Urbanized Area Grantees

- Districts 2&3
  - Pre Award - Planning, NEPA, Grant Making
    - Tajsha LaShore, Community Planner, [tajsha.lashore@dot.gov](mailto:tajsha.lashore@dot.gov), 404.865.5606
  - Post Award - Grant and Project Management, Oversight
    - Brandy Smith, Transportation Program Specialist, [brandy.smith@dot.gov](mailto:brandy.smith@dot.gov), 404.865.5621
- ARRA Oversight
  - Francis Alomia, ARRA General Engineer, [francis.alomia@dot.gov](mailto:francis.alomia@dot.gov), 404.865.5638
- Jacksonville
  - Pre Award - Planning, NEPA, Grant Making
    - Tajsha LaShore, Community Planner, [tajsha.lashore@dot.gov](mailto:tajsha.lashore@dot.gov), 404.865.5606
  - Post Award - Grant and Project Management, Oversight
    - Jessica Granell, General Engineer, [jessica.granell@dot.gov](mailto:jessica.granell@dot.gov), 404.865.5622
- ARRA Oversight
  - Francis Alomia, ARRA General Engineer, [francis.alomia@dot.gov](mailto:francis.alomia@dot.gov), 404.865.5638





# Region IV Office /Partnership with FDOT and FL Grantees

## Florida Urbanized Area Grantees

- District 5
  - Pre Award - Planning, NEPA, Grant Making
    - Elizabeth Martin, Community Planner, [elizabeth.martin@dot.gov](mailto:elizabeth.martin@dot.gov), 404.865.5609
  - Post Award - Grant and Project Management, Oversight
    - Brandy Smith, Transportation Program Specialist, [brandy.smith@dot.gov](mailto:brandy.smith@dot.gov), 404.865.5621
- ARRA Oversight
  - Francis Alomia, ARRA General Engineer, [francis.alomia@dot.gov](mailto:francis.alomia@dot.gov), 404.865.5638
- Districts 4 & 6
  - Pre Award - Planning, NEPA, Grant Making
    - Myra Immings, Community Planner, [myra.immings@dot.gov](mailto:myra.immings@dot.gov), 404.865.5608
  - Post Award - Grant and Project Management, Oversight
    - Margarita Sandberg, General Engineer, [margarita.sandberg@dot.gov](mailto:margarita.sandberg@dot.gov), 404.865.5612
- ARRA Oversight
  - Francis Alomia, ARRA General Engineer, [francis.alomia@dot.gov](mailto:francis.alomia@dot.gov), 404.865.5638





# Questions and Answers





# Grant Programs and Guidance Update





# FTA Grant Programs

## Formula Programs

- 5303, 5304 Planning
- 5307 UZA Funds
- 5310 Elderly & Individuals with Disabilities
- 5311 Non-UZA Funds
- 5309 Rail Mod
- 5316 JARC
- 5317 New Freedom

## Discretionary Programs

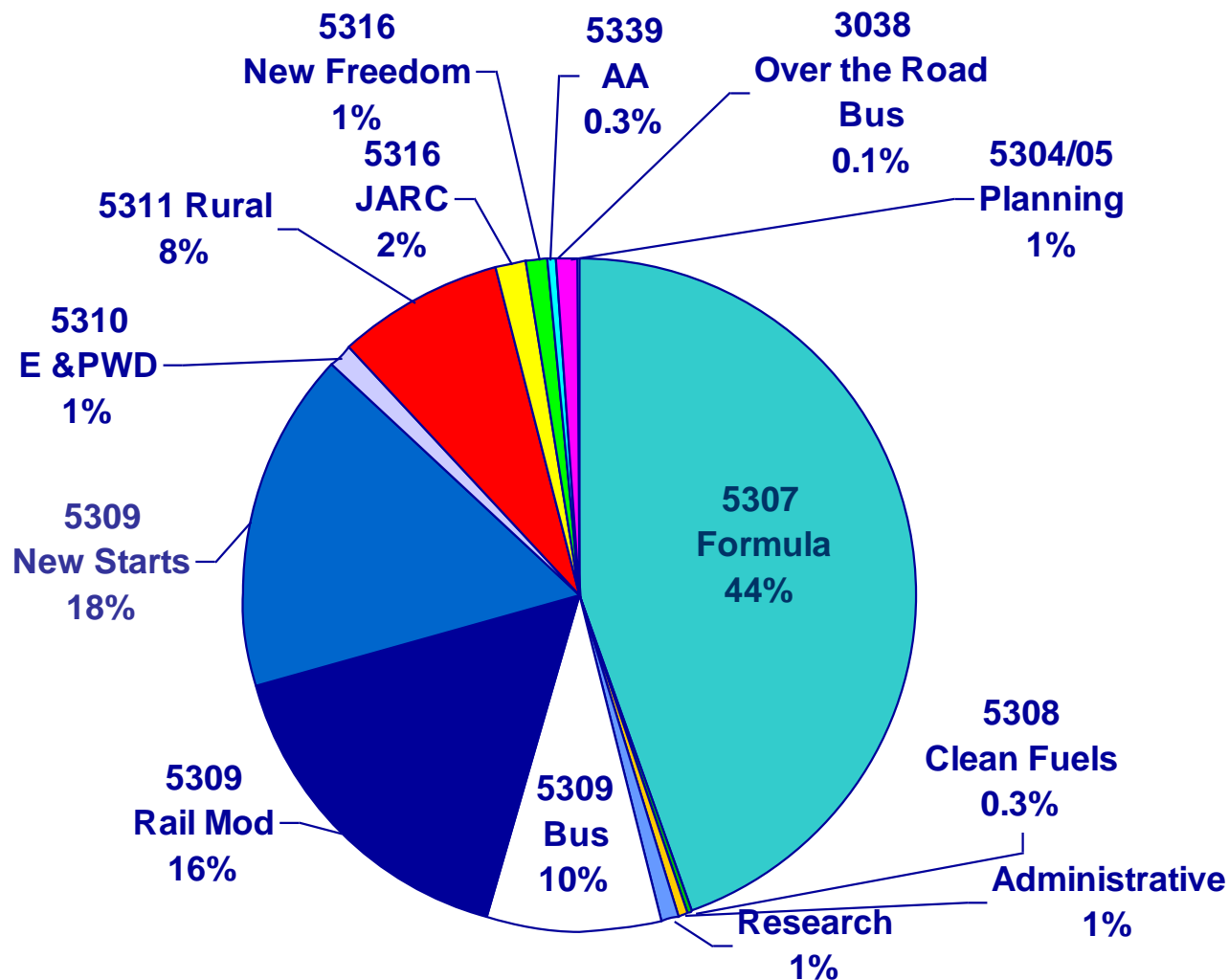
- 5308 Clean Fuels
- 5309 Bus and Bus Facility
- 5309 New Starts/Small Starts
- 5311 Tribal Transit
- 5314 Research
- 5320 Alternative Transportation in the Parks
- 5339 Alternatives Analysis
- 3038 Over the Road Bus





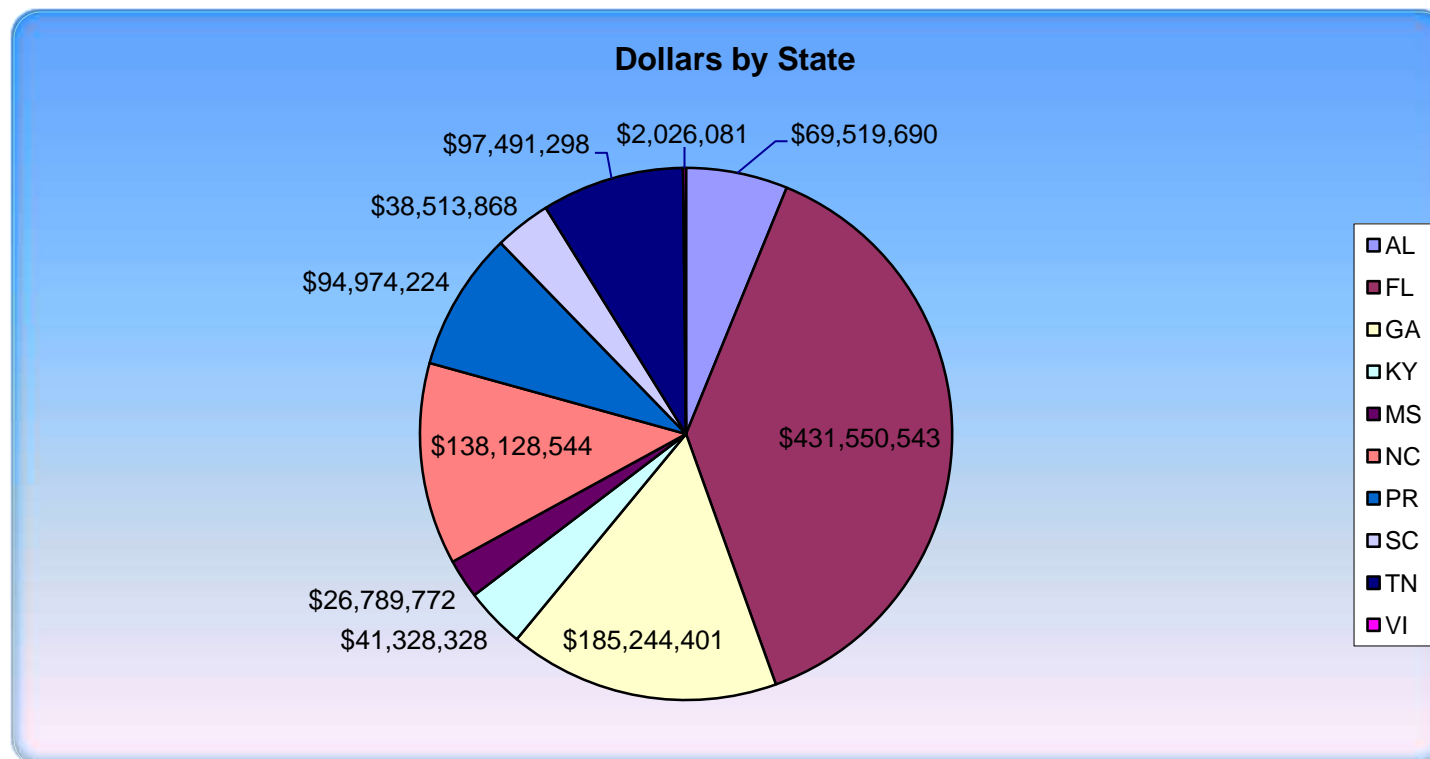


# FTA Grant Programs





# FY 2009 Non-ARRA Federal Share by State





# Region IV in 2009

## ➤ FY 2009 Non-ARRA Statistics

- Grants Awarded – 361
- Federal Share Dollars Awarded – \$841.8M
- Urbanized Areas Supported – 115
  - Large (Over 200,000 ) – 40
  - Small (50,000 - 200,000) – 75
- Grants Closed – 265
- Grants Managed – 1,551
- Active Grantees – 198
- Oversight Reviews – 60
  - Triennial Reviews – 44
  - All Other Reviews – 16

## ➤ ARRA Funding \$916.6M (incl. FY10)

- "UZA, Non-UZA, FG" Funding – \$865.5M (157 Grants)
- "TIGGER" Funding – \$19.5M (6 Grants)
- "FHWA Flex" Funding – \$31.6M (7 Grants)

## ➤ ARRA Expenditures \$158.4M (through 4/30/10)

- "UZA, Non-UZA, FG" Expenditures – \$133,579,299
- "TIGGER" Expenditures – \$0
- "FHWA Flex" Expenditures – \$24,389,333





# FTA Grant Programs

## **Section 5303/5304**

- 5303 – Metropolitan Planning Program – provide funding to support cooperative, continuous, and comprehensive planning for making transportation investment decisions in metropolitan areas
- 5304 – Statewide Planning Program - provides financial assistance to States for Statewide transportation planning and other technical assistance activities.
- Projects: Planning
- Eligible Recipients: State DOTs and MPOs (through DOTs)
- Circular: FTA C 8100.1C





# FTA Grant Programs

## Urbanized Area Formula – Section 5307

- Purpose: Supports transit service in cities over 50,000 in population.
- Primary Beneficiary: General public in urbanized areas
- Typical grantees: Transit Agencies and Authorities; State for areas 50,000-200,000
- Projects: Capital, Planning, Operating (<200,000)
- Circular: FTA C 9030.1D (May 1, 2010)





# FTA Grant Programs

## Nonurbanized Area Formula – Section 5311

- Purpose: Supports transit service in rural areas and small urbanized communities (<50,000)
- Primary Beneficiary: General public in rural and small urban areas
- Typical grantees: State DOTs with rural providers as subrecipients, Tribes
- Projects: Capital, Operating, Administration (up to 15%, no match)
- States must use 15% for Intercity Bus (or certify)
- Circular: FTA C 9040.1F





# FTA Grant Programs

## Bus and Bus Facilities – Section 5309

- Purpose: Supplements formula funding for bus and bus facilities in both urbanized and rural areas
- Primary Beneficiary: General public
- Typical grantees: Transit Agencies and Authorities, States, Cities and Counties
- Projects: Capital
- Circular: FTA C 9300.1B





# FTA Grant Programs

## New Starts – Section 5309

- \$2.0 billion in FY 10 for “fixed guideway” transit investments (about \$10 billion over 6 years)
- FTA Goal - Fund meritorious projects
- Develop reliable information on project benefits and costs
- Ensure projects treated equitably nationally
- Facilitate communication between FTA, transit industry and Congress (Annual Report, periodic briefings)
- 6/3/10 – Advance Notice of Proposed Rulemaking
  - Seeking comments to improve New Starts Process
  - Due August 2, 2010







# FTA Grant Programs

## Fixed Guideway Modernization – Section 5309

- \$1.6 billion in FY 2010
- Rail Systems at least seven years old
- Rail recapitalization
- Formula based on amount of rail infrastructure and service
  - 7 tiers, starting with historic rail cities





# FTA Grant Programs

## Elderly Individuals & Individuals with Disabilities – Section 5310

- Purpose: Supports capital cost of special transportation for elderly & people with disabilities
- Primary Beneficiary: Elderly & Individuals with disabilities
- Typical grantees: State DOTs for private non-profit agencies & certain public agencies
- Projects: Capital (*Pilot: Operating*)
- Circular: FTA C 9070.1F





# FTA Grant Programs

## Job Access and Reverse Commute – Section 5316

- Purpose: Supports transportation for welfare recipients, eligible low-income individuals to and from jobs and activities related to their employment, and reverse commute activities
- Primary Beneficiary: Low-income individuals and commuters to suburban employment sites
- Typical grantees: State DOTs and Transit Authorities (subrecipients: public, private non-private, private operators of public transportation)
- Projects: Capital, Planning, Operating
- Circular: FTA C 9050.1





# FTA Grant Programs

## New Freedom - 5317

- Purpose: Supports new public transportation service and public transportation alternatives beyond those currently required by the ADA that assist individuals with disabilities with transportation
- Primary Beneficiary: Individuals with disabilities
- Typical grantees: State DOTs and Transit Authorities (subrecipients: public, private non-private, private operators of public transportation)
- Projects: Capital and Operating
- Circular: FTA C 9045.1





# Coordinated Planning

## New SAFETEA-LU provisions for Coordinated Planning:

- Section 5310, 5316 and 5317 program projects must now be derived from a locally developed, coordinated public transit-human services transportation plan
- Section 5316 (JARC) changed from discretionary to formula program
- Section 5317 (New Freedom) program established
- Section 5316 and 5317 program projects have to be competitively selected





# Coordinated Planning

Other new requirements under SAFETEA-LU in order to receive 5310, 5316 and 5317 funds:

- DR letter from Governor on file
- Project derived from a local coordinated plan made of up representatives of...
- Project selected through a competitive selection process (5316, 5317)
- Projects in TIP/STIP
- Program of Projects (POP)
- State Management Plan/Program Management Plan developed and approved by FTA (SMP/PMP)





# Oversight Programs

- Project management oversight
- Financial management oversight
- Procurement reviews
- Triennial Reviews
- State management reviews
- State Safety Oversight reviews
- Drug and Alcohol Testing Audits
- Title VI Reviews
- Disadvantaged Business Enterprise reviews
- Equal Employment Opportunity reviews
- Americans with Disabilities Act reviews
- Planning Certification reviews





# Research & Demonstration Programs

- National Research & Technology Program (Sec. 5314)
  - Joint partnerships with public and private research institutions
  - Study, design and demonstration of transit policies and advanced technologies
  - International mass transportation program (Sec. 5312)
- National Fuel Cell Bus Program (Sec. 5308)
  - 27 projects to develop and test fuel cell buses in revenue service
- Transit Cooperative Research Program (Sec. 5313)
  - Research directed to local problem-solving in service concepts, vehicles and equipment, operations, human resources, maintenance, policy, and administrative practices
- University Transportation Centers (Sec. 5505)
  - Funding to four universities to perform research in transit disciplines and technologies







# Technical Assistance Programs

- **FTA Safety & Security Program**
  - Provides training and technical assistance on bus and rail safety, emergency preparedness and public awareness of security issues
- **Rural Transportation Assistance Program (RTAP)**
  - Provides training, technical assistance, research, and related support services to providers of rural public transportation
- **ITS Professional Capacity Building Program**
  - Supports deployment, integration, and operations of ITS, including both technological and institutional requirements
- **Transportation Planning Capacity Building Program**
  - Supports effective transportation planning in state, metropolitan, rural, and tribal settings
- **National Bus Rapid Transit Institute**
  - Facilitates the sharing of knowledge and innovation for increasing the speed, efficiency, and reliability of high-capacity bus service





# National Initiatives

- United We Ride
  - Interagency Federal initiative that supports States and their localities in developing coordinated human service delivery systems
- Project Action
  - Promotes cooperation between the transportation industry and the disability community to increase mobility for people with disabilities
- JobLinks
  - Works to improve transportation opportunities through demonstration projects, technical assistance, sponsoring of employment-transportation conferences, etc.





# Circular Update

## **Circulars published in FY 2009:**

- FTA C 4220.1F: Third Party Contracting Guidance
- FTA C 5010.1D: Grant Management Requirements
- FTA C 9300.1B: Capital Investment Program Guidance and Application Instructions

## **Circular published in FY 2010:**

- FTA C 9030.1D: Urbanized Area Formula Program



# Grant Making

## How Do I Get My FTA Money?





# Grant Making

- Existing FTA Grantee?
- Applying through a DOT?
- Want to become a New FTA Grantee?





# New Grantee Information

## FTA New Grantee Packet

Step 1 – Demonstrate Legal Capacity

Step 2 – Civil Rights

Step 3 – Financial Capacity

Step 4 – Technical Capacity

Step 5 – Other Requirements

[http://www.fta.dot.gov/regions/regional\\_offices\\_7507.html](http://www.fta.dot.gov/regions/regional_offices_7507.html)





# New Grantee Information

## Step 1 – Demonstrate Legal Capacity

1. Opinion of legal counsel
2. Authorizing Resolution
3. FTA Master Agreement
4. Certifications & Assurance





# New Grantee Information

## Step 2 – Civil Rights

1. Title VI
2. Disadvantaged Business Enterprise (DBE)
3. Equal Employment Opportunity (EEO)







# New Grantee Information

## Step 3 – Financial Capacity

- Submission of a 3-5 year financial plan and financial capacity questionnaire that must be approved by FTA Region IV department heads.
- Capable of providing the local share portion of the projects
- Submittal of a 3-5 year financial plan allows FTA Region IV to see if the grantee has the necessary funding to provide the local share.





# New Grantee Information

## Step 4 – Technical Capacity

- Submission of organizational chart

## Step 5 – Other Requirements

- DUNS Number
- TEAM (TEAM TRAINING)
- Electronic Clearing house Operation (ECHO)





# Questions and Answers





# Grant Awards



## GRANTS PRE-AWARD





# Grants: Pre-Award

- Two aspects of Pre-Award Grant activities
  - Statewide and Metropolitan Planning
  - Grant Development





# Planning





# Questions

- Who makes transportation planning decisions in your area?
- Do you know how those decisions are made?
- Do you understand the decisions that are made?





# Federal Legislation







# Safe Accountable Flexible Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) - 2005

- Increased funding levels across programs.
  - 2 new programs: New Freedom and Paul S. Sarbanes Transit in the Parks.
- Statewide planning coordinated with metropolitan planning and statewide trade and economic development planning.
- Should consider coordinating planning activities between states.
- Nine Planning Factors
  - Safety and security of the transportation system separated.



# Metropolitan Planning Organizations (MPOs)

- “Means the policy board of an organization created and designated to carry out the metropolitan transportation planning process.”

Source: 23 CFR Part 450.104





# Metropolitan Planning Organizations (MPOs)

- What do MPOs do?
  - Carry out the metropolitan transportation planning process in cooperation with the State DOT(s) and transit operators in urbanized areas over 50,000 in population
  - Determine responsibilities in concert with the State DOT(s) and transit operators
  - Cooperatively develop, update, and approve:
    - Unified Planning Work Program
    - Long Range Transportation Plan
    - Transportation Improvement Program





# What are the Statewide/Metropolitan Planning Products Required by Law and Regulation?

- Unified Planning Work Program (UPWP)
- Long Range Transportation Plan
- Transportation Improvement Program (TIP)
- Statewide Transportation Improvement Program





# Unified Planning Work Program (UPWP)

- ☐ Lists the metropolitan area's 1-2 year program of planning studies
- ☐ Identifies sources of funding, schedules and responsible agencies
- ☐ Coordinates the planning undertaken by all participants in the regional process
- ☐ Clarifies the tasks the MPO will undertake to meet their planning requirements and required documents





# Long Range Transportation Plan

- Developed in consultation with State, tribal, and local agencies responsible for land use management, natural resources, environmental protection, conservation, and historic preservation.
  - ❑ No less than 20 year planning horizon.
  - ❑ Updated at least every 5 years.
  - ❑ Documents conclusions and decisions of the planning process
  - ❑ Includes long-term and short-term policies, strategies and actions
  - ❑ Covers both capital projects and operating strategies
  - ❑ Includes preservation of the existing system, system expansion and operation
  - ❑ Addresses the movement of both people and goods





# Transportation Improvement Program (TIP)

- Programs transportation funds for projects and programs
- Lists projects to be implemented within 4 years
- Must be updated at least every 4 years.
- Includes all regionally significant projects – regardless of funding source in non-attainment and maintenance areas
- Identifies funding for each project by funding source
- Must be fiscally constrained – proposed expenditures do not exceed projected resources





# Statewide Transportation Improvement Program (STIP)

- 4 year listing of transportation projects funded or requiring action by the Federal Government.
- Must be updated at least every 4 years.
- Identifies statewide priorities for transportation projects
- Must be fiscally constrained
- Include: MPO TIPs, Federal Lands TIPs, Regionally significant projects, Tribal TIPs, and RPO TIPs, if applicable.
- Amended/Modified using local procedures consistent with federal requirements







# First Steps

- Is your project consistent with the approved LRTP?
- Is your project identified in a metropolitan TIP (if applicable)?
- Is your project identified in a federally-approved STIP?





# Grant Development



**Federal Transit Administration**  
United States Department of Transportation

## TEAM



Choose one:

**TEAM-Web**

**TEAM Reports**

 **Regions**

 **Links**



# Requirements for a “Complete” Grant

- Annual Requirements
  - Recipient Information
    - Contact, DUNS#
  - Certifications and Assurances
  - Civil Rights
    - EEO
    - DBE
    - Title VI
  - Union Information





# Requirements for a “Complete” Grant

- Project Specific Requirements
  - Project Information
    - Project Description
    - Congressional Districts
    - Project Details
  - Budget
    - Project Budget
      - Scope Codes, Activity Line Items
    - Extended Budget Descriptions





# Requirements for a “Complete” Grant

- Project Specific Requirements (cont.)
  - Milestones
    - Each ALI has a milestone
  - Environmental Findings
    - Each ALI has a finding
    - CE &/or Doc. CE, EA/FONSI, DEIS/FEIS/ROD
  - Fleet Status
    - Spares ratio
    - Replacement vehicle listing
    - Age, mileage, make/model and VIN of vehicles to be replaced
    - Expansion vehicle support





# Requirements for a "Complete" Grant

- Program Requirements
  - Appropriated Funds
  - Statewide Transportation Improvement Plan (STIP)
    - Project in current approved STIP/UPWP
    - FTA Endorsement Date
    - Page Number
  - Unified Planning Work Program (UPWP)





# Grant Application Phases

- **Draft Grant Application** – a grant application that has not been reviewed for completeness and does not have a grant number assigned
- **Pending Grant Application** – a grant application, which has been assigned a draft grant number which is in the process of verification of available funds and OPPD and OOPM review and approval.





# Grant Application Phases

- **Complete Grant Application** - a complete/accurate grant application that has verified funding available and that has an assigned final grant number.
- **Submitted Grant Application** – FTA Review Process (Civil Rights, Legal, OPPD, OOPM, DOL (5307, 5309, 5316), Headquarters (Discretionary))
- **Awarded and Executed**







# FY 2010 Grant Making

Region IV deadlines for complete grant applications requiring DOL in TEAM:

**June 30, 2010**

Region IV deadlines for complete grant applications not requiring DOL in TEAM:

**July 30, 2010**





# FY 2010 Grant Making

- FY 2010 Apportionment and Allocation Notice
  - Partial FY 2010 and FY 2010 Apportionment has been published on February 16, 2010
  - Full Allocation tables and FY 2010 Earmarks published May 13, 2010
- Start preparing grants for lapsing first!





# Grant Process: Friendly Reminders

- Review recent FTA Federal Register Notices and updated Circulars to ensure new guidelines and procedures are being followed (This includes ARRA)
- Provide allocation letters for direct recipients (5307, 5309, 5316, 5317) – attach in TEAM
- Make sure that the project is in the current approved TIP/STIP prior to notifying FTA to review the draft grant
- Ensure that all transfer funds have been completed prior to initiating a DRAFT review





# Grant Process: Friendly Reminders

- Notify FTA via E-Mail/Phone during grant process (draft review, comment period, submittal, execution)
- Update TEAM Contact Information
- Adequately describe the project and cite the fiscal year source of funding. If funds are from a state apportionment, please indicate in project description.
- Each ALI must have an Extended Budget Description, Milestone and appropriate Environmental Finding
- All ALI's should be listed in numerical order
- Include Useful Life for Buses and Capital Renovations over \$5,000.





# Grant Process: Friendly Reminders

- Make sure that the ALI's correspond with the proper scope codes (see ALI tree on TEAMWeb Homepage)
- Include Contact Name and Phone Numbers of Recipient Contact and FTA Manager
- Properly PLAN out your projects and grant submittals. Look for options to combine years of funding.
- Allow 2-3 weeks for DRAFT reviews to be completed by FTA
- Allow a **minimum of 45-60 days** for grants that must be approved by the Dept. of Labor
- For discretionary grants (Section 5309) please allow time for the Congressional Release process





# Questions and Answers





# Planning for a Transit Facility





# Overview

- Requirements for Transit Facilities
- Enhancing/Developing a specific role for State DOT's
- Selecting Accurate NEPA services
- Real Estate Requirements
- Peer Exchange/Best Practices







# Transit Facility Types

- **Transit Operations Support Facilities**
  - Administrative Office Buildings
  - Maintenance Buildings, Garages, Storage Facilities
- **Passenger Amenities Extending Transit into Community, Environment**
  - Intermodal Centers/Multimodal Centers
  - Bus/Rail Transit Stations and Terminals
  - Bus Shelters
  - Park-and-Ride Lots





# Planning for a Transit Facility

- TIP/STIP
- Preliminary Evaluation/Feasibility Study\*
- Environmental Documentation
  - Procurement of Services
- Real Estate
  - Uniform Relocation Act
  - Appraisal and Review Appraisal
- Joint Development



# Planning for a Transit Facility

- Is the proposed transit facility in a current TIP/STIP?
- If using FTA funds for *Preliminary Engineering, ROW or construction* include **phase of work** & funding amount (approx) in the TIP/STIP for **correct FY**
- Preliminary Engineering can include NEPA and Design (NOTE: FTA will not award CN of facility unless NEPA is complete)



# Planning for a Transit Facility

- Procurement: If you procure consultant services make sure you:
  - advertise & take competitive proposals
  - fair & open procurement
  - document the “how/why” of selection
  - If you procure NEPA services, can the consultant:
    - Document number & types of NEPA projects completed
    - Persons who worked on NEPA projects, &
    - Satisfactory award & Records of Decision (ROD) from FTA
  - Third Party Procurement Circular:
    - [http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_8641.html](http://www.fta.dot.gov/laws/circulars/leg_reg_8641.html)





# Planning for Transit Operations Support Facilities

- Evaluation of existing facilities:
  - Adequate condition?
  - Suitable for anticipated administrative, maintenance functions?
  - Accommodate future needs?
- Develop criteria for identifying alternative sites
- Identify alternative sites in area based on criteria and availability
- Environmental Site Assessment (Phase I and II) – Hazardous Site Assessment
- Project Staging & Financing Plan



# Planning for a Transit Facility

## The NEPA Process

- ☐ Who determines the class of action?
- ☐ Three (3) Main classes of Action
  - Categorical Exclusion or documented Categorical Exclusion
  - Environmental Assessment (EA)
  - Environmental Impact Statement (EIS)
- ☐ NEPA documentation/actions must be APPROVED by FTA prior to grant award/construction
- ☐ How the State DOT's can assist





# Planning for a Transit Facility

- Real Estate (FTA C 5010.D)
- Real property must be acquired, managed, and used in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970
  - <http://www.fta.dot.gov/documents/49cfr24fr.pdf>
- FTA Real Estate Resource Website
  - [http://www.fta.dot.gov/planning/planning\\_environment\\_5937.html](http://www.fta.dot.gov/planning/planning_environment_5937.html)





# Planning for a Transit Facility

- Real Estate Appraisals
  - Independent appraisal by a certified appraiser
  - Review appraisal of the initial appraisal
- FTA must review and concur in appraisals and review appraisals for acquisitions over \$500,000 or in-kind contributions of any value before Federal funds are expended, or the value is used as local match.







# Planning for a Transit Facility

- **Joint Development**

- It involves the common use of property for transit and non-transit purposes.
- It is often project specific, taking place on, above, or adjacent to transit agency property.
- The most common joint development arrangements are ground leases and operation-cost sharing

[http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_8640.html](http://www.fta.dot.gov/laws/circulars/leg_reg_8640.html)





# Planning for a Transit Facility

- The FTA approval process for joint developments ensures that a proposed project meets the definition of a capital project, is the highest and best transit use, and provides a fair share of revenue for public transit.
- Joint Development Approval Process:
  1. Grantee submits proposal to FTA Region with Joint Development checklist
  2. Region staff reviews
  3. If the proposal is a straightforward, Region approves
  4. If there are difficult or first impression issues, Region consults with Headquarters Joint Development resource staff
  5. HQ and Region agree on issue resolution
  6. Regional Administrator signs off on project





# Questions and Answers





# NEPA





# OVERVIEW

- NEPA Basic Information
- Acronyms? IDK? TMI?
- The History Behind NEPA
- Classes of Action
- Questions





# What is NEPA?

- NEPA stands for the National Environmental Policy Act of 1969  
-Signed on January 1, 1970
- <http://ceq.hss.doe.gov/Nepa/regs/nepa/nepaegia.htm>
- Earth Day on April 22, 1970





# ACRONYMS 101

- NEPA
- CEQ
- EIS (DEIS, FEIS)
- CE, doc CATex
- NOI
- MOS
- TIP/STIP
- MPO
- NGO
- SHPO
- ACHP
- AE
- PE
- CN
- EA
- NIMBY
- CFR





# ACRONYMS 101

- Natl Environmental Policy Act (NEPA)
- Council on Enviro. Quality (CEQ)
- Enviro. Impact Statement (EIS)
- Categorical Exclusion (CE)
- Notice of Intent (NOI)
- Minimal Operable Segment (MOS)
- Statewide/Transportation Improvement Plan (S/TIP)
- Metropolitan Planning Organization (MPO)
- Non-Governmental Organization (NGO)
- State Historic Preservation Officer (SHPO)
- Advisory Council on Historic Preservation (ACHP)
- Architect/Engineering (AE)
- Preliminary Engineering (PE)
- Construction (CN)
- Environmental Assessment (EA)
- Not In My Back Yard (NIMBY)
- Code of Federal Regulation (CFR)

**.....and many, many others!!!**







# Environmental Requirements

- National Environmental Policy Act of 1969
- CEQ Regulations (40 CFR 1500-1508)
- FTA/FHWA Regulations (23 CFR 771)
- Supplemental Policy and Guidance





# NEPA of 1969

- Established National environmental policy and goals
- Created the basis for Environmental Impact Statements (EIS)
- Established the Council on Environmental Quality (CEQ)





# NEPA of 1969

- Continuation of the Section 101 “spirit” of the law
- Basic NEPA policy includes:
  - create and maintain conditions under which humans and nature can exist in productive harmony
  - fulfill social, economic, and other requirements of present and future generations





# NEPA of 1969

- Former Section 102 information:
  - Directs Federal agencies to use an interdisciplinary approach in planning and decision-making
  - Required preparation of an EIS for all major Federal actions significantly affecting the human environment





# NEPA of 1969

- Environmental Process Basics
  - "Significant" environment impacts
  - Proper vetting & examination of alternatives
  - Interagency coordination
  - Lead and cooperative agency concept
  - **Public Involvement**
  - Mitigation and Enhancement





# Council on Environmental Quality

- Basic Functions
  - Monitors environmental quality
  - Monitor Federal actions and practices
  - Prepares the annual Environmental Quality Report
  - Council Chairperson serves as the principal environmental policy advisor to President Obama





# CEQ Regulation Emphasis Areas

- Focus on better decisions being made; not better documents
- Reduce paperwork and delay
- Integrating environmental reviews
- Early coordination
- Successful completion of the process (i.e. FONSI, ROD)





# NEPA Classes of Action

Three (3) types as defined in 23 CFR 771.115

- Environmental Impact Statement (EIS)
  - Class I action
- Categorical Exclusion (CE)
  - Class II action
  - Includes documented Categorical Exclusions
- Environmental Assessment (EA)
  - Class III action







# Classes of Action

## In order of significance....

- Categorical Exclusion
- Environmental Assessment
- Environmental Impact Statement



# Class I- Environmental Impact Statement

- Two stages: DEIS and FEIS
- Format of DEIS
  - Cover Sheet
  - Summary
  - Table of Contents
  - Purpose and Need
  - Alternatives
  - Affected Environment
  - Enviro. Consequences
  - List of Preparers
  - EIS Distribution
  - Comments/Coordination
  - Index
  - Appendices
  - Section 4(f) (if applicable)





# Class I- Environmental Impact Statement

- Record of Decision (ROD)
  - Bring closure to the EIS process
  - Document the selected alternative
  - Explain the basis for the project decision
  - Summarize mitigation measures
  - Document any required 4(f) approval





# Class I- Environmental Impact Statement

- Approval of ROD
  - Signed by FTA Regional Office
  - No further project approvals may be given until ROD is approved
  - Recommended announcement showing approval of the ROD
  - Provide copies to cooperating agencies
  - Provide copy of those requesting copy or make available
  - Proceed with project (FD, ROW acquisition, CN, etc)





# Class II- Categorical Exclusion

- What is a CE?
  - CEQ= actions that do not individually or cumulatively have a significant effect on the human environment
  - FTA/FHWA= actions which meet the CEQ definition and, based on past experience w/ similar actions, do not involve significant environmental impacts
- ... Actions that do not cause...
  - Significant impacts to planned growth or land use
  - Relocation of significant numbers of people
  - Significant impacts to cultural, historic or recreational resources





# Class II- Categorical Exclusion

- Actions that do not cause
  - Significant air, noise, or water quality
  - Impacts on travel patterns
  - Any other significant impacts, cumulatively or individually
- Unusual Circumstances
  - Significant environmental impacts
  - Significant controversy on environmental grounds
  - Significant impacts on properties protected by Section 4(f) or Section 106





# Class II- Categorical Exclusion

- The "c" and "d" list
- 23 CFR 771.117(c)
  - List of actions that meet criteria for CE's
- 23 CFR 771.117(d)
  - Additional actions which meet the criteria for a CE may be designated as CEs only after administration approval





# Class II- Categorical Exclusion

## 23 CFR 771.117(c)

- Activities that do not lead directly to construction
- Approval of utility installation
- Construction of bike/ped lanes and paths
- Activities in the State Highway Safety Plan
- Transfer of Federal lands
- Noise Barriers
- Landscaping
- Fencing, signs, paving markers, etc.
- Emergency repairs
- Acquiring scenic easements
- Rehab of rest areas/weigh stations
- Rideshare activities
- Bus/Rail car rehab
- Enhancing facilities for ADA
- Program admin and technical assistance
- Vehicle purchases\*
- Track/Railbed maintenance
- O/M Equipment







# Class II- Categorical Exclusion

## 23 CFR 771.117 (d)

- Highway modernization/maintenance
- Highway safety or traffic operation improvements
- Bridge rehabilitation activities (incl. replacement)
- Corridor fringe parking facilities
- New Truck Weigh Stations
- Disposal of excess ROW
- Changes in Access control
- New Bus storage and maintenance facilities\*
- Rehab/Reconstruction of rail and bus buildings
- Construction of bus transfer facilities
- Construction of rail storage and maintenance facilities
- Acquisition of land for hardship/protective by purposes





# Class II- Categorical Exclusion

- Documentation and Approval
  - Level of analysis and documentation determined on a case-by-case basis
  - Commensurate with the potential for significant impacts
  - Site location and surrounding land use are often key factors
- FTA Concurs in CE's (different from Approval)





# Class III- Environmental Assessment

- What constitutes an EA?
  - Significance of environmental impacts is not clearly established
  - NOT a CE and does not clearly require the preparation of an EIS
  - To determine the appropriate environmental document required





# Class III- Environmental Assessment

- A concise public document serving to briefly provide sufficient evidence and analysis of whether to prepare an EIS or a FONSI
- Includes brief discussions of
  - Project need, alternatives, impacts, mitigation and agencies/persons consulted
- No long descriptions or detailed data
- CEQ suggests page limits





# Class III- Environmental Assessment

- Suggested Format
  - Cover Sheet
  - Purpose and Need
  - Alternatives
  - Impacts, Mitigation and Enhancement
  - Comments and Coordination
  - Appendices
  - Section 4(f) Evaluation (if applicable)





# Class III- Environmental Assessment

- Finding of No Significant Impact (FONSI)
  - Separate “environmental document”
  - Sponsors prepares/FTA reviews and approves
  - Present the reasons why an action will not have a significant effect on the human and natural environment, and for which an EIS will not be prepared
  - Include and/or references the EA
  - Make available to the public!





# Helpful Sites and Resources

- [http://www.fta.dot.gov/planning/planning\\_environment\\_5222.html](http://www.fta.dot.gov/planning/planning_environment_5222.html)  
(FTA Environment Web Page)
- <http://www.fhwa.dot.gov/environment/index.htm>  
(FHWA Environment Web Page)
- <http://www.ntionline.com/> (NTI Courses)
- <http://www.achp.gov/> (Advisory Council on Historic Preservation)
- <http://www.whitehouse.gov/administration/eop/ceq/>  
(Council on Environmental Quality)
- <http://edocket.access.gpo.gov/2007/pdf/07-493.pdf>  
(Updated Environmental and Planning Regulations)
- **Sources of Information** used in this Presentation
  - Title 23 CFR and Title 49 CFR
  - NEPA and Transportation Decision Making  
(course materials 05042004-01)





# Questions and Answers







# Grant Awards



## GRANTS POST-AWARD





# Post-Award Activities

- Grant Management
- Grantee Responsibilities
- ECHO
- Reporting Requirements
- Budget Revisions/Amendments
- Grant Close-outs





# Grant Management

- Administer & managing the grant in compliance with Federal regulations & FTA circulars
- Managing and reporting on progress of projects
- Expend grant funds in a timely and effective manner
- Close out grants when activity is complete





# Post-Award Activities

- Grant Management
- Grantee Responsibilities
- ECHO
- Reporting Requirements
- Budget Revisions/Amendments
- Grant Close-outs





# Grantee Responsibilities

- Administer and manage Federal grants and grant supported activities.
- Provide, directly or by contract, adequate technical inspection and supervision by qualified professionals of all work in progress.
- Ensure conformity to grant agreements, applicable statutes, codes, ordinances, and safety standards.





# Grantee Responsibilities

- Maintain the project work schedule
  - Monitor grant activities to ensure that schedules are met and other performance goals are achieved.
- Ensure compliance with FTA requirements on the part of agencies (subrecipients), consultants, contractors, and subcontractors working under approved third party contracts or inter-agency agreements.





# Grantee Responsibilities

- Account for project property, provide for its repair and replacement, and maintain property inventory records
- Request and withdraw Federal cash only in amounts and at times as needed to make payments that are immediately due and payable (3 day Rule)
- Keep expenditures within the latest approved budget.





# Grantee Responsibilities

- Demonstrate and retain satisfactory continuing control over the use of project property.
- Ensure that effective control and accountability is maintained for all grants, subgrants, cash, project property, and other assets
  - Grantees and subgrantees must ensure that resources are properly used and safe-guarded, and that funds, equipment, and property are used solely for authorized purposes.







# Grantee Responsibilities

- Prepare and submit FTA required reports
  - TEAM, NTD, Civil Rights, Drug and Alcohol, etc
- Update and retain FTA required reports and records for availability during audits and oversight reviews
- Ensure an Annual A-133 Audit is conducted in accordance with OMB Circular, A-133



# Post-Award Activities

- Grant Management
- Grantee Responsibilities
- ECHO
- Reporting Requirements
- Budget Revisions/Amendments
- Grant Close-outs





# ECHO (*Electronic Clearing House Operation*)

- Personal computer (PC) Web-based application
  - Grantees access to submit their draw down data
  - Processes drawdown requests
  - Makes payment to FTA grantees
  - Transmits approved payments to the Grantee's financial institution through Treasury's Automated Clearing House (ACH).





# ECHO

- The FTA Regional or Headquarter office will make the determination to establish a grantee on the ECHO system.
- The FTA accounting staff will provide the necessary ECHO-Web registration forms to be completed and returned by the grantees.
  - *Instructions for User Set-up*
  - *ECHO-Web User's Authorization and Certification Form*
  - *ECHO-Web User Access Request*
  - *ECHO-Web System Rules of Conduct*





# ECHO

- ECHO System Region IV Contact
  - Ms. Derethia Johnson
    - Phone: (404) 562-3527
    - Email: [derethia.johnson@dot.gov](mailto:derethia.johnson@dot.gov)
- ECHO Helpdesk line: 202-366-1004





# Post-Award Activities

- Grant Management
- Grantee Responsibilities
- ECHO
- Reporting Requirements
- Budget Revisions/Amendments
- Grant Close-outs





# Reporting Requirements

- Federal Financial Reports (FFR) & Milestone Progress Reports (MSPR) submitted in TEAM
- Civil Rights Reports
- National Transit Database (NTD)
- Annual Single Audit (A-133)
- Additional reports for ARRA grants to be discussed during ARRA section





# Federal Financial Reports (FFRs)

- Federal Financial Reports (FFRs)
  - The purpose of the FFR is to provide a current, complete and accurate financial picture of the grant.
  - Prepared on the accrual basis of accounting.
  - FFR must be submitted for all active grants
  - Submitted electronically in TEAM system







# Federal Financial Reports (FFRs)

TEAM-Web ( Production Database ) AL-03-0029-00 - Microsoft Internet Explorer

## Financial Status Report

Summary | Financial Status | Remarks & Comments

☒ Work In Progress ☐ Submit Report

**Recipient:** 1000 ALABAMA DEPARTMENT OF TRANSPORTATION

**Project:** AL-03-0029-00 Statewide Capital Equipment Project

**Amendment:** Statewide Capital Equipment Project

☒ Quarterly ☐ Monthly ☐ Other

**Period:** 2008,1st Quarter

**Final Report?** No, Not Final Report

**Paper Award?** ☐ Yes ☒ No

**Initial Submission:**

**Last Update:** 1/22/2008

**Pre-Award Authority?** ☒ Yes ☐ No

**Report Status:** MS/P Report In Progress, FSR In Progress

**Project Status:** Active

**Cost Plan:**

**Type of Rate:** N/A

**Rate:** 0.00%

**Base:** \$0.00

**Total Amount:** \$0.00

**Federal Amount:** \$0.00



# Federal Financial Report (FFRs)

NOTE: New FFR Form that will be used beginning in July 2010

**Federal Financial Report**

Summary | Financial Status | Remarks and Certification

Line: Transactions:	Previous	This Period	Cumulative
A. Federal Cash on Hand at Beginning of Period:			\$0.00
B. Federal Cash Receipts :			\$0.00
C. Federal Cash Disbursements:			\$0.00
D. Federal Cash on Hand at End of Period:			\$0.00
E. Total Federal Funds Authorized:			\$25,000,000.00
F. Federal Share of Expenditures:	\$17,851,288.00	\$4,455,784.00	\$22,307,072.00
G. Recipient Share of Expenditures:	\$0.00	\$0.00	\$0.00
H. Total Expenditures:(F+G)	\$17,851,288.00	\$4,455,784.00	\$22,307,072.00
I. Federal Share of Unliquidated Obligations:			\$0.00
J. Recipient Share of Unliquidated Obligations:			\$0.00
K. Total Unliquidated Obligations(I+J):			\$0.00
L. Total Federal Share (F+I):			\$22,307,072.00
M. Unobligated Balance of Federal Funds(E-L):			\$2,692,928.00
N. Total Recipient Share Required:			\$0.00
O. Remaining Recipient Share to be provided N-(G+J):			\$0.00
P. Federal Program Income on Hand at Beginning of Period:			\$0.00
Q. Total Federal Program income earned:			\$0.00
R. Federal Program income expended in accordance with the deduction alternative:			\$0.00
S. Federal Program income expended in accordance with the addition alternative:			\$0.00
T. Federal Program income expended on allowable Transit Capital and Operating expenses:			\$0.00
U. Federal Unexpended Program income (P+Q- R or S or T):			\$0.00

What should be reported here?



# Federal Financial Reports (FFRs)

TEAM-Web ( Production Database ) AL-03-0029-00 - Microsoft Internet Explorer

## Financial Status Report

Summary Financial Status Remarks & Comments

### Recipient Remarks

1st qtr FY 2008..No activity in grant during this reporting period. Balance of grant is earmarked for City of Dothan and Marshall County. Anticipate grant balance will be obligated and expended during 2008.

Grantee Comments Here

### FTA Remarks

1<sup>st</sup> Qtr FY08, FTA Review Complete, cmb – Ensure that all unliquidated obligations are reported. Milestones indicate that ...



# Federal Financial Reports (FFRs)

- Pre-Award Authority
  - If you have pre-award authority then you must submit an initial FFR
  - If you have not incurred costs, you must submit a \$0 FFR
  - You must enter information in Lines J (Total Expenditures) and (Recipient Share of Expenditures) if you have incurred pre-award costs.
  - You must enter information in lines F (Total Unliquidated Obligations), (Recipient Share of Unliq. Oblig.) for total and local amounts for contracts awarded but not yet paid
- To attach additional files use the paperclip icon





# Milestone Progress Reports (MPR)

## Milestone Progress Reports contain:

- Detailed discussion of all budget or schedule changes.
- The dates of expected or actual requests for bid, delivery, etc.
- Revised estimated completion dates when original estimated completion dates are not met.
  - Explanation of why revised milestones or completion dates were not met
- Actual completion dates for completed milestones





# Milestone/Progress Reports (MPRs)

TEAM-Web ( Production Database ) AL-03-0029-00 - Microsoft Internet Explorer

## Milestones Status Report

ADD DELETE

Summary Milestone Status

☒ Work In Progress ☐ Submit Report

Recipient: 1000 ALABAMA DEPARTMENT OF TRANSPORTATION

Project: AL-03-0029-00 Statewide Capital Equipment Project

Amendment:

Period: FY2008, 1st Quarter  Paper Award? ☐ Yes ☒ No Pre-Award Authority? ☒ Yes ☐ No

☒ Quarterly ☐ Monthly ☐ Other Initial Submission:

Final Report? No, Not Final Report  Last Update: 1/25/2008

Report Status: MS/P Report In Progress; FSR In Progress

Project Status: Active Amendment

### Project Status Overview

1st qtr 2008..Majority of funds expended. Grant balance is earmarked for City of Dothan and Marshall County. Anticipate grant balance will be obligated and expended during 2008.



# Milestone/Progress Reports (MPRs)

TEAM-Web ( Production Database ) AL-03-0029-00 - Microsoft Internet Explorer

**Milestones Status Report**

Summary Milestone Status

Scope-ALI	Seq No	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date
99604-111215	1	RFP/IFB OUT FOR BID	2/28/2000		0	2/28/2000
	2	CONTRACT AWARDED	3/15/2000		0	3/15/2000
	3	FIRST VEHICLE DELIVERED	6/15/2000	9/30/2005	2	2/28/2005
	4	ALL VEHICLES DELIVERED	9/15/2002	12/31/2007	4	
	5	CONTRACT COMPLETE	12/30/2002	12/31/2007	6	
99605-111204	1	RFP/IFB OUT FOR BID	2/28/2000		0	2/28/2000
	2	CONTRACT AWARDED	3/15/2000		0	3/15/2000
	3	FIRST VEHICLE DELIVERED	6/15/2000		0	10/31/2001
	4	ALL VEHICLES DELIVERED	9/15/2001		0	10/31/2001

Line Item: 111215 buy replacement van (83)

FTA Amount: \$63,919.00 Total Eligible Cost: \$77,013.00 Quantity: 2

3rd Party Contractor Code:

Milestone Detail Description Milestone Progress

If Orig. Est. Comp Date has passed as of the end of the Quarter that you are reporting on a Rev. Est. Comp. Date or Actual Comp Date MUST be provided

Explanations must be provided in the Milestone Progress box for all revised milestone dates.

Examples of explanations?



# FFRs and MPRs

- Due Dates:
  - Annual: 30 days after the end of the Federal Fiscal year, which ends October 30.
  - Quarterly: within 30 days after the end of each calendar quarter, i.e., by January 30, April 30, July 30, and October 30.
- ARRA Due Dates:
  - Quarterly: within 30 days after the end of each calendar quarter, i.e., by January 30, April 30, July 30, and October 30.







# FFRs and MPRs – FTA role

- FTA Review
  - Review FFR Data and comments
  - Review Project Fund Status information
  - Compare reported expenditures to recorded disbursements
  - Review MPR information for current dates and project status
  - Monitor progress and status of projects
  - Follow-up with grantee on any discrepancies





# Civil Rights Reports

- Title VI
  - Triennial Basis, report on compliance
  - Circular 4702.1
- EEO
  - Applicability: 50 or more employees; \$1 million more of FTA assistance
  - Requirement: Triennial Basis, report on compliance
- DBE
  - Applicability: Receive \$250,000 or more in FTA funds each year, excluding vehicle procurement
  - Requirement: Establish Goals on an Annual Basis
  - **Due Date: Required by August 1 of each year**
  - Submitted to Region CR Officer (Frank Billue)





# National Transit Database (NTD)

- Applicability: Recipients of Section 5311 (DOTs)
- Requirement: Annual report containing information on capital investment, operations, and service provided
  - (A) Total annual revenue;
  - (B) Sources of revenue;
  - (C) Total annual operating costs;
  - (D) Total annual capital costs;
  - (E) Fleet size and type, and related facilities;
  - (F) Revenue vehicle miles; and
  - (G) Ridership
- Rural Reporting Manual:  
<http://www.ntdprogram.gov/ntdprogram/rural.htm>





# Annual Single Audit (A-133)

- **Applicability:** Non-Federal entities that expend more than \$500,000 or more in Federal awards
- **Requirement:** Conduct an annual organization-wide audit in accordance with OMB Circular A-133.
- **Due Date:** Audit completed within 9 mos. of the end of grantee's fiscal year. Depending on results of audit, follow-up action with Regional office as follows:
  - If no FTA or DOT findings, submit copy of clearinghouse transmittal forms (SF-SAC) to Regional office
  - If FTA or DOT findings, submit entire report and copy of clearinghouse transmittal forms (SF-SAC) to Regional office





# Post-Award Activities

- Grant Management
- Grantee Responsibilities
- ECHO
- Reporting Requirements
- Budget Revisions/Amendments
- Grant Close-outs





# Budget Revision

## **Budget Revisions (Guidance in 5010.1D, Pg III-11)**

- Budget revisions are allowed if there is no change in the grantee purpose, scope codes, and Federal funding
- Submit budget revisions in TEAM using the "Revise Project Budget" screen
- Budget revisions are generally changes to ALIs amounts (move funds between existing ALIs)
- Budget revisions require prior FTA approval if:
  - The federal share of the revision exceeds \$100,000 and the change in the cumulative amount of funds is >20% from original
  - Funds transferred between ALIs with different match ratios or between capital/operating/planning activities (change in FPC code)
  - For rolling stock when the # of buses increases by more than 2 (grants with fewer than 10 vehicles) or 20%





# Grant Amendment

## Grant Amendments

- Grant amendments are 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 (FTA, DOL review)
- Grantees submit grant amendments in TEAM using the "Create Amendment" screen





# Post-Award Activities

- Grant Management
- Grantee Responsibilities
- ECHO
- Reporting Requirements
- Budget Revisions/Amendments
- Grant Close-outs







# Grant Close-outs

- Use “New Closeout Process” link in TEAM
- Grantee must submit:
  - Final FFR, MPR, and budget
  - If necessary, a request to de-obligate funds and any other report as required by the terms of the grant.
- FTA may unilaterally initiate grant closeout
- All financial, programmatic records and supporting documentation must be retained for a period of 3 years.






# Grant Close-outs

- 2 Year Rule
  - FTA has established guidelines to close-out grants *with no signs of activity for 2 years*, unless the grantee provides justification to support the grant remaining open.
- 5 Year Rule
  - FTA has established guidelines to close-out grants *that have remained open for 5 years*, unless the grantee provides justification to support the grant remaining open.





# Grant Close-outs: Friendly Reminders

- Prepare & provide close-out schedule for all active grants
- Track 95-100% disbursed
- Consider deobligating small amounts of funding
- Submit Final FSR and MPRs (mark report "Yes, Final Report" in TEAM)
- 3  Checks on the "Closeout" Screen
- Email FTA a list of grants that have been prepared for close-out



# Post-Award Summary

- Grants Management
- Grantee Responsibilities
- Reporting Requirements
  - FSRs/MPRs
  - Civil Rights
  - NTD
  - A-133
- Budget Revisions/Amendments
- Grant Close-outs





# ARRA Reporting and Oversight





# ARRA Reporting and Oversight

- Reporting Requirements
- Grants Management
- Project Oversight
- Guidance and Resources





# ARRA Reporting Requirements

- ARRA Sec. 1201(c)
- ARRA Sec. 1512
- TEAM Quarterly Reports: FFR and MPR





# ARRA Reporting Requirements

## **1201(c) Reports**

- Yearly Reports in TEAM
- Next reporting period Feb 17, 2011







# ARRA Reporting Requirements

## 1512 Reports

- Quarterly Reports due within 10 days after the end of each quarter
- Submitted at [www.federalreporting.gov](http://www.federalreporting.gov)
- Next reporting period July 1-10
- Grantee can review and make changes openly July (TBD)
- FTA Review (TBD)
- Final Reports Published July 30



# ARRA Reporting Requirements

## **Quarterly FFR/MPR's in TEAM**

- Quarterly Reports due within 30 days after the end of each quarter
- Due Dates: Jan 30, Apr 30, Jul 30, Oct 30
- FTA Review 30 Days after Due date





# ARRA Reporting Requirements

## Federal Financial Report (FFR)

TEAM-Web ( PRODUCTION Database ) Project Funds/Status - Windows Internet E...

### Project Funds/Status

Summary | Project Funding | By Amendment

View By: Account Class Code

CstCtr	Acc Class Cd	FP	Reservation	Obligation	Deobligation	Disbursement	Refund
65000	2009.26.86.81.1	06	\$3,847,450.00	\$3,847,450.00	\$0.00	\$0.00	\$0.00
65000	2009.26.86.81.1	09	\$16,914,693.00	\$16,914,693.00	\$0.00	\$0.00	\$0.00
<b>Project Totals:</b>			\$20,762,143.00	\$20,762,143.00	\$0.00	\$0.00	\$0.00

**GA-86-X001-00 Totals**

**Disbursement/Refund Records:**

Account Class Code	Transaction Type	Transaction Date	Transaction Amount

Net Obligations: \$20,762,143.00

Net Disbursements: \$0.00

Auth. Disbursements: \$20,762,143.00

Unliquidated Balance: \$20,762,143.00

Trusted sites 100%

### Federal Financial Report

Summary | Financial Status | Remarks and Certification

Line: Transactions:	Previous	This Period	Cumulative
A. Federal Cash on Hand at Beginning of Period:			\$0.00
B. Federal Cash Receipts :			\$0.00
C. Federal Cash Disbursements:			\$0.00
D. Federal Cash on Hand at End of Period:			\$0.00
E. Total Federal Funds Authorized:			\$25,000,000.00
F. Federal Share of Expenditures:	\$17,851,288.00	\$4,455,784.00	\$22,307,072.00
G. Recipient Share of Expenditures:	\$0.00	\$0.00	\$0.00
H. Total Expenditures:(F+G)	\$17,851,288.00	\$4,455,784.00	\$22,307,072.00
I. Federal Share of Unliquidated Obligations:			\$0.00
J. Recipient Share of Unliquidated Obligations:			\$0.00
K. Total Unliquidated Obligations(I+J):			\$0.00
L. Total Federal Share (F+I):			\$22,307,072.00
M. Unobligated Balance of Federal Funds(E-L):			\$2,692,928.00
N. Total Recipient Share Required:			\$0.00
O. Remaining Recipient Share to be provided N-(G+J):			\$0.00
P. Federal Program Income on Hand at Beginning of Period:			\$0.00
Q. Total Federal Program income earned:			\$0.00
R. Federal Program income expended in accordance with the deduction alternative:			\$0.00
S. Federal Program income expended in accordance with the addition alternative:			\$0.00
T. Federal Program income expended on allowable Transit Capital and Operating expenses:			\$0.00
U. Federal Unexpended Program income (P+Q- R or S or T):			\$0.00





# ARRA Reporting Requirements

TEAM-Web ( PRODUCTION Database ) GA-86-X001-01 - Windows Internet Exp...

## Federal Financial Report

Summary Financial Status Remarks & Comments

### Recipient Remarks

Recipients are receiving executed contracts and are encouraged by Transit staff to purchase all items within the allotted timeframe.  
1-8-10 ej

### FTA Remarks

FFR Reviewed on 1/13/2010 AR. The total amount of the grant is reflected as Unliquidated Obligations, is the entire amount of the grant already committed under contract? please provide an explanation.

Done Trusted sites 100%





# ARRA Reporting Requirements

TEAM-Web ( PRODUCTION Database ) GA-86-X001-00 - Windows Internet Explorer

## Milestones Status Report

Summary | Milestone Status

**Work In Progress** • **Submit Report**

Recipient: 1002 GEORGIA DEPT. OF TRANSPORTATION - OFFICE OF INTERMODAL F

Project: GA-86-X001-00 218 Vehicles,ITS,Facilities,MM.Equi

Amendment:

Period: FY2010, 1st Quarter  Paper Award? ☐ Yes ☐ No Pre-Award Authority? ☐ Yes ☐ No

☒ Quarterly ☐ Monthly ☐ Other Initial Submission: 1/8/2010

Final Report? No, Not Final Report  Last Update: 1/13/2010

Report Status: MS/P Report Submitted; FFR Submitted

Project Status:

### Project Status Overview

MPR Reviewed on 1/13/2010 AR.

-----

January 2010 - Fully executed contracts have recently been sent to all of our subrecipients. Items are to be procured in January and February 2010. Milestone dates will be adjusted accordingly.

Trusted sites 100%





# ARRA Reporting Requirements

TEAM-Web ( PRODUCTION Database ) GA-86-X001-00 - Windows Internet Explorer

### Milestones Status Report

Summary | Milestone Status

Scope-ALI	Seq No	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date
	2	Contract Award	10/15/2009	11/15/2009	1	
	3	Contract Complete	12/31/2009		0	
11400-114201	1	RFP/IFB Issued	8/30/2009	8/30/2009	1	
	2	contract Award	9/30/2009	11/30/2009	1	
	3	Contract Complete	6/30/2010		0	
11400-114101	1	RFP/IFB Issued	9/15/2009	1/31/2010	1	
	2	Contract Award	10/30/2009	2/28/2010	1	
	3	Contract Complete	12/31/2009		0	
11400-114206	1	RFP/IFB Issued	8/30/2009	12/31/2009	1	

Line Item: 114201 acquire - administrative bldg

FTA Amount: \$184,000.00 Total Eligible Cost: \$184,000.00 Quantity: 1

3<sup>rd</sup> Party Contractor Code:

Milestone Detail Description

Milestone Progress

October 2009- Offer has been made and accepted by seller. Waiting execution of contract

Trusted sites 100%

If Orig. Est. Comp Date has passed as of the end of the Quarter that you are reporting on a Rev. Est. Comp. Date or Actual Comp Date MUST be provided

Explanations must be provided in the Milestone Progress box for all revised milestone dates.





# ARRA Reporting and Oversight

- Reporting Requirements
- **Grants Management**
- Project Oversight
- Guidance and Resources





# ARRA Grant Management

## ARRA Budget Revisions

1. Budget revisions that do not require prior FTA approval per FTA C 5010.1D
2. If cost savings from bids coming in under the previous estimates, allows revisions that require prior FTA approval:
  - Add an activity line item, Move more than 20%, etc.

**Note:** Where a budget revision or amendment is being completed as a result of cost savings:

- **Documentation must be included in the TEAM grant file**
  - Examples of documentation (not a new estimate)
- In order for adherence to these procedures to be accurately reflected in the grant records, budget revisions and grant amendment activities should be separate actions.





# ARRA Grant Management

## ARRA Amendments

1. To allow up to 10% of ARRA funds to be used for operating assistance
2. To allow the addition of a new scope that will be funded using cost savings from bids coming in under the previous estimate.

**Note:** Supporting documentation required for #1 and #2 (e.g. OA split letter for #1, procurement documentation for #2). Also, must be clearly distinguished in the grant application; use “AMENDMENT #1” in both project details and the extended budget descriptions.



# ARRA Grants Management

NO ARRA AMENDMENTS WILL BE  
ALLOWED AFTER SEPTEMBER 30,  
2010

All ARRA Funds Expended by  
September 30, 2015





# ARRA Reporting and Oversight

- Reporting Requirements
- Grants Management
- **Project Oversight**
- Guidance and Resources





# ARRA Project Oversight

## Project Oversight

- Capital Project Monitoring
  - ARRA Engineers may schedule quarterly visits/conference calls
  - Construction projects additional schedules and progress reports requested





# ARRA Project Oversight

1. Does the Grantee have currently in place staff or contractors with experience in:
  - Procurement
  - Project Management
  - Construction Management
  - Quality Assurance
2. Does the Grantee have documented plans/procedures for managing the project:
  - Procurement procedures
  - Cost, Schedule controls
  - Quality Assurance & Testing





# ARRA Project Oversight

## Project Level Questions

3. Does the grantee have an adequate financial implementation plan to carry out the project if ARRA does not fund 100% of the project?
4. Does the project's current cost estimate reasonably reflect the scope of work?
5. Is the project's current schedule adequate for the performance of the work?
6. Are there binding agreements with other stakeholders pertaining to their respective obligations?(e.g. Real Estate, Funding Partners, Permitting Agencies, Community Groups, System Operators, etc.





# ARRA Reporting and Oversight

- Reporting Requirements
- Grants Management
- Project Oversight
- Guidance and Resources





# Guidance and Resources

- Third Party Procurement Guidance:
  - [http://www.fta.dot.gov/funding/grants\\_financing\\_6036.html](http://www.fta.dot.gov/funding/grants_financing_6036.html)
  - FTA Circular 4220.1F, “Third Party Contracting Guidance”
  - Frequently Asked Questions: Third Party Procurement
  - 49 USC Part 18 “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments”







# Guidance and Resources

- Best Practices Procurement Manual –  
[http://www.fta.dot.gov/funding/thirdpartyprocurement/grants\\_financing\\_6037.html](http://www.fta.dot.gov/funding/thirdpartyprocurement/grants_financing_6037.html)
- Additional Online Tools and Resources -  
[http://www.fta.dot.gov/funding/thirdpartyprocurement/grants\\_financing\\_6038.html](http://www.fta.dot.gov/funding/thirdpartyprocurement/grants_financing_6038.html)
- ✓ Pricing Guide for FTA Grantees
- ✓ Procurement System Self-Assessment Guide
- ✓ The Federal Acquisition Regulation Act





# Guidance and Resources

## NTI Courses ([www.ntionline.com](http://www.ntionline.com))

- Project Management for Transit Professionals
  - August 17-18 Auburn, AL
  - August 18-19 Orlando, FL
  - Sept 28-29 New Orleans, LA
- Management of Transit Construction Projects for ARRA Recipients  
(TBD in Region IV - 3 days)
- Procurement Series (TBD – 4-days e/a)
  - I - Orientation to Transit Procurement
  - II - Basic Cost and Price Analysis and Risk Assessment
  - III - RFP's and Competitive Contract Negotiations
  - IV - Contract Administration



# Questions?





# **U.S. Department of Transportation Federal Transit Administration**

## **FTA Procurement**





# Procurement

A Key Principle of Federal Procurement  
Regulations:

Full and Open Competition





# Procurement

## Common Areas of Deficiencies

- Independent Cost Estimates
- Cost/price Analysis
- Arbitrary Action
- Sound and Complete Agreements
- Written record of procurement history





# Key Regulations and Guidance

- Regulations
  - 49 CFR Part 18
  - Master Agreement
- Circulars
  - FTA C 4220.1F** Third Party Contracting Guidance
    - FTA C 9040.1F      -FTA C 9300.1B
    - FTA C 5010.1D      -FTA C 9031.1D
    - FTA C 9050.1      -FTA C 9070.1F
    - FTA C 9045.1





# FTA Circular 4220.1F

## Applicability

### Applicability To:

- Transit Authorities
- FTA Grantees and sub-grantees that contract with outside sources

### Not To:

- States follow their own procedures, BUT must comply with FTA 4220.1F for Term limitations, Competition, Geographic Preference, A&E Services, and Awards to Responsible Contractors
- Inclusion of Federally-Required Clauses







# FTA Circular 4220.1F

## Applicability For:

- FTA-funded Capital Projects
- All operating purchases if recipient of operating funds (primarily < 200,000 in UZA population)
- CMAQ and JARC funded contracts
  - However, operating purchases under these programs, do not trigger applicability to other agency operating contracts.
- Preventive Maintenance (PM) purchases
- For discrete formula funds, only to those projects, otherwise, applies to all PM purchases.
- ADA complementary paratransit operating contracts if capitalizing ADA operating costs in a capital grant.





# System-Wide Policies

## **Policies, procedures and organizational determinations necessary to guide the procurement function**

- Written Standards of Conduct
- Procurement Policies and Procedures
- System for Ensuring Most Efficient and Economic Purchase
- Written Protest Procedures
- Prequalification System





# Recipient's Responsibilities

## Third Party Contracting Capacity

- FTA recipient's are obligated to maintain adequate Technical Capacity to carry out its project and comply with the Common Grant Rules.
- If the recipient lacks qualified personnel within its organization to undertake the various procurement tasks, such as drafting specifications, evaluating contracts, or performing internal audits for the recipient, FTA expects the recipient to acquire the necessary services from sources outside the recipient's organization (FTA Circular 4220.1F Ch. III, 3)



# Clauses

## Basic Requirement (FTA C 4220 1F Appendix D)

*A current but not all inclusive and comprehensive list of statutory and regulatory requirements applicable to grantee procurements (such as Davis-bacon Act, Disadvantaged Business Enterprise, Clean Air, and Buy America) is contained in FTA master Agreement.*

*Grantees are responsible for evaluating these requirements for relevance and applicability to each procurement*

Best Practices Procurement Manual Section 8



# Clear, Accurate, and Complete Specification

## Basic Requirement (FTA C 4220 1F Ch. III, 3.a.(1)(a))

*Grantees shall have written selection procedures for procurement transactions*

All solicitations shall:

Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured.

Identify all requirements that offerors must fulfill and all other factors to be used in evaluating bids or proposals.





# Clear, Accurate, and Complete Specification

## **For Sealed bidding, must have:**

- Complete, adequate, and realistic specification or purchase description
- Inclusion of any specifications and pertinent attachments
- Definition of the items or services sought in order for the bidder to properly respond





# Contract Award Considerations

- Cost and/or Price Analysis
- Evaluation of Options
- Award to Responsible Contractors
- Sound and Complete Agreements
- Arbitrary Action





# Cost or Price Analysis

## **Basic Requirement (FTA C 4220 1F Ch. VI, 6)**

*Grantees must perform a cost or price analysis in connection with every procurement action, including contract modifications.*

### **Cost Analysis when:**

- The offeror is required to submit the elements (i.e., labor hours, overhead, materials, etc.) of estimated cost
- Adequate price competition is lacking and for sole source procurements, including modifications or change orders.

### **Price Analysis when:**

- May be used in all other instances to determine price reasonableness







# Evaluation of Options & Award to Responsible Contractor

## Evaluation of options

### **Basic Requirement (FTA C 4220 1F Ch. VI, 7)**

*The option quantities or periods contained in the contractor's bid or offer must be evaluated in order to determine contract award. When options have not been awarded as part of the award, the exercise of such options will be considered a sole source procurement.*

## Award to Responsible Contractor

### **Basic Requirement (FTA C 4220 1F Ch. 8, (b))**

*Grantees shall make awards only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement. Consideration shall be given to such matters as contractor integrity, compliance with public policy, record of past performance, and financial and technical resources*



# Sound and Complete Agreement

## **Basic Requirement (FTA C 4220 1F Ch. III, 3.(b))**

*All contracts shall include provisions to define a sound and complete agreement*

Contracts and sub-contracts shall contain contractual provisions or conditions that allow for:

- Administrative, contractual, or legal remedies  
(All contracts in excess of small purchase threshold-Currently \$100,000.)
- Termination for cause and for convenience  
(All contracts in excess of \$10,000)





# Arbitrary Action

## **Basic Requirement (FTA C 4220 1F Ch. VI, 2.a(4)(j))**

*Any arbitrary action in the procurement process is considered to be restrictive of competition*

Best Practices Procurement Manual Section 2.4.2.1





# Rules on Specific Types of Procurement

## Typical Procurement Types

- **RFP**
- **Sealed Bids**
- **A&E**
- **Construction**
- **Vehicles**





# Request for Proposal (RFP)

## **Advertisement Basic Requirement (FTA C 4220.1F Ch. VI, 3d(2)(a))**

- ✓ Proposals will be solicited from an adequate number of qualified sources
- ✓ Requests for proposals will be publicized

## **Evaluation Basic Requirement (FTA C 4220.1F Ch. VI, 3d(2)(b))**

- ✓ *All evaluation factors will be identified along with their relative importance*
- ✓ *Grantees will have a method in place for conducting technical evaluations of the proposals received and for selecting awardees;*





# Sealed Bids

## **Basic Requirement (FTA C 4220.1F Ch. VI, 3c)**

Bids are publicly solicited and a firm-fixed-price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming to all the material terms and conditions of the invitation for bids, is the lowest in price.

### **Special Rules**

- ✓ *Advertised/Publicized*
- ✓ *Adequate Number of Sources Solicited*
  - ✓ *Sufficient Bid Time*
  - ✓ *Adequate Competition*
- ✓ *Firm Fixed Price/Selection on Price*
- ✓ *Discussion Unnecessary*
  - ✓ *Bid Opening*
  - ✓ *Responsiveness*
  - ✓ *Lowest Price*
  - ✓ *Rejecting Bids*



# Sealed Bids

- ✓ *Advertised/Publicized*
- ✓ *Adequate Number of Sources Solicited*
- ✓ *Sufficient Bid Time*

## **Basic Requirement (FTA C 4220.1F Ch. VI, 3c(2))**

The invitation for bids will be publicly advertised and bids shall be solicited from an adequate number of known suppliers, providing them sufficient time to prepare bids prior to the date set for opening of the bids

- ✓ *Adequate Competition*

## **Basic Requirement (FTA C 4220.1F Ch. VI, 3c(2)(b))**

Two or more responsible bidders are willing and are able to compete effectively for the business

- ✓ *Firm Fixed price/Selection on Price*

## **Basic Requirement (FTA C 4220.1F Ch. VI, 3.c)**

The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price





# Sealed Bids

## ✓ *Discussions Unnecessary*

### **Basic Requirement (FTA C 4220.1F Ch. VI, 3c(1)(e))**

No discussion with bidders is necessary

## ✓ *Bid Opening*

### **Basic Requirement (FTA C 4220.1F Ch. VI, 3c(2)(e))**

All bids will be publicly opened at the time and place prescribed in the invitation for bids

## ✓ *Rejecting bids*

### **Basic Requirement (FTA C 4220.1F Ch. VI, 3.c(2)(g))**

Any or all bids may be rejected if there is a sound documented business reason

## ✓ *Responsiveness/Lowest Bid*

### ✓ **Basic Requirement (FTA C 4220.1F Ch. VI, 3.c(2)(f))**

A firm fixed-price contract award will be made in writing to the lowest responsive and responsible bidder





# A&E Architectural and Engineering

## Special Considerations

- ✓ Qualifications Exclude Price
- ✓ Serial Price Negotiations
- ✓ Geographic Preference





# Architectural and Engineering

## **Qualifications Exclude Price**

FTA C 4220.1F Ch. VI, 3.f(3)(b))

Qualifications-based competitive proposal procedures require that:

- ✓ 1) An offeror's qualifications be evaluated
- ✓ 2) Price be excluded as an evaluation factor

## **Serial Price Negotiations**

FTA C 4220.1F Ch. VI, 3.f(3)(d))

- ✓ Negotiations be conducted only with the most qualified offeror
- ✓ Failing agreement on price, negotiations with the next most qualified offeror be conducted until a contract award can be made to the most qualified offeror whose price is fair and reasonable to the grantee

## **Geographic Preferences**

FTA C 4220.1F Ch. VI, 3.f(3)(d))

- ✓ May be a selection criteria for A&E procurement provided that its application allows an appropriate number of qualified firms.





# Written Standard of Conduct

## **Basic Requirement (FTA C 4220 1F Ch. 111, 1)**

*Grantees shall maintain a written code of standards of conduct governing the performance of their employees engaged in the award and administration of contracts.*

### Standards Applicable to:

Employees, officers, agents, immediate family members, or Board members participating in the selection, award, or administration of a contract it a conflict of interest, real or apparent would be involved.

### What is a Conflict?

If any of the following have a financial or other interest in the firm selected for award:

Employee, officer, agent, immediate family members, or Board members

His or her partner, or an organization that employs or is about to employ any of the above.



# Guidance and Resources

## Best Practices Procurement Manual

For a full text version of the BPPM [[Word](#)] [[WordPerfect](#)] [[PDF](#)]

[http://www.fta.dot.gov/funding/thirdpartyprocurement/grants\\_financing\\_6037.html](http://www.fta.dot.gov/funding/thirdpartyprocurement/grants_financing_6037.html)

## Online Tools and Resources

- Pricing Guide for FTA Grantees
- Procurement System Self-Assessment Guide
- The Federal Acquisition Regulation Act
- [http://www.fta.dot.gov/funding/thirdpartyprocurement/grants\\_financing\\_6038.html](http://www.fta.dot.gov/funding/thirdpartyprocurement/grants_financing_6038.html)

## FTA Circular 4220.1F, “Third Party Contracting Guidance,”

[http://www.fta.dot.gov/laws/leg\\_reg\\_circulars\\_guidance.html](http://www.fta.dot.gov/laws/leg_reg_circulars_guidance.html)

Frequently Asked Questions: Third Party Procurement

[http://www.fta.dot.gov/funding/thirdpartyprocurement/grants\\_financing\\_6039.html](http://www.fta.dot.gov/funding/thirdpartyprocurement/grants_financing_6039.html)

## 49 USC 5323(j) 49 CFR 661

[http://www.fta.dot.gov/laws/leg\\_reg\\_456.html](http://www.fta.dot.gov/laws/leg_reg_456.html)



# Questions and Answers





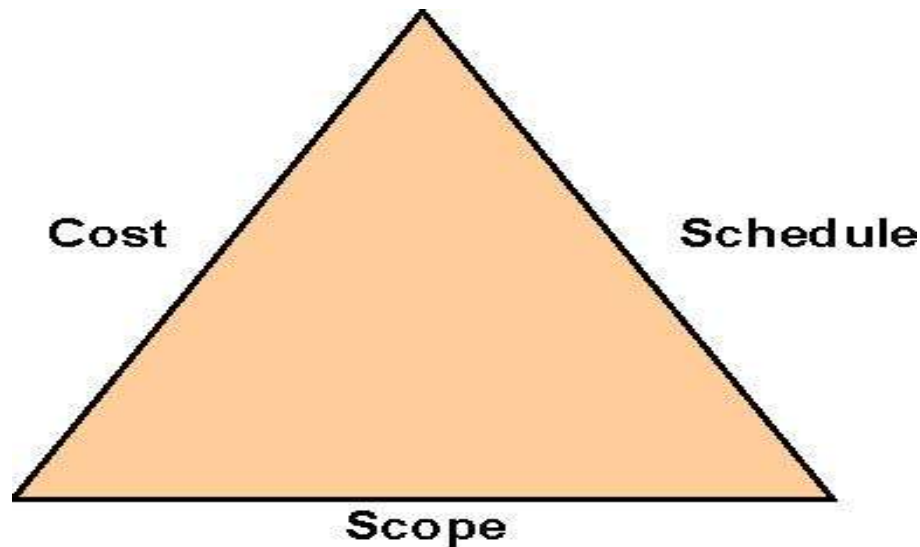
# Construction Management/Oversight





# What is a Project

Interrelated work activities constrained by a specific **scope**, **budget**, and **schedule** to deliver capital assets needed to achieve the strategic goals of an Agency.



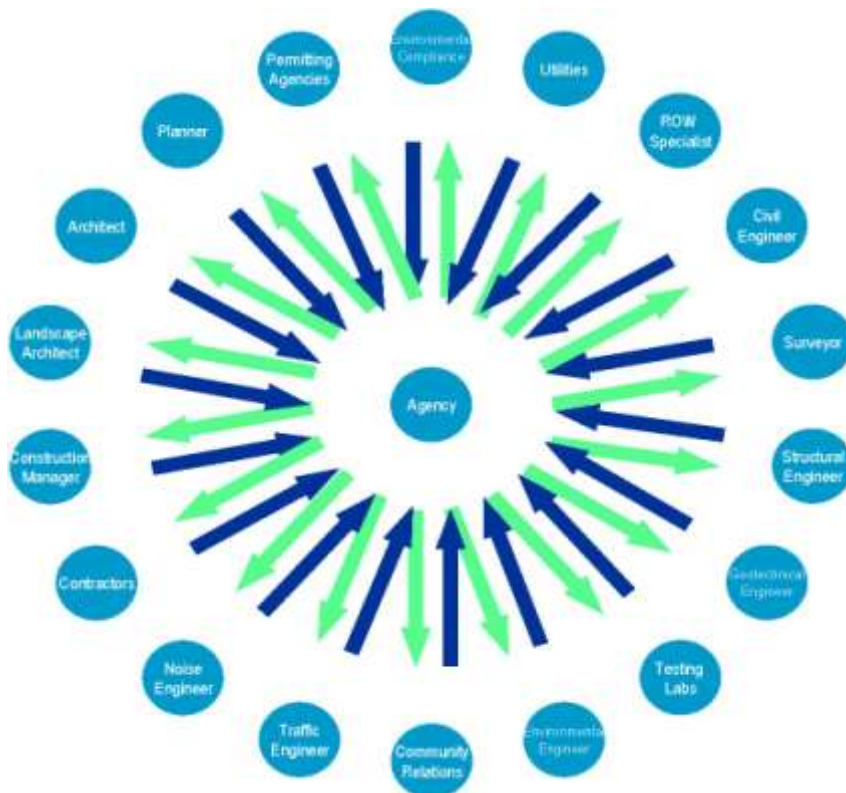




# The Role of the Project Manager

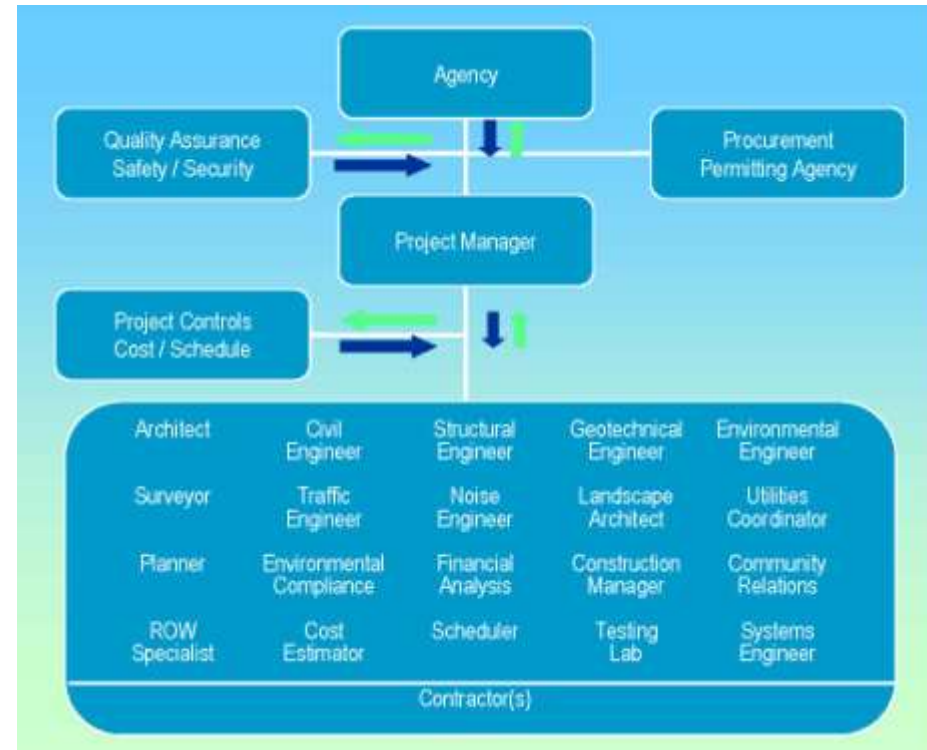
**The PM is the one in charge of controlling the execution of the project**

**Without a PM**



**vs**

**With a PM**

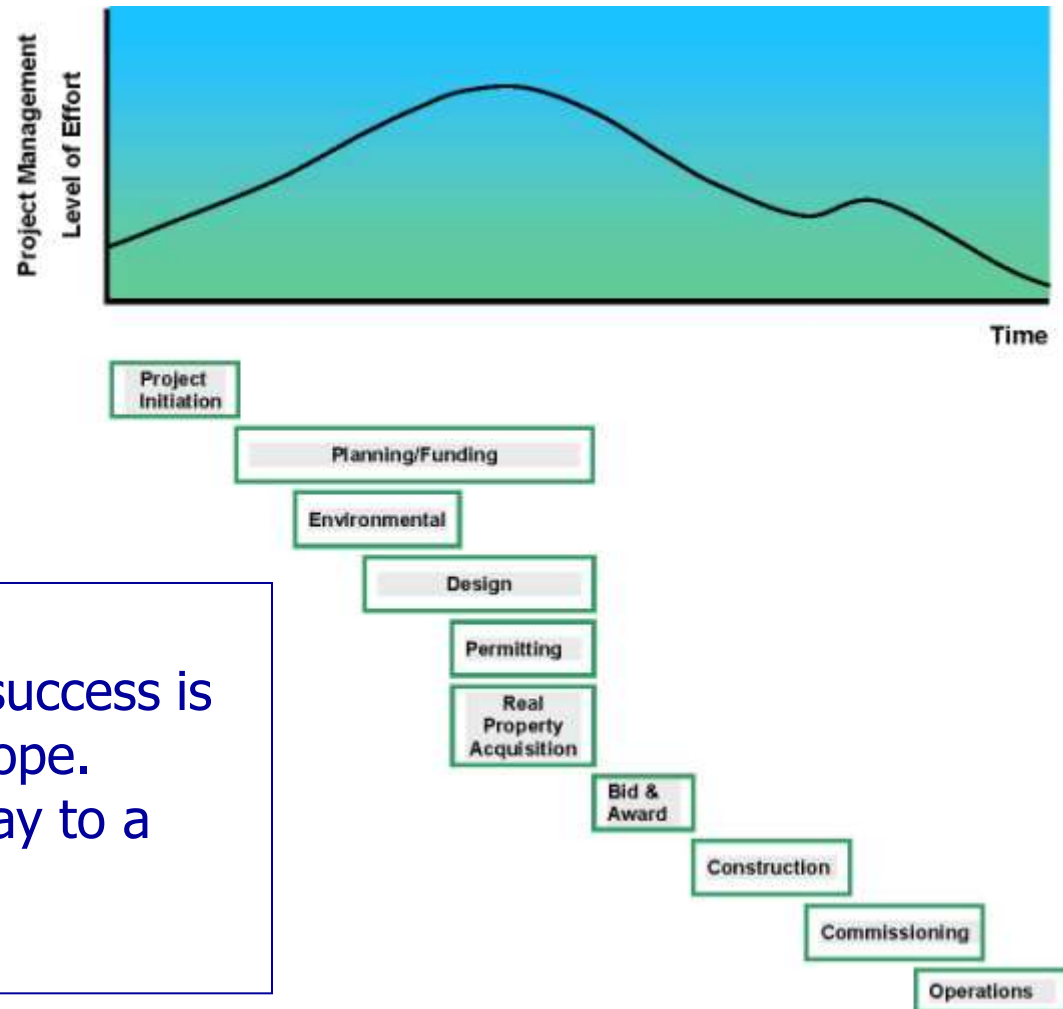






# The Project Life Cycle

CIP: “Capital Improvements Plan”  
Project Life cycle begins when it is authorized to move into implementation Resolution approved by the Agency’s board to apply for funds or hire consultants to work on the project.



The greatest threat to project success is “scope creep” or changes in scope.  
A classic example: additional bay to a maintenance facility



# Defining the Project

## The PRD: Project Requirements Definition

Topic	Description
Authorization	Reference to project authorization that selected and authorized the project
Stakeholders	Corporate sponsors, customers, third parties impacted, project team
Deliverables	Products/services the project will deliver
Scope of Work	Work to be done to deliver the products/services (high-level summary)
Cost Estimate	Initial order of magnitude estimate of the project budget
Schedule Milestones	Initial project schedule in terms of key project milestones
Finance	Project financial requirements and sources of funding
Risks	Threats to the project (e.g. adverse environmental factors)
Resources	Resources needed to accomplish the project
Constraints	Constraints such as limited resources/funding, sites available, etc.
Acceptance Criteria	What determines acceptable products/services and their approval



# Planning the Project

## Project Resources & their Role in Project Delivery

Capability	Resource	Function
Management and Control	Project Management	Manage the overall project and its phases – initiation, planning, design, construction, and closeout
	Project Management Oversight	Oversee project performance by a party independent of the project team and report to project sponsor(s)
	Configuration Management	Control changes to project deliverables/scope of work
	Cost Control	Control project costs within budget
	Schedule Control	Control project progress within schedule
	Accounting	Record project expenditures, issue payments, and manage project funding
	Records Management	Capture, store, control, and retrieve project records/documents
	Procurement/Administration	Procure and administer project contracts
Planning, Engineering, and Technical	Architectural	Develop architectural and design concepts
	Engineering	Prepare detailed engineering and final design documents
	Environmental	Undertake environmental planning and clearance
	Real Estate	Acquire real estate and ROW
	Communications	Communicate with the community/media/government
Construction and Supply	Construction Contractor	Construct facilities
	Third Party Agency	Relocate or gain access to public and private utilities
	Equipment Supplier	Supply/install equipment



# Delivering the Project

Project Delivery Strategy Determines: Work Load Assignments, Degree of Control Risk Assignment

Strategy	Sub-Strategy	Description	Owner Control/Risk
Own Forces	Total Project	Owner manages, designs, and constructs project with own forces	Owner has total control and accepts all risks
	Construction	Owner manages and constructs project with own forces, and retains design consultant for design work	Owner has total control and accepts all risks except for design errors or omissions
D/B/B Design/Bid/Build	Owner Managed D/B/B	Owner manages project, contracts out design to engineering consultants and construction to contractors	Maintains overall project control and transfers detailed engineering design/construction tasks and risks to contractors
	GEC	Owner retains a GEC to manage the design and design consultants	Owner transfers control of design and design management tasks and risks to GEC
	CM	Owner retains CM to manage construction contractors	Owner transfers control of construction and construction management tasks and risks to CM
	PMC	Owner retains a PMC to manage the project including consultants and contractors	Owner maintains control of project scope and transfers project management tasks and risks to PMC
CMAR Construction Manager at Risk	Owner may also retain a GEC and PMC	Owner retains a CMAR contractor in final design, who participates in design review, estimating, and value engineering and at some agreed point guarantees a fee to manage and carry out construction	Owner transfers a share of control of scope through design to the CMAR contractor and all of the control and risk of the management and execution of construction
D/B Design/Build	Owner may also retain a GEC and PMC	GEC completes design through preliminary engineering (approximately 30 percent). Owner retains a D/B contractor to complete design and construct the project	Owner maintains control of scope through concept design (30 percent) after which control and risk of design and construction is transferred to D/B contractor
D/B/O/M Design/Build/ Operate/Maintain	Design/Build/Operate or Design/Build/Operate & Maintain	As for D/B plus contractor is responsible for the operations and maintenance of the facility for a specified period	Owner transfers control and risk of operations and maintenance to the contractor
Turnkey	Could be used for D/B or D/B/O/M	Owner prepares a performance specification that is bid on by turnkey contractor, who may also participate in financing the project	Owner controls scope of performance specification after which control and risk of conceptual/detail design and construction transfers to turnkey contractor, including operations and maintenance if D/B/O/M





# Project Management Plan

## The roadmap on how to get the project done

### PMP Outline

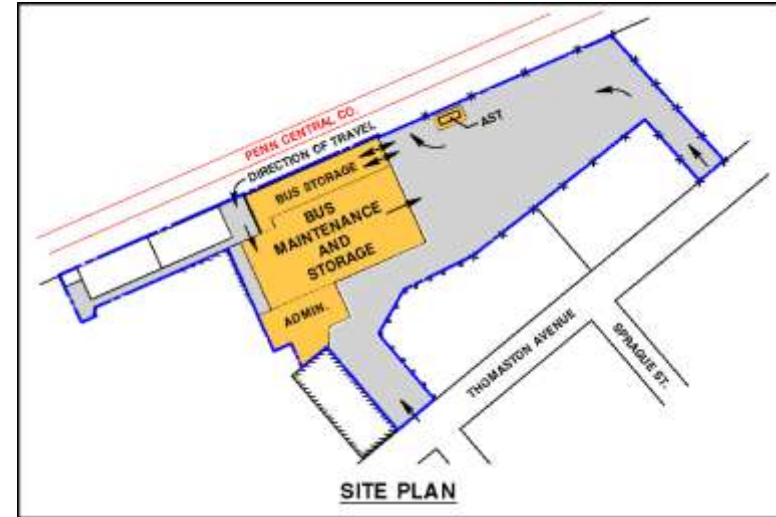
1. Project Overview
2. Organization and Staffing
3. Project Management and Controls
4. Planning / Conceptual Design Phase
5. Final Design Phase Management
6. Construction Phase Management
7. Closeout Phase Management
8. Quality Management
9. Risk Management
10. Procurement and Contract Administration
11. Communications





# Planning Studies

- Functional Studies
- Site Selection
- Technical Studies
  - Geotechnical investigations,
  - Soil and water testing (Contamination)
  - Traffic studies,
  - Zoning studies, etc.
- Utilities & Third-Party Coordination
  - Operational interference
  - Utilities (electric, gas, telephone, cable etc.)
  - Public infrastructure (highways, roads, bridges, streets, drainage, sewer, water, etc.)
  - Railroads
  - Easements and ROW acquisitions.
- Environmental Studies
  - State Process - Permitting





# Real Estate Acquisition

## Key Aspects

- Procure a real estate specialist with **Uniform Act** knowledge and demonstrated experience.
- Research tax and plat records to identify possible owner of property.
- Select title company to work with and order title commitments to verify legal ownership of property any title issues.
- Obtain right of entry to get permission from property owner to enter property to perform due diligence.
- Have property surveyed.
- Begin environmental site analysis.
- Send property owner general information letter explaining project and possible need of property.







# Design Key Milestones

## In-Progress Preliminary Submittal

Review of the recommended approach, including Evaluation of the rejected alternatives

Value Engineering  
Study

## 30-Percent Review (Preliminary Engineering Submittal )

All major design concepts and VE recommendations and other design features have been resolved

- ✓- Project Scope
- ✓Impacts of construction (utilities, railroads, governmental agencies, residential/commercial)
- ✓-The Scope of work for detailed design.
- ✓-Realistic cost estimate of the cost of construction

Risk Assessment  
Study

## 60-Percent Review

Drawings, Specifications are developed in accordance to Prior direction, Major Engineering, VE

Constructability  
Review

## 90-Percent Review

The drawings and specifications provided by the design team are to be nearly completed & checked.

- All applicable drawings are sent permitting agencies for a plan check.
- The construction cost estimate is verified

Last major design  
review

## 100-Percent Review

The drawings and specifications are to be finished by the design team and checked.

Incorporation of comments arising from this review, plus sign-off and approval.

Sign-off and Approval

## Bid Document Verification

*Signed and sealed original drawings*, construction cost estimates. Agency or individual approvals can be given.

Contractual provisions  
Added to BID  
packages





# Design

## Quality Assurance/Quality Control

### Agency Oversight

As the project manager, you are responsible to ensure that FTA capital funds are spent wisely.

### Quality Control

Process of Inspecting, Testing, Attesting and Documenting

- ✓ Design drawings or specifications
- ✓ Manufactured equipment
- ✓ Constructed items

### Quality Assurance

Ensuring that the project requirements are developed to meet the needs of all relevant internal and external agencies.

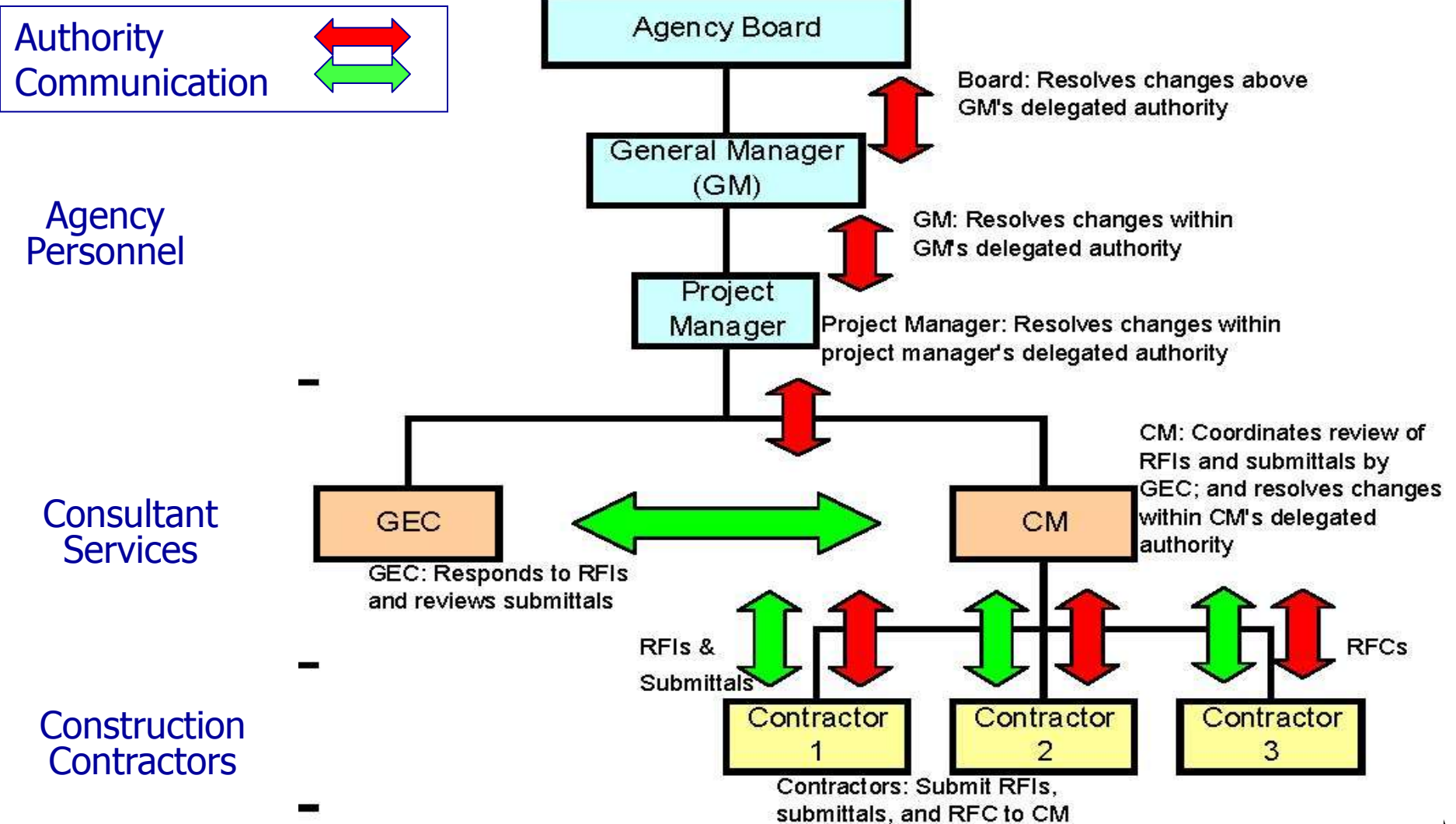
- ✓ Process to ensure Quality
- ✓ Equipment, staff & Contractors capable of performing the tasks related to project quality
- ✓ Documentation Procedures





# Construction

## Project Organization Structure





# Construction

## Functions and Responsibilities I

Function	Performed By
Pre-contract award reviews	
General provisions	Agency
Special conditions	Agency and CM
Contract milestones fit project master schedule	Agency and CM
Special construction conditions and staging	CM
Constructability	CM
Contractor Integration and Coordination	CM
Designer Interface CM	CM
QA	Agency and CM
Construction Safety	Agency and CM
Project Schedule and Cost Control	CM
Design Services (GEC – Designer of Record)	
Respond to contractor RFIs	GEC
Review contractor submittals	GEC
Administration of Contracts & Commercial Terms - Contract Adm.	Agency
Coordination with Existing Agency Operations	Agency
Community Relations	Agency and CM





# Construction

## Functions and Responsibilities II

Function	Performed By
Resident Engineer	
Construction Supervision & Inspection	CM
Acceptance of Work	CM
Receipt of Submittals, RFI's, Field memos, chg. orders	CM
Contract compliance with:	
Drawings and specifications	CM
Construction warranties	Agency and CM
Contract documentation and as-built records	CM
Utilities interface	CM
Review of contractor pay requests	Agency and CM
Public Information, Media Relations, Gvt. Liaison, Third	Agency
Third Party and Agency Agreements	Agency
Property Acquisition and Right-of-Way	Agency
Assessment of Environmental Impacts	Agency
Payment of Contractor Invoices	Agency
Contract Closeout	Agency and CM





# Commissioning

Commissioning is a process for validation of building equipment and systems in coordination with operations personnel and third parties.

## Typical Commissioning Tasks Include:

- ✓ Owner Furnished Equipment
- ✓ Integrated Testing & Start Up
- ✓ Safety & Security Certification
- ✓ Operation and Maintenance Manuals
- ✓ Training and Transition to Operations
- ✓ As-Built Documentation
- ✓ Warranty Administration

### Important to Know

- Operations and maintenance manuals are specified during design.
- Operations and maintenance manuals and the necessary training must occur well in advance of project completion.





# Closeout

Completion of the project procedures to closeout project contractual and administrative activities

## **Closeout of Construction Contracts**

- ✓ Manuals & Training
- ✓ Beneficial Occupancy issued by Permitting Authority
- ✓ Guarantees and Warranties
- ✓ Records or *As-Built* Drawings
- ✓ Final Inspection or final *Walk Through*
- ✓ Final Claims and Dispute Resolution
- ✓ Final Payment
- ✓ Commissioning





# Closeout

## Closeout of Service Contracts

- ✓ Verification of Scope Completion
- ✓ Contract Audit
- ✓ Final Payment and Release of Retention

## Administrative Closeout

- ✓ Project Demobilization
- ✓ Financial and Funding Closure
- ✓ Disposition of Records
- ✓ Project Evaluation
- ✓ Stakeholder Closure

### Important to Know

- A contract's terms and conditions specify the actions needed for final settlement and closure.
- A contract is substantially complete when the permitting authority issues Certificate of Beneficial Occupancy.
- A contract audit is needed to verify appropriateness of costs invoiced on cost plus type contracts.
- A contract audit examines direct labor, other direct cost, and indirect overhead charges.





# References Resources & Training



## FTA Construction Project Management Handbook

<http://www.fta.dot.gov/documents/FTA-CONSTRUCTION-PRJT-MGMT-HDBK2009.pdf>

## FTA Project & Construction – Management Guidelines

[http://www.fta.dot.gov/publications/reports/publications\\_3875.html](http://www.fta.dot.gov/publications/reports/publications_3875.html)

## FTA Best Practices Procurement Manual

[http://www.fta.dot.gov/funding/thirdpartyprocurement/grants\\_financing\\_6037.html](http://www.fta.dot.gov/funding/thirdpartyprocurement/grants_financing_6037.html)

## Training Opportunities in the Region

### NTI Project Management for Transit Professionals Course

- August 17-18th in Auburn, AL
- August 18-19th in Orlando, FL
- August 26-27th in Miami, FL

• <http://www.ntionline.com/CourseInfo.asp?CourseNumber=TRI23-50>





# Questions





# FTA 101 Training Post-Test





# Wrap-up/Questions and Answers

