



# U.S. Department of Transportation Federal Transit Administration

# FTA U.

State Programs Team  
Nashville, TN  
July 17-18, 2012

Robert Buckley, Community Planner, *Team Member*  
Andres Ramirez, General Engineer, *Team Member*  
Holly Peterson, Community Planner, *Team Member*





# Agenda Overview – July 17

|          |                                    |
|----------|------------------------------------|
| 9:00 am  | Welcome and Introductions          |
| 9:15 am  | FTA Region IV Overview             |
| 9:30 am  | Grant Programs and<br>FTA Guidance |
| 10:30 am | <i>Break</i>                       |
| 10:45 am | NEPA                               |
| 11:30 am | TEAM Training & Grant Exercises    |
| 12:00 pm | <i>Lunch</i>                       |
| 1:00 pm  | Grants (Pre-Award)                 |
| 2:00 pm  | Real Estate/Transit Facilities     |
| 3:00 pm  | <i>Break</i>                       |
| 3:15 pm  | Grants (Post-Award)                |
| 4:00 pm  | <i>Adjourn</i>                     |





# Agenda Overview – July 18

|                 |                                     |
|-----------------|-------------------------------------|
| <b>8:30 am</b>  | <b>Legal/Civil Rights</b>           |
| <b>9:00 am</b>  | <b>Procurement</b>                  |
| <b>10:15 am</b> | <b><i>Break</i></b>                 |
| <b>10:45 am</b> | <b>State Management Review</b>      |
| <b>11:30 am</b> | <b>Questions and Answers/Survey</b> |
| <b>12:00 pm</b> | <b><i>Adjourn</i></b>               |





# FTA Region IV Overview





# Legislative Authority

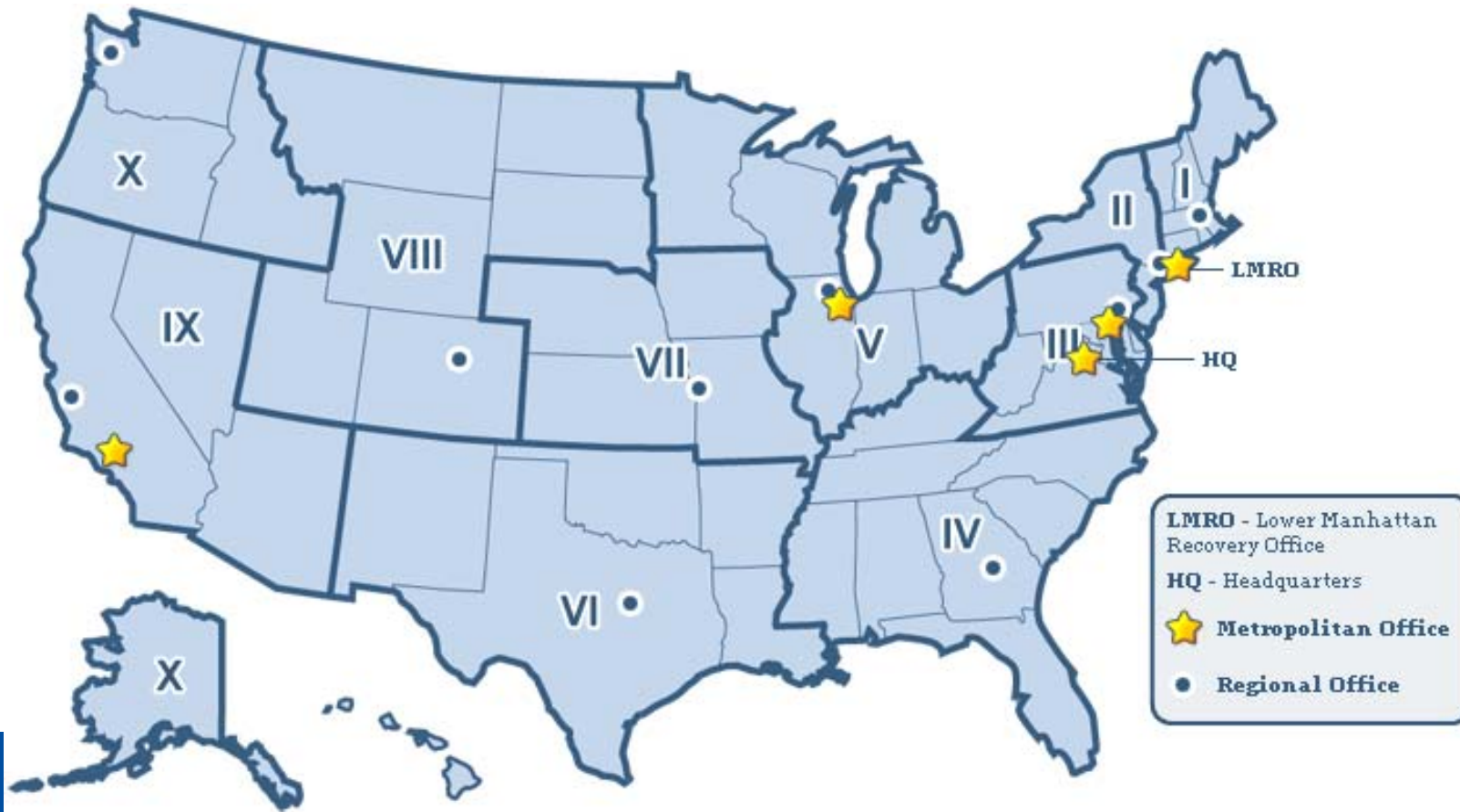
- FTA is part of U.S. DOT
- U.S. DOT is part of the Executive Branch
- Congress delegates to executive agencies authority to carry out programs
- FTA's programs are authorized in the Federal Transit Act, as amended most recently by SAFETEA-LU (49 USC Ch 53)





# FTA Organization

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





# Region IV Geographic Responsibility

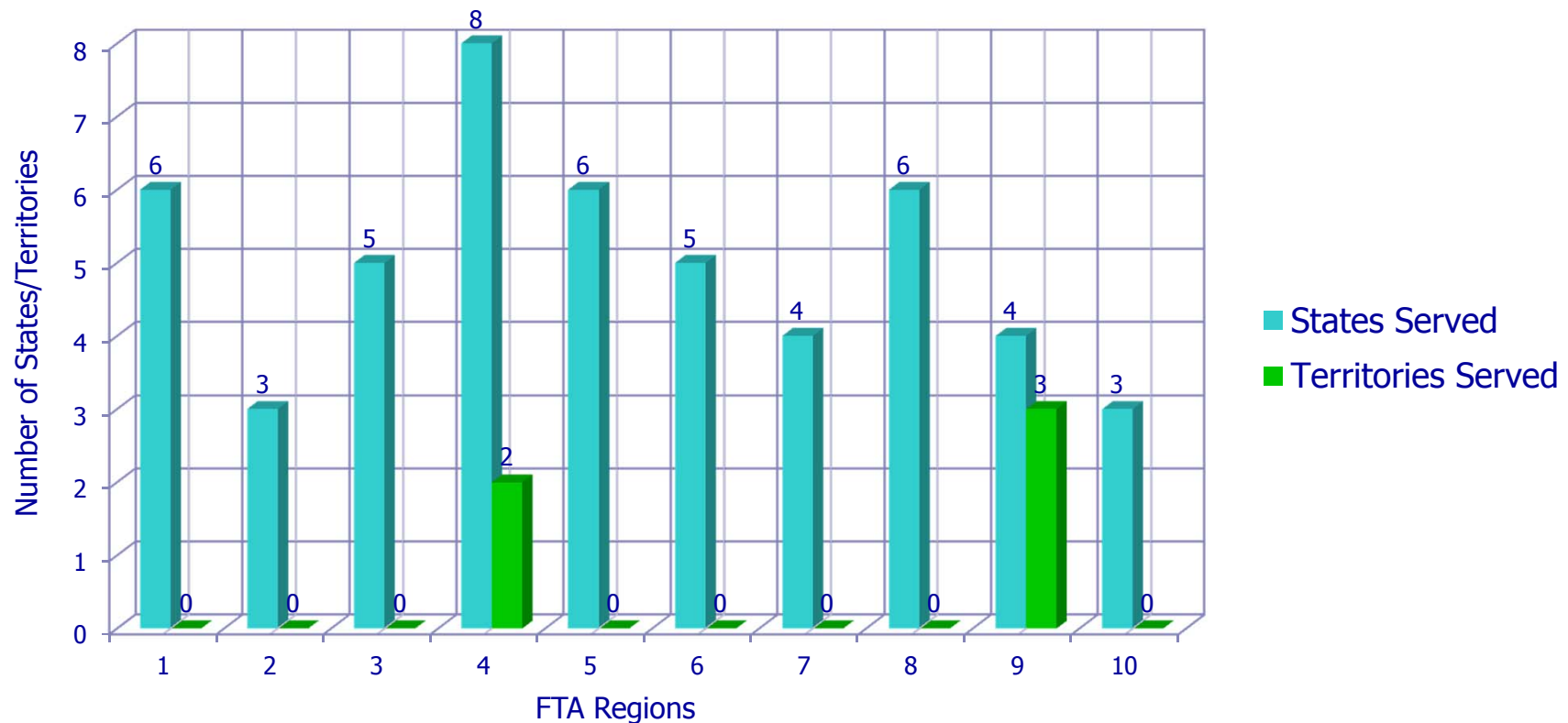
8 States and 2 U.S. Territories





# Comparison of Regional Geographic Responsibilities

## States/Territories Served by FTA Regions

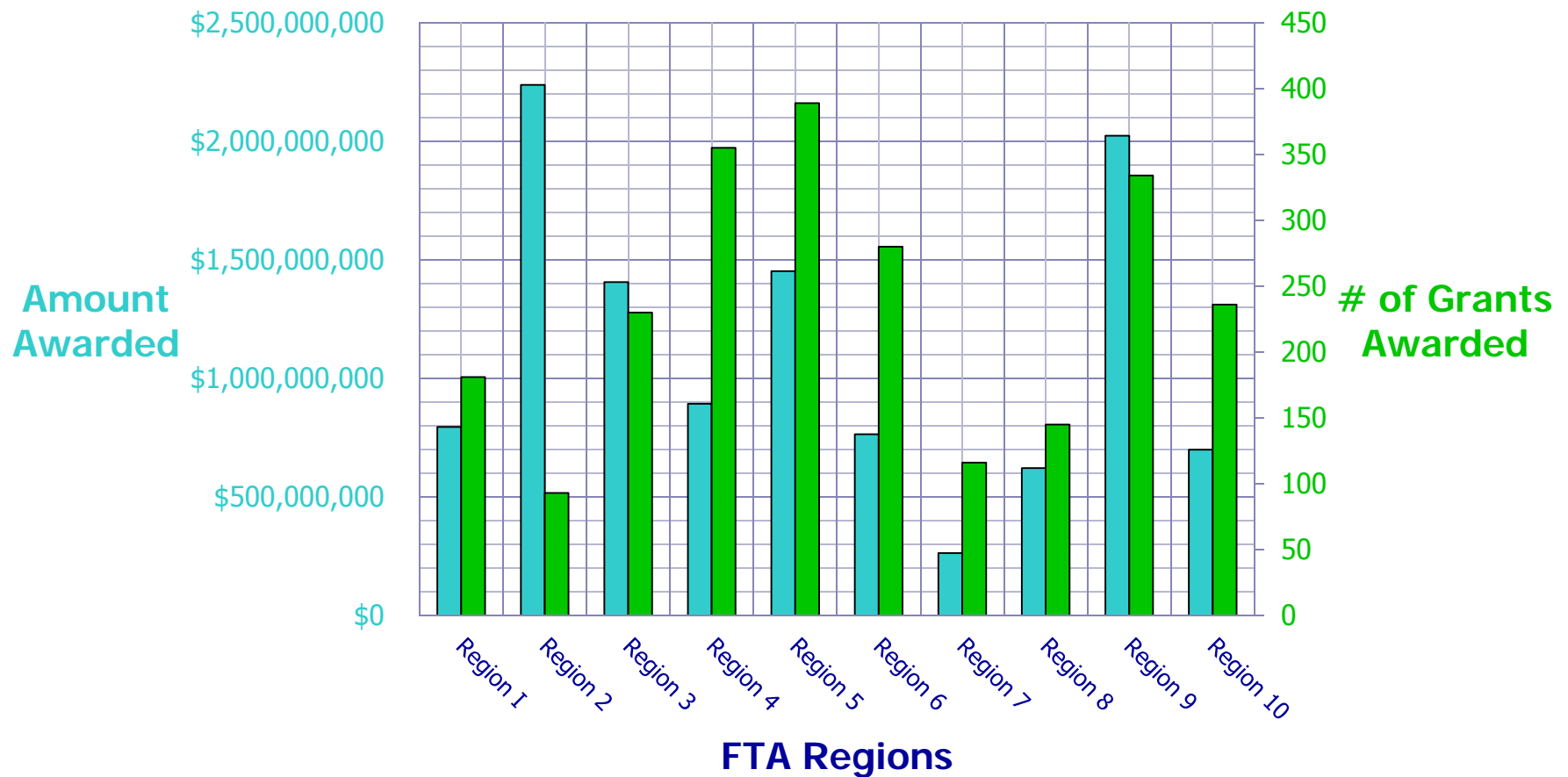






# Comparison of Regional Geographic Responsibilities

## FY 2011 Grant and Funding Awards by Region





# FTA Funding

## FY 2011 Grant Awards – Georgia

| FY 2011 Grant Awards - FTA Region IV |                     |                       |
|--------------------------------------|---------------------|-----------------------|
| <u>State</u>                         | <u>Total Grants</u> | <u>Total Award</u>    |
| Alabama                              | 19                  | \$ 47,688,323         |
| Florida                              | 108                 | \$ 295,743,812        |
| Georgia                              | 30                  | \$ 155,265,388        |
| Kentucky                             | 27                  | \$ 48,134,253         |
| Mississippi                          | 12                  | \$ 23,068,210         |
| North Carolina                       | 62                  | \$ 151,679,704        |
| Puerto Rico                          | 20                  | \$ 44,434,383         |
| South Carolina                       | 26                  | \$ 39,456,491         |
| Tennessee                            | 61                  | \$ 89,718,646         |
| Virgin Islands                       | 0                   | \$ -                  |
| <b>Totals</b>                        | <b>365</b>          | <b>\$ 895,189,210</b> |





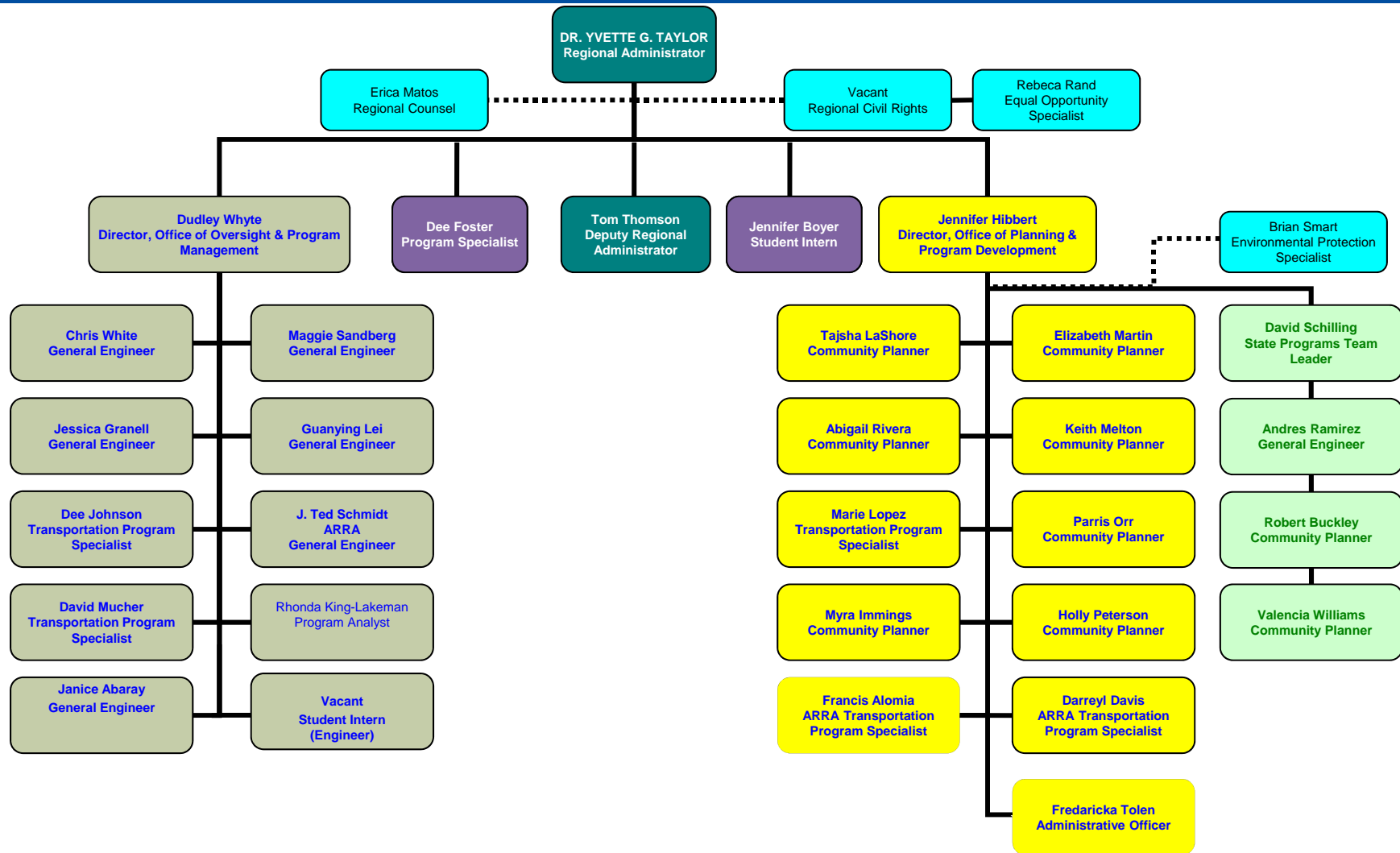
# Region IV Office

- 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





# Region IV Office

## State Programs Team

- Focused on the needs and requirements of State DOTs
- Team Members:
  - Holly Peterson: SCDOT
  - Andres Ramirez: ALDOT, ADSS, FDOT, Virgin Islands
  - Valencia Williams: MDOT, TDOT
  - Robert Buckley: GDOT, GADHS, KYTC, NCDOT
  - Team Leader position TBD





# Region IV Office

## Other Region IV Teams

- GA-FL Team

- Mission: To develop and implement procedures to enhance planning, grant development and oversight in order to increase efficiency and improve customer service to our grantees and partners

- Roles

- Planners
- Grant Managers
- Engineers





# Region IV Office

## Other Region IV Teams

- PR Team
  - Focused on the issues surrounding Puerto Rico.
  - Hybrid of State Programs and GA/FL Teams.
    - Community Planner/Program Manager
      - PRHTA State Grants
    - Planner
      - Direct Recipients
    - Engineer/Program Manager
      - Direct Recipients





# Region IV Office/Partnership

## Tennessee FTA Contacts:

### – UZAs

- 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, ARRA

- Janice Abaray, General Engineer, [janice.abaray@dot.gov](mailto:janice.abaray@dot.gov), 404.865.5475

### – DOTs

- TDOT – Cradle-to-Grave, ARRA

- Valencia Williams, Community Planner, [valencia.williams@dot.gov](mailto:valencia.williams@dot.gov), 404.865.5634







# Region IV Office/Partnership

## Mississippi FTA Contacts:

### – UZAs

- Pre Award - Planning, NEPA, Grant Making
  - Abigail Rivera, Community Planner, [abigail.rivera@dot.gov](mailto:abigail.rivera@dot.gov), 404.865.5624
- Post Award - Grant and Project Management, Oversight, ARRA
  - Guanying Lei, General Engineer, [guanying.lei@dot.gov](mailto:guanying.lei@dot.gov), 404.865.5615

### – DOTs

- MSDOT – Cradle-to-Grave, ARRA
  - Valencia Williams, Community Planner, [valencia.williams@dot.gov](mailto:valencia.williams@dot.gov), 404.865.5634





# Region IV Office/Partnership

## Kentucky FTA Contacts:

### – UZAs

- Pre Award - Planning, NEPA, Grant Making
  - Robert Buckley, Community Planner, [robert.buckley@dot.gov](mailto:robert.buckley@dot.gov), 404.865.5618
- Post Award - Grant and Project Management, Oversight, ARRA
  - Jessica Granell, General Engineer, [jessica.granell@dot.gov](mailto:jessica.granell@dot.gov), 404.865.5622

### – DOTs

- KYTC – Cradle-to-Grave, ARRA
  - Robert Buckley, Community Planner, [robert.buckley@dot.gov](mailto:robert.buckley@dot.gov), 404.865.5618





# Questions?





# FTA Guidance and Grant Programs





# Major FTA Guidance

## Hierarchy of Federal Requirements

Statutes

Regulations

Master Agreement

Administrative Guidance





# Major FTA Guidance

## Statutes

- 49 CFR Part 18 (Common Rule)
  - Covers all Federal grant recipients and provides specific latitude for States to follow their own procedures regarding
    - Financial management
    - Equipment management
    - Procurement

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title49/49cfr18\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title49/49cfr18_main_02.tpl)





# Major FTA Guidance

## Regulations

- Federal Transit Laws – 49 USC Chapter 53
  - SAFETEA-LU: Signed by President Bush on August 10, 2005
    - Currently under Continuing Resolution until June 30, 2012
    - <http://www.fta.dot.gov/4421.html>
- Rulemakings
  - Examples: Buy America, Charter Bus, etc.
  - [http://www.fta.dot.gov/legislation\\_law/12316.html](http://www.fta.dot.gov/legislation_law/12316.html)





# Major FTA Guidance

## Master Agreement

- Updated Annually
- Signed with each Grant Execution
- Governs the administration of a Project FTA supports with Federal assistance awarded through a Grant Agreement or Cooperative Agreement with the Recipient
  - SAFETEA-LU: Signed by President Bush on August 10, 2005
    - Currently under Continuing Resolution until June 30, 2012

<http://www.fta.dot.gov/documents/18-Master.pdf>







# Major FTA Guidance

## Administrative Guidance

- Program Circulars
  - Published for each program
  - Grant Management Circular 5010.1D applies where state program circulars are silent
  - [http://www.fta.dot.gov/legislation\\_law/about\\_FTA\\_circulars\\_guidance.html](http://www.fta.dot.gov/legislation_law/about_FTA_circulars_guidance.html)
- Dear Colleague Letters
  - [http://www.fta.dot.gov/legislation\\_law/13719.html](http://www.fta.dot.gov/legislation_law/13719.html)
- Other significant guidance documents
  - [http://www.fta.dot.gov/legislation\\_law/13720.html](http://www.fta.dot.gov/legislation_law/13720.html)
- Federal Register Notices
  - [http://www.fta.dot.gov/legislation\\_law/federal\\_register\\_notices.php](http://www.fta.dot.gov/legislation_law/federal_register_notices.php)





# Questions?





# FTA Grant Programs

## Formula Programs

- 5303, 5304
- 5307
- 5310
- 5311
- 5309
- 5316
- 5317

## Discretionary Programs

- 5308
- 5309
- 5309
- 5311
- 5314
- 5320
- 5339
- 3038





# 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

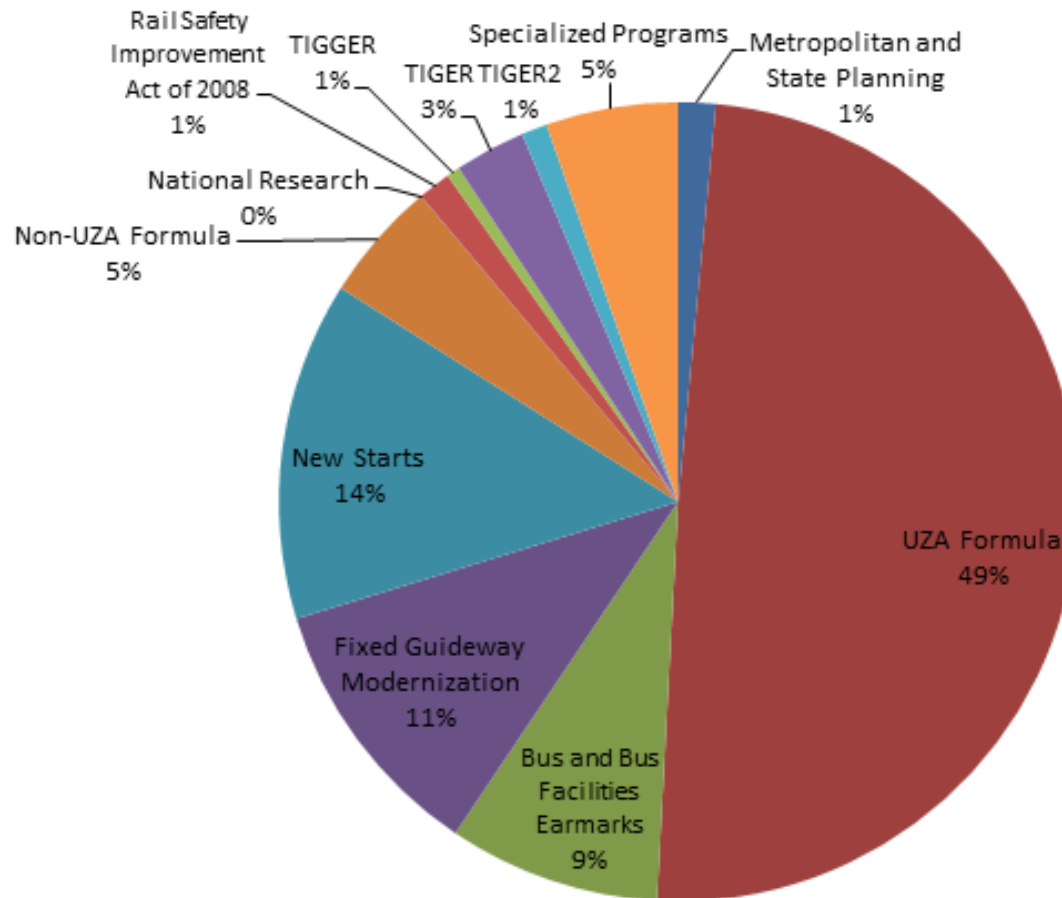
- 5308 Clean Fuels
- 5309 Bus and Bus Facility
  - SOGR
  - Bus Livability
  - Veteran's Initiative
- 5309 New Starts/Small Starts
- 5311 Tribal Transit
- 5314 Research
- 5320 Paul S. Sarbanes Transit in the Parks
- 5339 Alternatives Analysis
- 3038 Over the Road Bus
- TIGGER
- TIGER





# FTA Grant Programs

## FY 2011 Funds Awarded by Program





# FTA Grant Programs

## Section 5303/5304

- 5303 – Metropolitan Planning Program
  - Provides 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

## Section 5307: Urbanized Area Formula

- Purpose:
  - Supports transit service in cities over 50,000 in population.
- Typical grantees:
  - Transit Agencies and Authorities; State for areas 50,000-200,000
- Eligible Expenses
  - Capital, Planning, Operating (<200,000)
- Example Projects:
  - Rolling stock purchases, Facility construction/rehab, security equipment, preventive maintenance
- Circular: FTA C 9030.1D





# FTA Grant Programs

## Section 5311: Non-Urbanized Area Formula

- Purpose:
  - Support public transportation in rural areas, with population of less than 50,000.
- Eligible Subrecipients
  - State or local governmental authority
  - nonprofit organization
  - operator of public transportation or intercity bus service that receives federal transit program grant funds indirectly through a recipient.
- Eligible Expenses
  - Capital, Operating, Administrative expenses
- Example Projects:
  - Rolling stock purchases, operating assistance, program administration
- Circular: FTA C 9040.1F







# FTA Grant Programs

## **Section 5311(f): Intercity Bus**

- Regularly scheduled bus service for the general public which operates with limited stops over fixed routes connecting two or more urban areas not close in proximity, which has the capacity for transporting baggage carried by passengers, and which makes meaningful connections with scheduled intercity bus service to more distant points, if such service is available.





# FTA Grant Programs

## Intercity Bus Requirements

- State required to expend at least 15% of its 5311 apportionment for an intercity bus program, unless:
  - “the chief executive officer of the State certifies to the Secretary of Transportation, after consultation with affected intercity bus service providers, that the intercity bus service needs of the State are being met adequately.”





# FTA Grant Programs

## Intercity Bus Requirements (cont.)

- This certification must have been done within four years after the last statewide intercity mobility assessment was completed
- SMPs must document the consultation process/plans for addressing statewide intercity bus needs





# FTA Grant Programs

## Section 5309: Bus and Bus Facilities

- Purpose:
  - Supplements formula funding for bus and bus facilities in both urbanized and rural areas
- Typical grantees:
  - Current Direct Recipients: Transit Agencies and Authorities, States, Cities and Counties
- Eligible Expenses
  - Capital Only
- Discretionary Programs
  - State of Good Repair
  - Bus and Bus Facilities Livability
  - Veterans Initiative
- Example Projects
  - Rolling stock replacement, facility rehab, one-click/one-call call centers
- Circular: FTA C 9300.1B





# FTA Grant Programs

## Section 5309: New Starts/Small Starts/Very Small Starts

- Purpose:
  - “Fixed Guideway Transit Investments”
- Typical Grantees
  - Public Entities in UZAs
- Eligible Expenses
  - Capital
- Example Projects:
  - Rapid rail, light rail, commuter rail, automated guideway transit, people movers, and exclusive facilities for buses (such as bus rapid transit) and other high occupancy vehicles
- Circular: FTA C 9300.1B





# FTA Grant Programs

## Section 5309: Fixed Guideway Modernization

### Purpose:

- Rail recapitalization of rail systems at least 7 years old
- Typical grantees:
  - Public entities
- Eligible Expenses
  - Capital
- Example Projects:
  - Rolling stock purchases, track improvements, signalization, passenger stations and terminals
- Circular: FTA C 9300.1B





# FTA Grant Programs

## Section 5310: Elderly Individuals & Individuals with Disabilities

- Purpose:
  - Supports cost of special transportation for elderly & people with disabilities
- Eligible Subrecipients:
  - Private non-profit
  - Governmental authorities, when:
    - No non-profits available
    - Approved by state to coordinate services
- Eligible Expenses:
  - Capital (*Pilot: Operating*)
- Example Projects:
  - Vehicle purchase, purchase-of-service, state administration
- Circular: FTA C 9070.1F





# FTA Grant Programs

## Section 5316: Job Access and Reverse Commute (JARC)

- Purpose:
  - Supports transportation for welfare recipients, eligible low-income individuals to and from jobs and activities related to their employment, and reverse commute activities
- Typical grantees:
  - State DOTs and Transit Authorities
    - Subrecipients: public, private non-private, private operators of public transportation
- Eligible Expenses:
  - Capital, Planning, Operating
- Example Projects:
  - Mobility Management,
  - Vehicle purchase and OA for JARC route
- Circular: FTA C 9050.1







# FTA Grant Programs

## New Freedom - 5317

- Purpose:
  - New transportation service to assist individuals with disabilities beyond ADA
    - New Service: Not operational on August 10, 2005 **OR** Did not have an identified funding source on August 10, 2005
- Typical grantees:
  - State DOTs and Transit Authorities
    - Subrecipients: public, private non-private, private operators of public transportation
- Eligible Expenses:
  - Capital and Operating
- Example Projects:
  - Cost of expanding paratransit beyond  $\frac{3}{4}$  mile or current hours
  - Incremental cost of door-to-door or same day service
  - Accessibility improvements
- Circular: FTA C 9045.1





# FTA Grant Programs

## Coordinated Planning

- 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
  - 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)





# FTA Grant Programs

## Program of Projects (POP)

- *A list of Projects to be funded in a grant application submitted to FTA by a State (p. I-3, C 9070.1F & 9040.1F)*
  - Lists:
    - Subrecipients by type (non-profit, public, private, etc)
    - Brief description of the projects
    - Total project cost
    - Federal share of each project
    - For 5311: includes intercity and RTAP projects
      - Also, projects should not exceed 2 years in duration





# FTA Grant Programs

## Program of Projects (POP)

- *Categories of Approval*
  - Category A Projects
    - Met all Federal statutory and administrative requirements
    - Projects have unconditional approval upon grant award
    - Funds can be drawn down immediately following execution
    - Expectation is for most projects to be in this category





# FTA Grant Programs

## Program of Projects (POP)

- *Categories of Approval*

- Category B Projects

- State expects these projects to have met all Federal requirements during the current year
- Examples:
  - Project still needs NEPA approval (usually concurrence of DCE)
  - Pending TIP/STIP
  - Local match issues
- When State determines requirements have been met approval of project becomes unconditional and project can be advanced to Cat. A
- Drawdowns can begin once project has been shifted to Cat. A





# FTA Grant Programs

## Program of Projects (POP)

- *Categories of Approval*

- Category C Projects

- Program Reserve to accommodate unanticipated program needs
- Optional
- Established to allow states to obligate entire apportionment at one time, even if all projects have not been identified at grant time
- No more than 10% of grant
- Should not exceed amount the state can reasonably expect to allocate to new projects within the next 12 months
- Must be allocated to specific projects within period of availability of funds
- When projects are selected, States must notify FTA and update POP





# FTA Grant Programs

## Program of Projects (POP)

- *Revisions to the POP NOT Requiring FTA Notification or Approval*
  - Deleting a project from the POP if the project cost is less than \$250,000 or 10 percent of the total of the POP, whichever is greater;
  - Advancing Projects from Cat. B to Cat. A provided all Federal requirements met
  - Allocate Cat. C funds to existing projects as long as funds are within period of availability
  - **Reallocate funds within approved POP among approved projects**
  - Add equipment or property transferred between subrecipients listed in POP
  - Transfer funds between intercity bus projects within the POP\*\*
  - Transfer funds between RTAP projects within the POP\*\*





# FTA Grant Programs

## Program of Projects (POP)

- *Revisions to the POP Requiring FTA Notification, but not Approval*
  - Allocate Cat. C funds to new projects under \$250k within period of availability.
  - **Create new projects under \$250k with funds taken from other projects in POP.**
  - Delete or reduce a project by more than \$250k or 10% of POP







# FTA Grant Programs

## Program of Projects (POP)

- *Revisions to the POP Requiring FTA Approval*
  - Allocate more than \$250k or 10% of total POP for any new capital project
  - Advance to Cat. A any prospective subrecipient with serious compliance questions
  - Advance to Cat. A any project with the acquisition of a property with a value over \$250k
  - Advance to Cat. A any project that does not meet NEPA for a listed CE
  - **Alter intercity bus projects if the change would result in less than 15% of annual apportionment being designated for intercity projects\*\***





# FTA Grant Programs

## Program of Projects (POP)

- *Revisions to the POP & TEAM Budget Revisions*
  - State should enter a budget revision in TEAM for any changes that affect budget line items
    - Should follow Budget Revision guidance: “Budget Revision #1 – 1/31/11: (Explanation of Change)”
- *Updates to POP*
  - Most recent POP should be submitted to FTA with annual FFR or as revisions are made.





# FTA Grant Programs

## Research & Demonstration Programs

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





# FTA Grant Programs

## 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





# FTA Grant Programs

## 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.





# Questions?





# Guidance Update

## Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21)

- \$10.6 B in FY13
- \$10.7 B in FY14
- Takes Effect October 1, 2012 (FY2013)
  - Full FY12 Apportionment published:  
[http://www.fta.dot.gov/12308\\_14615.html](http://www.fta.dot.gov/12308_14615.html)
  - Managed under existing law (SAFETEA-LU)





# Guidance Update

## MAP-21 Highlights

- Safety
  - FTA granted new authority to strengthen safety in public transit
- State of Good Repair
  - New needs-based formula program
- Formula Program Consolidation & Elimination
  - New SOGR Program (5337): Replaces Fixed Guideway Mod.
  - New Bus and Bus Facilities Program (5339): Replaces 5309 Bus Discretionary Program
  - 5310 & 5317 merged
  - Bus Discretionary, AA, Clean Fuels, Transit in the Parks, and OTRB all end.
- New Starts Streamlining
- [www.fta.dot.gov/map21](http://www.fta.dot.gov/map21)







# Guidance Update

## Carryover/Lapsing Balances

- Apply for oldest balances first
- Carryover balances need to be reprogrammed in current STIP
- Revised Split Allocation Letters needed from State
- Transfer requests (to other programs or to direct recipients) need to be done in advance
- Best Practice: Application schedule
- Lapsing balances by State





# Guidance Update

## Fuel Provision

- NOT additional funding
- Funds must be obligated by September 30, 2012
- Federal planning requirements will apply and require coordination with MPOs for programming of these funds for the correct purpose.
- Procurements with these 5307 funds must comply with Federal procurement requirements and include all applicable Federal procurement clauses.

<http://www.gpo.gov/fdsys/pkg/FR-2012-04-12/pdf/2012-8853.pdf>





# Guidance Update

## LAPSING Deadlines

Region IV lapsing grant deadline for submission to DOL:

- *May 31, 2012*

Region IV lapsing grant deadline for non-DOL applications:

- **July 31, 2012**





# Guidance Update

## 2010 Census

- FY 2012 formula allocations based on 2000 Census data and designations.
- The 2010 Census UZA designations and populations will be used for FTA formula funds no earlier than FY 2013.
- Census released its list of Urbanized Areas (UZAs) in March <http://www.census.gov/geo/www/ua/2010urbanruralclass.html>.
- FTA published a summary of potential impacts – [http://www.fta.dot.gov/grants/12853\\_12408.html](http://www.fta.dot.gov/grants/12853_12408.html)
- FTA is currently working on guidance to assist current small UZAs designated as large UZAs due to the 2010 Census.





# Guidance Update

## 2010 Census

- TN, MS, KY New Large UZAs:
  - Huntington, WV-KY-OH
- TN, MS, KY New Small UZAs:
  - None!





# Guidance Update

## 2010 Census

| List of Urban Clusters Absorbed into Large UZAs |                              |                     |                       |                                     |
|---|------------------------------|---------------------|-----------------------|-------------------------------------|
| State   | 2000 Urban Cluster (UC) Name | Population Absorbed | % Population Absorbed | Name of UZA that Absorbed the UC    |
| KY  | La Grange, KY                | 11,314              | 91%                   | Louisville/Jefferson County, KY--IN |
| KY  | Georgetown, KY               | 1,311               | 5%                    | Lexington-Fayette, KY               |
| MS  | Langford, MS                 | 20,967              | 97%                   | Jackson, MS                         |
| MS  | Hernando, MS                 | 9,927               | 96%                   | Memphis, TN--MS--AR                 |
| MS  | Richland, MS                 | 9,106               | 89%                   | Jackson, MS                         |
| TN  | Oak Ridge, TN                | 38,948              | 96%                   | Knoxville, TN                       |
| TN  | White House, TN              | 8,281               | 98%                   | Nashville-Davidson, TN              |
| TN  | Loudon, TN                   | 4,579               | 99%                   | Knoxville, TN                       |
| TN  | Tellico Village, TN          | 3,957               | 100%                  | Knoxville, TN                       |
| TN  | Clinton South, TN            | 3,209               | 94%                   | Knoxville, TN                       |



# Guidance Update

## FY 2012 Discretionary Funding

- Additional \$900M of Discretionary programs for FY 2012.
- FY 2012 budget does not fund a 4<sup>th</sup> round of TIGGER
- Continued support for Military Veterans (VTCLI II)





# Guidance Update

## FY 2012 Discretionary Funding

| Discretionary Program   | Available Amount (Millions) | NOFA Publication Date | Application Due Dates | Expected Announcement           |
|-------------------------|-----------------------------|-----------------------|-----------------------|---------------------------------|
| SGR                     | \$650                       | Feb. 7, 2012          | 3/22/2012             | July                            |
| Livability              | \$125                       | Feb. 7, 2012          | 3/29/2012             | Late July                       |
| Veterans Transportation | \$25                        | Feb. 7, 2012          | 4/19/2012             | July 2, 2012                    |
| Clean Fuels Bus Program | \$1.5                       | Feb. 7, 2012          | 4/5/2012              | Expected during the late summer |
| Alternatives Analysis   | \$25                        | 3/12/2012             | 4/19/2012             | Summer                          |
| Tribal Transit          | \$15                        | 3/9/2012              | 5/10/2012             | Late Summer                     |







# Questions?





# 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/nepaeqia.htm>
- Earth Day on April 22, 1970





# ACRONYMS 101

- NEPA
- CEQ
- EIS
- CE
- NOI
- MOS
- STIP
- MPO

- NGO
- SHPO
- ACHP
- AE
- PE
- CN
- EA
- NIMBY
- CFR

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





# 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)
- 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

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





# 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





# NEPA Classes of Action

## Class I - EIS

- Significant environmental impacts present
- Two stages: DEIS and FEIS
- 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





# NEPA Classes of Action

## Class II - EA

- What constitutes an EA?
  - Significance of environmental impacts is not clearly established
- 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





# NEPA Classes of Action

## Class III - EA

- Finding of No Significant Impact (FONSI)
  - Separate “environmental document”
  - Sponsors prepares/FTA reviews and approves
  - Present 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!





# NEPA Classes of Action

## Class II - CE

- What is a CE?
  - Actions that do not individually or cumulatively have a significant effect on the human environment
- 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
  - Significant air, noise, or water quality
  - Impacts on travel patterns
  - Any other significant impacts, cumulatively or individually





# NEPA Classes of Action

## Class II - CE

- 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





# NEPA Classes of Action

## Class II (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







# NEPA Classes of Action

## Class II (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





# NEPA Classes of Action

## Class II - CE

- 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)
- State Review/Approval Process discussion
- **See DCE Checklist Handout**





# 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





Federal Transit  
Administration

# Real Estate/Transit Facilities





# Process

- Feasibility Study
- NEPA
- Appraisal
- Review Appraisal
- Just Compensation Determination
- FTA Concurrence (if required)
- Offer
- Joint Development/Incidental Use





# Real Estate/Transit Facilities

## Feasibility Study

- Must be a planning basis for all projects
  - Vary in level of detail based on the size/type of facility
    - Transfer Facility or Transportation Center
    - Maintenance and Administrative Facilities
    - Park and Ride Facilities





# Real Estate/Transit Facilities

## Feasibility Study

- 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







# Real Estate/Transit Facilities

## NEPA

- 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/CONCURRED** by FTA prior to grant award/construction
- How the State DOT's can assist





# Real Estate/Transit Facilities

- 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)





# Real Estate/Transit Facilities

## Appraisals

- Appraisers
  - Must be certified or licensed with a State Appraisal Board (internal staff may be exempt)
- Requirements
  - Expire in 6 months in active market
  - If not updated, must provide justification for why
- Exceptions (Contact FTA for further guidance)
  - Property being donated
  - No authority to acquire via eminent domain
  - Voluntary acquisition
  - Valuation uncomplications; \$10,000 or less in fair market value
- State subrecipients may use State staff appraisers to prepare required independent appraisals.





# Real Estate/Transit Facilities

## Review Appraisals

- Determine the soundness of value estimate – technical analysis of the appraisal, NOT only an administrative review
- Requirements
  - Review Appraiser prepares a written report identifying each appraisal as:
    - Recommended (as basis for the establishment of amount for just compensation)
    - Accepted (meets requirements, but not selected as recommended or approved)
    - Not Accepted





# Real Estate/Transit Facilities

## Just Compensation

- Must be established by an employee of the DOT/transit agency (not by contractor)
- Requirements
  - Review Appraiser prepares a written report identifying each appraisal as:
    - Recommended (as basis for the establishment of amount for just compensation)
    - Accepted (meets requirements, but not selected as recommended or approved)
    - Not Accepted





# Real Estate/Transit Facilities

## FTA Concurrence

- Required if:
  - Recommended offer of just compensation exceeds \$500,000
  - Any amount if property is used as in-kind or local match
    - Property must be related to the project (i.e. property the facility will be constructed upon)
- Concurrence Process
  - Submit appraisal and review appraisal documentation to FTA Region IV.
  - Region IV will forward to HQ Real Estate Office for review
  - FTA will issue concurrence letters if amount approved
- If not required:
  - Grantee is required to maintain a parcel file with all pertinent documentation





# Real Estate/Transit Facilities

## Offer

- DO NOT DISCUSS PRICE WITH SELLER UNTIL ESTABLISHMENT OF JUST COMPENSATION
  - If FTA sees any indication that a price was discussed prior to just compensation, concurrence WILL NOT be issued





# Real Estate/Transit Facilities

## Joint Development/Incidental Use

- FTA policy to permit grantees maximum flexibility in determining best and most cost-effective use of FTA-funded property
- Incidental use and joint development of real property can raise additional revenues and enhance ridership
  - Incidental Use: authorized non-transit use of FTA-funded real estate
  - Joint Development: involves the common use of property for transit and non-transit purposes (i.e. Transit-oriented development)  
[http://www.fta.dot.gov/about\\_FTA\\_11009.html](http://www.fta.dot.gov/about_FTA_11009.html)
- Considerations
  - Applies to property needed and used for FTA project or program.
  - Must not compromise safe conduct of intended public transit purpose
  - Must not interfere with grantee's continuing control over property
  - Proceeds should be based on market rents and used for transit purposes.
    - Cannot be used as local share on grant from which it was derived
  - Non-profit use also permitted







# Real Estate/Transit Facilities

## Disposition

- Must follow appraisal/review appraisal process
- Proceeds from disposition can be used to offset cost of replacement property
- Disposition Methods
  - Sell and Reimburse FTA
  - Offset
  - Sell and use proceeds for other capital projects
  - Sell and keep proceeds in open project
  - Transfer to public agency for non-transit use
  - Transfer to other project
  - Retain title with buyout
  - Sales Procedures
  - Joint Development





# Real Estate/Transit Facilities

## TIP/STIP

- 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 Construction of facility unless NEPA is complete)



# Questions and Answers





# TEAM Training





# TEAM Training

## TEAM Terms

- ALI
- EBD
- PD
- MPR
- FFR
- POP
- DOL
- BR
- FPC
- Scope
- Program Date/Page
- Useful life
- Milestone
- Environmental Finding
- "Other" Budget
- Spare Ratio
- Closeout
- SMP
- TEAM





# TEAM Training

## TEAM Terms

- *Activity Line Item:* The description and dollar amount contained in the budget for an approved grant activity associated within a particular scope
- *Extended Budget Description:* In depth explanation of project funded in ALI
- *Project Details:* General overview of projects contained in grant
- *Milestone Progress Report:* Quarterly report to describe progress on grant projects contained in ALIs
- *Federal Financial Report:* Quarterly report to provide financial status of grant
- *Program of Projects:* list of projects to be funded in a grant application by DR
- *Department of Labor:* Reviews 5307, 5309, and 5316 Grants for labor issues
- *Budget Revision:* Any change within the scope that has impact on budget allocations of the original grant.
- *Financial Purpose Code:* Specifies year of funding and use of funds in FTA financial systems
- *Scope:* Broad purpose or objectives of grant
- *Program Date/Page:* Refers to TIP/STIP/UPWP
- *Useful life:* Expected lifetime of project property
- *Milestone:* A specific, dated goal associated with an ALI
- *Environmental Finding:* A specific environmental determination on an ALI
- *Spare Ratio:* the # of spare vehicles divided by the vehicles required for annual maximum service
- *Closeout:* All grant activities completed and federal funds have been expended.
- *State Management Plan:* document that describes the State's policies and procedures in administering FTA programs
- *Transportation Electronic Award Management System*





# TEAM Training

## Basic TEAM Navigation

- Recipient Information Screens
- Application Query
- Report Queries
- TEAM Help





# TEAM Training

## Common TEAM Comments

- Updated for FY2012
  - [http://www.fta.dot.gov/region4\\_12434.html](http://www.fta.dot.gov/region4_12434.html)







# Grants: Pre-Award

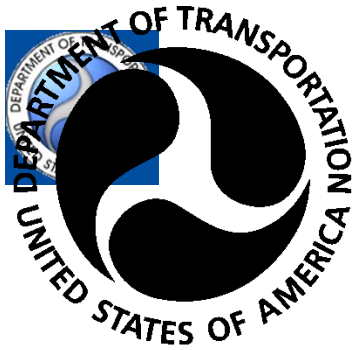
- Grant Exercise #1!





# Questions?





Federal Transit  
Administration

# Grants (Pre-Award)





# Grants: Pre-Award

## Grant Development Process

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





# Federal Legislation





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

- August 10, 2005
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) (Pub. L. 109-59)
- Provided \$286.4 billion in guaranteed funding for federal surface transportation programs over five years through FY 2009
  - \$52.6 billion for federal transit programs
  - 46% increase over transit funding guaranteed in TEA-21





# SAFETEA-LU Metropolitan Planning

- The metropolitan planning process establishes a cooperative, continuous, and comprehensive framework for making transportation investment decisions in metropolitan areas.
- Program oversight is a joint Federal Highway Administration/Federal Transit Administration responsibility.





# Metropolitan Planning Organizations (MPOs)

- “The policy board of an organization created and designated to carry out the metropolitan transportation planning process.” (23 CFR Part 450.104)
- 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.
- Cooperatively develop, update, and approve:
  - Unified Planning Work Program
  - Long Range Transportation Plan
  - Transportation Improvement Program
  - *Public Participation Plan*
  - *Congestion Management System (over 200,000)*
- Transportation Management Areas (TMA) are MPO’s over 200,000
  - Joint FHWA/FTA Federal Certification every 3 or 4 years







## Required Statewide/Metropolitan Planning Products affecting FTA Grants

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





# Unified Planning Work Program (UPWP)

- The metropolitan area's 1-2 year program of planning activities
  - Transit studies
- Clarifies the tasks the MPO will undertake to meet their planning requirements
- Identifies sources of funding, schedules and responsible agencies
- Federally approved in TMA's





# Long Range Transportation Plan

- Identifies transportation needs for the metropolitan area
  - 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
- 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
  - Not federally approved but federally required to be updated





# Transportation Improvement Program (TIP)

- Projects must be derived from the LRTP
- Identifies priority projects for the metropolitan area 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 year and funding source
- Must be fiscally constrained, meaning proposed expenditures do not exceed projected resources





# Statewide Transportation Improvement Program (STIP)

- Includes MPO TIPs, Federal Lands TIPs, Regionally significant projects, Tribal TIPs, and RPO TIPs, if applicable
- Identifies statewide priorities for transportation projects
- Must be fiscally constrained
- Must be updated at least every 4 years
- 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?
- Is your project identified in a federally approved UPWP, if applicable?





# Grant Development





# 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**





# Grant Development

## TEAM Training

- New and Improved TEAM Training is here!
- Utilizing webinar technology for more consistent training throughout Region IV
- Training has been a success thus far; great feedback!
- Next Training is Monday, April 23 (see link on Region IV website)
- Robert Buckley, Community Planner,  
robert.buckley@dot.gov, 404-865-5618





# Grants: Pre-Award

- Grant Exercise #2!





# Questions and Answers





Federal Transit  
Administration

# Grants (Post Award)





# Post-Award Activities

- Areas of Responsibility
  - Program Management
  - Grant Administration
    - Budget Revisions/Amendments
    - Inactive grants 95% - 100%
    - Grant Close-outs
  - Project Management
  - Financial Management
  - Asset Management
  - Lobbying - Charter Bus
  - Americans With Disabilities
  - Grants Management





# Program Management

- Each state is required to have and submit State Management Plans for 5310, 5311, 5316, & 5317
- Assessment of Sub-recipients:
  - Eligibility
  - Technical Capacity
  - Financial Capacity
- Project Selection and Eligibility
- Written Agreements with Sub-recipients
- Monitoring Sub-recipients – Frequency & Areas Covered





# Grant Administration

## Grant Administration Responsibilities

- Develop Annual Program of Projects
- Reporting
  - FFR/MPR & FFATA Reports
  - NTD, Civil Rights, Drug and Alcohol
  - A-133 Audits per OMB Circular
- Budget Revisions, POP updates (Cat C projects)
- Grant Closeouts







# Grant Administration

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

- Budget revisions are generally changes to ALIs amounts (move funds between existing ALIs) .
- Budget revisions are allowed if there is no change in the Grant Purpose, Scope Codes, and Federal funding
- To submit budget revisions in TEAM use the “Revise Project Budget” screen
- 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 Administration

## Grant Amendments

- 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

## Inactive Grants (>18 months without activity)

FTA may request to be de-obligated and the grant closed out

## 95% - 100% Disbursed Grants

Provide a close out schedule when the expended funds reach 95%. Close out grants when reached 100% disbursement and not later than 90 days.





# Grant Administration

## Grant Close-Outs

- FTA may unilaterally initiate grant closeout
- Follow TEAM's Closeout Process. 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.
- All financial, programmatic records and supporting documentation must be retained for a period of 3 years.





# Project Management

## Rolling Stock Projects (DOTs & Subgrantees)

- Developing bid documents (specifications, solicitation/contract terms and conditions)
- Soliciting and receiving bids or proposals
- Evaluating responses, determining responsiveness, responsibility and selecting a contractor
- Conducting pre-award audits for compliance with Buy America, Federal Motor Vehicle Safety Standards (FMVSS), and purchaser's requirements





# Project Management

## Project Management Responsibilities Construction Projects

- Conduct Project Management and Oversight of Facility Rehab and Construction Projects
- Reviewing the request for proposals and construction contract documents
- Conducting periodic site inspections/meetings
- Withholding payment of a portion of the grant until final inspection and acceptance of the facility by the state





# Financial Management

State must demonstrate the ability to match and manage FTA grants, expend FTA funds on eligible activities, and conduct and respond to audits





# Financial Management

- Financial Capacity
  - State's 3-5 Yr Financial Plan Transit Program
  - State & **Local** match
- Financial Management
  - Indirect Costs: Indirect Cost Allocation Plans (ICAP)
  - Cognizant Agency & Sub-Grantee ICAP
- Funds Management
  - ECHO Drawdowns & Supporting Documentation and 3-day rule
- Audits/Reviews A-133 for subrecipients that expend \$500,000 or more in Federal awards in a fiscal year





# Asset Management

## Asset Management Responsibilities

State must maintain control over real property, facilities, and equipment and ensure they are used in transit service and in good operating order.







# Asset Management

- Real Property
  - Use for project purposes.
  - Incidental use require prior FTA concurrence
  - Property Disposition require prior FTA concurrence
- Equipment
  - Oversee the use of Federal Funded Rolling Stock
  - Follow State Useful Life Standards
- Maintenance
  - To Develop Adequate Maintenance Plans (facilities) and Requirements to Protect Federal assets (e.g. Oil/filter changes etc.)





# Lobbying-Charter

**Lobbying:** Recipients of Federal grants and contracts exceeding \$100,000 must certify compliance with restrictions on lobbying.

**Charter:** Transportation provided at the request of a third party for the exclusive use of a bus or van for a negotiated price. Transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration and:

- a. A premium fare is charged that is greater than the usual or customary fixed route fare or
- b. The service is paid for in whole or in part by a third party.





# Americans With Disabilities Act

- Procedures for responding and tracking complaints
- Vehicle Accessibility: Certification of equivalent service from Section 5311 sub-recipients that acquire non accessible vehicles for demand responsive service
- Any new facility to be used in providing public transportation services must be accessible
- Intercity Bus: New buses purchased or leased by large operators (Class I carriers) must be accessible





# Questions





# FTA Reporting





# Reporting

- Performance (5310-5316-5317)
- Federal Financial Reports (FFR) & Milestone Progress Reports (MPR) TEAM
- Civil Rights Reports
- National Transit Database (NTD)
- Annual Single Audit (A-133)
- FFATA
- ARRA





# Reporting

## Section 5310, 5316 and 5317 annual reporting and Performance Reporting Requirements

- Government Performance and Results Act of 1993 (GPRA)

Includes:

1. Section 5310 Performance measures
2. Section 5316 Program measures
3. Section 5317 Program measures





# Reporting

## Section 5310 Performance Measures

- Performance Measures
  1. Gaps in Service Filed
  2. Ridership (One Way Trips)
- Due on an Annual basis (October 31) Covering the Previous Fiscal Year







# Reporting

## Section 5316 Program Measures

- Performance Measures
  1. Actual or estimated number of jobs accessed by the JARC Projects in the Geographical area Covered
  2. Actual or estimated number of rides (One Way Trips) provided





# Reporting

## Section 5317 Program Measures

- Performance Measures
  1. Services that impact availability of transportation for individuals with disabilities
  2. Additions or changes to environmental infrastructure as a result of the projects implemented in the reporting year
  3. Actual or estimated number of rides (one-way trips)





# Reporting

## Section 5310, 5316 & 5317 References

- Section 5310 Performance Measures  
FTA C9070.1F Chapter VI part 17(a)
- Section 5316 Program Measures  
FTA C9050.1 Chapter VI part 16(d)
- Section 5317 Program Measures  
FTA C9045.1 Chapter VI part 16(c)





# Federal Financial Reports (FFRs)





# Federal Financial Report (FFRs)

NOTE: New FFR Form

←  
What should be reported here?



# Federal Financial Reports (FFRs)

Grantee Comments Here

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





# 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)







# Milestone/Progress Reports (MPRs)

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.





# 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.





# 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 (Rebecca Rand)





# 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





# Annual Single Audit (A-133)

Applies to Grantees 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 months of the end of grantee's fiscal year.
  - If no FTA findings, submit copy of clearinghouse transmittal forms (SF-SAC) to Regional office
  - If FTA findings, submit entire report and copy of clearinghouse transmittal forms (SF-SAC) to Regional office





# Federal Funding Accountability and Transparency Act (FFATA)

- FFATA Sub-award Reporting System (FSRS)
- Public Domain [www.USASpending.gov](http://www.USASpending.gov)
- Grants awarded after October 1, 2009
- Just first tier sub-recipients (not vendors/third party contracts)
- Deadline to report is the end of the month after the grantee makes a sub-award (not the end of the month after FTA awards the grant – unless the grantee gave pre-award authority to subs, or awards the sub-awards the same month)





# Federal Funding Accountability and Transparency Act (FFATA)

## FFATA Reporting Procedures

- Direct recipients must register on-line to use the [www.FSRS.gov](http://www.FSRS.gov) reporting site using a valid DUNS and current CCR registration.
- Sub-recipients must also have DUNS, but are not required to register in CCR.
- The direct recipient must report the information about each first tier sub-award over \$25,000.







# Federal Funding Accountability and Transparency Act (FFATA)

## FFATA Resources

- Information and training materials about FFATA sub-award reporting and FSRS are posted on [www.USASpending.Gov/news](http://www.USASpending.Gov/news).

(Add your email address under the “What’s New” Section To receive new information on changes and updates)

- Information and reporting guidance on FFATA Subaward Reporting System (FSRS) at: [www.FSRS.GOV](http://www.FSRS.GOV)





# ARRA

- Reporting Requirements
- Grants Management
- Guidance and Resources

**FTA Target Date to Complete  
ARRA Grants  
September 30 2013**





# ARRA Reporting Requirements

- ARRA Sec. 1201(c) – Last Report Completed Feb 2012
- ARRA Sec. 1512 – Initial submission due on the 10<sup>th</sup> day after the reporting period (Last Cycle was due on Jul 14) please check for extended reporting period:  
[www.federalreporting.gov](http://www.federalreporting.gov)
- TEAM Quarterly Reports: FFR and MPR -due within 30 days after the end of each quarter





# 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.
  - Cost Savings Documentation must be included in the TEAM grant file (e.g. :attach final invoices to show savings).

**Complete ARRA Grants for Closeout by  
September 30, 2013**

Note: FTA will be contacting you to verify expenditures and burn rate projections





# Guidance and Resources

## Other Resources

- 5010.1D Grant Management Requirements

[http://www.fta.dot.gov/documents/C\\_5010\\_1D\\_Final pub.pdf](http://www.fta.dot.gov/documents/C_5010_1D_Final_pub.pdf)

- Master Agreement

<http://www.fta.dot.gov/documents/15-Master.pdf>

- National Transit Database

<http://www.ntdprogram.gov/ntdprogram/Glossary.htm>





# Questions?





Federal Transit  
Administration

# Legal/Civil Rights





# Legal and Civil Rights Agenda

## Agenda

- Legal
  - Certs and Assurances
  - Master Agreement
  - Buy America
  - Charter Bus Regulation
- Civil Rights
  - Title VI
  - EEO
  - DBE
  - ADA







# Certs and Assurances

## Certifications and Assurances

- Annual certification requirement to receive FTA funding.
- Certs and Assurances must be pinned in TEAM 90 days from the date of publication before FTA can provide funding.
- Requires two signatures (authorizing official and attorney).
- [http://www.fta.dot.gov/12825\\_14035.html](http://www.fta.dot.gov/12825_14035.html)





# Master Agreement

## Master Agreement

- Contains standard terms and conditions governing the administration of a project funded by FTA.
- Not every provision of the agreement applies to every project which FTA funds.
- Master Agreement is applicable when Grantees execute the grant(s).
- <http://www.fta.dot.gov/documents/17-Master.pdf>





# Buy America

## Buy America Requirements

- FTA requirement to purchase American made products over \$100,000
- Steel, Iron and Manufactured products – 100%
- Rolling Stock – 60% (manufactured and assembled)
- Exempt: ITS, Micro-purchases
- Currently FTA is not providing any Buy America waivers
- [http://www.fta.dot.gov/legislation\\_law/12921.html](http://www.fta.dot.gov/legislation_law/12921.html)





# Charter Regulations

## Charter Bus Regulations

- FTA Rules and Regulations established to ensure FTA grantees operate and compete properly with third-party charter bus operators.
- Final Charter Rule published on October 1, 2008.
- Exemptions and Exceptions
- [http://www.fta.dot.gov/legislation\\_law/12922.html](http://www.fta.dot.gov/legislation_law/12922.html)





# Civil Rights

- FTA has put an increased emphasis on assuring compliance with all civil rights regulations.
- Having all required civil rights programs (Title VI, EEO, and DBE Program and Goal) on file and approved are pre-requisites to funding.

Increased emphasis means:

- programs are uploaded in TEAM
- reviews are more in-depth
- reviews are followed-up with a letter from TCR indicating review determination, and any corrections needed





# Civil Rights

- 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)





# Civil Rights – Title VI

- **TITLE VI PROGRAM** – Applies to All FTA Recipients
  - Expires every 3 years from due date (not date of approval)
  - MPO submits a Title VI program every 4 years
  - Remember to submit a service and fare equity analysis **BEFORE** you institute a change





# Civil Rights - EEO

- EQUAL EMPLOYMENT OPPORTUNITY (EEO) PROGRAM

❖ Does it apply to you?

FTA recipients with 50 or more transit-related employees

**AND**

- (1) received \$1 million or more in capital or operating assistance

**OR**

- (2) received \$250,000 or more in planning assistance during the previous fiscal year







# Civil Rights - DBE

## DBE Goal and Program

DBE applies to FTA recipients receiving planning, capital and/or operating assistance who will award contracts exceeding \$250,000 in FTA funds in a Federal fiscal year (excluding vehicle purchase and internal expenses, i.e. planning).

The DBE Program is different from the DBE Goal grantees submit every three years.

- The DBE Goal anticipates contracts with FTA funds and the availability of DBEs to perform work on FTA-assisted contracts.
- The DBE PROGRAM describes how the agency implements the program or carries out its DBE efforts.





# Civil Rights - DBE

- Two New Components:
  - Fostering Small Business
  - Monitoring and Enforcement

All grantees must have made these revisions to their DBE PROGRAM and submitted the Program in its entirety to FTA by February 28, 2012.





# Civil Rights - ADA

For questions or concerns regarding public transportation for persons with disabilities:

**Call the FTA Civil Rights ADA Assistance Line (toll free)**

**1-888-446-4511**

**Relay Service: 1-800-877-8339**

Leave a message and your questions or concerns will be addressed by a member of the FTA ADA Team.

**Or**

- **Email the FTA ADA Team: [FTA.ADAAssistance@dot.gov](mailto:FTA.ADAAssistance@dot.gov)**





# U.S. Department of Transportation Federal Transit Administration

## FTA Procurement





# Key Regulations and Guidance

- Regulations
  - 49 CFR Part 18
- FTA Master Grant Agreement
- Circulars
  - FTA C 4220.1F (Rev 4/2009)**  
Third Party Contracting Guidance
    - FTA C 5010.1D





# FTA Circular 4220.1F (Rev 4/2009)

## Applicability

### Where it Applies:

- With *limited exceptions*, FTA's Master Agreement reflects FTA and the recipient's agreement that FTA's third party contracting circular will apply to its third party contracts.
- FTA Grantees and Sub-grantees that contract with third party sources for projects funded with FTA grants





# FTA Circular 4220.1F (Rev. 04/2009)

## Applicability For:

- All 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.





# FTA Circular 4220.1F (Rev 4/2009)

## Applicability

### Where it does not Apply:

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







# FTA Circular 4220.1F (Rev 4/2009)

## Disclaimer:

*FTA reserves the right to decline to participate in the costs of third party procurements that fail to comply with Federal laws, regulations, or the terms of the recipient's underlying grant or cooperative agreement.*





# System-Wide Policies

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

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





# 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 if 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.





# Key Principle of Federal Procurement Regulations: Full and Open Competition





# Recipient's Responsibilities

- *The Common Grant Rules provide that recipients and subrecipients will use their own procurement procedures that comply with applicable State and local laws and regulations, and also comply with applicable Federal laws and regulations.*
- *FTA expects each recipient to self-certify that its procurement system complies with Federal requirements for any FTA assisted third party contract the recipient undertakes and administers.*





# Recipient's Responsibilities

- The Common Grant Rule for non-governmental recipients requires the recipient to have written procurement procedures, and by implication, *the Common Grant Rule for governmental recipients requires written procurement procedures as a condition of self-certification.*
- *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)*



# 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.

A clear statement describing the Basis of Award





# 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*

A Third Party Contract is: An agreement with a vendor or contractor, including procurement by purchase order or credit card financed w/Federal assistance awarded by FTA

- 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)







# Independent Cost Estimate (ICE)

FTA Circular 4220.1F, Para 6 provides that: *...The method and degree of analysis is dependent on the facts surrounding the particular procurement situation, but as a starting point, grantees must make independent estimates before receiving bids or proposals.*

- It ensures a clear basis for the grantee's determination that the benefits of the procurement warrant its cost;
- It provides essential procurement and financial planning information; and
- It provides a basis for price analysis, which may assist in obviating the need for a more burdensome cost analysis.





# Federal Clauses

## **FTA Master Grant Agreement Includes :**

A current but not all inclusive and comprehensive list of statutory and regulatory requirements applicable to grantee procurements (such as Davis-Bacon Act (DBA), Disadvantaged Business Enterprise (DBE), Clean Air, and Buy America). Grantees are responsible for evaluating these requirements for relevance and applicability to each procurement

Incorporated by reference to projects supported with Federal assistance, however procurement documents must include each one of the applicable clauses

## **Basic Requirements (FTA C 4220 1F Appendix D)**





# Federal Clauses

## All Federally assisted Procurements regardless of type:

- No Government Obligation to Third Parties
- False Statements or Claims/Civil & Criminal Fraud
- Access to Records & Reports
- Federal Changes
- DBE
- Incorporation of FTA Terms
- Energy Conservation
- ADA Access

## Federally assisted Procurements over \$100k regardless of type:

- Resolution of Disputes, Breaches, or Other Litigation
- Lobbying
- Clean Air
- Clean Water





# Federal Clauses

## Other Clauses

- Buy America: Revenue Rolling Stock, Construction & Supplies >\$100k
- Debarment & Suspension All Procurements > \$25K
- Prompt Payment: All procurements meeting the DBE Program Requirement Threshold





## OTHER THAN FULL and OPEN COMPETITION

- The Common Grant Rule for governmental recipients, acknowledges that under certain circumstances, a recipient may conduct procurements without providing for *full and open competition*
- You may use “noncompetitive proposals” only when the procurement is inappropriate for small purchase procedures, sealed bids, or competitive proposals
- If the recipient decides to solicit an offer from only one source, the recipient must justify its decision adequately in light of the standards of subparagraph 3.i(1)(b), Chapter VI, C4220.1F. ***FTA expects this sole source justification to be in writing***





# Sole Source Justification

- Tell the story:
  - Brief History of organization (e.g. mission, customer base)
  - Describe “need” and circumstances surrounding condition
  - Explain circumstances driving sole source\*  
(Inadequate competition, only one source, emergency)
    - Highlight “Impact” if not rectified (urgency)  
(Failure to provide service, loss of revenue, etc.)
  - How you will avoid next time and/or w/b competed next time
  - Must be supported by a Cost Analysis

*\*Upon receiving a single bid or proposal, if the competition can be determined adequate the procurement will qualify as a valid sole source.*





# 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:

- Looks into the cost elements (i.e., labor hours, overhead, materials, etc.) and profit.
- 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





# CONTRACT AWARD

## 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*







# Contract Award Considerations

- Central Contractor Registration (CCR)
- Debarred / Excluded Parties List (EPLS)
- Responsible Contractor
  - Financial
  - Past Performance
  - Credit Rating
    - Dun & Bradstreet





# CHANGES

- FTA reserves the right to review the recipient's supporting documentation as necessary to determine the extent of FTA assistance that may be used to support costs associated with any changes in the contract.
- The cost of the change, modification, change order, or constructive change must be allowable, allocable, within the scope of its grant or cooperative agreement, and reasonable for the completion of project scope.
- Cardinal Change: When the recipient requires an existing contractor to make a major change to its contract that is beyond the scope of that contract.





# OVERSIGHT

- **TRIENNIAL REVIEWS (TR)**
- **STATE MANAGEMENT REVIEWS (SMR)**
- **FINANCIAL MANAGEMENT REVIEWS (FMO)**
- **PROCUREMENT SYSTEM REVIEWS (PSR)**





# (SMR) AREAS TO BE EXAMINED

- Policies and Procedures
- Geographic Preferences
- Architectural and Engineering Services
- Required Clauses and Certifications
- Piggybacking
- Oversight of Sub-recipients & Private Contractors
- Rolling Stock purchases
- DBE Program
  - Goals & Reports
  - Certification
  - Complaints and Protests





# Common Areas of Deficiencies

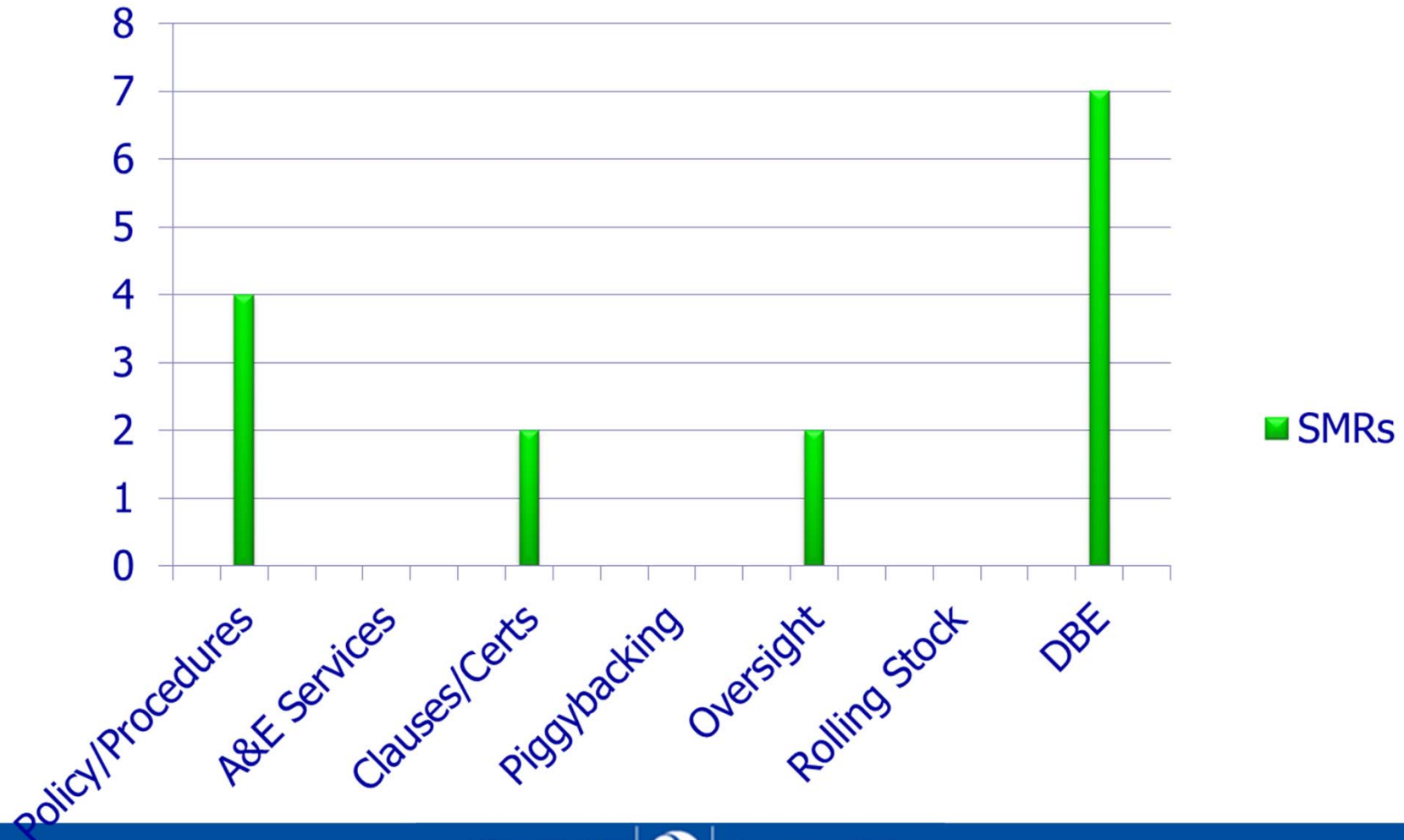
- Independent Cost Estimates
- Written record of procurement history
  - Method of Procurement (Small Purchase Compete, Sole Source)
  - Type Contract (Fixed Price, IDIQ, T&M, etc)
  - Memorandum of Negotiations/Procurement
    - Contractor selection, evaluation of cost, etc.
- Cost/price Analysis
- Sole Source





# TOP AREAS OF DEFICIENCIES

## PROCUREMENT AND DBE





# Guidance and Resources

## **FTA Circular 4220.1F, Rev 4/2009, “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)

## **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)

## **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)

## **Master Agreement**

[www.fta.dot.gov/documents/2011-TTP-Master\\_Agreement.doc](http://www.fta.dot.gov/documents/2011-TTP-Master_Agreement.doc) · DOC file

## **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)

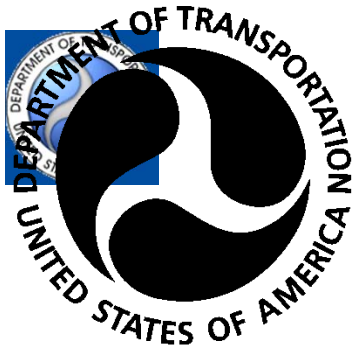




# Questions and Answers







# Procurement Jeopardy!!!





# State Management Review





# Overview

- State Management Review (SMR) Overview
- SMR Findings/Lessons Learned
- SMRs in Region IV
- Key Changes for FY 2012
- SMR Technical Assistance





# SMR Overview

- State Management Reviews assess state management practices and program implementation of the following FTA programs:
  - Elderly Individuals and Individuals with Disabilities Program (5310),
  - Non-Urbanized Areas Program (5311)
  - Capital Investments Grants Program (5309)
  - Job Access and Reverse Commute Program (5316)
  - New Freedom Program (5317)
  - ARRA
- The purpose of the reviews is to ensure the programs are being administered in accordance with FTA requirements and are meeting program objectives.





# SMR Process

- FTA Headquarters develops list of states subject to SMR
- FTA selects SMR contractor
- Desk Reviews – FTA Region Offices
- Agenda Packages
- Review/Draft Report
- Final Report/Corrective Action
- Correct Findings (by due date)
- SMR Close-Out Letter





# SMR Lessons Learned from FY 2011

## FY 2011 SMR Lessons Learned:

- More financial training for DOT staff (cross training within DOT departments responsible for MPRs/FSRs)
- More procurement training
- Training on Buy America requirements
- SMR Contractors to provide more best practices or lessons learned from other areas





# SMRs in Region IV

## *Region IV SMRs in FY 2012:*

- Georgia DOT
- Georgia DHS
- Virgin Islands Department of Public Works

## *Region IV SMRs in FY 2013:*

- Alabama DOT
- Florida DOT
- South Carolina DOT

## *Region IV SMRs in FY 2014:*

- Tennessee DOT
- North Carolina DOT
- Kentucky Transportation Cabinet
- Mississippi DOT





# FY 2012 SMR Key Changes

## FY 2012 Key Changes

- 26 to 13 Sections
  - more focused, risk based questions
- Focus on Streamlining and Technical Assistance
- Emphasis on SMPs reflecting current processes and procedures
- More questions on state oversight of subrecipients
- Elimination of areas/questions related to 5307







# FY 2012 SMR Key Changes

## FY 2012 Key Changes (cont.)

- Incorporation of Buy America, Debarment & Suspension and DBE into Procurement
- Combined Drug & Alcohol and Drug Free Workplace Act Program Sections
- New Project Management & Assest Management Sections





# SMR Technical Assistance

## SMR Resources:

- SMR Workshops
- SMR Workbook
- SMR Contractors (90 Days)
- Website:

<http://www.fta.dot.gov/grants/12898.html>





# Questions?





# FTA U. Final Exam

