



U.S. Department
of Transportation

**Federal Transit
Administration**

REGION 1
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FTA Region 1 **FY 2020 Grant Development Helpful Information**

The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Updated 1/2/2020.

Prior to Writing Grant Look at Your [Recipient's]-

- *Civil Rights*: Ensure Civil Rights Programs are in fundable status meaning no required program is in expired status or will be in expired status within 30 days.
- *Certifications and Assurances (C&As)*: Ensure that the current Fiscal Year 2019 C&As are pinned. If the same person pinned as both the organization's Official and Attorney please make sure the paper C&S was signed by the organization's attorney, a PDF copy has been uploaded and attached in TrAMS, and verify that the same C&A categories selected on the executed paper copy match exactly those C&A's pinned electronically in TrAMS.

New Grant versus Amendment versus Budget Revision

- TrAMS does not allow you to add new funding programs to future amendments.
- No more than three fiscal years of funding can be contained in a grant and corresponding amendments for operating assistance and preventive maintenance. For example, if you apply for an annual operating assistance grant (that contains full year apportionments), you can only amend the original grant twice.
- An Amendment is required when:
 - There is either a change in the scope of work or addition of federal assistance to an existing Award.
 - The award includes multiple sources of financial assistance and the action requires the addition of a new Scope Code to a Project.
 - There is a change in location or in quantity that substantially changes the purpose or intent of the award.
 - The federal program authorizing the award is substituted (deobligate/reobligate) for any scope even if the total amount remains the same.
 - The request will increase or decrease the total amount of the federal share of the award".
- A Budget Revision means any change of budget allocations within the Award and the overall Award Budget that has minor impact on the budget allocations of the original Grant.

Executive Summary- The executive summary should include the following information:

- Name of the organization requesting the funds
- Dollar amount being requested (ensure these funds are available in TrAMS and on the carryover spreadsheet)

- From what year's apportionment
- Through what funding program
- Split letter(s)
- Bulleted list of how the funds will be used
- Local Match- please indicate the funding source to be used and provide an explanation if a non-traditional amount is being used. For example- 15% match when clean air and ADA requirements are met on vehicle purchases.
- If using 5337 program funds, recipients must add the following statement in their grant application's executive summary: *"By executing this grant, we certify that projects funded in this grant are included in the [20XX] Transit Asset Management (TAM) Plan investment prioritization section."*
- If the funds will flow to sub-recipients, language must be included stating that the Direct Recipient will assume any/all responsibility associated with the award for the funds.

Other Information to be Included in the Executive Summary if Applicable-

- *ADA Operating Assistance-* ADA operating assistance is capped at 10% of the 5307 apportionment to a UZA. Please indicate percentage of the apportionment being used.
- *Intercity Bus-* The 5311 program requires that a minimum of 15% of the State apportionment be used to address intercity bus needs (unless the Governor has certified that the Intercity Bus needs of the State are being met). Please indicate that the grant either meets the 15% requirement or the Governor's certification of met need (attach the Governor's letter).
- *Flex Funds-* Reference and attach the transfer paperwork and include the date of transfer.
- *Discretionary Grants-* Identify and attach appropriate Federal Register Notice listing award and attach the application.
- *Past or Future Grant Awards for Same Project-* If there have been past grants please list those grants previously awarded and indicate if this grant will complete funding for the project. If current grant won't complete funding indicate funding plan for the balance of the project.
- *CMAQ-* Please indicate that the project meets CMAQ eligibility requirements.

Application Details (these are questions that the grantee will answer using the radio buttons)-

- Pre-Award Authority? A project is subject to pre-award authority when it is on the STIP and NEPA is complete.
- Does this application include sub-allocation funds?
- Will this Grant be using Lapsing funds?
- Will indirect costs be applied to this application? (If yes please provide Indirect Cost Description)
- Delinquent Federal Debt? (If yes please provide Delinquent Federal Debt Description)

Project Details and Narrative

- *Project Description-* should be one or two sentences describing the project. The details pertaining to the project should be in the individual ALI.
- *Project Benefits-* one or two sentences describing the benefits of the project
- *Project Locations-* If a construction project list the address, otherwise one or two sentences describing the service area.
- *Multiple Projects-* Each grant program has a unique account classification code (ACC) that is used to reserve funds. In many instances, a grant program (such as 5310, 5311, 5339 and 5337) has multiple ACC codes. This is important to note when setting up your project(s) in TrAMS because only one ACC type can be used under each scope code therefore if multiple ACC codes are being used to fund the same scope activity

they need to be broken out into separate projects. Note- you can combine different fiscal years of funding under the same scope.

Program Plan Information

- Attach STIP document(s) and indicate date of STIP approval.
- Please remember that project must be on the STIP for the federal fiscal year the funds will be awarded.
- If planning funds are being requested, please attach the UPWP.
- If design funds are requested, please attach the Long-Range Plan that includes the project.

Line Item Details:

- If vehicles are being procured, please indicate the quantity.
- Third party contractors- if grantee is doing the work themselves please indicate “No”. If grantee is hiring someone else to do the work “Yes” should be checked.
- Funding Source information- please make sure the funding source selected matches what was indicated in the executive summary.
- Budget information- When calculating the match if there are numbers other than “0” in the decimal places to the right of the decimal point, please increase the local match by \$1 (or whatever amount necessary).

Bulleted List of ALI Details- Below is a list of what details need to be included in the “Extended Budget Description” for each activity

Bus Procurement/Rolling Stock:

- Quantity, type, and length of vehicles
- Cost per vehicle
- Duty and useful life
- Unique characteristics like low-floor, fuel-type
- Duty, useful life & age of vehicles being replaced
- Procurement method
- Supervisory Vehicles- need to state the number of supervisory vehicles in fleet and how they are used (operations or admin)
- The *RTA* will follow the disposition requirements for this (these) vehicle(s), as outlined in circular 5010.
- If exercising the 85/15 split, please include language indicating that the vehicles are ADA and CAA compliant.
- If possible grantee should attach a list of vehicles being disposed that includes the useful life criteria that is being exceeded.

Preventive Maintenance:

- Explanation of the routine activities that will be funded (this does not have to be an exhaustive list)
- Period of Performance
- Projected operating budget defined by NTD for timeframe

Operating:

- Period of performance

- Sufficient information to explain the activities
- Operating Cap
- 100 Bus Rule

Maintenance items, shop equipment purchases, miscellaneous equipment, office equipment:

- Item description
- Quantity
- Cost per unit
- Explanation of need
- Can include language such as- “some examples include but are not limited to.”

Bus shelter:

- Explanation of need
- Shelter description
- Specific location(s)
- Quantity
- Cost per unit
- Design to specs or pre-fabricated
- Path of travel

When purchasing security surveillance equipment, include:

- Item description
- Quantity
- Cost per unit
- Explanation of need
- Will this project contribute to the UZA’s 1% 5307 security minimum?

Construction of bus or rail facility:

- Name and address of facility
- Description and history of the larger project.
- Estimated cost
- List of prior grants awarded to fund the project.
- Attach a plan that demonstrates how the balance of the project will be financed
- Critical project dates including final design, contract awards, construction projections, date for which the project is projected to open for revenue service.
- Land acquisition status
- Useful life of new structure
- Facility accessibility

Land or facility purchase:

- Name and address of land /facility
- Cost
- Land acquisition status
- Use/need
- Appraisal information
- Attach a financing plan
- Uniform Act coordination

Capitalized Mobility Management:

- Cost
- Type of service
- Geographic area of service to be provided
- Timeframe of service
- Inclusion in special plans, split letter

ADA Paratransit:

- Cost
- Geographic area of service to be provided
- Timeframe
- Projected demand-response budget
- Percentage of demand-response budget that is ADA paratransit (please remember that ADA operating assistance is capped at less than or equal to 10% of the overall apportionment of 5307 dollars to the UZA).

State Program Admin:

- Cost
- Project description
- Project benefits
- Inclusion in special plans, split letter

CMAQ:

- Cost
- Service to be operated
- Geographic area of service to be provided
- Timeframe of service
- 80/20 split allowed for operating
- Operating- Year 3 can be spent over years 3, 4 & 5 but the total of that amount cannot exceed the greater of year 1 or year 2.

Milestones-

- Indicate major milestone dates for the project.
- Are milestones and estimated completion dates reasonable for each ALI?
- Provide a description that clearly states what the milestone is
- Activities with contract award should have minimum of 3 milestones (RFP, bid award and delivery); all activities should at minimum have start and end dates.
- Are milestone dates consistent with start/end date of grant?

Environmental-

- Indicate how NEPA is complete for each independent project in the grant.
- Review under Section 106 of the National Historic Preservation Act is undertaken simultaneously with review under NEPA, and must be complete even if a project is an undocumented Categorical Exclusion (CE) under NEPA.

- Any projects that include construction (meaning any project that requires a permit) requires additional NEPA review. Please work with your grants manager to complete the CE and Section 106 checklists below).
 - CE Checklist- <https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/about/regional-offices/region-1/115896/ce-checklist.pdf>
 - Section 106 Checklist- <https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/about/regional-offices/region-1/115891/fta-section-106-checklist.pdf>

Fleet Status-

- For bus purchases please confirm the Fleet Information associated with the Recipients' profile in TrAMS is current. If the information is not current, please work with the grantee to update their Fleet Status. State DOT's are not required to maintain the Fleet Information of their sub-recipients).
- Spare ratio should not exceed 20%.

Application Documents- Please make sure you have attached:

- STIP
- Split letters
- Match documentation
- UPWP and NEPA information (if applicable)
- Indirect Cost Rate (if applicable)
- In kind match approval (if applicable)
- Discretionary Grant Application (if applicable- please ensure that budgets and scopes in TrAMS are consistent with applications and when applicable paper applications)
- Discretionary Award language from Federal Register (if applicable)
- Supporting documentation for replacement vehicles including the vehicle identification number (VIN), Age, Current Mileage, and Projected Mileage of all vehicles being replaced in the grant.
- Transportation Development Credit (TDC) Letter from the State DOT (if applicable).

Tools and Tips:

- FTA's annual Apportionments, Allocations, and Program Information Federal Register Notice: <https://www.transit.dot.gov/funding/apportionments>.
- FTA Program circulars for information about FTA's grant programs: <https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/fta-circulars>.
- Guidance and training tools on TrAMS can be found at: <https://www.transit.dot.gov/funding/grantee-resources/teamtrams/transit-award-management-system-trams>.

Program Information:

Section 5307 Urbanized Area Formula Program- [Circular: C 9030.1E](#)

Period of Availability:

- 6 years (Year of Apportionment plus 5 additional years). For example, funds apportioned in 2019 are available until September 30, 2024.
- 1% for Security requirement - This is applied at the UZA level, not for each grantee. However, each grant application must provide documentation/explanation how the

requirement will be satisfied. Applicants must address the security question as part of the application development process; there are options to certify that the 1% is not required.

- Operating Caps
 - UZAs with population of less than 200,000 have no operating cap.
 - UZAs with a population of more than 200,000 have the following restrictions:
 - Minimum of 76 buses and maximum of 100 buses during peak hour service may receive operating assistance in an amount not exceed 50% of the share of the apportionment that is attributable to such systems within the UZA as measured by vehicle revenue hours. Table 3A (does not exceed 50% of the UZAs apportionment.
 - Systems that operate 75 or fewer buses in fixed route service during peak hour service may receive operating assistance in an amount not to exceed 75 % of the share of the apportionment that is attributable to such systems within the UZA as measured by vehicle revenue miles.

The amount available (operating cap) is calculated by dividing the UZA's apportionment by the total number of vehicle revenue hours reported in the UZA from all public operators and multiplying this quotient by the number of total vehicle revenue hours operating in the UZA by the eligible system and then by either 50% or 75% as indicated above.

Funding Source Selection in TrAMS:

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

CMAQ- Funds to be used for projects that contribute to the attainment or maintenance of a national ambient air quality standard with a high level of effectiveness in reducing air pollution. Projects must be located in or benefit a nonattainment or maintenance area.

- Operating assistance is:
 - Limited to new transit, commuter and intercity passenger rail services.
 - All costs of providing new transportation services, including, but not limited to, labor, fuel, administrative costs and maintenance.
 - Three years of operating assistance is allowable but the third-year amount can be spread over years 3, 4 and 5 (the third-year amount cannot exceed the greater of the year 1 or year 2 amount)
 - 20% match required.

Surface Transportation Block Grant Program: provides flexible funding that may be used by States and localities for projects to preserve and improve the conditions and performance on any Federal-aid highway, bridge and tunnel projects on any public road, pedestrian and bicycle infrastructure and transit capital projects, including intercity bus and port terminals.

Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program-
Circular: C 9070.1G

Period of Availability:

- 3 years (Year of Apportionment plus 2 additional years). For example, funds apportioned in 2019 are available until September 30, 2021.

Funding Source Selection in TrAMS:

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

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

- 641-00 (5310 Projects)
 - All applicable ALIs for capital and operating activities.
- 610-00 (State/Programs Administration)
 - 11.80.00 is the only ALI that can be used under this scope.
- 647-00 (New Freedom Projects)
 - This scope should be used for New Freedom type projects.

Important Program Notes:

- This program provides grant funds for capital and operating expenses to recipients for:
 1. Public transportation projects planned, designed and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate or unavailable;
 2. Public transportation projects that exceed the requirements of the Americans with Disabilities Act
 3. Public transportation projects that improve access to fixed-route service and decrease reliance on complementary paratransit
 4. Alternatives to public transportation projects that assist seniors and individuals with disabilities with transportation.
- Not less than 55% of a UZA's funds shall be available for capital projects such as- capital cost of contracting for the provision of transit service for seniors and individuals with disabilities and other specialized shared-ride transportation service; purchase of rolling stock for or the acquisition of ADA-complimentary paratransit; preventative maintenance, radios and communication equipment.
- Up to 45% of a UZA's apportionment may be used for capital and/ or operating projects that: exceed the ADA minimum requirements; improve access to fixed route service and decrease reliance by individuals with disabilities on ADA complimentary paratransit; or provide alternatives to public transportation that assist seniors and individuals with disabilities with transportation.
- Up to 10 percent an urbanized area's total fiscal year apportionment may be used to fund program administration costs including administration, planning, and technical assistance for projects funded under this program.

- All projects included in a grant application must meet all statutory requirements (such as planning and environmental requirements) at the time of grant award. This includes the Coordinated Public Transit Human Services Transportation Plan (HSTP) and a Program of Projects.
- Tribes and private operators of public transportation (meaning shared ride) are eligible recipients.
- A State may use funds apportioned for small urbanized and rural areas for projects serving another area of the State if the Governor of the State certifies that all the objectives of the Section 5310 program are being met in the specified area.
- Capital costs- 80% match; Operating costs- 50% match and up to 10% of the UZA’s apportionment can support program administration, planning and technical assistance which can be covered at 100%

Section 5311 Rural Area Formula Program- [Circular: C 9040.1G](#)

Period of Availability:

- 3 years (Year of Apportionment plus 2 additional years). For example, funds apportioned in 2019 are available until September 30, 2021.

Funding Source Selection in TrAMS:

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

Important Program Notes:

- Intercity Bus Activities - Grantees must use 15% of the apportionment towards Intercity Bus activities or provide a certification for FTA files stating that all Intercity Bus needs have been met. The certification letter should be sent to the Regional Administrator. Certification letters should also be uploaded to the recipient profile in TRAMS.
- Program Administration - The state may use not more than 10 percent of its apportioned Section 5311 funds to administer the Section 5311 program, related planning, and to provide technical assistance to sub-recipients.

Section 5337 State of Good Repair Program- [Circular: C 5300.1](#)

Period of Availability:

- 4 years (Year of Apportionment plus 3 additional years). For example, funds apportioned in 2019 are available until September 30, 2022.

Funding Source Selection in TrAMS:

- 5337 State of Good Repair Grants

Important Program Notes:

- State of Good Repair funds may be used for maintenance, rehabilitation or replacement of existing capital assets.
- High intensity fixed guideway funds shall be available exclusively for fixed guideway projects. The term “fixed guideway” means a public transportation facility— (A) using

and occupying a separate right-of-way for the exclusive use of public transportation; (B) using rail; (C) using a fixed catenary system; (D) for a passenger ferry system; or (E) for a bus rapid transit system.

- High Intensity Motorbus funds can be used for eligible projects associated with both fixed guideway and high intensity motorbus systems.
- High intensity motorbus funds can be used for rehabilitation, and replacement of vehicles that are used for providing transit service on high occupancy vehicle (HOV) lanes, and equipment and facilities that are used for maintaining the vehicles.
 - Projects that maintain and rehabilitate HOV lanes are not eligible for the high intensity motorbus funds.
 - Projects that maintain and rehabilitate capital assets used for bus service other than on HOV lanes are not eligible for the high intensity motorbus funds.
 - Public Transportation service on high occupancy toll (HOT) lanes are not eligible for high intensity motorbus funds.
- State of Good Repair is NOT eligible for expansion or modernization projects.

Section 5339 – Bus and Bus Facility Formula Program- [Circular: C 5100.1](#)

Period of Availability:

4 years (Year of Apportionment plus 3 additional years). For example, funds apportioned in 2019 are available until September 30, 2022.

Funding Source Selection in TrAMS:

- 5339 Formula: 5339 – Bus and Bus Facilities Formula

Important Program Notes:

- Note that the 5339 Program has different ACCs for the formula and discretionary programs (Low or No Emissions and Bus and Bus Facilities). Only one ACC can be used per scope code therefore each source of funding for a particular scope must be in its own Project.
- Eligible capital projects include projects to replace, rehabilitate, and purchase buses and related equipment, and projects to construct bus-related facilities.
- Planning activities, preventive maintenance activities (other than bus overhauls), and mobility management activities are **NOT** eligible under the section 5339 Bus Program.