

FTA

FEDERAL TRANSIT ADMINISTRATION

FTA Region IV
State Programs Team
Annual Meeting

OFPO Updates
Robert Buckley



U.S. Department of Transportation
Federal Transit Administration

Agenda

- What is OFPO?
- Emergency Response
- FY18 Oversight Update
- Period of Performance
- TrAMS
- Safety
- Questions and Answers

Office of Financial Management & Program Oversight (OFPO)

- OFPO Responsibilities
 - State DOTs
 - Oversight Reviews (TR, SMR, PSR, FMO, etc.)
 - Audit responses (OIG, GAO, IPERIA, etc.)
 - Inactive/Fully Disbursed Grants
 - Financial Reservations/Tracking
 - Safety
 - Policy (including Super Circular)
 - Emergency Response
 - Training Lead (Internal/External)

Office of Financial Management and Program Oversight Updates

- **FY 18 Region IV Oversight**
 - 53 Triennial Reviews
 - 2 State Management Reviews
 - 3 FMO Reviews
 - 2 Technical Assistance
 - 6 Grantee Oversight Workshops

Office of Financial Management and Program Oversight Updates

- **Oversight Definition:**
 - Continuous review and evaluation of grantee and FTA processes to ensure compliance with statutory, administrative, and regulatory requirements.
- **Oversight Goal:**
 - Projects provide their promised benefits, are safe and can be properly maintained, and are delivered on time, within budget and in compliance with all applicable Federal requirements.

Office of Financial Management and Program Oversight Updates

- **Oversight Reviews:**
 - Comprehensive Reviews
 - Triennial Review
 - State Management Review (SMR)
 - Specialized Reviews
 - Financial Management Oversight (FMO)
 - Procurement Systems Review (PSR)
 - Drug and Alcohol
 - Civil Rights

Office of Financial Management and Program Oversight Updates

- **Technical Assistance**
 - Procurement File Reviews
 - Corrective Action Assistance
 - Targeted Technical Assistance
 - Grantee Oversight Workshops

Office of Financial Management and Program Oversight Updates

Grantee Oversight Review Workshops

- Triennial Review Workshops
 - Atlanta, GA (experienced grantees): November 28-29, 2017
 - Atlanta, GA (newer grantees): November 30-December 1, 2017
 - Orlando, FL: February 27-28, 2018
 - San Juan, PR: TBD
- Financial Management Oversight (FMO) Workshop
 - Atlanta, GA: January 23-24, 2018
- Procurement Systems Review (PSR) Workshop
 - Atlanta, GA: January 25-26, 2018

Office of Financial Management and Program Oversight Updates

Oversight Reminders

- FY 2018 Comprehensive Reviews
 - Recipient Information Requests (RIRs) were due January 31, 2018.
 - Continue to coordinate with TR contractors on site visit details
- FY 2017 Reviews (and earlier)
 - Submit Corrective Action documentation **BEFORE** due date
- Single Audit Submissions
 - Submit to Region IV within 9 months of end of grantee FY

Office of Financial Management and Program Oversight Updates

Oversight Reminders

- Grants Management

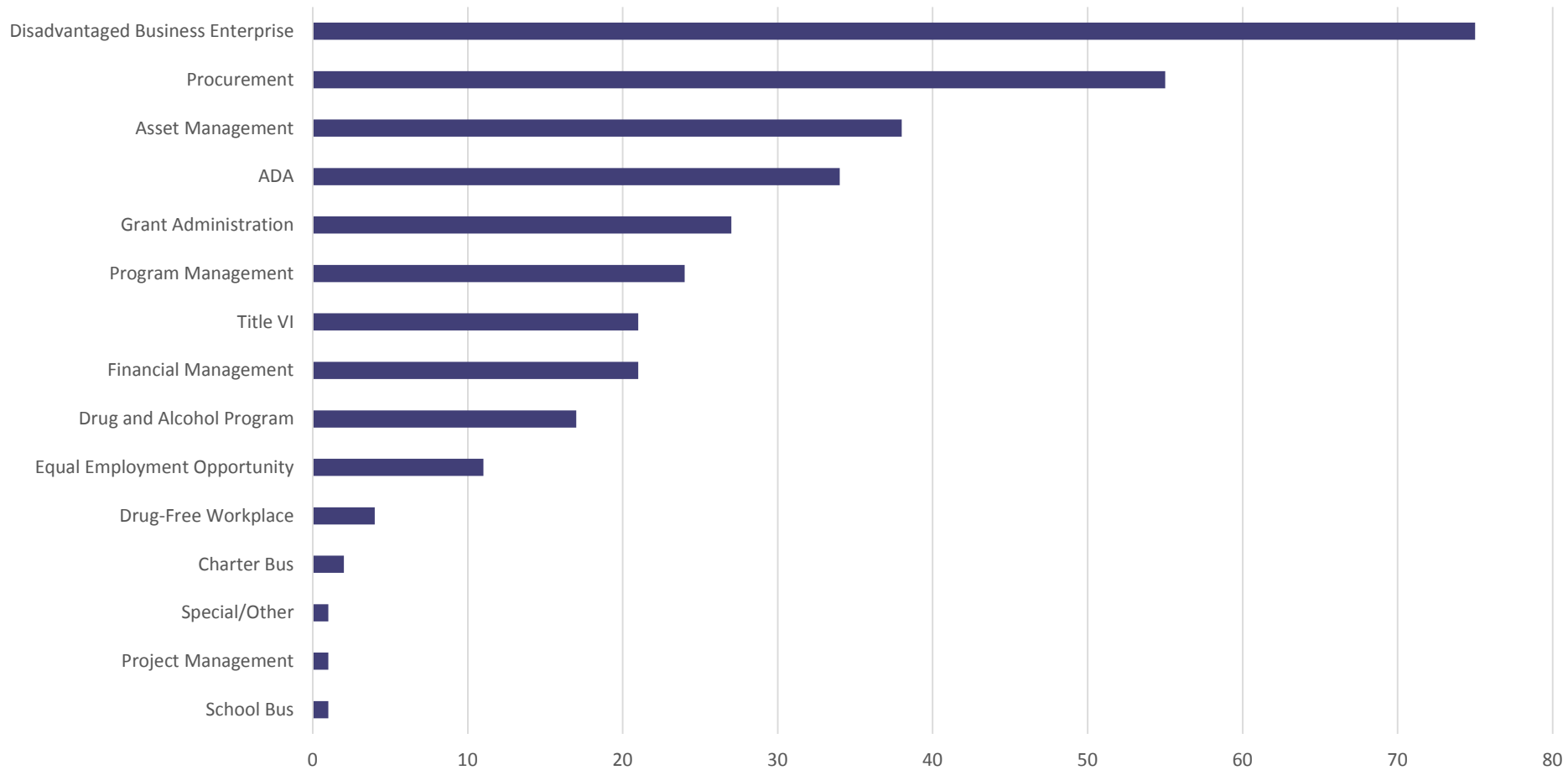
- Expedite closeout of grants that are 95%-100% expended.
- Advance projects that are old and/or inactive.
 - Submit budget revisions as needed to replace projects that are not advancing with new projects within the same scopes.
- Inactive Grants
 - Work closely with your program manager to provide documentation needed if more time is needed on your inactive grant to keep grant open past FY17
 - If a grant is marked to complete and close by FY17 please watch projects carefully to ensure full implementation, expenditures, and final grant closeout prior to September 2017
 - Allow time for your internal procedures to process final invoices and complete grant closeout

Office of Financial Management and Program Oversight Updates

Top 10 Specific TR Findings Region IV-specific 2013-2016



SMR Findings FY2015-2017



Office of Financial Management and Program Oversight Updates

- **Top Specific Findings**

- Inadequate oversight of contracted or subrecipient maintenance activities
- DBE uniform reports not submitted semi-annually
- DBE goal achievement analysis not completed or not submitted
- Insufficient oversight of procurement
- Pre-award and/or post-delivery audits not performed
- Grantee not ensuring prompt payment
- Incorrect FFR reporting

Office of Financial Management and Program Oversight Updates

New in FY18: Updated Comprehensive Review Guide

1. Basic Requirement: high-level, clear statement of what recipient is required to do
2. Applicability: Recipients to whom the requirement applies
3. Indicators of compliance: How reviewers will assess compliance
4. Determination: Based on results of indicators
 - Deficiency
 - Explanation
 - Governing Directive

Office of Financial Management and Program Oversight Updates

Section 5324 Emergency Relief Program

- Congress authorized \$89.3B in disaster assistance funding.
- FTA to receive approximately \$330M
- Region IV working with grantees to report and document damages and operating assistance incurred.
- Funding apportionment expected soon.
- Working on gathering cost estimates

Office of Financial Management and Program Oversight Updates

ER Program Important Notes

- When FTA has funding available, transit costs are reimbursed by FTA, NOT FEMA
- Funding cannot replace formula funding previously drawdown or obligated
- Grantees must account for any previous FEMA reimbursements and insurance proceeds received.
- Once apportioned, grantees will complete TrAMS applications for funding

Office of Financial Management and Program Oversight Updates

Emergency Response Reminders

- Recipients can and should help provide evacuation assistance even service would normally qualify as charter
- DOCUMENT, DOCUMENT, DOCUMENT
- No annual apportionment made to FTA's Emergency Relief (ER) Program
 - In the absence of ER funds, regular FTA Program funds can be used
- Please follow state procedures for reporting status and damage before/during/after the event.
 - Urban Systems will either report to DOT (who passes information on to FTA) or to FTA directly

Office of Financial Management and Program Oversight Updates

Emergency Response Guidance

- Emergency Relief docket
 - <https://www.gpo.gov/fdsys/pkg/FR-2017-01-19/pdf/2017-01172.pdf>
- ER Program Guidance
 - <https://www.transit.dot.gov/funding/grant-programs/emergency-relief-program/emergency-relief-program>

National Updates

State Safety Oversight (SSO) Certification Deadlines

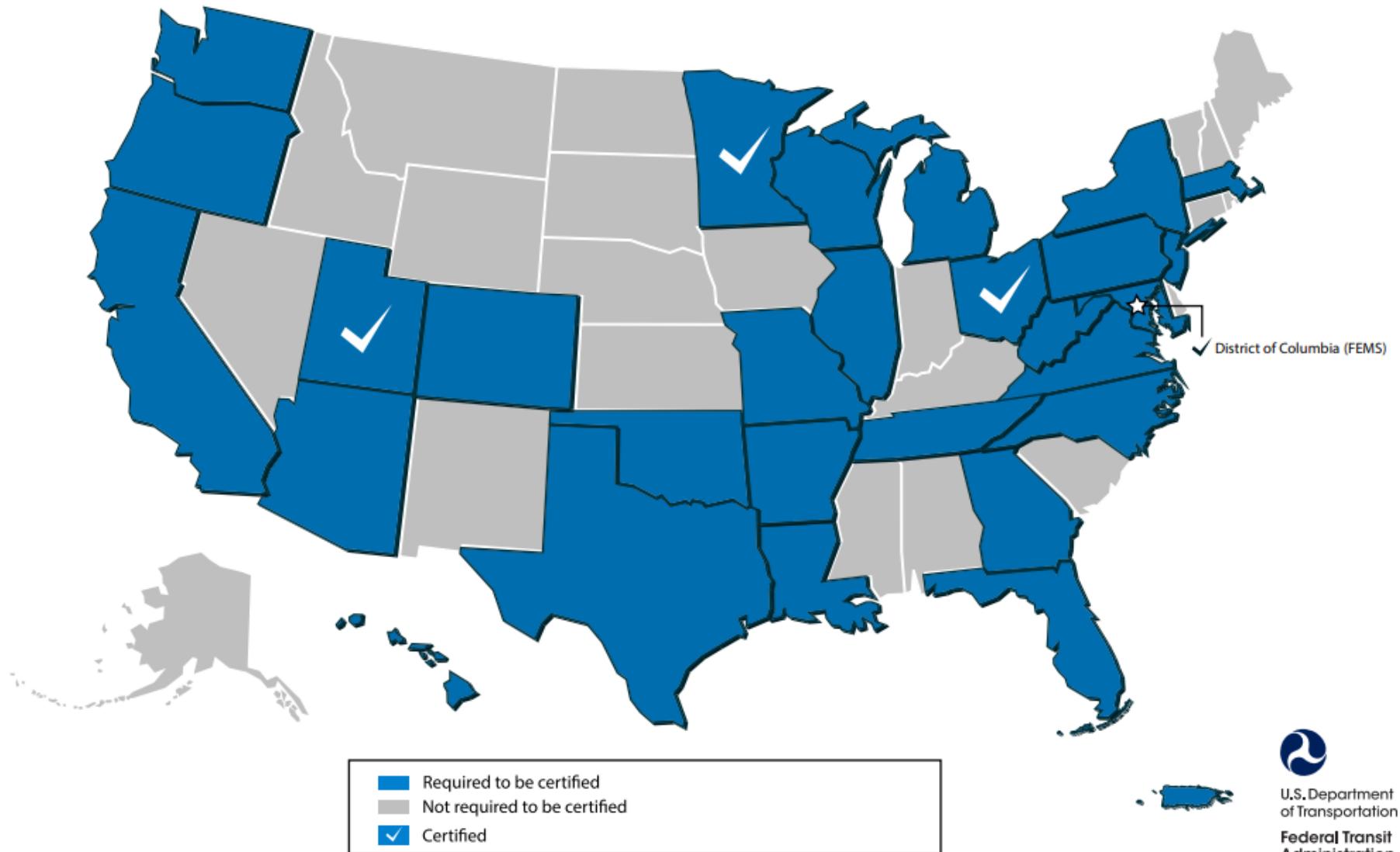
Deadlines	Dates
Compliance Deadline	April 15, 2019
Submission Deadline	September 30, 2018
Preferred Submission Date	April 15, 2018

National Updates

State Safety Oversight (SSO) Certification

- What if a state misses the April 15, 2019 deadline?
 - FTA can't obligate financial assistance. Funds must be withheld until SSO Program is certified by FTA.
- State-wide impact
 - Applies to all Chapter 53 grant recipients

States with Rail Transit Required to Meet State Safety Oversight Program Certification Deadline (April 15, 2019)



National Updates

State Safety Oversight (SSO) Certification

- Status table tracks each state's certification status
 - Updated as new states are certified
 - <https://www.transit.dot.gov/regulations-and-guidance/safety/state-safety-oversight-program-certification-status>
- Inquiries?
 - Contact state's SSO manager
 - <https://www.transit.dot.gov/regulations-and-guidance/safety/state-safety-oversight-contacts>

Transit Safety Rulemaking and Guidance

Regulation	Rulemaking Timeline	Status
Public Transportation Agency Safety Plan 49 CFR Part 673	NPRM Published: 2/5/2016 Comment By: 4/5/2016	Final Rule in Development
Public Transportation Safety Certification Training Program 49 CFR Part 692	NPRM Published: 12/3/2015 Comment By: 2/1/2016	Final Rule in Development
Preventing Transit Worker Assault NPRM	NPRM Expected: 2017	NRPM in Development
National Public Transportation Safety Plan	Proposed National Safety Plan Published: 2/5/2016 Comment By: 4/5/2016	Final Guidance Published: 1/17/17
Public Transportation Safety Program 49 CFR Part 670	NPRM Published: 8/14/2015 Comment By: 10/13/2015	Final Rule Published: 8/11/2016 Effective: 9/12/2016
Bus Testing 49 CFR Part 665	NPRM Published: 6/23/2015 Comment By: 8/24/2015	Final Rule Published: 8/1/2016 Effective: 10/31/2016
Transit Asset Management 49 CFR Part 625	NPRM Published: 9/30/2015 Comment By: 11/30/2015	Final Rule Published: 7/26/2016 Effective: 10/1/2016
State Safety Oversight 49 CFR Part 674	NPRM Published: 2/27/2015 Comment By: 4/28/2015	Final Rule Published: 3/16/16 Effective: 4/15/16

Office of Financial Management and Program Oversight Updates

Period of Performance

- Period of Performance
 - Definition from 5010.1E:
 - *The time during which the recipient or subrecipient may incur new obligations to carry out the scope of work authorized under the Grant or Cooperative Agreement. FTA, or the pass-through entity, must include the start and end dates of the period of performance in the Grant or Cooperative Agreement, regardless of whether pre-award authority has been exercised. The start date is the Federal Award Date of an Award.*

Office of Financial Management and Program Oversight Updates

Period of Performance

- Period of Performance

- Region IV Best Practice

- End date should be no less than 2 years after the last milestone date
- Should be set to the next March 30 after the 2-year minimum outlined above.
 - Example:
 - » Identify final milestone in the application (e.g., 06/25/2018),
 - » Add two years (e.g., 06/25/2020).
 - » If that milestone falls after March 30 of that year, extend end date to March 30 of the following year (e.g., 03/30/2021)

Office of Financial Management and Program Oversight Updates

TrAMS

- Recent Updates
 - PIN Reset Requirement – November 2017
 - All users with PINs need to update their PIN in order to use PIN functions in TrAMS.
 - New “Create Application Format” – May 2017
 - Added questions previously requested to be included in the Application Executive Summary
 - Applies to new applications created after May 5, 2017.
 - Appian Software Upgrade – May 2017
 - New fonts and navigational changes. No functionality changes.

Office of Financial Management and Program Oversight Updates

TrAMS

- Reminders
 - Make sure the Section of Statute is correct!
 - Should have a compelling reason to create multiple projects in one application.
 - Ensure application is complete BEFORE requesting submittal by FTA. Flexibility decreases when official FAIN is assigned.
 - References:
 - Updated Fund Source List: <https://www.transit.dot.gov/funding/grantee-resources/teamtrams/trams-fund-source-list>
 - Updated ALI Tree: <https://www.transit.dot.gov/funding/grantee-resources/teamtrams/federal-transit-administration-scope-codes-activity-line-items>

Office of Financial Management and Program Oversight Updates

TrAMS

TrAMS Updates and Guidance on the FTA
TrAMS Page at <https://www.transit.dot.gov/trams>

Training page:

<https://www.transit.dot.gov/funding/grantee-resources/teamtrams/trams-guidance-training>

Office of Financial Management and Program Oversight Updates

FTA Region IV Office of Financial Management and Program Oversight

Contact Information:

Robert Buckley

Director, Office of Financial Management and Program Oversight

FTA Region IV

Phone: (404) 865-5618

E-mail: Robert.buckley@dot.gov



UNITED STATES
DEPARTMENT OF TRANSPORTATION
Office of Intelligence, Security, and Emergency Response (S-60)

USDOT and National Response Program Overview

Prepared for:

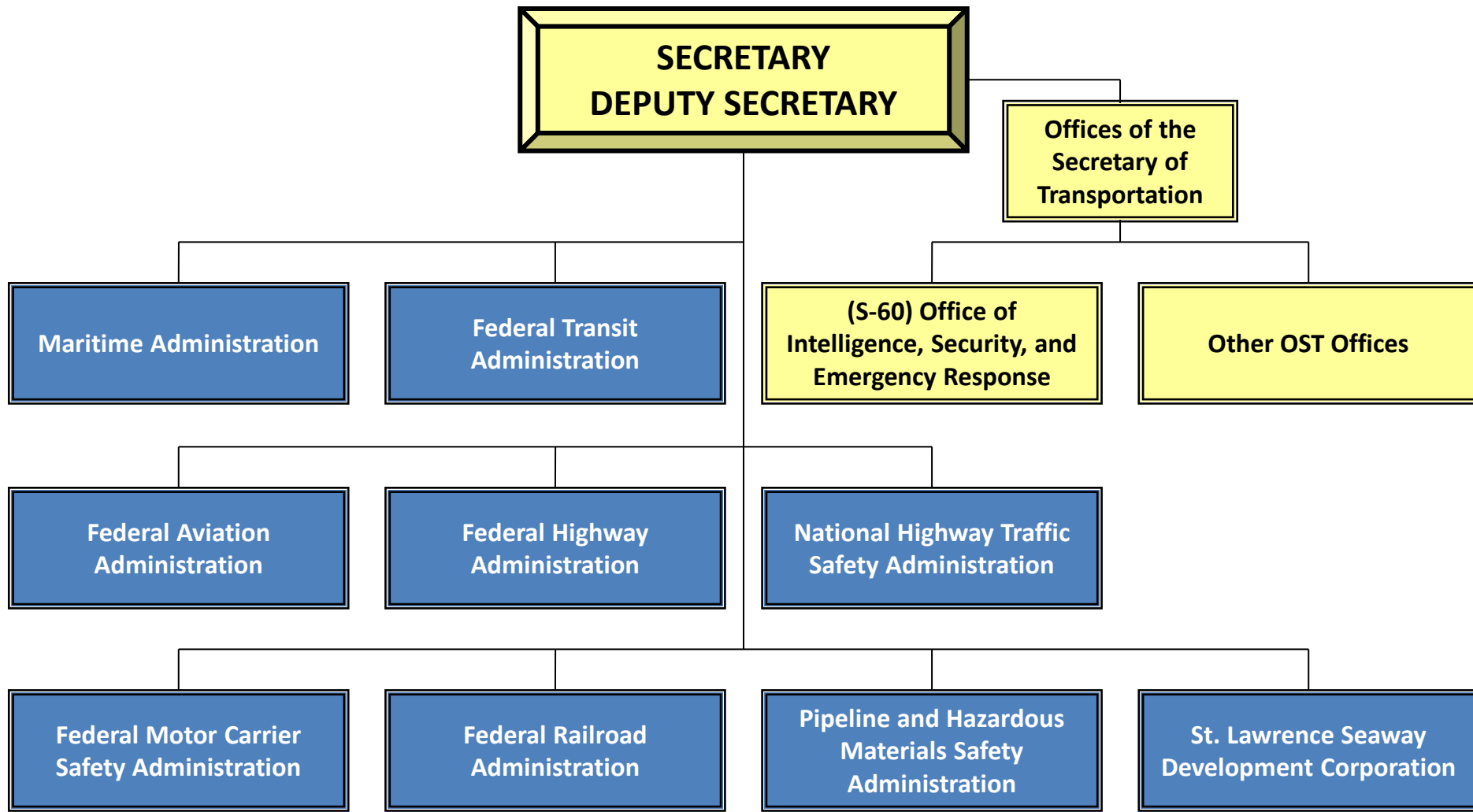
FTA Region 4 - State Programs Meeting

By Leah Russell

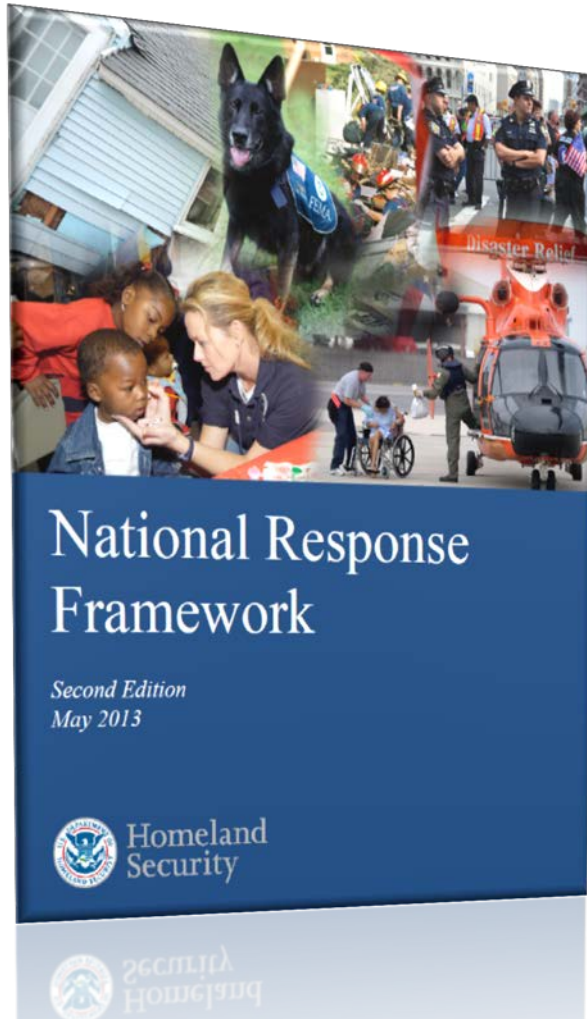
March 28, 2017



USDOT Operating Administrations



National Response Framework



- Guide to how the Nation responds to all types of disasters and emergencies
- Scalable, flexible, and adaptable concepts identified in the National Incident Management System (NIMS)
- Describes specific authorities and best practices for managing all-hazard incidents

Emergency Support Functions (ESFs)

- **ESF #1: Transportation**
 - Department of Transportation
- **ESF #2: Communications**
 - Department of Homeland Security (DHS)
- **ESF #3: Public Works and Engineering**
 - Department of Defense/U.S. Army Corps of Engineers*
- **ESF #4: Firefighting**
 - Department of Agriculture/Forest Service
- **ESF #5: Emergency Management**
 - DHS/Federal Emergency Management Agency (FEMA)*
- **ESF #6: Mass Care, Emergency Assistance Housing, and Human Services**
 - DHS/FEMA, American Red Cross
- **ESF #7: Logistics Management and Resource Support**
 - DHS/FEMA, General Services Administration*
- **ESF #8: Public Health and Medical Services**
 - Department of Health and Human Services*
- **ESF #9: Search and Rescue**
 - DHS/FEMA*
- **ESF #10: Oil and Hazardous Materials Response**
 - Environmental Protection Agency*
- **ESF #11: Agriculture and Natural Resources**
 - U.S. Department of Agriculture
- **ESF #12: Energy**
 - Department of Energy*
- **ESF #13: Public Safety and Security**
 - Department of Justice
- **ESF #14: Superseded by NDRF**
- **ESF #15: External Affairs**
 - DHS

*Indicates DOT as support agency



Emergency Support Function 1

- Monitor and report status of and damage to the transportation system and infrastructure
- Identify temporary alternative transportation solutions that can be implemented by others
- Perform activities conducted under the direct authority of DOT elements
- Coordinate the restoration and recovery of the transportation system and infrastructure
- Coordinate and support prevention, preparedness, response, recovery, and mitigation activities among transportation stakeholders



ESF-1: Regional Personnel

Regional Emergency Transportation Coordinator (RETCO)

- Secretary's executive-level regional representative
- Ensure effective regional transportation emergency programs
- Collateral Duty

Regional Emergency Transportation Representative (RETREP)

- Coordinate Federal, State, Local, and Private Sector disaster planning
- Develop a regional ESF-1 response team
- Conduct training and exercises
- Lead ESF-1 operations in the RRCC/JFO

Regional Emergency Transportation Cadre (RET-C)

- Support ESF-1 mission in variety of locations
- Members of various Operating Administrations
- Collateral Duty



ESF-1: Regional Personnel

DOT HQ, Washington, DC
NRPM: Mike Callahan)
Operations Planner: Jorge Reyes

Region X, Seattle
RETCO: David Suomi
RETREP: David Lutes

Region VIII, Denver
RETCO: Rick Suarez
RETREP: Ron Williams

Region V, Chicago
RETCO: John Rohlf
RETREP: Jeff McSpaden

Region I, Boston
RETCO: Mary Beth Mello
RETREP: Terry Sheehan

Region AK, Anchorage
RETCO: David Suomi
RETREP: Cindy Sacks

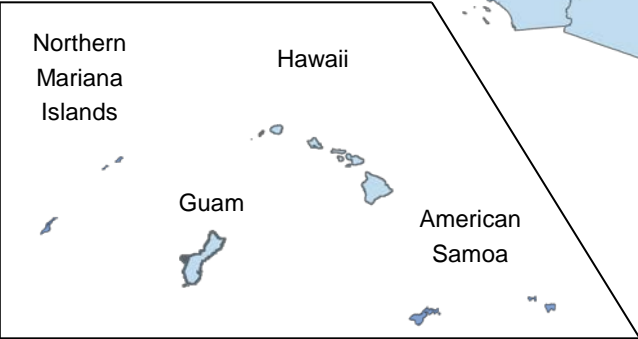
Region IX, Oakland, CA
RETCO: David Suomi
RETREP-N: Vacant
RETREP-S: Kristan Hericks

Region II, New York
RETCO: Marie
Kennington-Gardner
RETREP: Jim Robinson

Region III, Philadelphia
RETCO: Pearlis Johnson
RETREP: Lisa Brennan

Region IV, Atlanta
RETCO: Pearlis Johnson
RETREP: Leah Russell

Region VI, Fort Worth
RETCO: Robert Lowe
RETREP: Gary Barber



USDOT Capabilities

Technical Assistance

- NRP Personnel
- Air Navigation Services
- Evacuation Liaison Team
- Joint Damage Assessment Teams
- Emergency Relief Funding
- Routing Assistance
- Construction Mngmnt.

Regulatory Relief

- Federal Motor Carrier Waivers
- HazMat Special Permits
- Oversize/Overweight Permits (facilitate)
- Toll Relief (facilitate)
- Temporary Flight Restrictions
- Railroad Inspection Relief
- Jones Act Waiver Concurrence

Assets

- MARAD Ready Reserve Force
- Operation SafeStor
- Mobile Air Navigation Services assets
- Washington Flight Program



USDOT Response Assets



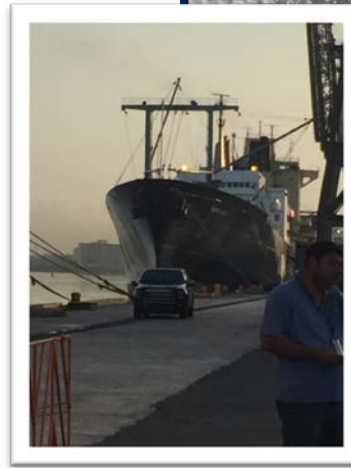
FAA Citation V (Hangar 6, DCA)



MARAD Ready Reserve Force Ships



FAA Mobile Air Traffic Control Facility



Recent NRP Activities

- National Special Security Events
 - RNC/DNC
 - 2017 Inauguration
- Activations
 - Louisiana Flooding
 - Hurricanes Madeline and Lester
 - Post-Tropical Cyclone Hermine
 - Hurricane Matthew
 - California/Nevada Snow and Flooding
 - Texas/Oklahoma Ice Storm
 - Oroville Dam Spillway Failure/California Flooding
 - Hurricanes Harvey, Jose, Irma, Maria
- Exercises
 - Cascadia Rising (2016)
 - Gotham Shield (2017)
- Meetings/Conferences
 - FEMA RISC Meetings
 - Region II, IV, VI, IX, X, AK OneDOT Meetings
 - ESF Partner Meetings
- Non-Traditional Activities
 - Colonial Pipeline Leaks
 - OS/OW Permitting for MHUs (Louisiana Flooding and Hurricane Matthew Recovery)
 - Transit funding – Hurricane Matthew Recovery



Transportation Emergency Response Factsheets: TERFs

TRANSPORTATION EMERGENCY RESPONSE FACTSHEET

SURFACE

USDOT Operating Federal Highway Acts

The Federal Highway Act and other partners to Major program areas in the States to construct projects provide funds.

The Federal Lands laws reservations and other conducting bridge and technology programs.

Federal Motor Carrier

The Federal Motor Carrier established within the on January 2, 2005 Safety Improvement Act, 155, 113 Stat. 2348 in part of the Federal Motor Carrier Center responsible to prevent fatalities and injuries.

Federal Railroad Administration

The Federal Railroad Administration responsibility of ensure railroad compliance standards and operation.

The FRA conducts research and the railroad.

TRANSPORTATION EMERGENCY RESPONSE FACTSHEET

REGIONAL EMERGENCY TRANSPORTATION CADRE (RET-C)

The National Response Program (NRP), located in the Office of Intelligence, Security, and Emergency Response (ISSE), is responsible for coordinating the Department's preparedness, response, and recovery activities in all-hazard incidents and to support the Secretary's responsibilities under the National Response Framework (NRF), Emergency Support Functions-1 (ESF-1) Transportation.

The NRP has a team of over 150 members nationwide to carry out the ESF-1 functions. The team includes a National Program Manager, Deputy Manager, Operations Manager, 7 Regional Emergency Transportation Coordinators (RETCO), 10 Regional Transportation Representatives (RETRER), and Emergency Cadre (RET-C) members representing all DOT Operating Administrations. It is designated as the Secretary's executive-level representative to ensure preparedness activities are effectively carried out. RETERs handle day-to-day program disaster and special events planning efforts between DOT and Federal, State, local, private sector emergency planners. During incident and event responses, RETERs lead operations in FEMA's various operation centers in the affected regions. In addition, the diverse group of RET-C representing all USDOT Operating Administrations, RET-C meet minimum all-hazard, all modes standard and may be activated during an incident or event.

National Response Framework

The National Response Framework (NRF) is a guide to how the Nation conducts all-hazard response activities. Flexible, and adaptable coordinating structures to align key roles and the Nation, linking all levels of government, non-governmental organizations, and the private sector, to coordinate and support the Nation's response to incidents and to support the Secretary's responsibilities under the National Response Framework (NRF), Emergency Support Functions-1 (ESF-1) Transportation.

The mission area for ESF-1 under the NRF includes:

- Monitor and report status of all damage to the infrastructure
- Identify temporary alternative transportation and infrastructure
- Perform activities conducted under the direct and indirect elements
- Coordinate the restoration and recovery of the infrastructure
- Coordinate and support prevention, preparedness and mitigation activities among transportation modes

U.S. Department of Transportation
Office of Intelligence, Security, and Emergency Response

TRANSPORTATION EMERGENCY RESPONSE FACTSHEET

AVIATION

The FAA, through its commercial motor vehicle responding from throughout the United States to provide direct relief to the emergency response operations. It must safety regulations, including hours of service, from interstate motor carrier drivers and emergency response operations.

Utility service vehicles are always exempt from hours of service limitations when they are providing for the "repairing, repairing and maintenance of public utility, maintenance vehicles are always exempt, but government contractors are not (unless an emergency declaration is in effect).

The FAA provides additional information at www.faa.gov/air_traffic_control/operations_center/ops_center/ops_center.html number at 1-877-835-2266 for airport closing requests pertaining to aircraft operations during a declared disaster.

Shoulder Load Limits

States may issue special shoulder load permits during an emergency for emergency vehicles and loads that can safely be distributed in violation of all of the following conditions on that:

- The permittee has declared an emergency or a major disaster under the Stafford Act
- The permits are issued in accordance with State law
- The permits are issued exclusively to vehicles and loads that are a balancing safety purpose.

For more information on Division Loads & the FAAT Act visit: www.faa.gov/air_traffic_control/operations_center/ops_center.html

U.S. Department of Transportation
Office of Intelligence, Security, and Emergency Response

TRANSPORTATION EMERGENCY RESPONSE FACTSHEET

MARITIME

USDOT Operating Maritime Administration (MARAD)

MARAD promotes development and maintenance of an adequate, well-balanced, United States merchant marine, sufficient to carry the Nation's domestic, worldwide commerce and a substantial portion of its worldwide foreign commerce, and capable of serving as a naval and military auxiliary in time of war or national emergency. MARAD also seeks to ensure that the United States enjoys adequate (rebuilding and repair services, efficient ports, effective international water and land transportation systems, and reserve shipping capacity in time of national emergency.

Saint Lawrence Seaway Development Corporation (SLSDC)

The Saint Lawrence Seaway Development Corporation (SLSDC) operates and maintains a safe, reliable and efficient waterway for commercial and noncommercial vessels between the Great Lakes and the Atlantic Ocean. The SLSDC, in tandem with the Saint Lawrence Seaway Authority of Canada, oversees operations safety, vessel inspections, traffic control, and navigation aids on the Great Lakes and the Saint Lawrence Seaway.

USDOT Statutory Authorities

For more information on Maritime regulations, visit www.maritime.dot.gov and view the full text of the Act at www.maritime.dot.gov/act

U.S. Department of Transportation
Office of Intelligence, Security, and Emergency Response

TERF 1: National Response Program Fact Sheet

TERF 2: USDOT Regulatory Relief

TERF 3: Aviation

TERF 4: Maritime

TERF 5: Surface

TERF 6: RET-C Program



Technology

WebEOC:

Web-enabled crisis information management system and provides secure real-time information sharing

DOTMap:

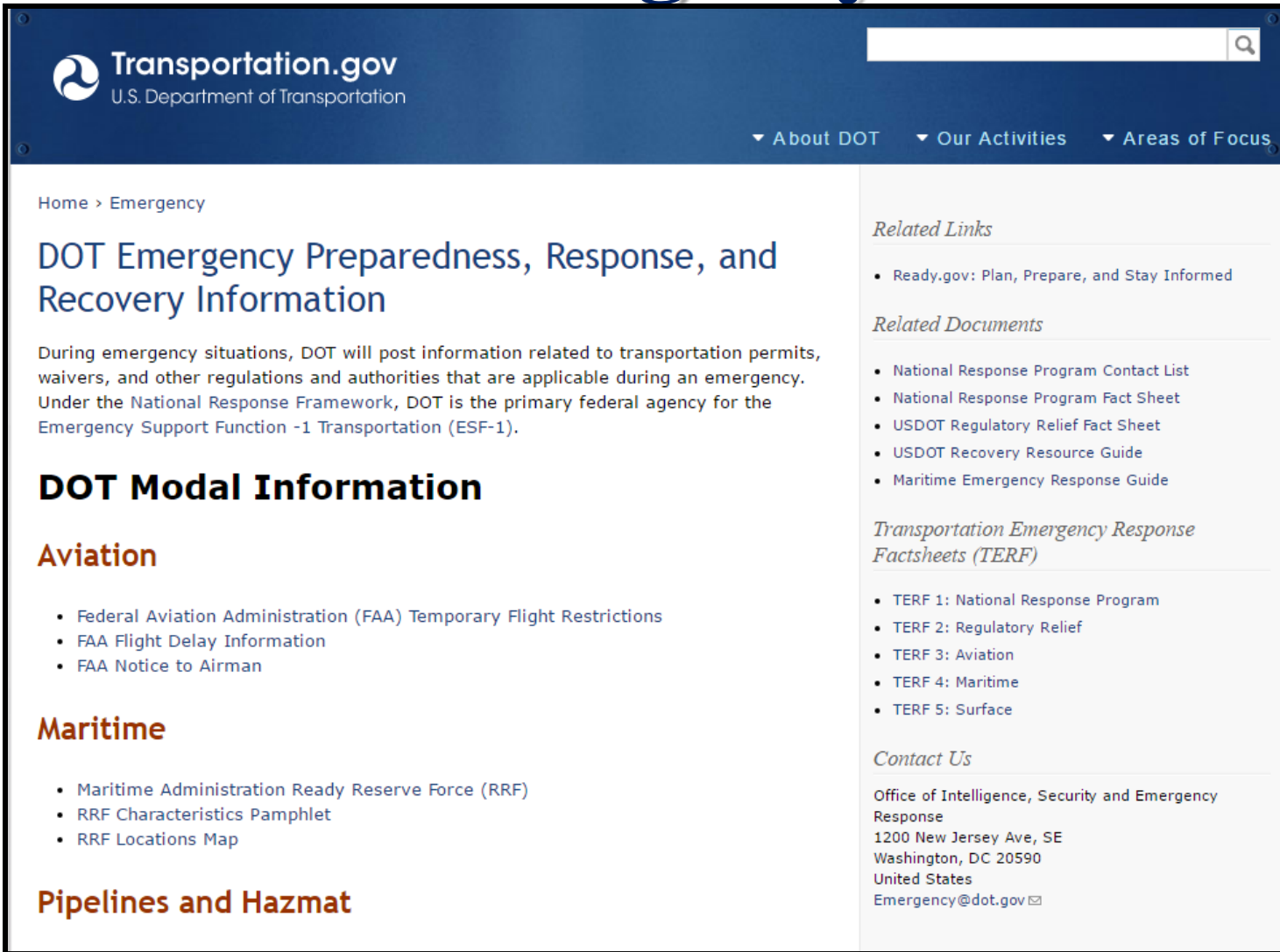
Create, analyze, edit, and print maps to assist in identifying the status of the transportation system

USDOT Emergency Website: www.dot.gov/emergency

One-stop shop for information related to transportation permits, waivers, and other regulations and authorities that are applicable during an emergency. Also contains links to ESF-1 partners websites.



USDOT Emergency Website



The screenshot shows the USDOT Emergency Website interface. At the top left is the Transportation.gov logo and U.S. Department of Transportation text. A search bar is located at the top right. Below the header is a navigation menu with 'About DOT', 'Our Activities', and 'Areas of Focus'. The main content area features a breadcrumb trail 'Home > Emergency' and a main heading 'DOT Emergency Preparedness, Response, and Recovery Information'. A paragraph explains DOT's role in emergency situations. Below this are three sections: 'DOT Modal Information', 'Aviation', and 'Maritime', each with a list of links. A 'Pipelines and Hazmat' section is also visible. On the right side, there are sections for 'Related Links', 'Related Documents', 'Transportation Emergency Response Factsheets (TERF)', and 'Contact Us'.

Transportation.gov
U.S. Department of Transportation

Home > Emergency

DOT Emergency Preparedness, Response, and Recovery Information

During emergency situations, DOT will post information related to transportation permits, waivers, and other regulations and authorities that are applicable during an emergency. Under the National Response Framework, DOT is the primary federal agency for the Emergency Support Function -1 Transportation (ESF-1).

DOT Modal Information

Aviation

- Federal Aviation Administration (FAA) Temporary Flight Restrictions
- FAA Flight Delay Information
- FAA Notice to Airman

Maritime

- Maritime Administration Ready Reserve Force (RRF)
- RRF Characteristics Pamphlet
- RRF Locations Map

Pipelines and Hazmat

Related Links

- Ready.gov: Plan, Prepare, and Stay Informed

Related Documents

- National Response Program Contact List
- National Response Program Fact Sheet
- USDOT Regulatory Relief Fact Sheet
- USDOT Recovery Resource Guide
- Maritime Emergency Response Guide

Transportation Emergency Response Factsheets (TERF)

- TERF 1: National Response Program
- TERF 2: Regulatory Relief
- TERF 3: Aviation
- TERF 4: Maritime
- TERF 5: Surface

Contact Us

Office of Intelligence, Security and Emergency Response
1200 New Jersey Ave, SE
Washington, DC 20590
United States
Emergency@dot.gov

MAJOR STORMS 2017



H-MATTHEW 2016-2017



H-MATTHEW



H-Matthew

- October 29 – September 6
- Trail of Destruction from USVI/PR to Virginia
- Landfall in South Carolina
- Winds up to 100 mph; storm surge 7 feet;
- Rainfall 20 inches
- Historic Flooding





H-MATTHEW

- Routing Assistance Hotline – Operated from three locations: Raleigh State Emergency Operations Center – Routed EM Responders
- \$1+ Million Mission Assignment to provide Non-urbanized area transit support to survivors
- Repair Estimates and project worksheets



H-MATTHEW

- Routing Assistance –
 - Relied on local knowledge and expertise
 - Federal and State Responders only; not public
 - 1800 number from internet

Lessons Learned?

- Tailor to Needs of Disaster
- Rely on State Transportation Info



H-MATTHEW

Mission Assignment for Transit Support

- New Transit Staff in NC
- No recent disasters – no knowledge transfer
- Mission-Assigned to FTA (handled pass through \$)

Lessons Learned??

Keep Good Expense Records

Establish Relationships with County EM



HURRICANE HARVEY





HURRICANE HARVEY

- August 25, 2018 landfall in TX
- Category 4
- 2 feet of rainfall first 24 hours; more coming
- \$125 Billion in damage



H-Harvey Flooding



HURRICANE HARVEY

Routing Assistance Hotline



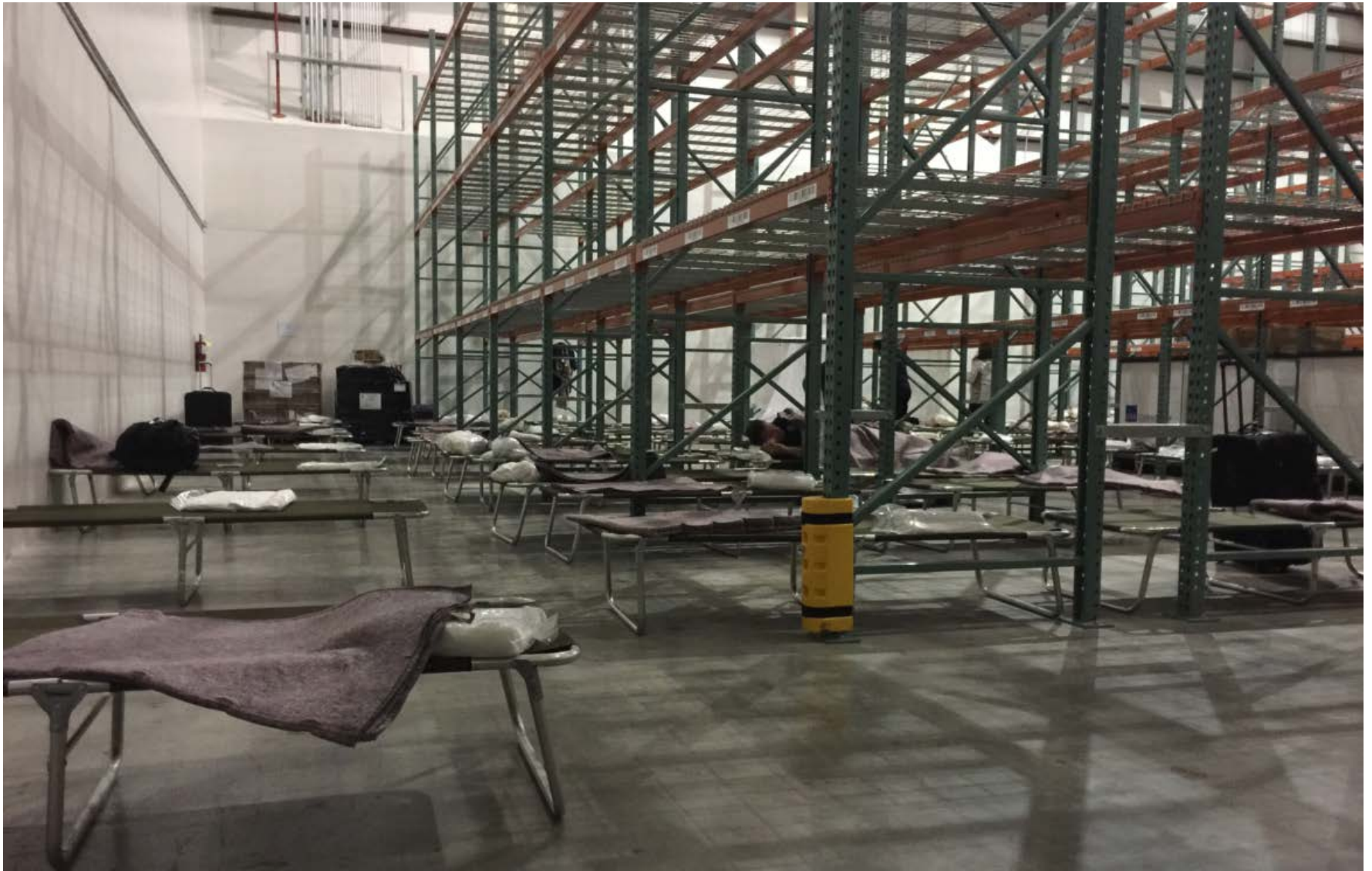
H-IRMA



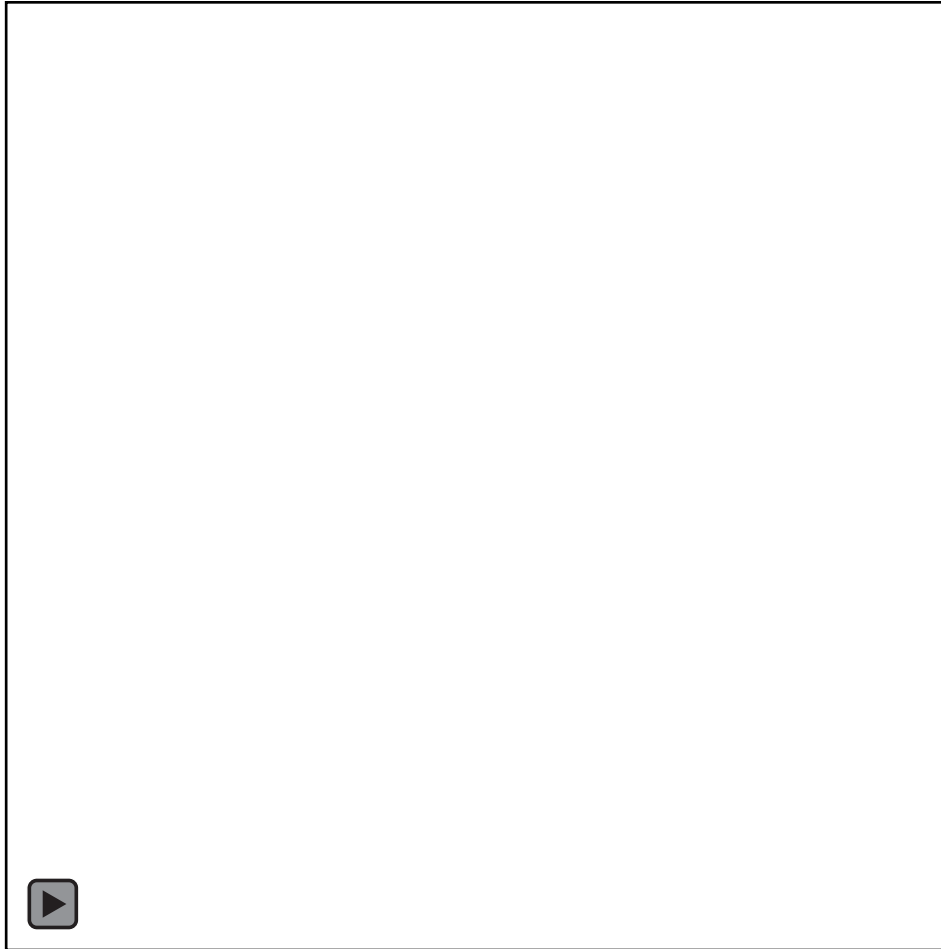
H-IRMA

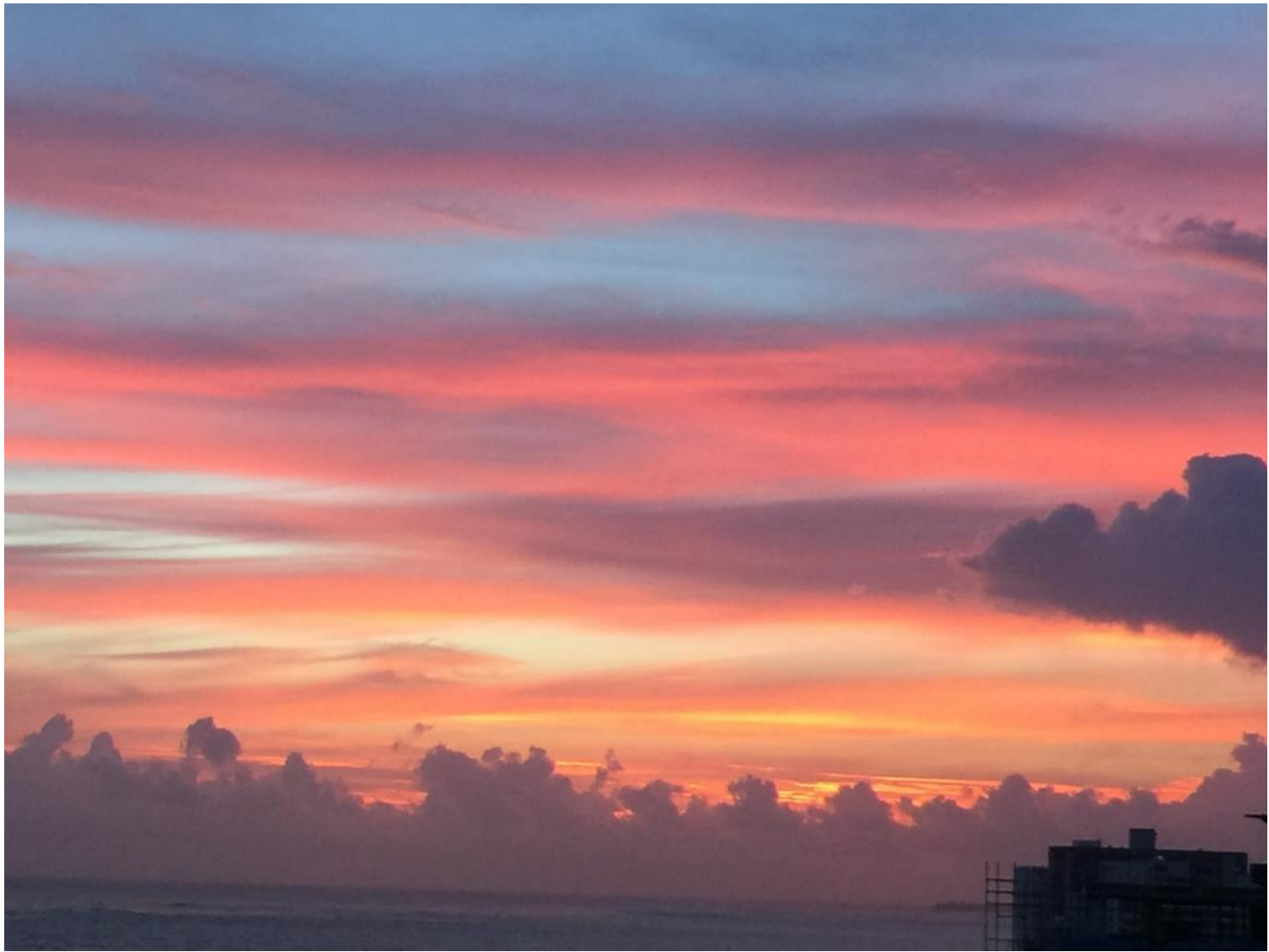
- Strongest Atlantic Hurricane since 2005
- Formed August 31st and fluctuated between Cat 2-3
- Landfall in FL Keys/Naples Sept 10 as Cat 3
- 2+ million without power
- Riverine Flooding
- Transit Service monitoring and assistance



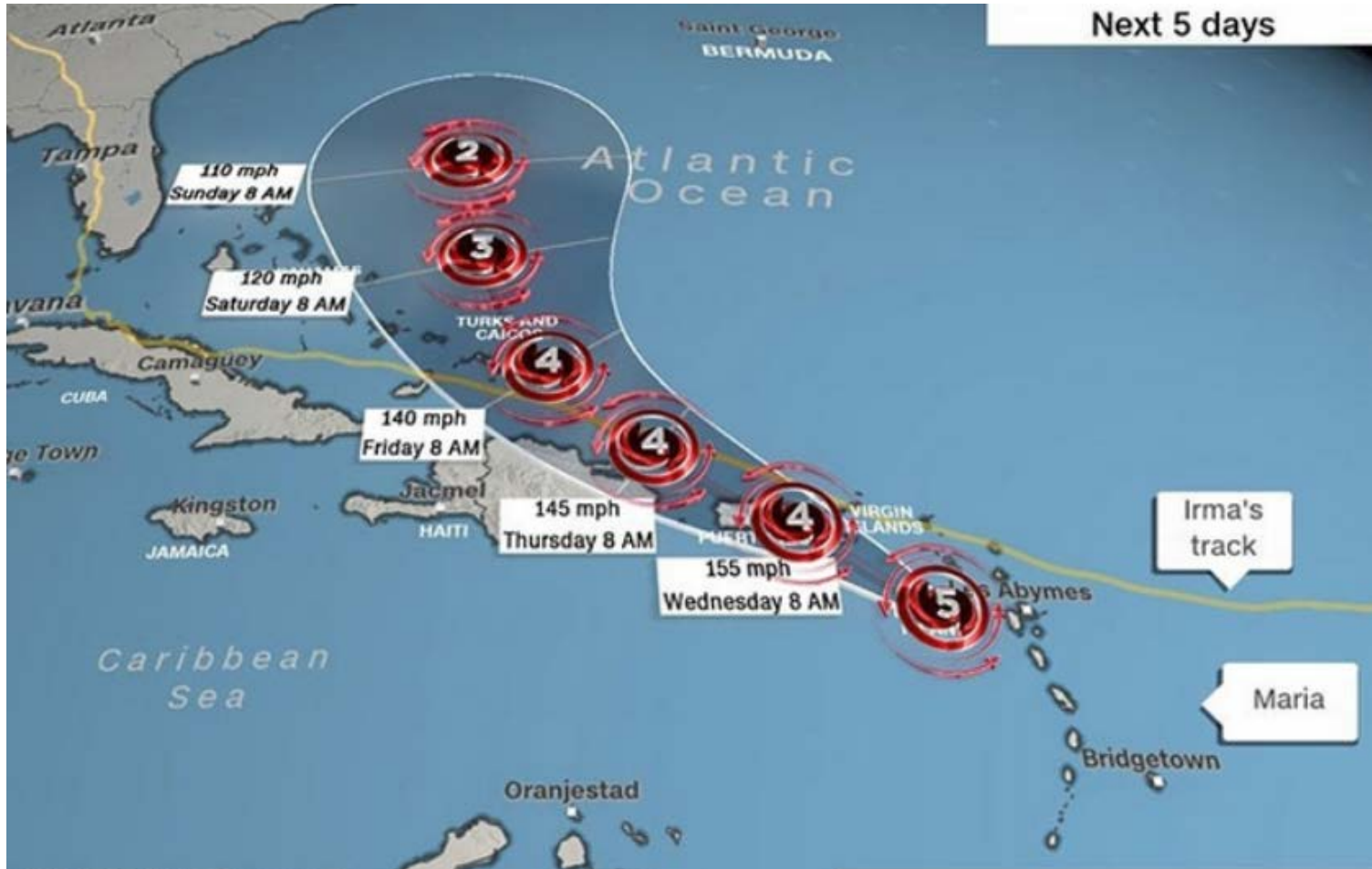


II IDMA





H-MARIA



H-MARIA



H-MARIA

- September 20, 2018 (Struck Puerto Rico)
- Outages affected 3+ Million US Citizens
- Flood Waters; Debris; Wind Damage
- Collapse of already weakened infrastructure



H-MARIA

THE DISASTER THAT KEPT COMING

Total Power Outage

Total Communication Outage

Total Airport Outage

Increasing Road Outages

Isolated Communities

New Infrastructure Failures

Water Treatment

Struggles with Situational Awareness



H-MARIA



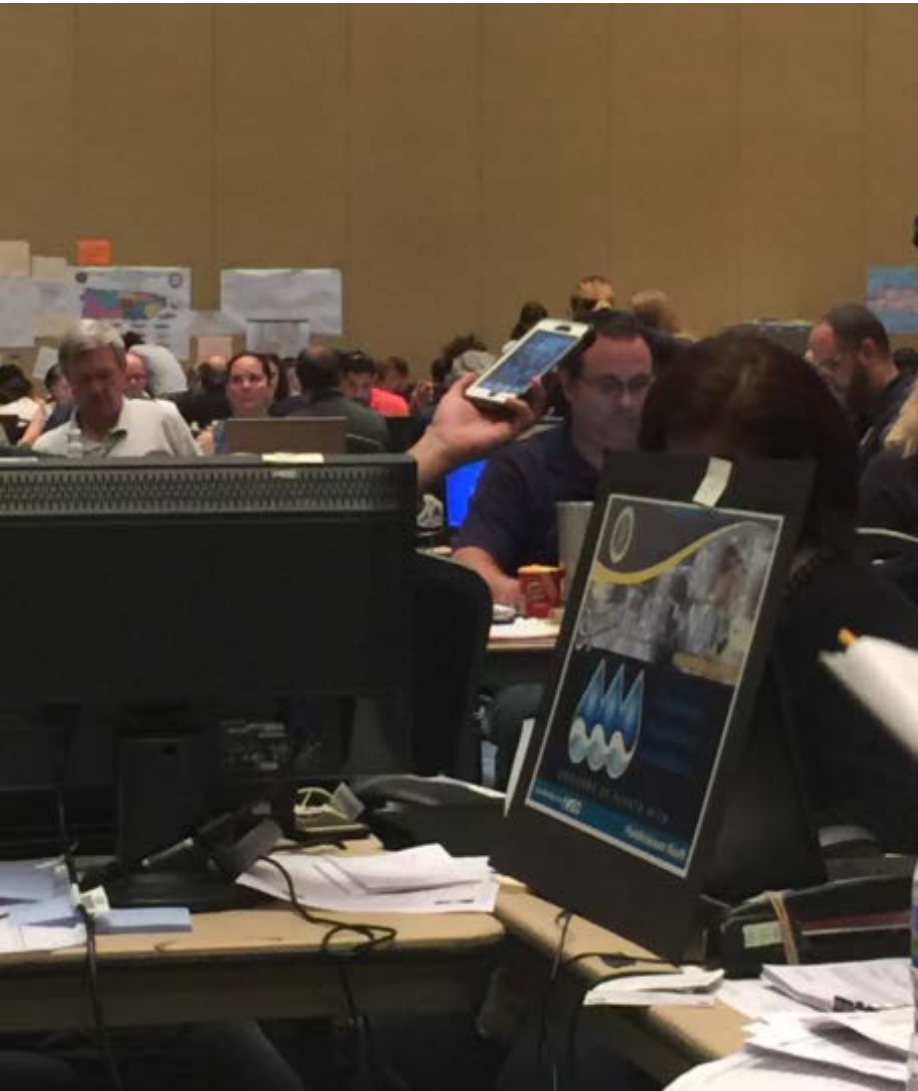
H-MARIA

Initial Problem Areas

- Communication
- Situational Awareness
- Power
- Airway Facilities
- Bridges and Roads
- Ports
- Search and Rescue Efforts



H-MARIA



H-MARIA



H-MARIA



H - MARIA



Accommodations



H- MARIA





ESF-1 Daily Meetings "Hurricane Maria"

7:15 AM - 8:00 AM	Command & General Staff (208C)
7:30 AM - 7:45 AM	Operations Standup (Blue Room)
8:30 AM - 9:15 AM	Ports & Berthing Coordination Commercial Port Coordination (Sheraton Luma Room)
8:30 AM - 9:30 AM	Infrastructure/Debris/Roads and Bridges Coordination
9:00 AM - 10:00 AM	Island Update Teleconference - 1-888-624-3200; Puerto Rico - 782946
9:30 AM - 10:30 AM	Operations Team Lead Meeting (1 st Floor - Exhibit B)
11:00 AM - 11:30 AM	National DOD Maritime Shipment Call
11:30 AM - 12:30 PM	Roads/Bridge Condition/US Integration (Sheraton Luma Room)
12:00 PM - 12:30 PM	ESF Coordination Call
1:00 PM - 1:30 PM	Central Region Task Force Meeting (208C)
2:00 PM - 3:00 PM	Central Island Coordination Task Force (208C)
3:00 PM - 4:00 PM	Operations Tactics Meeting (208A)
4:00 PM - 5:00 PM	PR Business Recovery Meeting (208A)
6:00 PM - 7:00 PM	Planning Meeting - IAP for the next operational period (208A)





Heaviest Impact Transportation

- Ports
- Airports, Airway Facilities
- Transit Service
- Highways



Transit Damage \$\$

Cost to Repair with Mitigation	Cost to Repair to Code	Cost to Repair to Functionality
\$ 451,429,654	\$ 194,803,387	\$ 978,349

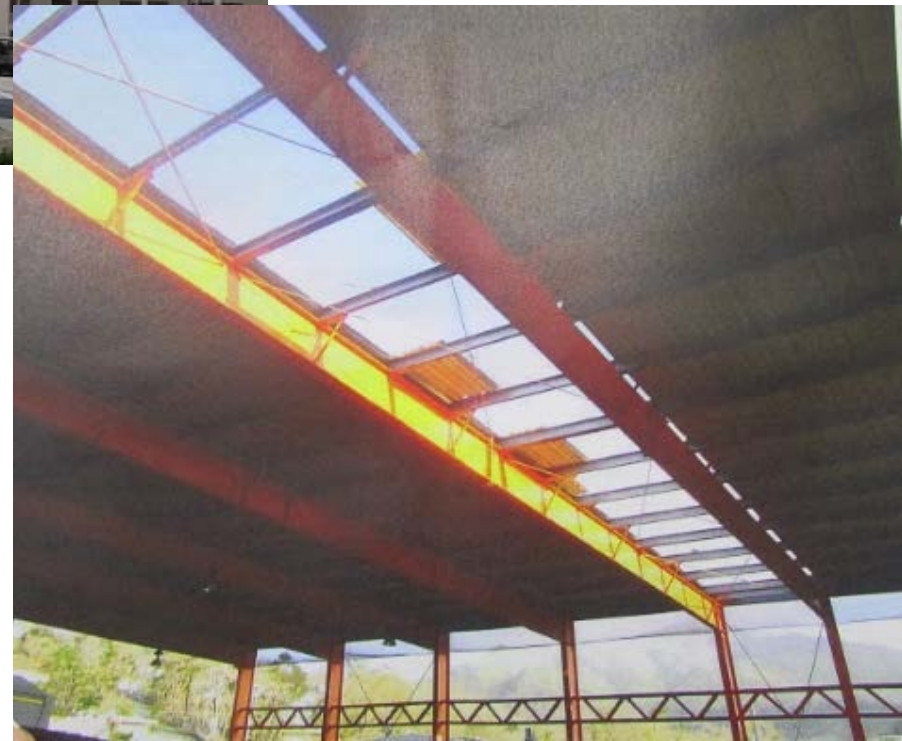
Transit Damage



Ferry from Puerto Rico damaged during IRMA at USVI



Terminals



Vehicles



Transit

- ESF-1 Support Staff
- Situation Reports
- Preliminary Damage Assessments
- Coordination with Ferry System
- Communication with Mayors









UTUADO



H-MARIA



ESF-1 Assets in Play

- ESF-1 Teams
- Maritime Administration Training Ships
- Maritime Administration Safe-Stor
- FAA Temporary Towers
- Routing Assistance Hotline
- Construction Management (Technical Assist.)
- Translation Services
- Pier Assessment Teams
- \$60 MA to FHWA for Construction Management







How does Transit Improve Readiness?

- Ensure Urban and non-urban systems have written procedures
- Encourage all systems to develop relationship and agreements with County Emergency Manager
- Get to know your State Emergency Management Agency Director



- Understand your potential role in
 - Evacuation
 - Support of Emergency Operations
 - Documenting your expenses during Emergencies
- Have a communications plan for emergencies
 - What if you cannot reach drivers and staff?



Contact Information

Leah.Russell@faa.gov

National Response Program

Regional Emergency Transportation Representative– Region 4

Cell: (404) 909-6700

Pearlis.Johnson@faa.gov

National Response Program

Regional Emergency Transportation Coordinating Official –
Regions 3 and 4

Cell: (404) 305-5004



FTA

FEDERAL TRANSIT ADMINISTRATION

FTA Region IV
State Programs Team
Annual Meeting

OPPD Updates
Keith Melton



U.S. Department of Transportation
Federal Transit Administration

Office of Planning and Program Development Updates

- Grantee Deadlines/Reminders
- Anticipated Application Activity (AAA) – grantees are asked to tell us when they will come in with an app.; develop a dummy application in TrAMs and report the Temporary FAIN #
- Also, provide Emergency & POC information
- Designated Recipient Information – 5307 & 5310 -- updates
- Super Grants
- Split Allocation Letters -- *new*
- Performance Based Planning & Programming (PBPP) – *new*
- Transit Asset Management (TAM) Plans -- *new*
- NEPA Updates

Office of Planning and Program Development Updates

FFY18 FTA Region IV Important TrAMS Deadlines	
Date	Action
Immediately	<ul style="list-style-type: none"> Review attached carryover and lapsing balances. Confirm federal funding is appropriately programmed in the TIP/STIP.
December 2017/January 2018	<ul style="list-style-type: none"> Share with FTA the anticipated timeline for application funding activity in FY18, highlighting applications containing lapsing and critical funding. Begin discussing any required NEPA determinations needed for grant applications in FY18 with FTA Community Planner.
January 12, 2018	<ul style="list-style-type: none"> Return AAA Sheet to FTARegion4@dot.gov.
March 30, 2018	TrAMS Transmittal deadline for all applications containing lapsing funds.
April 30, 2018	<ul style="list-style-type: none"> TrAMS Transmittal deadline for all other current year and non-lapsing grant applications, including critical cash flow funds. TrAMS Submittal deadline for all applications containing lapsing funds.
May 31, 2018	TrAMS Submittal deadline for all applications for current year and non-lapsing grant applications, including critical cash flow funds.
September 21, 2018	Anticipated closing of the TrAMS System. ALL applications must be awarded by this date in TrAMS.

Office of Planning and Program Development Updates

Grant Reminders

- Ensure projects/funds included in the CURRENT STIP/TIP/UPWP.
- Start Environmental/Section 106 discussions with EPS's now!
- Amendments to TEAM grants in TrAMS cannot be done in most cases (CIG may be the exception)
- Work with Region IV if there are questions regarding how to set up the grant budget
- Toll Development Credit (TDC) Letters must be attached to Application
- For FHWA Flex Fund Applications please attach signed FHWA Form 1576 to Application (State DOT/FHWA offices usually have this) **NOTE: wrong STBG or CMAQ codes on forms are costly**

Office of Planning and Program Development Updates

Anticipated Application Activity (AAA)

- FY18 Anticipated Application Activity spreadsheets were emailed to grantees in December 2017
 - Completed AAAs were due back to FTA Region 4 by Friday, January 12, 2018
 - ~ 98% complete; If not complete, please return ASAP so FTA may know what your plans are
- Work with your FTA Community Planner as much as possible
 - Prioritize **lapsing and critical cash flow applications**
 - Keep your C. Planner informed of lapsing and critical cash flow applications
 - Inform FTA of any capital applications/projects that will require **NEPA/Section 106 reviews** for the environ. determination
- Please provide FTA updated/current Points of Contact and Emergency Contact Information on the AAA form.

Office of Planning and Program Development Updates

Designated Recipient Information for 5307 and 5310 Programs

- Please note there is language on this in the Partial Apportionment
- Not yet a hard stop in TrAMs **but** could be...
- Ensure that the following **three documents** are uploaded in TrAMS to your **Grantee Recipient Profile**:
 - Designated Recipient Letter from the Governor (or designee)
 - Opinion of Counsel (OoC)
 - Authorizing Resolution of the MPO

Office of Planning and Program Development Updates

“Super Grants”

- Region 4 will consider recipient requests for developing “multi source funding” applications (aka “Super Grants”).
- These applications could have funds from more than one FTA program. LO NO and STBG FLEX is a good example
- Prior to entering an application in TrAMs, such applications would be discussed with your Community Planner on a case by case basis prior to entering the app. in TrAMS.
- The logic of combining funding sources and eligibility for similar and related uses would be considered.
- However, there are some limitations and the logic of combining several program funding sources needs to be discussed with Region IV – such as the post award implications of later Budget Revisions or Amendments.

Office of Planning and Program Development Updates

Split Allocation Letters

- Because supplemental agreements were eliminated in TrAMS, designated recipients now must authorize a grant award to a direct recipient and the paragraph below must now be part of the grant record.
- Incorporate the following italicized language into each split letter/governor sub-allocation letter.
- This language should be included in any split letter:
 - ***“As identified in this Split Letter, the Designated Recipient authorizes the assignment/allocation of Section 5307 to the Direct Recipient(s) named herein. The undersigned agree to the Split Letter and the amounts allocated/assigned to each Direct Recipient. Each Direct Recipient is responsible for its application to the Federal Transit Administration to receive Section 5307 funds and assumes the responsibilities associated with any award for these funds.”***

Office of Planning and Program Development Updates

Performance Based Planning & Programming (PBPP)

- FTA and FHWA published the [final rule](#) on Statewide and Nonmetropolitan Transportation Planning and Metropolitan Transportation Planning on May 27, 2016.
- FTA published the [final rule](#) on Transit Asset Management (TAM) on July 26, 2016.
- The rules establish new requirements for metropolitan planning organizations (MPOs) to coordinate with transit providers, set performance targets and integrate performance targets and performance plans into planning documents by certain dates.
- MPO's, DOT's, transit agencies must work collaboratively

Office of Planning and Program Development Updates

- Performance Based Planning & Programming (PBPP)
 - Any amendment of your MTP or TIP after October 1, 2018, will trigger the requirement to incorporate transit performance management components into the planning process.
 - NOTE: Other Performance Management targets (Highway Safety, Bridge, Pavements, etc.) will each have their own implementation dates.
 - Please consider providing Region IV with your TAM Plan to be used as a Regional Resource.
 - FTA does not approve the TAM Plan but must be on file
 - Will be a Triennial Review or Planning Certification item
 - Transit Asset Management (TAM) plans target SGR

Office of Planning and Program Development Updates

- Transit provider responsibilities for TAM Plans:
 - Determine if your agency is a Tier 1 or Tier 2
(https://www.transit.dot.gov/TAM/gettingstarted/TierI-II_workflow)
 - Tier 1 agencies operate **rail** or operate **101 or more vehicles** in peak service (all fixed-route or any non-fixed route mode)
 - Tier 2 agencies are **5311 recipients, tribes** or have **100 vehicles or fewer** in peak service (all fixed-route and each non-fixed route mode)
 - Set targets for State of Good Repair (SGR) (January 1, 2017)
 - Provide SGR targets to MPO & State DOT (prior to June 30, 2017)

Office of Planning and Program Development Updates

- TAM Plans (continued):
 - State DOT's are **required** to offer group plans
 - MPO's and other direct/designated recipients may also sponsor group TAM plans
 - State DOT's and MPO's are encouraged to share info and work together – formal agreements may help
 - TAM Plans must be updated at least once every 4 years
 - TAM targets may change annually

Office of Planning and Program Development Updates

- TAM Plans should be context-sensitive, for example:
 - Useful life benchmarks (ULBs) for vehicles do not have to match the FTA useful life for disposition
 - Plans may go beyond required SGR metrics to include operational metrics that influence asset condition, etc.
 - There will be different considerations for rural, urban, and suburban systems.
 - TAM targets do not have to be the same for transit providers, MPO's and State DOT's.
- Metropolitan Transportation Plans should provide a way to measure progress toward TAM goals

Office of Planning and Program Development Updates

- MPO MOA's and State DOT MOA's need to consider PBPP and TAM work
- Probably need to be updated
- NTD reporting will be handled separately
- MPO's may update their TIPS, MTP's etc. on their own timeline but after Oct. 1, 2018 their PL documents need to reflect PBPP & TAM

Office of Planning and Program Development Updates

- **State of Good Repair as a Measure and a Goal to Guide Funding Decisions**
 - Collaborative process
 - Do not overreach
 - Meet the SGR targets by investing in capital items that are past their useful life

Office of Planning and Program Development Updates

- Reporting State of Good Repair to NTD
- Annually:
 - Report Performance Targets to the National Transit Database (NTD)
 - As mentioned this is a separate session

Office of Planning and Program Development Updates

Environmental Basics

- 2018 Environmental Initiatives – streamlining?
- NEPA Responsibilities

Office of Planning and Program Development Updates

Environmental Initiatives

- General Initiatives
 - Prioritizing NEPA reviews based on capital project readiness
 - Striving for consistency by requiring the submission of the NEPA and Section 106 Checklists by the grantee for **capital projects**
- Capital Investment Grant (CIG) Initiatives
 - Working with planners and grantees to enter CIG Project Development at the appropriate time so that the grantee doesn't have to redo/update environmental analysis
 - Reducing the workload on the grantees by tying re-evaluations to design milestones

Office of Planning and Program Development Updates

FTA Responsibilities

- FTA will provide the NEPA & Sec. 106 checklists needed to the grantee
- FTA will ask the grantee for completed checklists.
- FTA will determine the NEPA class of action (COA) based on the completed checklists (and may ask for additional info.).
- FTA will review environ. documents for technical and legal sufficiency.
- FTA will initiate consultation to satisfy Section 106 of the National Historic Preservation Act.

Office of Planning and Program Development Updates

Grantee Responsibilities

- The Grantee will provide a clear, accurate and complete checklist to FTA.
- The Grantee will complete the required NEPA documentation based on FTA's COA.
- The Grantee will provide FTA with all necessary documents for review.
- The Grantee will notify FTA of any changes to the proposed project which may affect the COA.
- FTA will be the Federal decision maker for NEPA.

Office of Planning and Program Development Updates

FTA Region IV Environmental Protection Specialist Contact Information:

Stan Mitchell, EIT, MBA

FTA Region IV

Phone: (404) 865-5643

E-mail:

stanley.a.mitchell@dot.gov

Julia “Carrie” Walker, MHP

FTA Region IV

Phone: (404) 865-5645

E-mail:

julia.walker@dot.gov

Office of Planning and Program Development Updates

FTA Region IV Office of Planning and Program Development

Contact Information:

B. Keith Melton

Director, Office of Planning and Program Development

FTA Region IV

Phone: (404) 865-5614

E-mail: Keith.Melton@dot.gov

FTA

FEDERAL TRANSIT ADMINISTRATION

FTA Region IV
State Programs Team
Annual Meeting

PMPO Updates
Margarita Sandberg



U.S. Department of Transportation
Federal Transit Administration

Office of Program Management and Project Oversight Updates

- General Reporting Requirements
- Grants Management
- Project Management
- Dispositions
- Real Estate
- Incidental Use
- Transit Asset Management (TAM)
- Art and Non-functional Landscaping under FAST Act

Office of Program Management and Project Oversight Updates

General Reporting Requirements

- Just over 400 grants in Region IV reporting FFR/MPR Quarterly were converted to Annual reporters based on risk factors.
- This helped relieve some of the reporting burden for both our grantees, and FTA staff reviewing the reports.
- Low Risk Factors Included:
 - Grants awarded with less than \$2M total
 - Grants which do NOT have Section 5309, Emergency Relief, TIGER, State Safety Oversight funding
 - No construction activities
 - No other risk factors that may trigger quarterly reporting

Office of Program Management and Project Oversight Updates

General Reporting Requirements

- FFR/MPR Review Reminders
 - Quarterly and Annual reports are due by the 30th regardless of whether the month has 31 days.
 - FFR (Federal Financial Reviews) expenses should be reported in accrual basis of accounting, not on a cash basis
 - MPR (Milestone Progress Report) please include project details and keep milestone dates current
 - Be sure to “submit” reports or they remain “in-progress”

Office of Program Management and Project Oversight Updates

- **Grants Management**

- Grant period of performance End Date – grants awarded after February 22, 2018 will need budget revisions to extend the period of performance if any of the milestone are delayed and exceed the grant's end date. We are setting grant end dates to be March 30, 2 years past the last milestone date.
- Use oldest grants first and closeout grants promptly after a project is completed.
- Seek appropriate budget revision FTA approvals when expenditures approach 20% of the line item's budget.

Office of Program Management and Project Oversight Updates

- **Project Management**

- Submit to FTA all outstanding claims information over \$100,000 and all claims settled during the reporting period. Include a brief description, estimated costs, and reason for the claim.
- List of all potential and executed change orders over \$100,000, pending or settled, during the reporting period with brief description.
- Ensure all vendors and contractor are complying with all applicable Federal requirements
- Ensure any subrecipients are complying with all applicable Federal requirements

Office of Program Management and Project Oversight Updates

Disposition of FTA Assets

- Reference FTA Circular 5010.IE for choosing a disposition option. Note differences in the options when the asset met or has not met useful life
- FTA interest remains upon disposition of a federally assisted asset before the end of its useful life or for a market value greater than \$5,000 after the useful life has been met.
- When federally assisted property is lost or damaged by fire, casualty, or natural disaster, the fair market value shall be calculated on the basis of the condition of the equipment or supplies immediately before the fire, casualty, or natural disaster, irrespective of the extent of insurance coverage.
- After the useful life of its federally assisted property is reached, rolling stock and equipment with a unit market value of \$5,000 or less may be retained, sold, or otherwise disposed of with no obligation to reimburse FTA. Records of this action must be retained. FTA approval of this action is not required.

Office of Program Management and Project Oversight Updates

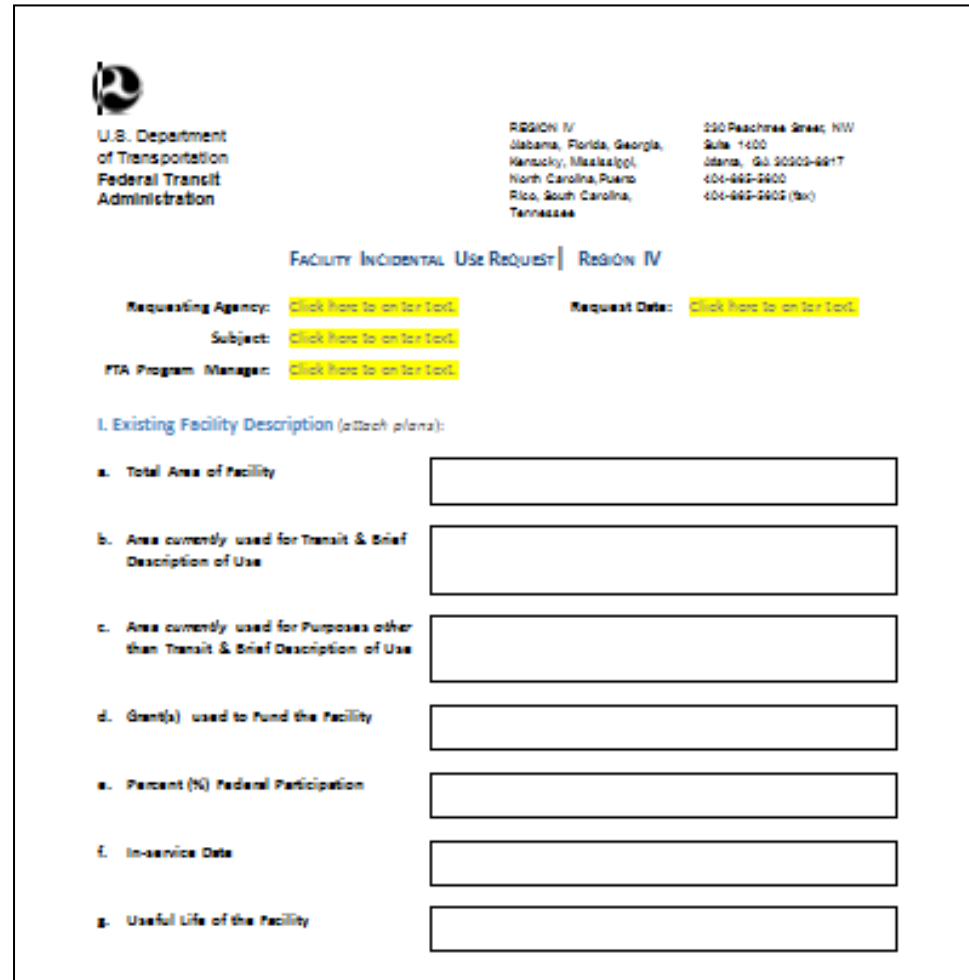
Real Estate

- Remaining federal interest in real property means the federal share of the fair market value of that property, the straight line depreciated value of improvements thereof, or the federal share of the current appraised land value, whichever is greater.
- FTA's determination of the remaining federal interest in the federally assisted property removed from service before the end of the useful life of the improvements is determined by comparing the fair market value of the entire property with the value of the land plus the depreciated value of the improvements and taking the greater of these two values.
- FTA must review and concur in appraisals and review appraisals for acquisitions and dispositions of more than \$500,000 or in-kind contributions and land exchanges of any value before federal assistance is expended, or the value is used as non-federal share.
- Reference FTA Circular 5010.1E page IV-18 for Disposition Methods.

Office of Program Management and Project Oversight Updates

Incidental Uses of Federal Assets

- Remember all non-transit use of a Federal Asset requires FTA concurrence per Circular 5010.1E
- To facilitate this process we're now using a new Incidental Use Tool
- Contact your Program Manager for a copy of the tool



The screenshot shows a form titled "FACILITY INCIDENTAL USE REQUEST | REGION IV". At the top left is the U.S. Department of Transportation Federal Transit Administration logo. To the right of the logo is the address: "REGION IV Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee". Further right is another address: "220 Peachtree Street, NW Suite 1400 Atlanta, GA 30302-6917 404-692-2600 404-692-2602 (fax)".

Below the header, there are three fields with yellow highlights: "Requesting Agency: [Click Here to enter text](#)", "Subject: [Click Here to enter text](#)", and "FTA Program Manager: [Click Here to enter text](#)". To the right of these is "Request Date: [Click Here to enter text](#)".

Section 1 is titled "Existing Facility Description (attach plans):". It contains seven items, each with a text input field:

- Total Area of Facility
- Area currently used for Transit & Brief Description of Use
- Area currently used for Purposes other than Transit & Brief Description of Use
- Grant(s) used to Fund the Facility
- Percent (%) Federal Participation
- In-service Date
- Useful Life of the Facility

Office of Program Management and Project Oversight Updates

Transit Asset Management (TAM)

- The TAM rule (49 CFR part 625) is a set of federal regulations that sets out minimum asset management practices for transit providers.
- Oversight reviews on TAM to begin in FY2019

TIMELINES If your fiscal year runs:	July-June	Oct-Sept	Jan-Dec
<ul style="list-style-type: none"> • Report FY17 asset inventory module (AIM) data to NTD • Submit targets for FY18 to NTD (optional) 	Oct 2017	Jan 2018	Apr 2018
<ul style="list-style-type: none"> • Complete compliant TAM Plan (1st required) • Share TAM Plan with planning partners 	Oct 2018		
<ul style="list-style-type: none"> • Report FY18 AIM data to NTD (1st required) • Submit targets for FY19 to NTD (1st required) 	Oct 2018	Jan 2019	Apr 2019

FTA TAM website: www.transit.dot.gov/TAM

Office of Program Management and Project Oversight Updates

Transit Asset Management

- FTA Region IV will be reaching out to our Tier I and some Tier II grantees prior to October's deadline to poll and find out the status on your latest TAM planning efforts.
- Tier I – operate rail fixed guideway, operate 101 or more revenue vehicles
- Tier II – American Indian tribe, receive funds only as sub under DOT
- Questions will include:
 - Are you aware of TAM requirements and deadlines?
 - For those Tier II grantees eligible to join a group or develop individual plans, how are you choosing which option to take?
 - Do you have processes/tools or specific challenges related to asset inventories, condition assessments, and target setting?
 - What has been your experience with the first round of target setting?

Office of Program Management and Project Oversight Updates

- **FAST Act – Art or Non-functional Landscaping in Transit**
 - The FAST Act has a new prohibition on the use of FTA funds for “*incremental costs of incorporating art or non-functional landscaping into facilities, including the costs of an artist on the design team.*” (49 U.S.C. 5323(h)(2) as amended by FAST.)
 - This prohibition applies to all FTA programs and grants, including all programs authorized under Chapter 53 of Title 49, U.S.C. and other programs for which FTA serves as the grant making agency (e.g. TIGER).
 - No local funds spent on art or non-functional landscaping can be used to match the federal grant.
 - The prohibition on FTA funds being used to pay for these activities applies only to grants entered into on or after December 4, 2015, regardless of the year the funds were made available.
 - <https://www.transit.dot.gov/funding/grants/grant-programs/art-and-non-functional-landscaping-federally-funded-public-transit>

Office of Program Management and Project Oversight Updates

FTA Region IV Office of
Oversight and Program Management
Contact Information:

Margarita Sandberg
Director, Office of Oversight and Program Management
FTA Region IV

Phone: (404) 865-5612

E-mail: margarita.sandberg@dot.gov

FTA

FEDERAL TRANSIT ADMINISTRATION

National Transit Database – Region IV State Programs

March 2018

Maggie Schilling

Program Manager, National Transit Database
Federal Transit Administration



U.S. Department of Transportation
Federal Transit Administration

New Asset Reporting Requirements

TAM Purpose

- Monitor and manage public transportation capital assets to:
 - Enhance safety,
 - Reduce maintenance costs,
 - increase reliability, and
 - Improve performance
- Objective is to reach and maintain a *state of good repair (SGR)*
 - Condition in which a capital asset operates at a full level of performance.

TAM Phase-In Schedule

NTD Fiscal Year Report to be Submitted	Set Internal Targets	Report Internal Targets to NTD	Submit Narrative Report on Meeting Targets to NTD	Report Condition Data on Vehicles	Report Condition Data on Facilities
January 2017	Required (For FY17)	Optional	Not Required	Not Required	Not Required
RY 2017	Required (For FY18)	Optional	Not Required	Optional	Optional
RY 2018	Required (For FY19)	Required	Not Required	Required	1/4 Required
RY 2019	Required (For FY20)	Required	Required	Required	2/4 Required
RY 2020	Required (For FY21)	Required	Required	Required	3/4 Required

TAM Inventory

- More inclusive than the inventory reported to the NTD
- Inventory of all assets used to provide service
 - Provider owned, jointly-procured, owned by third party
 - Except equipment with acquisition cost < \$50,000 (service vehicles excluded)
- Condition assessment of inventoried assets for which provider has *capital responsibility*

TAM NTD Annual Reporting Requirements

1. Annual performance targets (A-90)
 - Performance targets for next fiscal year
 - (e.g., targets submitted in RY 2018 report for RY 2019)
2. Inventory and Condition data
 - Facilities (A-15)
 - Revenue vehicles (A-30)
 - Service vehicles (A-35)
 - Track (A-20)
3. Narrative report of progress by end of report year
 - Change in condition
 - Progress toward meeting targets set in last year's report

What is reportable?

Asset Type	Inventory Required	Condition Assessment Required
Passenger Facility	All	If you have full or partial capital replacement responsibility
Administrative/ Maintenance Facilities	If you have full or partial capital replacement responsibility	If you have full or partial capital replacement responsibility
Track/Guideway	Not Applicable for State Reporters	
Revenue Vehicles	All	If you have full or partial capital replacement responsibility
Service Vehicles	If you fund its replacement	If you have full or partial capital replacement responsibility

TAM Performance Measures

Vehicles	
Equipment (Non-Revenue Service Vehicles)	Percentage of vehicles that have met or exceeded their Useful Life Benchmark (ULB)
Rolling Stock (Revenue Vehicles)	Percentage of revenue vehicles within a particular asset class that have met or exceeded their ULB
Infrastructure	Not Applicable for State Reporters
Rail Guideway, Tracks, Signals, Systems	Percentage of track segments with performance restrictions by class
Facilities	
Facilities Within Asset Class	Percentage of facilities with a condition rating below 3.0 on the FTA Transit Economic Requirements Model (TERM) scale (1=Poor to 5=Excellent)

Useful Life Benchmark (ULB)

- Definition
 - Expected lifecycle or the acceptable period of use in service for an asset as determined by transit provider *OR*
 - Default benchmark provided by FTA
- Key Considerations
 - ULB takes into account a provider's unique operating environment (e.g., geography, service frequency, climate)
 - ULB ≠ Useful life for FTA grant programs

TAM Group Plan Reporting

- A **sponsor** can develop a group TAM plan for at least one Tier II provider
 - Sponsor
 - A State, designated recipient, or direct recipient
 - Tier II Provider
 - Operates < 101 VOMS across fixed-route modes or in any one non-fixed route mode **AND**
 - Does not operate rail

TAM Group Plan Reporting

- A **state** sponsor will manage TAM requirements in the same manner as current subrecipient reports
 - Each subrecipient will have appropriate asset inventory forms added to their report package
 - Subrecipients who currently report directly to the NTD will directly report asset inventory
 - New TAM only reporters (5310 recipients) will be managed by the State
- One A-90 form will be completed for the group

“A” Forms

Area	Form	FY 2017	FY 2018
Facilities	Station and Maintenance Facilities (A-10)	Required	Required
	Transit Asset Management Facilities Inventory (A-15)	Optional	Required
Transit Way Mileage	Transit Way Mileage (A-20)	Not Applicable for State Reporters	
Vehicle Inventory	Revenue Vehicle Inventory (A-30)	Required ²	Required
	Service Vehicle Inventory (A-35)	Optional	Required
Targets	Transit Asset Management Performance Measures Targets (A-90)	Optional	Required

¹ Expanded information is optional

² Useful Life Benchmarking (ULB) reporting is optional

Stations and Maintenance Facilities (A-10)

Passenger Stations - Number of Facilities

Americans with Disabilities Act of 1990 (ADA) accessible

Escalators

Americans with Disabilities Act of 1990 (ADA) non-accessible

Elevators

Total Stations

3

Number of Multi-Modal Stations

Maintenance Facilities

Type	Owned	Leased from Another Public Agency	Leased from a Private Entity	Totals
General Maintenance Facilities (Less than 200 Vehicles)	1.00			1.00
General Maintenance Facilities (Between 200 - 300 Vehicles)				0.00
General Maintenance Facilities (Greater than 300 Vehicles)				0.00
Heavy Maintenance Facilities				0.00
Totals	1.00	0.00	0.00	1.00

- Report by mode and TOS
- No changes

Transit Asset Management Facilities Inventory (A-15)

▼ Filters

Facility Name

Primary Mode

Facility Type

Condition Assessment

[Apply Filters](#) | [Clear Filters](#)

Facilities

[ADD NEW](#) [EDIT SELECTED](#) [DELETE SELECTED](#)

<input type="checkbox"/>	ID ↑	Name	Facility Type	Address	Primary Mode	Year Built	Condition Assessment
<input type="checkbox"/>	62	Elston Garage	General Purpose Maintenance Facility/Depot	135 South LaSalle Street Chicago, IL 60603	MB - Bus	1968	4

Batch Size: [10](#) [25](#) [50](#) [100](#) | [Deselect All](#)

[SAVE AND VALIDATE](#) [SAVE](#) [VIEW ISSUES](#) [PRINT DOCUMENT](#) [CLOSE](#)

- Functional Change - one form for all modes/TOS
- Reporting is optional in RY 2017



Revenue Vehicle Inventory (A-30)

- Most data elements remain the same
- New Data Elements:
 - Useful Life Benchmark (ULB) – mandatory in 2018
 - Default ULB is provided, reporters can customize
- New Functionality
 - New search functionality for shared vehicle fleets

Service Vehicle Inventory (A-35)

- Report all modes on one form
- Service vehicles are reported in three categories:
 - Truck/Other Rubber Tire Vehicles
 - Automobiles
 - Steel Wheel
- Service vehicles should be
 - Self-propelled,
 - Rail or road worthy vehicles, or
 - Major construction equipment



Performance Metrics (A-90)

- Group plans will set one target for each performance metric
 - One target for each revenue vehicle type
 - One target for each service vehicle type
 - Truck and Other Rubber Tire
 - Steel Wheel
 - Automobile
 - One target for each facility type
 - Passenger Stations
 - Passenger Parking Facilities
 - Administrative
 - Maintenance



TAM/NTD Crosswalk

- Key TAM Plan and NTD reporting requirements
- Access to other asset management (SGR and TAM) reference materials
- www.transit.dot.gov/tam

Assets	TAM Plan Inventory	TAM Plan Condition Assessment	NTD Inventory & Condition Submittal	SGR Targets
Revenue Vehicles				
Owned	yes	yes	yes	yes
Direct Capital Responsibility	yes	yes	yes	yes
3 rd Party Owned (Direct Capital Responsibility)	yes	yes	yes	yes
3 rd Party Owned (NO Direct Capital Responsibility)	yes	no	yes*	no
Equipment: Non-revenue Vehicles (regardless of cost)				
Owned	yes	yes	yes	yes
Direct Capital Responsibility	yes	yes	yes	yes
3 rd Party Owned	no	no	no	no
Equipment: Over \$50,000 in Acquisition Value				
Owned	yes	yes	no	no
Direct Capital Responsibility	yes	yes	no	no
3 rd Party Owned	no	no	no	no
Equipment Under \$50,000 in Acquisition Value	no	no	no	no
Facilities:				
Owned	yes	yes	yes	yes
Direct Capital Responsibility	yes	yes	yes	yes
3 rd Party Owned (Direct Capital Responsibility)	yes	yes	yes	yes
3 rd Party Owned (NO Direct Capital Responsibility)	yes	no	yes**	no
Infrastructure: Non Rail Fixed Guideway				
Owned	yes	yes	no	no
Direct Capital Responsibility	yes	yes	no	no
3 rd Party Owned (Direct Capital Responsibility)	yes	yes	no	no
3 rd Party Owned (NO Direct Capital Responsibility)	yes	no	no	no
Infrastructure: Rail Fixed Guideway				
Owned	yes	yes	yes	yes
Direct Capital Responsibility	yes	yes	yes	yes
3 rd Party Owned (Direct Capital Responsibility)	yes	yes	yes	yes
3 rd Party Owned (NO Direct Capital Responsibility)	yes	no	yes	no

Included in TAM Plan

Reported to NTD

Upcoming TAM Events

	TAM Webinar Series: Major Capital Replacements	March 28, 2018
★	Tribal Training Webinar	TBD
	NTI Introduction to TAM (Tier I Agencies)	May 30 – June 1, 2018
★	FTA Roundtable on TAM	July 15, 2018
★	TRB Conference on Asset Management	July 16 – 17, 2018
	October 2018 – Final Rule in Effect	October 2018
★	TAM Implementation for Tier II Providers and Sponsors Course	October 2, 2018

Contact Info

Maggie Schilling

Program Manager, National Transit Database

DOT HQ, 1200 New Jersey Ave. SE, DC

202-366-2054

margaret.schilling@dot.gov

www.transit.dot.gov/ntd

FTA

FEDERAL TRANSIT ADMINISTRATION

Region IV Annual States Meeting

***Topic: 5310 Program:
Rideshare and Connectivity***
March 14, 2018



U.S. Department of Transportation
Federal Transit Administration

5310 Program Goal

The goal of the Section 5310 program is to improve mobility for seniors and individuals with disabilities throughout the country by removing barriers to transportation services and expanding the transportation mobility options available.

Toward this goal, FTA provides financial assistance for transportation services planned, designed, and carried out to meet the special transportation needs of seniors and individuals with disabilities in all areas—large urbanized, small urbanized, and rural.

The program requires coordination with other federally assisted programs and services in order to make the most efficient use of federal resources.

Definitions

- Public transportation means regular, continuing, shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low income.
- Shared Ride or Ridesharing means “Shared-ride” means two or more passengers in the same vehicle who are otherwise not traveling together.
- Transportation Network Companies (TNC’s) such as Uber and Lyft
- Connectivity/Mobility: Services that connect people to resources/destinations through a variety of mobility options.

The Transportation Ecosystem

- Traditional public transit and paratransit/demand-response transit (DRT);
- Transportation network companies (TNCs), such as Uber and Lyft;
- Micro-transit, such as Bridj and Chariot;
- Shared-ride services, such as Via and Localift;
- Peer-to-peer carsharing/car rental, such as Turo and BlaBlaCar;
- Taxis;
- Carsharing, such as Zipcar and car2go;
- Bikesharing, such as Capitol Bikeshare (in Washington, DC) and Hubway (in Boston, MA); City of Detroit launched accessible bikes;
- Car rental, such as Hertz and Avis; and
- Autonomous (self-driving) vehicles.

Source: <http://www.nadtc.org/news/blog/transportation-and-mobility-it-is-a-brave-new-world/>

ELIGIBLE SUBRECIPIENTS FOR OTHER SECTION 5310 PROJECTS

6. ELIGIBLE SUBRECIPIENTS FOR OTHER SECTION 5310 PROJECTS. Eligible subrecipients for other eligible Section 5310 activities include a state or local governmental authority, a private nonprofit organization, or an operator of public transportation that receives a Section 5310 grant indirectly through a recipient.
7. PRIVATE TAXI OPERATORS AS SUBRECIPIENTS. Private operators of public transportation are eligible subrecipients. The definition of “public transportation” includes “... shared-ride surface transportation services ...” Private taxi companies that provide shared-ride taxi service to the general public on a regular basis are operators of public transportation, and therefore eligible subrecipients. “Shared-ride” means two or more passengers in the same vehicle who are otherwise not traveling together. Similar to general public and ADA demand response service, every trip does not have to be shared-ride in order for a taxi company to be considered a shared-ride operator, but the general nature of the service must include shared rides.

Shared-ride or Exclusive-ride Service

- If the local regulation permits the driver to determine whether or not a trip may be shared, the service is not shared-ride.
- If the regulation requires consent of the first passenger to hire a taxi be obtained before the taxi may take on additional riders, the service is not shared-ride.

Shared-ride or Exclusive-ride Service

- A recipient should request documentation from the taxi company to ensure the company is providing shared-ride service prior to an award in order to determine whether the company qualifies as a subrecipient.
- Taxi companies that provide only exclusive-ride service are **not eligible** subrecipients.
- Exclusive-ride taxi companies may receive Section 5310 funds to purchase accessible taxis under contract with a state, designated recipient, or eligible subrecipient such as a local government or nonprofit organization. The taxi company may hold title to the accessible vehicle(s) as long as the agreement between the state, designated recipient, or subrecipient and the taxi company is sufficient to establish satisfactory continuing control.

Allowable Expenditures Under the 55% Category

- Acquisition of transportation services under a contract, lease, or other arrangement. This may include acquisition of ADA-complementary paratransit services when provided by an eligible recipient or subrecipient as defined in section 5 of this chapter, above. Both capital and operating costs associated with contracted service are eligible capital expenses. User-side subsidies are considered one form of eligible arrangement. Funds may be requested for contracted services covering a time period of more than one year. The capital eligibility of acquisition of services as authorized in 49 U.S.C. 5310(b)(4) is limited to the Section 5310 program;

Allowable Expenditures Under the 45% Category

1. Public transportation projects (capital only) 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 (capital and operating) that exceed the requirements of ADA;
3. Public transportation projects (capital and operating) that improve access to fixed-route service and decrease reliance by individuals with disabilities on ADA-complementary paratransit service; or
4. Alternatives to public transportation (capital and operating) that assist seniors and individuals with disabilities with transportation.

Tap into Resources



[National Center for Mobility Management](#)



[National Aging and Disability Transportation Center](#)



[National Rural Transit Assistance Program](#)



[ACL Transit Planning 4 All](#)



[Shared-Use Mobility Center – Shared Mobility Toolkit](#)

The Coordinated Public Transit-Human Services Transportation Plan

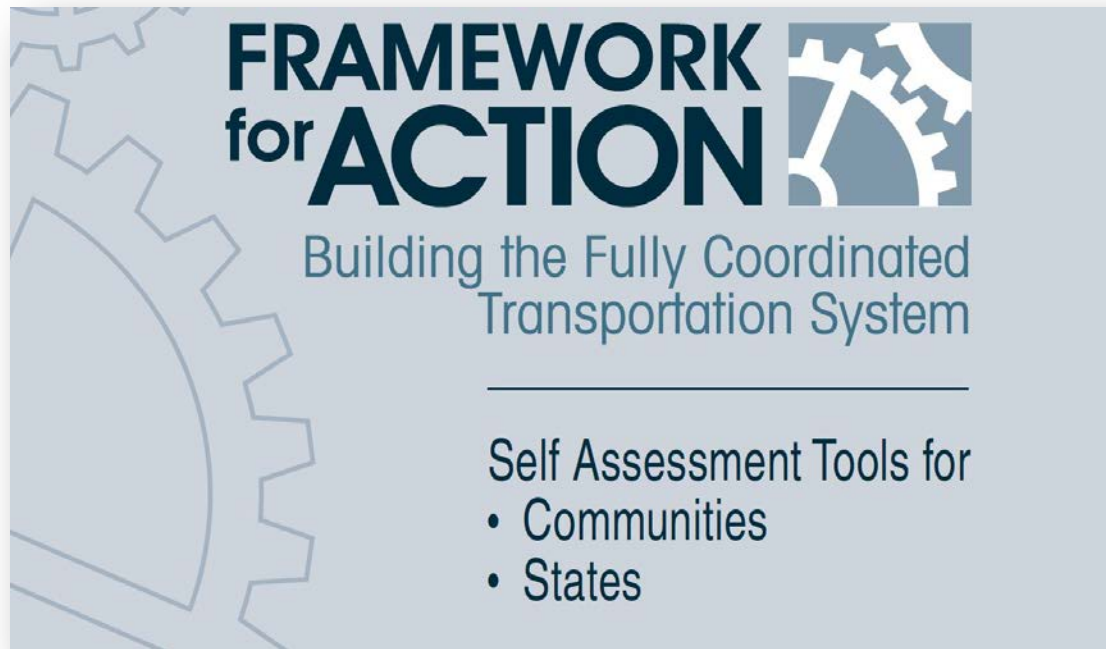
- All projects funded under Section 5310 program must be “included in a locally developed, coordinated public transit-human services plan”.
- The plan must be developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human services providers and other members of the public.



- 1) Assess available services that identifies current transportation providers (public, private, and non-profit);
- 2) Assess the transportation needs for individuals with disabilities and seniors, gaps in service, any perceived barriers, opportunities for improvements;
- 3) Develop Strategies, activities, and/or projects to address the identified gaps in services, needs, opportunities to achieve efficiency in service delivery;
- 4) Prioritize for Implementation

**IDENTIFY
CHALLENGES
& BARRIERS**

Self Assessment Tool



https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FFA_Self_Assessment_Tool_.pdf

State Coordination

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Leadership matters. The role that state legislatures, state agencies, state associations, and state coordinating councils play in promoting and incentivizing local coordination arrangements should not be understated. State leaders have taken and can take a range of actions, from encouraging cross-jurisdictional collaborations to dispelling myths inhibiting coordination to enabling would-be partners to leverage dollars.

Featured Resources

- [Human Service Transportation Coordination Database](#) (National Conference of State Legislatures, 2013)
- [Regional Human Service Transportation Coordinating Councils: Synthesis, Case Studies and Directory](#) (National Conference of State Legislatures, 2012)
- [States-at-a-Glance map of contacts](#)

Related Resources

Additional resources are available at the following NCMM "By Topic" resource pages:

- [Coordinated Transportation Planning](#)
- [Coordinated Transportation Policy and Reports](#)
- [Coordinated Transportation Strategies](#)

Features

- [Health Care Access Design Challenge](#)
- [What We're Reading](#)
- [e-Learning](#)
- [New NCMM resources for collaboration between healthcare and transportation sectors](#)
- [Videos: NCMM grantees share what they learned in healthcare transportation projects](#)

QuickLinks

- [Regional Liaisons](#)
- [NCMM Products](#)
- [States-at-a-Glance](#)
- [We Can Help](#)
- [Share Your Practices Database](#)

Office Transportation Planning

The screenshot shows the Federal Transit Administration website. At the top, there is a blue header with the FTA logo and the text "Federal Transit Administration". To the right of the header is a search bar labeled "Search FTA site". Below the header is a navigation menu with links for "About", "Funding", and "Regulations & Guidance". The main content area has a breadcrumb trail: "Home » Regulations and Guidance » Transportation Planning". On the left side, there is a sidebar menu with the following items: "Transportation Planning", "Metropolitan, Statewide & Non-Metropolitan Planning", "Performance-Based Planning", "Statute, Regulation & Guidance", "Training & Technical Assistance", "Topic Index: A to Z", and "Resource Library". The main content area features the title "Transportation Planning" and a sub-section "Overview". The overview text states: "Transportation planning plays a fundamental role in a state, region, or community's vision for its future. It includes a comprehensive consideration of possible strategies; an evaluation process that encompasses diverse viewpoints; the collaborative participation of relevant transportation-related agencies and organizations; and open, timely, and meaningful public involvement." Below this, it says: "Transportation planning is a cooperative process designed to foster involvement by all users of the system, such as businesses, community groups, environmental organizations, the traveling public, freight operators, and the general public, through a proactive public participation process." On the right side, there is a section titled "Related Links" with a list of links: "Sign Up for Updates", "Before and After Studies", "Environmental Justice", "Environmental Programs", "FAST Act Planning Fact Sheet", "Final Rule on Statewide and Nonmetropolitan Transportation Planning and Metropolitan Transportation Planning", "Metropolitan & Statewide Planning Grants Program", "Title VI", and "Transit Oriented Development (TOD)".

Web Link: <https://www.transit.dot.gov/regulations-and-guidance/transportation-planning/transportation-planning>

Contact Information

Section 5310 Program

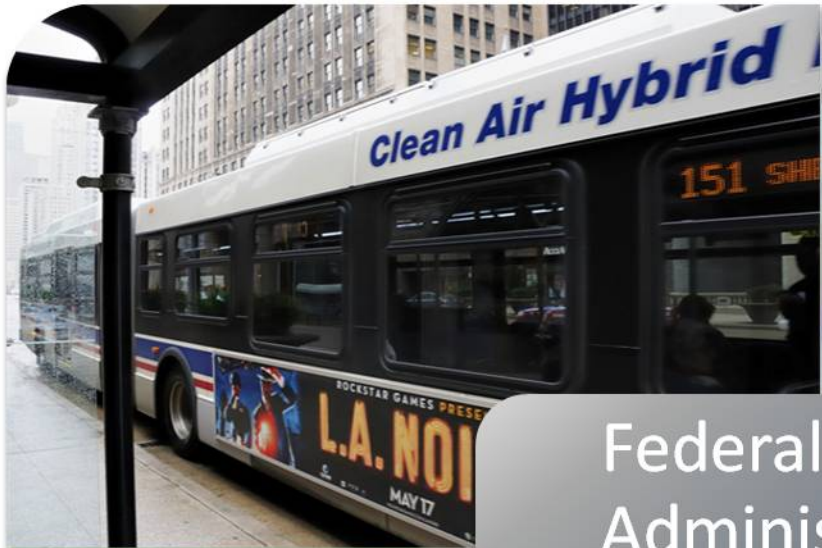
and

**Innovative Coordinated Access and Mobility
(ICAM)**

Program Manager:

Kelly.Tyler@dot.gov

202-366-3102



Federal Transit
Administration
www.fta.dot.gov



FTA

FEDERAL TRANSIT ADMINISTRATION

FTA

FEDERAL TRANSIT ADMINISTRATION

2018 Region 4 State Programs Annual Meeting

Office of Civil Rights
March 14, 2018



U.S. Department of Transportation
Federal Transit Administration

Presentation Outline

- Title VI Reminders
- ADA Circular 4710.1 Revisions
- EEO: Circular 4704.1A Revisions
- DBE – TVM
- TRAMS
- Resources
- Questions // Comments

Title VI Circular 4702.1B

- FTA's revised circular – October 1, 2012.
- Guidance to grantees on how to comply with Title VI regulations
- Specific compliance information and appendices with additional guidance and examples.

Submit a Title VI Program

- Every 3 years
- At least 60 calendar days prior to expiration date
- All recipients must have Title VI Program approved by the recipient's board of directors, appropriate governing entity or official(s) responsible for policy.
- Including:
 - Copy of board resolutions; Meeting minutes; or similar documentation

Subrecipient Monitoring

- Primary recipients must monitor subrecipients
- Non-compliant subrecipient means primary recipient is also non-compliant

Primary recipients **shall**:

- Document process for ensuring subrecipients compliance
- Collect and review subrecipient's Title VI Program

ADA Circular

- In October 2015, FTA issued its ADA Circular.
- It does not cancel, alter, amend or supersede any existing directive.

FTA CIRCULAR 4710.1

“AMERICANS WITH DISABILITIES ACT
GUIDANCE”

ADA Circular

Primarily addresses the following types of public transit services:

- Fixed route bus
- Complementary paratransit
- Demand responsive
- Rail (rapid, light, and commuter)
- Water transportation/passenger ferries

EEO Circular 4704.1 Revisions

- Final Circular, effective Oct. 31, 2016
- 4-year submission cycle for program
- Increases employee threshold from 50 to 100 employees for FTA Submittal
- 50 to 99 transit-related employees maintain abbreviated program
- \$ Threshold unchanged - Requests or receives capital or operating assistance in excess of \$1 million in the previous Federal fiscal year, or requests or receives planning assistance in excess of \$250,000 in the previous Federal fiscal year.

Transit Vehicle Manufacturers “TVM”

Only those transit vehicle manufacturers listed on **FTA’s certified list of Transit Vehicle Manufacturers**, or that have submitted a goal methodology to FTA that have been approved or has not been disapproved, at the time of solicitation are eligible to bid.

- 49 CFR Part 26.49(a)(1)

Notification of Award for Transit Vehicles

Within **30 days** of making an award to purchase transit vehicles, all Direct Recipients must complete the FTA online TVM submission form, stating the **name** of the successful bidder and the **total dollar value** of the contract.

TrAMS

Three Common Issues

1. DBE Program Updates
2. Program submissions and TrAMS notifications and TrAMS submittal dates
3. Grantees receiving a warning or are unable to finalize a grant due to Civil Rights program status

TrAMS

TrAMS Helpdesk:

- 1-877-561-7466
- Email: FTA.TrAMS.help@dot.gov

TrAMS website:

<http://www.fta.dot.gov/grants/16260.html>

Contact Civil Rights

Contact Us Link:

<https://ftawebprod.fta.dot.gov/ContactUsTool/Public/NewRequest.aspx>

Hotline: 888-446-4511

Resources

Civil Rights Regulations and Guidance Training Resources and Webinars

<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/civil-rights-ada>

Eligible TVM Listing

<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/eligible-tvms-list>

Civil Rights Overview/What's New

<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/civil-rightsada>

ADA

<https://www.transit.dot.gov/ada>

DBE

<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/disadvantaged-business-enterprise>

Title VI

<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/title-vi-civil-rights-act-1964>

EEO

<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/equal-employment-opportunity>

Region IV Civil Rights Contacts

Dee Foster
Civil Rights Officer
E-mail: doretha.foster@dot.gov
(404) 865-5633

Mark Stojak
Civil Rights Program Analyst
DBE Goal Reviews
E-mail: Mark.Stojak.ctr@dot.gov
206-220-7536