

STANDARD APPLICATION LANGUAGE & COMMON TRAMS COMMENTS

FTA REGION IV | FY2018

Purpose

The purpose of this document is to provide standard language and common TrAMS application comments to improve consistency across FTA Region IV applications, and provide a resource for applicants in the creation of their applications.

These are NOT all possible comments on draft applications. These only represent standard language and common comments. Additional/different comments from FTA reviewers should be expected based on the specific projects in an application.

This document has three sections:

1. Standard TrAMS Language
2. Common TrAMS Comments – By Section of Application
3. Common TrAMS Comments – By Section of Statute

Standard TrAMS Language

APPLICATION NAME

“[Section of Statute] [Application Description] [UZA]”

“5307 Capital and Operating Assistance-Bristol Tennessee”

If multi-sourced application, in place of “Section of Statute” use “Multi-Sourced”

APPLICATION EXECUTIVE SUMMARY

First sentence template, “This is an FFY XXXX Section XXXX application in the amount of \$XXXX. The application is for (provide description of projects).” Should include: the section of FTA funding, the total federal apportionment, fiscal year and brief summary of application.

[GRANTEE NAME] will ensure that all vehicles purchased are accessible, purchased from an FTA approved TVM, and reported to FTA within 30 days after contract is signed.

[GRANTEE] will check the current listing of Transit Vehicle Manufacturers (TVM)

(<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/eligible-tvms-list>) to ensure each is listed as a certified TVM in compliance with FTA regulations.

The grantee or Sub-grantee (when applicable) will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance).

The Grantee or Sub-grantee (when applicable) will ensure contractors procured will not be on the FTA Suspension and Debarment list.

BUDGET/EXTENDED BUDGET DESCRIPTIONS

Preventive Maintenance ALI:

When there are no items over \$5,000: “ [Agency Name] does not anticipate the purchase of items over \$5,000 in value at this time. Any items with value over \$5,000 identified during the execution of the activities under this ALI will be included after award (actual value and useful life).”

Construction/Rehab ALIs:

Ensure independent cost estimates and corresponding cost/price analyses have and will be conducted. Include statement, “[The Grantee] certifies an independent cost estimate will be prepared and available on file along with the corresponding cost/price analysis for the scope of work of the project.”

Common TrAMS Comments – By Section of Application

RECIPIENT INFORMATION

1. If a TrAMS user is pinning the current year Certifications & Assurances on behalf of the Official and/or the Attorney) please ensure that a delegation letter granting that user the authority to pin electronically for the Official and/or Attorney is on file. Upload both the paper version of the Certifications & Assurances, signed by the correct individuals, and the delegation letter to the Recipient Documents section of TrAMS.
2. Ensure Recipient Points of Contact have been updated.
3. Ensure Recipient’s SAM.gov registration is current and synced with TrAMS.
4. If the grantee is a 5307 or 5310 Designated Recipient, ensure the appropriate Designated Recipient documentation is attached in the Recipient Documents section of TrAMS.

APPLICATION DOCUMENTS

1. If applying directly for a 5307, 5337, 5339, or 5310 sub-allocation within an urbanized area (UZA), please attach the applicable “Split/Governor’s Apportionment” letter and/or sub-allocation table for the UZA in TrAMS. The letter must be signed by the Designated Recipient.
2. If a capital project is to be undertaken in a corridor (or a facility on a specific site), please attach a project description, map, and related photos to inform FTA of the project location and termini of the proposed project. Please indicate if the project is located within a Historic District or may affect historic or cultural resources, if known.
3. If a capital project/item or operating assistance is to be funded in the current application, please make sure the appropriate, relevant pages of the TIP or STIP documentation is copied, scanned and attached in TrAMS (page or pages only – not the entire TIP or STIP document).
4. If a planning scope (study, etc.) is to be included, please copy, scan and attach the appropriate UPWP documentation (page or pages only for the planning study) in TrAMS (not the entire UPWP).
5. If applying for a discretionary award, and if known, please indicate the “Discretionary ID” and attach the applicable Federal Register Notice table and original application to Grants.gov (424 form).

6. If you are an applicant in a large UZA applying for operating assistance, the application should reference and attach Table 3A from the applicable Apportionment Notice, highlighting the eligible operating assistance cap.
7. When using Transportation Development Credits (TDCs, formerly Toll credits), attach letter and/or memo documenting approval of TDC amount.
8. If amending an application, use “Original Application” and “Amendment X” labels throughout the application (Application Executive Summary, Project Description, Extended Budget Descriptions) to clearly denote what funding/activities are being added or changed in the amendment record and what was in existence within the original application record.

APPLICATION INFORMATION

1. If using Lapsing Funds in the application, please indicate the amount of funds that are Lapsing in the project narrative and/or Executive Summary by both program and FFY.
2. If using Surface Transportation Block Grant (STBG) or Congestion Mitigation and Air Quality Improvement (CMAQ) FLEX funds in the application, please specify the FFY of the STBG or CMAQ FLEX funds, if known, and attach the FLEX fund documentation letter requesting the funds (usually MPO to State DOT) or FHWA Form 1576 to the application in TrAMS. Any use of CMAQ funds for operating assistance should be applied consistent with FHWA guidance.
NOTE: If STBG or CMAQ Flexes are placed in the same application with 5307 funds, a limitation code may require the STP or CMAQ funded portion of the application be a new project in the application.
3. The Period of Performance end date should be set to the next March 30 a minimum of 2 years beyond the latest milestone date in the application. For 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).
4. STIP/UPWP –Attach current STIP/UPWP page(s) and FTA/FHWA STIP/UPWP approval letter(s) to application. Use FTA TIP/STIP/UPWP approval date as the program date (STIP/UPWP) entry in TrAMS. The UPWP page(s)/date(s) would apply in the case of applications containing planning projects.
5. Please indicate whether the grantee is a 5307 or 5310 Designated Recipient (if applicable) and ensure the appropriate Designated Recipient documentation is attached in the Recipient Documents section of TrAMS.
6. If indirect costs will be charged to the grant, please attach the respective documentation (Cognizant Agency’s Indirect Cost Rate approval or associated documentation) and include a reference in the Executive Summary.

EXECUTIVE SUMMARY

1. If there are companion applications previously awarded for the same project, please list the TrAMS application numbers in the Executive Summary.
2. Amendments – Under the executive summary section separate the original application project description from the Amendment project description by adding a line between the two narratives. Add the following language to the beginning of the Amendment executive summary. “AMENDMENT #X and the date” and then second line, “This amendment is for FY XXXX Section XXXX funds in the amount of \$XXXX. The amendment is for (provide description of projects).”

BUDGET/EXTENDED BUDGET DESCRIPTIONS

1. Ensure that all Activity Line Items (ALIs) are under the correct Scope, and ensure that the ALIs are representative of the activity (i.e., the correct ALI number was chosen).
2. Check to make sure the budget is reasonable for the items/services being purchased.
3. Please include useful life information for all bus ALIs and capital equipment over \$5K in the Extended Budget Description of the applicable ALI. Refer to 5010.1E for common vehicle useful life and sources where useful life information of less common assets may be found.
4. Ensure that quantity of the capital purchases is included in the budget in the quantity field, and ensure this number matches the language in extended budget description.
5. For all **Rolling Stock ALIs** please include in the extended budget description:
 - a. Narrative explaining who will own, operate, and maintain these vehicles
 - b. When vehicles are for sub-recipients, include who will be doing the procurement and how the Grantee (in the case of State DOT applications, the State) will ensure satisfactory continuing control of the Federal Interest over the life span of the assets (e.g. "XX" will hold a lien on the vehicles or enter into a sub-recipient agreement with the sub-grantee, etc.)
 - c. Include a statement indicating if the vehicles will be ADA accessible. If not, please include a statement that equivalent service certification has been filed with FTA.
 - d. For any Expansion ALIs – please explain the need for expansion (example: XXXX will expand transit in the XXXX due to increased ridership of the general public. This was determined based on monthly ridership numbers of the past several years and a recommendation of the XXXX transit plan).
 - e. For Replacement ALIs – include make, model, year, mileage of vehicles being replaced. May simply attach replacement list to application and reference attachment, if easier.
6. For all **Engineering and Design ALIs**, include:
 - a. The total estimated cost of engineering/design and construction of the facility. The engineering/design of a facility should not exceed 10% of the total cost (as a rule of thumb). If more, please explain and provide documentation
 - b. The schedule for the design, engineering and construction phases of the project
 - c. Indication if the design and/or engineering will be completed in house or contracted
7. For all **Facility Construction or Rehabilitation ALIs**, include:
 - a. Detailed scope of project
 - b. Total estimated cost
 - c. Schedule of project
 - d. A schematic drawing of the facility may be requested if available.
 - e. Also, identify any additional local, state or federal funds necessary for completion of the project/facility.
 - f. When applicable, identify other applications (previous and current "sister applications") associated with the project/facility.
 - g. Address and current ownership of the property where the facility will be located (if possible, include a map).
 - h. A narrative explaining who will own, operate and maintain the facility and how "XX" (The Grantee) will ensure satisfactory continuing control over the Federal Interest during the life span of the facility.
 - i. Indication if the construction management and project oversight will be conducted in-house or contracted out.
 - j. For work planned to be done in-house, please include a statement indicating that the grantee will have on file a force account plan and justification at the project level for work in excess of \$1,000,000.

- k. Ensure independent cost estimates and corresponding cost/price analyses have and will be conducted. Include statement, “XX certifies an independent cost estimate will be prepared and available on file along with the corresponding cost/price analysis for the scope of work of the project.”
 - l. Include a cost estimate showing the breakdown of construction costs.
 - m. Include demolition work in a separate ALI.
 - n. Include useful life of the facility
8. For Bus Passenger Shelters, if known, include info on type of shelters (concrete, wood, metal, stucco, etc.).
 9. For Capital Cost of Contracting ALI, include “This is a XXXX contract (for example, Turnkey Contract - contractor provides vehicles, maintenance, and transit service) in the amount of \$XXXX.”
 - a. Include breakdown of the contract federal participation amount. For example, “The total contract amount is \$XXXX, and XX% (\$XXXX) of XX% (\$XXXX) is eligible for federal participation. Therefore, \$XXXX has been included as federal share in this application.
 10. For all **Preventive Maintenance (PM) and Operating ALIs**, include:
 - a. the period for PM and/or operations.
 - i. The grantee may request preventive maintenance for the immediately preceding year (reimbursement) or for the current year (advance) (FTA C 9030 pg. E-4).
 - ii. The grantee may include operating assistance projects of up to two years’ duration in its annual program of projects (FTA C 9040.1G pg III-12). If it will fund two years, two additional ALIs should be added for each individual fiscal year FTA C 9030.1E pg. B-8, 9.
 - b. Indication of whether any PM items will be over \$5,000. If so, list items with their respective useful life.
 - i. When there are no items over \$5,000, include “The agency [Name] does not anticipate the purchase of items over \$5,000 in value at this time. Any items with value over \$5,000 identified during the execution of the activities under this ALI will be included via budget revision (actual value and useful life).”
 11. If application includes ITS-related purchases, include a statement indicating that the project is consistent with the Regional ITS Architecture.
 12. Amendments – As first sentence for each amended ALI, include: “Amendment X – This amendment will increase/decreases this ALI by \$XXXX.” Include justification for the amendment. Insert line separator between amendment language and original language. It is also good practice to label the original text below the line separator as “Original Application”.

MILESTONES

1. Every ALI must have a minimum of two milestone dates – initial and final expenditure dates. Activities that need a third-party procurement action require a minimum of 3 milestones (e.g. bid advertisement, bid award, and contract completion). Rolling Stock ALIs require a minimum of five milestones (e.g. bid advertisement, bid award, first vehicle delivered, last vehicle delivered and contract completion).
2. Check “Yes” to third party procurement field as appropriate.
3. Please note that users are able to change the milestone description to more adequately reflect the project milestones.

ENVIRONMENTAL FINDINGS

1. Select Environmental Determination module that allows you to assign a separate determination to each of the ALIs.

2. For all Environmental Findings that fall under II(d), documented categorical exclusions, documentation must include an FTA concurrence letter. The FTA concurrence would be attached to the application and the approval date should be referenced in the executive summary.

FLEET STATUS/SPARE RATIO

1. Fleet status must be completed for Section 5307, 5339, and all FTA discretionary program applications. **NOTE:** The fleet status should also be updated whenever there is a change outside of one of these grant programs.
2. Spare ratios of grantees with 50 or more fixed-route revenue vehicles should not exceed 20 percent of the number of vehicles operated in peak service. **NOTE:** if a grantee has parked vehicles with mechanical problems that have been taken out of service without meeting useful life and have not been properly dispositioned, those vehicles should still be included in the spare ratio.

Common TrAMS Comments – By Section of Statute

SECTION 5303/5304

1. Include the allocation for each MPO (this can be attached in the project details or extended budget description) showing the dollar amounts for each Technical Accounting Classification for each MPO (This information should be consistent with the attached pages of the UPWP(s)).
2. Include federal approval dates of all the Unified Planning Work Program (for Large UZAs only) or UPWP pages.
3. Include a statement that funding amounts are derived from a current, approved UPWP.

SECTION 5311

1. Program of Projects (POP). The POP must include:
 - a. The subrecipients and whether those subrecipients are private non-profit agencies, public bodies, or private providers of transportation service, designates the areas served (including Congressional Districts), and identifies any tribal entities.
 - b. Identify the intercity bus and RTAP projects.
 - c. Include a brief description of the projects, total project cost and Federal share for each project, and the amount of funds used for program administration from the 15 percent allowed.
2. 5311(f) – Intercity Bus - Section 5311(f) requires each State to expend at least 15% of its annual Section 5311 apportionment to carry out a program to develop and support intercity bus transportation unless the Governor's certifies that intercity bus needs of the state are being met adequately. The project details must include:
 - a. A description of the State's intercity bus program
 - b. the 15% allocation
 - c. If the Intercity Bus not included in the application, please indicate why and either
 - d. Provide the governor's certification that all intercity bus needs have been met and the date of the consultation meeting with the intercity bus providers in making this certification
 - e. When the 15% will be amended to the application.
3. 5311(f) – use Scope 634-00 for all Intercity Bus ALIs.
4. Rural Transportation Assistance Program (RTAP) is funded at 100% federal. Use Scope 656-00.

5. State Administration: 15% of the apportionment is eligible at 100% federal share. In the extended budget description, provide a detailed scope on the State Administration activities.
6. For Section 5311, please add a statement “All subrecipients will follow useful life standards as defined in the XXXX State Management Plan.”

SECTION 5310

1. A minimum of 55% of the 5310 apportionment must be dedicated to “traditional” 5310 activities. Confirm that threshold has been met in Application Executive Summary.
2. In the Application Executive Summary, include statement confirming that all projects have been derived from a locally-coordinated human services transportation plan.
3. For each one of the selected projects, include a brief statement explaining how the proposed projects are eligible and meet the goals of the Section 5310 program. This should be included in the extended budget descriptions.
4. Please ensure all the selected projects are derived from a coordinated plan. Clearly state in Application Executive Summary.
5. Attach a Program of Projects (POP). The POP should:
 - a. Identify projects by subrecipient. Also, include per subrecipient if they are rural or small urban and if projects are capital or operating.
 - b. Agency type (non-profit, governmental authorities, or private operators of public transportation services)
 - c. Project descriptions
 - d. Total project costs and federal share and the amount of funds required for planning and program administration
 - e. Name of the applicable coordinated plan, page number where the project or strategy is located within the plan and date adopted
6. Program/State Administration – Up to 10% of the recipient’s total apportionment may be used to fund program administration costs at 100% federal share. Use Scope 610-00, ALI 11.80.00.
7. Attach the approved state management plan (SMP) or program management plan (PMP).

SECTION 5337

1. Attach 5337 suballocation letter to the application, if appropriate. Letter should clearly indicate whether high intensity fixed guideway or high intensity motorbus funding has been allocated to the recipient or total funding allocated from each category.
2. In Application Executive Summary, ensure that clearly state whether application is requesting high intensity fixed guideway or high intensity motorbus funding; if both, clearly outline total funding requested from each category.
3. If applying for both high intensity fixed guideway and high intensity motorbus funding, must separate requests into separate TrAMS projects. Clearly label each project as “high intensity fixed guideway” or “high intensity motorbus.”
4. Operating assistance is not eligible under 5337 program

SECTION 5339

1. Attach split allocation letter, as applicable.

2. Only capital projects are eligible under this program, but Preventive Maintenance is NOT an eligible expense.