

FTA Region III TrAMS Grant Development Reference Guide 2017



U.S. Department of Transportation
Federal Transit Administration

June, 2017

INTRODUCTION

This document is a supplemental reference guide to developing grant applications in TrAMS consistent with FTA Region III guidance.

This general guidance should be applicable to most grants. Special projects or programs may have unique requirements.

Grantees are highly encouraged to contact their FTA Region III Community Planner or Transportation Program Specialist prior to creating a new TrAMS grant application.

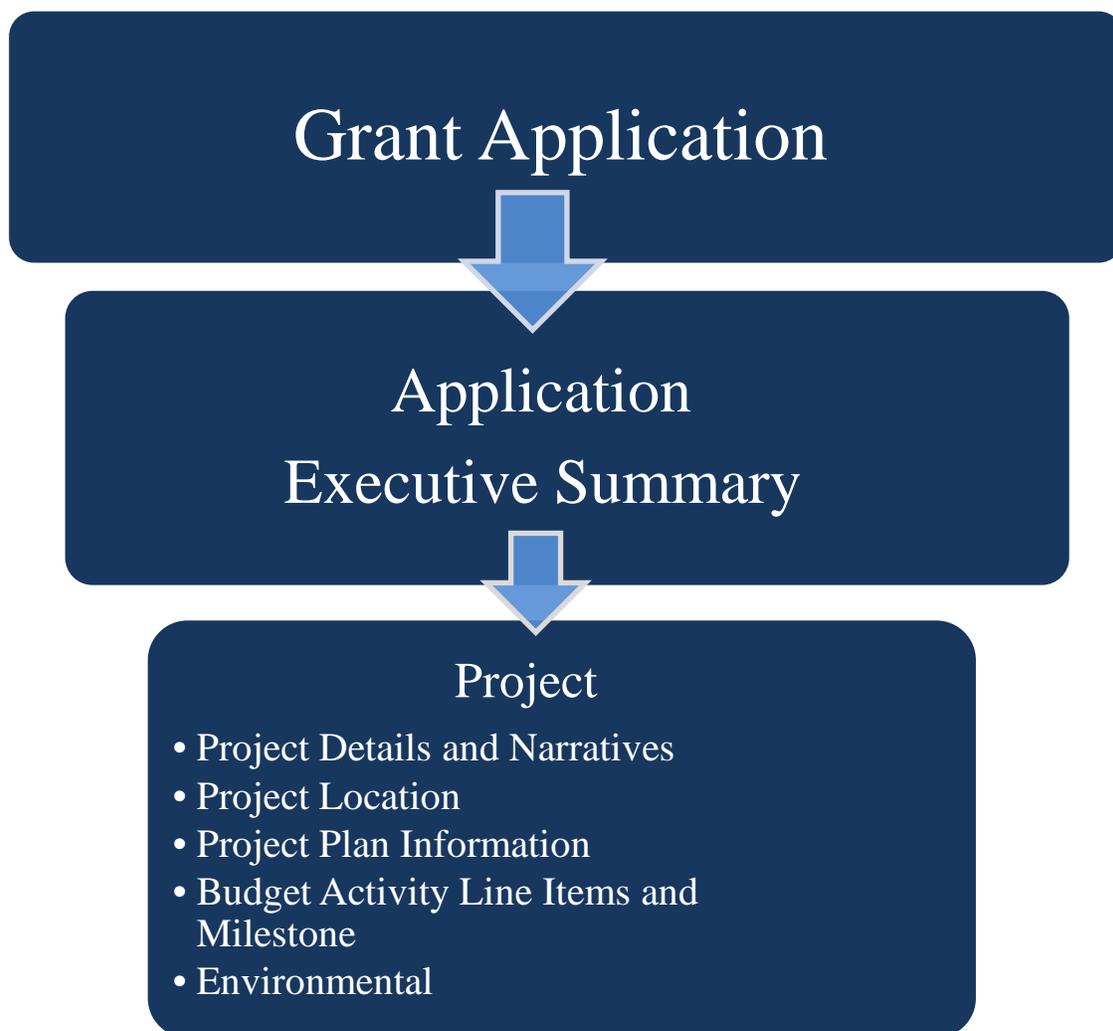
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CREATING A GRANT APPLICATION IN TrAMS

This reference guide will provide you with information to assist you in developing a TrAMS grant application. In TrAMS, a grant application consists of one application executive summary with at least one project. The diagram shows the basic format of a TrAMS grant that consists of one project. A grant may have many projects. The project information requirements are same fields as shown below regardless of the number of projects in the grant application.



Application Name

Create a name for the application. Note that this name will be used to reference the grant elsewhere, so create a name as you would like this grant to be seen by the public.

For example:

- FFY 2017 Operating Grant & Preventive Maintenance
- FFY 2017 Section 5307 and Section 5339 Program of Projects



APPLICATION EXECUTIVE SUMMARY AND SAMPLES

Application Executive Summary – The application executive summary provides a general explanation of the type of projects that your agency is applying for and should include the following information:

Application Details/ Application Name

- Federal fiscal year of the funding.
- The type of funds (Section 5307, 5311, 5339, etc.) and the urbanized area.
- The projects/activities included in the grant application (purchasing replacement buses, operating assistance, preventive maintenance, renovation of a bus garage, etc.).

Application Executive Summary Example:

The ABC Transit Agency (ABC) is applying FFY 2017 Section 5307 funds apportioned to the Philadelphia urbanized area in the amount of \$1,000,000 for the purchase of buses.

- The non-Federal share will be provided by the [State DOT/local government/etc].

Supplemental information is required for specialized grant programs. Please see sample section for specific program details, as described on the following pages.

Application Executive Summary Samples

These samples provide information related to the **first section** of the Executive Summary.

SECTION 5307 - URBANIZED AREA FORMULA PROGRAM

Operating/ PM Sample

The ABC Transit Agency (ABC) is applying FFY 2017 Section 5307 Urbanized Area Formula Program (UZA) funds apportioned to the XYZ urbanized area in the amount of \$1,000,000 for operating assistance.

Capital Cost of Contracting

The ABC Transit Agency (ABC) is applying FFY 2017 Section 5307 Urbanized Area Formula Program (UZA) funds apportioned to the XYZ urbanized area in the amount of \$1,000,000 for Capital Cost of Contracting.

Bus Procurement

The ABC Transit Agency (ABC) is applying FFY 2017 Section 5307 Urbanized Area Formula Program (UZA) funds apportioned to the XYZ urbanized area in the amount of \$6,400,000 for the purchase of twenty (20) replacement 40-foot low-floor clean diesel buses.

These buses are part of the ABC Board-approved purchase of sixty (60) – 40-foot low-floor clean diesel buses. Additional funding for the complete purchase of these buses will be applied within the FFY 2017 Section 5339 grant.

Construction Project

The City of ABC, Pennsylvania is applying FFY 2016 and FFY 2017 Section 5307 Urbanized Area Formula Program (UZA) funds apportioned to the XYZ urbanized area in the amount of \$580,000 (\$313,882 in FFY 2016 funds and \$266,118 in FFY 2017 funds) for the construction of the City of XYZ Intermodal Transit Center (ITC).

Software / Hardware

The ABC Transit Agency (ABC) is applying FFY 2017 Section 5307 Urbanized Area Formula Program (UZA) funds apportioned to the XYZ urbanized area in the amount of \$300,000 to upgrade ABC's IT network from a 1G to a 10G Network system.

Multiple Projects

The ABC Transit Agency (ABC) is applying FFY 2017 Section 5307 Urbanized Area Formula Program (UZA) funds apportioned to the XYZ urbanized area in the amount of \$1,000,000 for operating assistance, preventive maintenance and the purchase and installation of the following:

- Surveillance and security equipment
- ADP software/hardware

SURFACE TRANSPORTATION PROGRAM or CONGESTION MITIGATION AIR QUALITY IMPROVEMENT PROGRAM (FLEX FUNDS)

Bus Procurement

The ABC Transit Agency (ABC) is applying FFY 2017 Surface Transportation Program (STP) Flex funds in the amount of \$6,172,200 towards the purchase of eighteen (18) replacement 40' low floor clean diesel buses with lifts.

The documentation regarding transfer of Federal Highway Administration (FHWA) funds to the FTA for this grant is attached in TrAMS under Application Documents. This transfer request was made by the State Department of Transportation (DOT) to FHWA on June 24, 2014. See the Flex letter attached to this grant.

SECTION 5339 (BUS AND BUS FACILITIES FORMULA PROGRAM) GRANTS

Bus Procurement

The ABC Transit Agency (ABC) is applying FFY 2017 Section 5339 Bus and Bus Facilities funds apportioned XYZ urbanized area in the amount of \$1,000,000 [\$250,000 FFY 15 funds and \$250,000 FFY 16 funds (State Governors for Urbanized Areas 50,000 to 199,999 in Population) and \$500,000 (State/Territory Allocation) FFY 16 funds] to purchase the following replacement vehicles: Two (2) 35-foot ADA accessible replacement fixed route buses and three (3) less than 30-foot ADA accessible replacement fixed route cutaway buses

SECTION 5337 (STATE OF GOOD REPAIR PROGRAM) GRANTS

Next Train Annunciation System

The ABC Transit Agency (ABC) is applying FFY 2017 Section 5337 (State of Good Repair) funds apportioned to the XYZ urbanized area in the amount of \$4,000,000 for the implementation of the Next Train Annunciation System at high-level Light Rail Transit (LRT) stations.

State Programs

SECTION 5303 (METROPOLITAN PLANNING) GRANTS

The State Department of Transportation (SDOT) is applying FFY 2017 Section 5303 Metropolitan Planning Program (MPP) funds in the amount of \$2,518,013 to support the funding of 14 Metropolitan Planning Organization (MPO) Unified Planning Work Programs (UPWPs) throughout the state.

SECTION 5304 (STATEWIDE PLANNING) GRANTS

The State Department of Transportation (DOT) is applying FFY 2017 Section 5304 funds in the amount of \$209,506 for statewide transportation planning. The proposed projects are designed to address Statewide Public Transportation Planning and Research needs and are consistent with applicable Federal requirements. The Statewide Planning and Research (SPR) Work Program is attached in TrAMS and includes a description and funding amount for each of the plans and studies listed in the ALI.

SECTION 5310 (ENHANCED MOBILITY FOR SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAM) GRANTS

The State Department of Transportation (DOT) is applying FFY 2017 Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program funds in the amounts of \$494,079 (Section 5310 Rural Apportionment) and \$376,189 (Small Urban Apportionment) to support the State DOT's FFY 2013 Program of Projects (POP). The State DOT is applying for funding for both rural and small urban areas. Projects include the purchase of eighteen (18) replacement vans and state administration. All projects in the current POP are in Category A status and are for traditional Section 5310 projects and apply to the required 55% of the total apportionment.

The state's FFY 2017 Section 5310 POP is attached to this grant under Application Documents. The total number of recipients funded in the POP is 18 private non-profits (10 rural and 8 small urbanized areas). The projects included in this application are incorporated in Coordinated Public Transit - Human Services Transportation Plans, which were developed by Planning and Development Councils located throughout the state and approved by the State DOT. The State Management Plan for the FFY 2017 Section 5310 Program was approved by FTA on MM/DD/YYYY.

SECTION 5311 (RURAL AREA FORMULA PROGRAM) GRANTS

SECTION 5311 (RURAL AREA FORMULA PROGRAM) GRANTS

The State Department of Transportation (DOT) is applying for a portion of the FFY 2017 Section 5311 Nonurbanized Area Formula Program funds and the Section 5311 (b)(3) Rural Transit Assistance Program (RTAP) in the amount of \$12,967,646 to support the state's Section 5311 Program of Projects (POP).

The projects include operating assistance (\$12,599,899 Federal) for twenty-two (22) Rural Operators (\$9,150,000 Federal) and five (5) Intercity Bus Operators (\$3,449,899 Federal); and training services (\$367,747 Federal) funded under the Rural Transit Assistance Program (RTAP). The total number of recipients funded in the POP include: twenty-seven (27) subrecipients that include twenty-two (22) rural operators and five (5) Intercity bus operators. All subrecipients provide fixed route and/or demand response transportation services.

The State Management Plan for the FFY 2017 Section 5311 Program was approved by FTA on MM/DD/YYYY.

COMPETITIVE GRANTS

The ABC Transit Agency (ABC) is applying FFY 2017 Section 5339 Buses and Bus Facilities Grants Program (Bus Program) funds in the amount of \$864,000 to purchase six (6) replacement 35-foot low-floor Compressed Natural Gas (CNG) transit buses.

On October 12, 2017, a Federal Register Notice (FRN) was published announcing the Federal Transit Administration's selection of projects funded under the Bus Program.

In this FRN, as detailed on Page 70485, ABC was selected to receive \$864,000 in Federal Transit Administration (FTA) FFY 2017 Section 5339 Bus and Bus Facilities Competitive Program (Bus Program) funds. A copy of the competitive application proposal is attached.

CREATING A PROJECT IN TrAMS

Project Description – The project description in this section includes a simplified description of the project.

For example:

- This project will provide Operating Assistance for SDOT.
- This project will provide Preventive Maintenance and Security Cameras
- This project will fund the purchase of the following bus replacements:
 - Two (2) 35-foot ADA accessible replacement fixed route buses
 - Three (3) less than 30-foot ADA accessible replacement fixed route cutaway buses.
- This project will fund the following:
 - Two (2) replacement support vehicles
 - Three (3) replacement body on chassis para-transit buses
- This project will fund the replacement of transit vehicles; conduct preventive maintenance and capital cost of contracting; provide ADA non-fixed route service; as well as purchasing various capital needs.

Project Benefits – Briefly explain the project's benefits.

For example:

- Maintain reliable transit service and provide mobility to the community.
- Invest in public transportation by replacing vehicles that have met or exceeded their useful lives.
- The bus replacements and additional capital purchases are critical to the success of providing transit service in the region.

Additional Information – Unless specifically discussed with FTA Region III, this section is typically left blank.

Project location – Provide brief location of the project (such as city and state).

Note: *Certain funding programs may be used for multiple purposes and may require an applicant to create separate projects for each purpose. Please see the Limitation Code Section of this reference guide for further information.*

PROJECT PLAN

Project Plan information –

Enter the current STIP date.

If using pre-award authority, please insert the STIP date that coincides with the award of the contract. (i.e. STIP date must be before the contract award date. If your grant is using non pre-award authority, please insert the current STIP date.

A copy of the STIP page should be uploaded in this section of TrAMS as demonstrated in the screen shot below:

STIP/TIP Documents

Upload STIP/TIP Document

View Existing STIP/TIP Document

 [1501-2016-4-P1 - Program Plan - STIP_TIP](#)
106.4 KB

STIP/TIP Date

STIP/TIP Document Description

Provide details about the uploaded STIP document (e.g., page number where the project is mentioned in the document)

BUDGET AND ACTIVITY LINE ITEMS

FTA Funding Information – Select the correct Funding source – Example: Section 5307 or Section 5339

FTA Funding Amount – Please do not round up when determining percentages. For more information regarding this issue please contact your Community Planner or Transportation Program Specialist.

Extended Budget Description – This section will contain the scope of work of the project. It will also include cost information (if the project is funded by multiple grants) and the STIP information. Please see the Extended Budget Description section of the reference guide for various samples.

Quantities – Required for vehicles only

For Vehicle Purchases – Enter the information below:

Rolling Stock Information

Vehicle Condition

New

Fuel

Gasoline

Vehicle Size

30 FT

Will 3rd Party contractors be used to fulfill this activity line item?*

If procuring an item from an outside vendor – example: buses or contractor – then this question should be marked “Yes”

EXTENDED BUDGET DESCRIPTION – SAMPLES

SECTION 5307 (URBANIZED AREA FORMULA PROGRAM) GRANTS

Operating Assistance

This Activity Line Item funds operating assistance.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

5307/Flex

Preventive Maintenance

This Activity Line Item funds preventive maintenance for [Rolling Stock OR Support Facilities OR Structures OR Equipment] as defined in the National Transit Database Reporting Manual.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

Section 5307 Security Project

This Activity Line Item funds the purchase and installation of security cameras.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

This is a security related project. (This statement is required for Section 5307 security related projects only.)

***Note** - For 1% Security Requirements USE the following Scope Codes:

- 113-00 and 117-00 For Bus
- 123-00 and 127-00 for Rail

Buy Replacement 40-Foot Bus (funded with multiple grants)

This Activity Line Item funds the purchase of fifty (50) replacement 40-foot low-floor clean diesel buses as part of a sixty (60) bus purchase.

The vehicles to be replaced have met their useful service life of twelve years and/or 500,000 miles, as detailed in FTA Circular 5010.1E. See the uploaded Fleet Inventory spreadsheet in the Application Documents section for a list of low-floor buses to be replaced with this purchase.

The total cost of the overall sixty (60) bus purchase is \$24,000,000 (\$19,200,000 Federal). To date, the FTA has provided \$3,200,000 (for the costs of ten buses) towards the overall bus purchase. Please see the Project Funding Summary attached to this grant under Application Documents.

The useful life for the new replacement buses is twelve years and/or 500,000 miles, whichever comes first as per FTA Circular 5010.1E.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

Capital Cost of Contracting

This Activity Line Item funds the Capital Cost of Contracting.

Specifically, ABC Transit contracts with MOBILITY Transportation Systems, which provides vehicles, maintenance, and transit service for its specialized, demand-responsive paratransit service for persons who are elderly and/or disabled. For Fiscal Year 2015, ABC Transit has programmed \$1.0 M (Federal) / \$1,250,000 (Total) to fund capital costs for contracting MOBILITY's paratransit service.

In accordance with FTA Circular 9030.1E, FTA capital assistance may be used to fund the cost of the capital portions of service or maintenance provided under contract. FTA allows 50 percent of the cost of Turnkey Contract Services (contractor provides vehicles, maintenance, and transit service), such as ABC Transit's MOBILITY paratransit service, to be funded with Section 5307 Urbanized Area Formula Program funds (per Circular 9030.1E, Section IV, pages 11-13).

The amount allowable is calculated as follows:

Total Contract Value \$36,260,784
X 0.50 (Eligible Percent - 50%)

Maximum Amount Eligible = \$18,130,392 (Total); \$14,504,313 (Federal - 80% of \$18,130,392)
Thus, the \$1,250,000 (Total) and \$1,000,000 (Federal) included in this grant is fully eligible.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

Acquire – 10G Network Backbone Upgrade (Funded with Multiple Grants)

This Activity Line Item funds the upgrade of ABC’s IT network from 1 gig fiber connectivity to 10 gig fiber connectivity.

The total project cost for the IT upgrade project is \$1,000,000 (\$800,000 Federal share). To date, FTA has provided \$500,000; this line item increment fully funds the project. Please see the Project Funding Summary attached to this grant under Application Documents.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

SECTION 5337 (STATE OF GOOD REPAIR PROGRAM) GRANTS

Purchase – Next Train Annunciations (Funded with Multiple Grants)

This Activity Line Item funds the continued implementation of the Next Train Annunciation System at high-level LRT Stations project.

ABC intends to implement a Next Train Annunciation (NTA) system at high-level platform stations located throughout ABC’s LRT system. The quality of service offered by ABC to its rail passengers will be enhanced with a NTA system, which will improve on-time performance and schedule planning through real-time operations management and development of realistic schedules.

To date, FTA has provided \$1.0 million to fund the initial costs of the software and other equipment in ABC’s FFY 2013 State of Good Repair grant PA-54-0001; this increment fully funds the remaining costs needed to initiate the project. Please see the Project Funding Summary attached to this grant under Application Documents.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

Construction Intermodal Transit Facility (Funded with Multiple Grants)

This Activity Line Item funds the construction of the City of XYZ Intermodal Transit Center (ITC).

The ITC project will include a passenger waiting area; ticket sales area; public restrooms; public meeting room; information kiosk; transit administration offices; park & ride area; bus pull-in lanes; accessible walkways; shelters; and bike racks.

The total project cost for the ITC is estimated at \$3.8 million (\$3,040,000 Federal). To date, FTA has provided \$2,460,000; this line item increment fully funds the project. Please see the Project Funding Summary attached to this grant under Application Documents.

The useful life for this facility is 40 years as per FTA Circular 5010.1E.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

SECTION 5310 (ENHANCED MOBILITY FOR SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAM) GRANTS

NOTE – please use Scope Code 641-00 for Section 5310 projects

Purchase 18 Replacement Vans

This Activity Line Item funds the purchase of 18 replacement vans (4 with lifts/ramps) to be utilized in rural areas of the state. The vans will be used by the following: Big County Senior Citizens Center, Council of Senior Citizens of Middle County, and Small County Committee on Aging & Family Services, Inc.

This project is included as part of the 55% minimum capital requirement for traditional Section 5310 projects.

The useful life for replacement vans is at least four years or an accumulation of at least 100,000 miles, as per FTA Circular 5010.1E. The vans to be replaced meet the useful service life criteria for age and/or mileage as detailed in FTA Circular 5010.1E.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

State or Program Administration

This Activity Line Item funds eligible state administration costs associated with the statewide Enhanced Mobility of Seniors and Individuals with Disabilities Program. In accordance with FTA Circular 9070.1F, up to 10 percent of the State's total fiscal year apportionment may be used to fund program administration costs. These costs may be funded at 100 percent Federal share. The State's FFY 2013 Section 5310 apportionment is \$962,314 (rural) and \$1,138,462 (small urban). The state administration funding for the rural program is \$96,231, and for the urban program is \$113,846.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

SECTION 5311 (RURAL AREA FORMULA PROGRAM) GRANTS

5311 Operating Assistance

This Activity Line Item funds operating assistance for twenty-two (22) rural recipients.

[List Operating Assistance Recipients here]

See the Program of Projects (POP) which is attached to this grant under Application Documents for additional details.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

Training

This Activity Line Item funds safety education materials and management training seminars.

See the POP which is attached to this grant under Application Documents. for additional details.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

SECTION 5304 (STATEWIDE PLANNING) GRANTS

Program Support Administration

This Activity Line Item funds State staff services, including support for the development of the Unified Planning Work Programs (UPWP).

See the Statewide Planning and Research (SPR) Work Program which is attached to this grant under Application Documents for additional project details.

FTA has approved the UPWPs and approval letters are attached in TrAMS under Application Documents.

Short Range Transit Planning

This Activity Line Item funds the following plans and studies:

1) ABC Transportation Authority (ABC) Transit Development Plan (\$75,000 total, \$60,000 Federal).

2) DEF Transit Authority Route Analysis/Vehicle Maximization Study (\$63,670 total, \$50,936 Federal)

This grant will allow DEF to undertake a two-part study: i) will involve the review of existing routes to perform a route efficiency maximization study; and ii) will be a vehicle maximization study.

3) Coordination Study (\$106,250 total, \$85,000 Federal)

The State will continue to revise and update the current local human service plans to ensure that transportation services are seamless, comprehensive, and accessible to all citizens.

See the Statewide Planning and Research (SPR) Work Program which is attached to this grant under Application Documents for additional project details.

FTA has approved the UPWPs and approval letters are attached in TrAMS under Application Documents.

SECTION 5303 (METROPOLITAN PLANNING) GRANTS

Metropolitan Planning

This Activity Line Item funds program support administration activities included in the approved FFY 2014 Unified Planning Work Programs (UPWPs) for areas throughout the State.

See the Program of Projects (POP) which is attached to this grant under Application Documents for additional project details.

FTA has approved the UPWPs and approval letters are attached in TrAMS under Application Documents.

MILESTONE SAMPLES

This section provides information regarding milestones for various projects.

Please note, unless otherwise specified in the milestone sample below, contractor information is no longer required in the milestone information.

- **Operating Assistance;**
- **Project (or Program or State) Administration;**
- **Assorted Activities (Planning, Training, Preventive Maintenance);**
- **Force Account (e.g. Engineering, Design, Construction);**
- **Contracted Operations (Capital Cost of Contracting, ADA Complimentary Service, other) or Preventive Maintenance over Multiple Years:**
 - **XX.XX.XX** (Operating Assistance)
 - **XX.XX.XX** (Project Name / Funded Activities)
 - **XX.XX.XX** (State/Program Name / Funded Activities)
 - **XX.XX.XX** (Project Name / Funded Activities)
 - **XX.XX.XX** Project/Service Name

	<u>Milestone Description</u>	<u>Est. Comp. Date</u>
1.	INITIAL EXPENDITURE	MM/DD/YYYY
2.	INITIAL EXPENDITURE	MM/DD/YYYY
3.	PROJECT CLOSEOUT	MM/DD/YYYY

- **Standard Contract (Procurement of Services and/or Materials):
Indefinite Delivery/Indefinite Quantity Contract (for materials, rolling stock, equipment, etc.):**
 - **XX.XX.XX** Buses (Project Name)
 - **XX.XX.XX** Project Name
 - **XX.XX.XX** Project Name

	<u>Milestone Description</u>	<u>Est. Comp. Date</u>
1.	RFP/IFB	MM/DD/YYYY
2.	CONTRACT AWARD	MM/DD/YYYY
3.	NTP	MM/DD/YYYY
4.	CONTRACT COMPLETE	MM/DD/YYYY
5.	PROJECT CLOSEOUT	MM/DD/YYYY

NOTE: *Construction contracts spanning a period of 2 or more years may require interim milestones. Please contact your FTA Community Planner or Transportation Program Specialist who will consult with an FTA Regional Engineer regarding specific interim milestones required for a specific project.*

- **Task Order Contracts for professional services agreements/contracts:**

- **XX.XX.XX** Project Name

	<u>Milestone Description</u>	<u>Est. Comp. Date</u>
1.	TASK ORDER/NTP	NTP Date
	This is a X-year professional services contract. The RFP was issued on MM/DD/YYYY. The contract was awarded on MM/DD/YYYY to XYZ Consulting (Please note, this task order must be consistent with the awarded scope).	
2.	TASK ORDER COMPLETE	MM/DD/YYYY
3.	PROJECT CLOSEOUT	MM/DD/YYYY

- **Bus & Rail Vehicle Procurement:**

- **XX.XX.XX** # of Buses/Rail Vehicles (Project Name)

	<u>Milestone Description</u>	<u>Est. Comp. Date</u>
1.	RFP/IFB	MM/DD/YYYY
2.	CONTRACT AWARD	MM/DD/YYYY
3.	NTP	MM/DD/YYYY
4.	FIRST VEHICLE DELIVERED	MM/DD/YYYY
5.	ALL VEHICLES DELIVERED	MM/DD/YYYY
6.	CONTRACT COMPLETE (Use date of final payment)	MM/DD/YYYY
7.	PROJECT CLOSEOUT	MM/DD/YYYY

- **Bus & Rail Vehicle Procurement – Assignment of Rights (also known as “piggybacking”):**

- **XX.XX.XX** # of Buses (Project Name)

	<u>Milestone Description</u>	<u>Est. Comp. Date</u>
1.	RFP/IFB	NTP
	This is a procurement through the assignment of existing contractual rights held by XYZ Transit. XYZ’s RFP/IFB date was on MM/DD/YYYY.	NTP
2.	CONTRACT AWARD	MM/DD/YYYY
	XYZ Transit awarded the contract on MM/DD/YYYY to JKL Manufacturer Corporation. ABC Transit will be assigned [DESCRIBE ASSIGNMENT] from XYZ Transit’s procurement. X of the Y vehicles are funded under this grant.	
3.	NTP-ABC Transit	MM/DD/YYYY
4.	FIRST VEHICLE DELIVERED	MM/DD/YYYY
5.	ALL VEHICLES DELIVERED	MM/DD/YYYY
6.	CONTRACT COMPLETE (Use date of final payment)	MM/DD/YYYY
7.	PROJECT CLOSEOUT	MM/DD/YYYY

- **Bus & Rail Vehicle Procurement – State Schedule:**

- **XX.XX.XX** Buses (Project Name)

	<u>Milestone Description</u>	<u>Est. Comp. Date</u>
1.	RFP/IFB	NTP
	This is a procurement through an existing State Schedule with the State of XX. State XX's RFP/IFB date was on MM/DD/YYYY.	NTP
2.	CONTRACT AWARD	MM/DD/YYYY
	State XX awarded the contract on MM/DD/YYYY to JKL Manufacturer Corporation. ABC Transit will procure from the State of XX's schedule. X of the Y vehicles are funded under this grant.	
3.	NTP-ABC Transit	MM/DD/YYYY
4.	FIRST VEHICLE DELIVERED	MM/DD/YYYY
5.	ALL VEHICLES DELIVERED	MM/DD/YYYY
6.	CONTRACT COMPLETE (<i>Use date of final payment</i>)	MM/DD/YYYY
7.	PROJECT CLOSEOUT	MM/DD/YYYY

- **Bus & Rail Vehicle Procurement - Joint Procurement:**

- **XX.XX.XX** # of Buses (Project Name)

	<u>Milestone Description</u>	<u>Est. Comp. Date</u>
1.	RFP/IFB	NTP
	This is a joint procurement with XYZ Transit acting as the lead agency. XYZ's RFP/IFB date was on MM/DD/YYYY.	
2.	CONTRACT AWARD	NTP
	XYZ Transit awarded the contract on MM/DD/YYYY to JKL Corporation. ABC Transit will receive [DESCRIBE SCOPE] from the contract. X of the Y vehicles are funded under this grant.	
3.	NTP-ABC Transit	NTP
4.	FIRST VEHICLE DELIVERED	MM/DD/YYYY
5.	ALL VEHICLES DELIVERED	MM/DD/YYYY
6.	CONTRACT COMPLETE (<i>Use date of final payment</i>)	MM/DD/YYYY
7.	PROJECT CLOSEOUT	MM/DD/YYYY

DOCUMENT ATTACHMENT GUIDE

The chart below provides a program by program guide to the common documentation required to be uploaded into TrAMS during grant development.

	5307	5337	5339	5311	5310	STP/CMAQ	5304/5303	Competitive
STIP/TIP Page	X	X	X	X	X	X		X
Flex letters						X		
Split/Sub-allocation letters	X	X	X		*			
Bus Fleet Status Spreadsheet (any grant where a bus is being replaced)	X	X	X			X		X
Program of Projects (POP)				X	X			
NEPA Approval (As Applicable)	X	X	X	X	X	X		X
Statewide Planning and Research (SPR) Work Program/UPWP Approval							X	
Funding summary (using multiple grants to fund a project)	X	X	X	X	X	X	X	X
In-Kind Documentation	X	X	X	X	X	X	X	X
Toll Credit Documentation	X	X	X	X	X	X	X	
Disposition letter (if disposition funds are being applied)	X	X	X	X	X	X	X	X
SF 424 (Competitive Application Proposal)								X
DOL warranty letter for Section 5311				X				

**Needed as applicable. Contact FTA for further information.*

APPENDIX

FUNDING SUMMARY SAMPLE

The below is an example of the funding summary that should be attached for projects funded by multiple grants.

POSITIVE TRAIN CONTROL PROJECT						
Grant Number	FTA Approval Date	Grant Description	Federal Funding Amount	State/Local Funding	Total Funding	Status
1401-2016-3	TBD	5337	\$273,000	\$68,250	\$341,250	Pending
MD-90-X141	TBD	5307	\$4,999,335	\$1,249,834	\$6,249,169	Active
MD-54-0002	TBD	5337	\$16,397	\$4,099	\$20,496	Active
MD-54-0003	TBD	5337	\$53,164	\$13,291	\$66,455	Pending
Future	TBD	5337	\$5,307,103	\$1,326,776	\$6,633,879	Future
		State Funds		\$2,416,750	\$2,416,750	Future
		Total	\$10,649,000	\$5,079,000	\$15,728,000	
		Approved	\$5,015,733	\$1,253,933	\$6,269,666	
		Pending	\$326,164	\$81,541	\$407,705	
		Future	\$5,307,103	\$3,743,526	\$9,050,629	

SECURITY (Section 5307 Grants)

SECURITY

When validating a project using Section 5307 funds, the applicant will be prompted to answer the below security question.

Project | Section 5307 Funding Security Question

Project Details

Project Number 1947-2016-12-P1

Project Name Buses

This project includes Section 5307 funds. Answer the following question:

Will 1% or more of the 5307 funds in this application be expended for security purposes?

- Yes -- our organization will expend at least 1% of the 5307 funds in this application for security-related projects
- No -- our organization will NOT expend at least 1% of the 5307 funds in this application for security-related projects

Continue

If any Section 5307 projects are using security please check yes when validating and transmitting for all projects in the grant. Please ensure that it is clear in the grant application what the security project is. The extended budget description section of this document contains an example of a security project.

If No please justify below

Your organization will not expend at least 1% of the Section 5307 funds for security purposes

Select one or more of the following reasons and provide a detailed explanation below:

- We have conducted a threat and vulnerability assessment and found that there are no deficiencies that require additional investment in security projects at this time.
- All FTA/TSA Security Action Items* have been met. We can answer each action item affirmatively, and no additional investment in security projects is required at this time.
- Other. Detailed explanation is provided in comments below.

Explanation

Comments are required to explain your selection.

LIMITATION CODES

Limitation codes – Funding from specific programs that can be used for multiple purposes.

If you have a project that you can fund with two or more different sources within the same program, a separate project must be created for each funding source. These multiple purposes are listed in the charts below. For additional guidance on this, please contact your FTA Community Planner or Transportation Program Specialist.

For example, a bus procurement may be funded using both Section 5339 State/Territory and Section 5339 Formula allocations. In this instance, two separate projects must be created in TrAMS:

Program Name	Section Code	Limitation Code	Limitation Code Description
5339 Bus and Bus Facilities	34	31	State/Territorywide allocation
5339 Bus and Bus Facilities	34	BF	Formula allocation

Program Name	Section Code	Limitation Code	Limitation Code Description
Consolidated Planning	81	8F	METRO PLANNING TRANSFER TO FTA
Consolidated Planning	81	A2	STATE PLANNING TRANSFER TO FTA

Program Name	Section Code	Limitation Code	Limitation Code Description
Section 5310 Enhanced Mobility	16	DL	Allocation to urbanized areas over 200,000 in population
Section 5310 Enhanced Mobility	16	DM	Allocation to states for urbanized areas between 50,000 and 199,999
Section 5310 Enhanced Mobility	16	DS	Allocation to states for non-urbanized areas

Program Name	Section Code	Limitation Code	Limitation Code Description
Section 5311 Rural Formula	18	81	Rural Formula
Section 5311 Rural Formula	18	AF	Appalachian Formula
Section 5311 Rural Formula	18	R7	RTAP
Section 5311 Rural Formula	18	B2	Funds Transferred from Section 5310 Program
Section 5311 Rural Formula	18	U8	Funds transferred from Section 5307 program

Program Name	Section Code	Limitation Code	Limitation Code Description
5337 State of Good Repair Formula	54	38	Fixed Guideway
5337 State of Good Repair Formula	54	GR	Motorbus

Program Name	Section Code	Limitation Code	Limitation Code Description
FHWA funds flexed to Section 5307	95	CX	Congestion Mitigation Air Quality
FHWA funds flexed to Section 5307	95	SX	Surface Transportation Program

If you have the same project but using two different limitation codes use the below Extended Budget Description to link the two projects together

BUY REPLACEMENT 35-FT BUS

This Activity Line Item partially funds the purchase of two (2) 35-foot ADA accessible replacement fixed route buses. This ALI is also under Project Number 1234-2016-1-P4 - ALI 11.12.02 in this grant.

The vehicles to be replaced have met their useful service life of twelve years and/or 500,000

miles as detailed in FTA Circular 5010.1E. See the uploaded spreadsheet in the Project Documents section for the ADA accessible replacement fixed route buses to be replaced with this purchase.

The useful life for the new replacement vehicles is twelve years or 500,000 miles, whichever comes first as per FTA Circular 5010.1E.

This project is included in the FFY 2015 STIP under Project #12345 and attached to this grant under Application Documents.

SUPER GRANTS

A Super Grant is an Application with more than one funding source.

Super Grants may be used:

- When multiple funding sources are being used to fund related activities such as a capital improvement project, a construction project or system-wide improvement project
- When multiple funding programs are being used for the same budget scope and activity line item
- When Flexing funds from FHWA flex-funding (i.e., Surface Transportation Program and Congestion Mitigation and Air Quality Program) for same or related projects also using an FTA program.
- When an applicant is applying for multiple formula program funds apportioned under different programs in the same funding fiscal year or the prior fiscal year for the same urbanized area(s). (Section 5307, 5337, and 5339).

APPLICATION EXECUTIVE SUMMARY SAMPLE –using Section 5307/5339 funds

The State Department of Transportation (SDOT) is applying FFY 2016 and FFY 2017 Section 5307 funds apportioned to the XYZ urbanized area in the amount of \$1,000,000 (\$500,000 the balance of FFY 2016 funds and \$500,000 in partial FFY 2017 funds) for operating assistance and preventive maintenance, in addition to the following purchases and installations:

Surveillance and security equipment:

- ADP software
- ADP hardware

SDOT is also applying FFY 2016 and FFY 2017 Section 5339 Bus and Bus Facilities funds apportioned XYZ urbanized area on March 18, 2016 in the amount of \$1,000,000 (\$250,000 FFY 2016 funds and \$250,000 FFY 2017 funds (State Governors for Urbanized Areas 50,000 to 199,999 in Population) and \$500,000 (State/Territory Allocation) FFY 2017 funds) to purchase the following replacement vehicles:

- two (2) 35-foot ADA accessible replacement fixed route buses
- three (3) less than 30-foot ADA accessible replacement fixed route cutaway buses

The non-Federal share will be provided by the State DOT.

GRANT REVIEW NOTIFICATION PROCESS

In an effort to improve efficiencies and further enhance Region III's grant processing, effective immediately, we have implemented a grant review notification process.

For all draft grant applications that are ready for initial review, we ask that you utilize the following process:

Grantees should continue to send an email to your FTA Assigned Community Planner or Transportation Program Specialist letting them know that a **draft grant application** is ready for initial FTA review.

Email subject should be "*Grant Number - Initial Review Requested.*"

A copy (cc) should be sent to the following grant review notification email address:

FTARegion3Grants@dot.gov

SAMPLE EMAIL HEADER

To: Kathleen.Zubrzycki@dot.gov

Cc: FTARegion3Grants@dot.gov

Subject: Grant Number 1401-2016-10 – Initial Review Requested

Your assigned Community Planner or Transportation Program Specialist will continue to respond to your request in email. We ask that you use the FTARegion3Grants@dot.gov email to notify FTA of the initial review request only.