

# FTA

FEDERAL TRANSIT ADMINISTRATION

## FTA 101 FTA Region IV

SPT Annual Meeting  
May 2019



U.S. Department of Transportation  
Federal Transit Administration

# Agenda

- Who is FTA?
- FTA Regulations and Guidance
- FTA Programs
- FTA Systems
- FTA Pre-Award Basics and Application Development
- FTA Post-Award/Oversight Basics
- Questions

# Who is FTA?

# Who is FTA?

- Office of the Secretary of Transportation (OST)
- Federal Aviation Administration (FAA)
- Federal Highway Administration (FHWA)
- Federal Motor Carrier Safety Administration (FMCSA)
- Federal Railroad Administration (FRA)
- **Federal Transit Administration (FTA)**
- Maritime Administration (MARAD)
- National Highway Traffic Safety Administration (NHTSA)
- Office of Inspector General (OIG)
- Pipeline and Hazardous Materials Safety Administration (PHMSA)
- Saint Lawrence Seaway Development Corporation (SLSDC)

# Who is FTA?

- **Vision**

- To be recognized as the FTA and industry leader in safety promotion, information sharing and fair oversight.

- **Mission**

- To make transit safer through policy development, hazard investigation, data collection, risk analysis, effective oversight programs and information sharing.

- **Purpose**

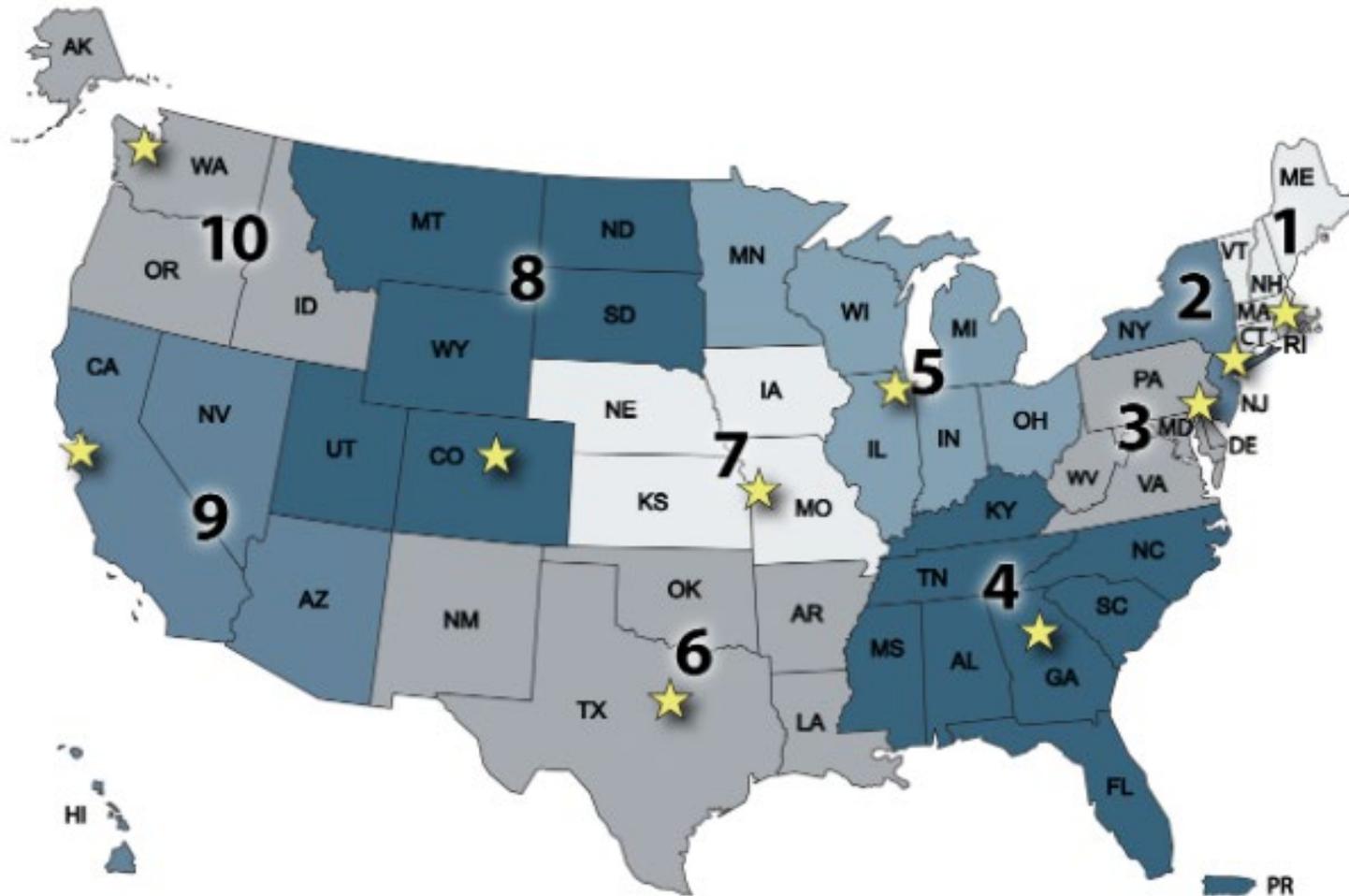
- Provide an unbiased source of integrated information to promote transit safety and effective grant management.

# Who is FTA?

- Congress establishes the funding for FTA programs through authorizing legislation that amends **Chapter 53 of Title 49 of the U.S. Code.**
- [Fixing America's Surface Transportation \(FAST\) Act](#), which reauthorizes surface transportation programs from Fiscal Year 2016 through Fiscal Year 2020.



# Who is FTA?



# Who is FTA?



Alabama

Florida

Georgia

Kentucky

Mississippi

North Carolina

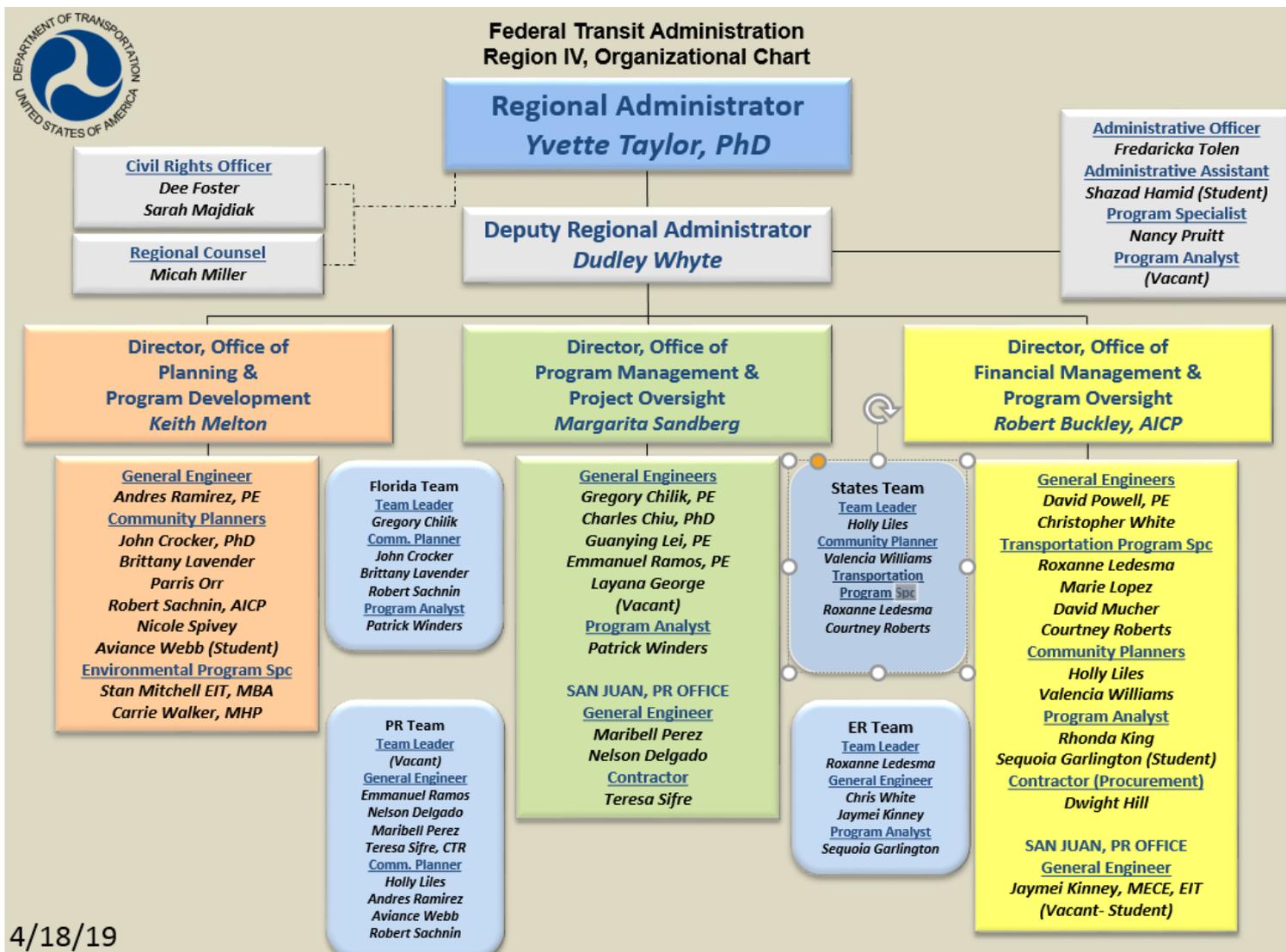
South Carolina

Tennessee

Puerto Rico

United States Virgin Islands

# Who is FTA?



# Who is FTA?

Contact	FTA Functional Assignment
Micah Miller	Regional Counsel (Legal)
Dee Foster, Sarah Majdiak	Regional Civil Rights Officer
Stan Mitchell, Carrie Walker	Environmental Protection Specialist
Marie Lopez	Financial (reservations & obligations)
David Mucher	ECHO
Layana George	Local Security manager (TrAMS)
Dwight Hill	Procurement Support
Rhonda King	A-133 Single Audits & FMO Reviews

# Who is FTA?

## ➤ FY 2018

✓ Active Grantees: **179**

✓ Active Grants: **1,373**

✓ Number Grants Awarded in FY 2018: **451**

✓ Total Dollars Obligated in FY 2018: **\$1,415,515,856**



# FTA Regulations & Guidance

# FTA Regulations and Guidance

**FTA monitors grants and federally funded projects to confirm that grantees establish and follow federally mandated procedures, such as:**

- Demonstrating legal, financial, and technical capacity to carry out programs and projects.
- Providing technical inspection and supervision by qualified professionals of all work in progress.
- Ensuring compliance with [procurement requirements](#), including third-party contracts.
- Complying with all applicable [civil rights statutes](#) and implementing regulations.
- Circular 5010.ID Chapter II, Section 3

# FTA Regulations and Guidance

- There is a Circular that corresponds to each major FTA program. Circulars outline the regulations and guidance that apply when using funding under a given program.
  - All FTA Circulars may be found here:  
[http://www.fta.dot.gov/legislation\\_law/about\\_FTA\\_circulars\\_guidance.html](http://www.fta.dot.gov/legislation_law/about_FTA_circulars_guidance.html)
    - Look out for program-specific requirements (e.g. – Security Expenditures, Transit Enhancements)
    - Take special note of the **Uniform Relocation Assistance and Real Property Acquisitions Act** before beginning grant process:  
[http://www.fta.dot.gov/legislation\\_law/12316\\_3302.html](http://www.fta.dot.gov/legislation_law/12316_3302.html)

# FTA Programs

# FTA Programs

- FTA funding is divided into several programs which serve a variety of purposes.
- Each program has its own guidance, a Circular.
- A Federal Register Notice (FRN) is published annually that includes apportionments, allocations, and program information by funding type.
  - You may find the Annual Apportionment Notice and sign up for email updates here:  
<http://www.fta.dot.gov/grants/12853.html>

# FTA Programs

- There are **three** types of recipients of FTA funding: Designated, Direct and Subrecipients
- **Designated** Recipient— an entity designated, in accordance with the planning process under Sections 5303 and 5304, by the governor of a state, or his designee, responsible local officials, and publicly owned operators of public transportation, to receive and apportion amounts under Section 5336 (of the FRN) to urbanized areas of 200,000 or more in population; a state or regional authority, if the authority is responsible under the laws of a state for a capital project and for financing and directly providing public transportation (required for 5307/5310 funding)

# FTA Programs

- **Direct Recipient** – an eligible entity authorized by a designated recipient or state to receive Urbanized Area Formula Program funds directly from FTA
- **Sub-Recipient** – an entity that receives FTA funds via a pass-through agreement with a direct recipient or designated recipient, whereby the original recipient remains responsible for compliance with all terms, conditions, and requirements associated with the grant.

# FTA Programs

- Example: 5307 Federal Register Notice
- Federal Register Notice FY 18 5307 Funds 200,000+ in population
  - Note: In accordance with FAST, this table shows the amounts attributable to each State of a Multi-State Urbanized Area over 200,000 in population. These amounts are for illustrative purposes only. Designated recipients shall continue to sub-allocate funds allocated to an urbanized area based on a locally determined process, consistent with Section 5307 statutory requirements. Each State's share of a multi-state urbanized area was calculated on the basis of the percentage of population attributable to the States in the UZA, as determined by the 2010 Census.

<u>Atlanta, GA</u>	<u>\$73,271,426</u>
<u>Austin, TX</u>	<u>\$31,169,058</u>
<u>Baltimore, MD</u>	<u>\$71,114,985</u>
<u>Boston, MA-NH-RI</u>	<u>\$162,802,583</u>
Massachusetts	\$159,987,670
New Hampshire	\$2,804,018
Rhode Island	\$10,895

# FTA Programs

- **5303, 5305** Metropolitan Planning
- **5304** Statewide Planning and Non Metropolitan Transportation Planning
- **5307** UZA Funds
- **5309** Capital Investment Grant Program (Discretionary)
- **5310** Enhanced Mobility of Seniors and Individuals with Disabilities
- **5311** Rural Area Formula Program
- **5329** Safety Oversight
- **5337** State of Good Repair – Fixed Guideway
- **5339** Bus and Bus Facilities (Formula and Discretionary)

# FTA Programs

## Section 5303/5304

- **Purpose**
  - **5303 Metropolitan Planning Program**  
Provides funding to support cooperative, continuous, and comprehensive planning for making transportation investment decisions in metropolitan areas
  - **5304 Statewide Planning Program**  
Provides financial assistance to States for Statewide transportation planning and other technical assistance activities.
- **Eligible Expenses**
  - Develop transportation plans and programs, plan, design and evaluate a public transportation project, and conduct technical studies related to public transportation
- **Typical Grantees**
  - State DOTs and MPOs (through DOTs)
- **Circular:** FTA C 8100.1C
- **Period of Availability:** Funds are available for four years

# FTA Programs

## Section 5307: Urbanized Area Formula

- **Purpose**
  - Supports transit capital and operating assistance in urbanized areas over 50,000 in population.
  - Transportation-related planning
- **Typical grantees**
  - Transit Agencies and Authorities; State for areas 50,000-200,000
- **Eligible Expenses**
  - Capital, Planning, Operating (<200,000)
  - Operating assistance for >200,000 exceptions
- **Example Projects**
  - Rolling stock purchases, Facility construction/rehab, security equipment, preventive maintenance
- **Circular:** FTA C 9030.IE
- **Period of Availability:** year appropriated plus five years

# FTA Programs

## Section 5309 Capital Investment Grants

- **Purpose**
  - Fund major transit capital investments, including: new or expanded heavy rail, commuter rail, light rail, streetcars, ferries and bus rapid transit.
  - Competitive Program
- **Eligible Expenses**
  - Capital
- **Example Projects**
  - New Starts
  - Small Starts
  - Core Capacity projects
  - Program of Interrelated projects (combination of two or more)
- Final Interim Policy Guidance – June 2016
- **Period of Availability:** 4 years

# FTA Programs

## Section 5310:

### Enhanced Mobility of Seniors and Individuals with Disabilities

- **Purpose**
  - To improve mobility for seniors and individuals with disabilities by removing barriers to transportation service and expanding transportation mobility options
- **Eligible Recipients**
  - States and designated recipients
  - Eligible subrecipients include private nonprofit organizations, states or local government authorities, or operators of public transportation
- **Eligible Expenses**
  - Capital and Operating, floor of 55% for ‘traditional’ 5310 projects
- **Example Projects**
  - Buses and Vans, Wheelchair lifts, ramps, acquisition of transportation services under a contract, lease or other arrangement.
- **Circular:** FTA C 9070.1G
- **Period of Availability:** FY of apportionment plus two years (total 3 years)

# FTA Programs

## Section 5311: Formula Grants for Rural Areas

- **Purpose:**
  - Support public transportation in rural areas (population of less than 50,000)
- **Eligible Recipients**
  - State, Indian tribes or groups identified by the Bureau of Indian Affairs

Subrecipients: nonprofit organization, operator of public transportation or intercity bus service that receives federal transit program grant funds indirectly through a recipient
- **Eligible Expenses**
  - Planning, Capital, Operating
- **Example Projects**
  - Rolling stock purchases, operating assistance, program administration, state and national training
- **Circular:** FTA C 9040.1F
- **Period of Availability:** FY of apportionment plus two additional years (3 years)

# FTA Programs

## Section 5329: Public Transportation Safety and Oversight

- **Purpose**
    - To create and implement a National Public Transportation Safety Program to improve the safety of all public transportation systems that receive funding.
      - National Public Transportation Safety Plan
      - Safety Certification Training Program
      - Public Transportation Agency Safety Plan
      - State Safety Oversight Program
  - **Eligible Recipients:** State or local governmental authority with fixed guideway system not under FRA's jurisdiction
    - In PR, PREMA
  - **Eligible Expenses:** Capital, Administrative expenses
  - **Example Projects**
    - Review of Transit Safety Plans (Rail only)
    - Development, updating or implementing SSO Program Standard Plans (includes audits, site visits and direct personnel review hours)
    - Training of SSO Staff on adhere to SSO Safety Program Plan
- Capital expenses for Third Party Contracting to support SSO Program Standard Plan

# FTA Programs

## Section 5337 State of Good Repair Fixed Guideway (Rail and Bus)

- **Purpose**  
Financial assistance to public transit agencies that operate rail fixed-guideway and high-intensity motorbus systems for the maintenance, replacement, and rehabilitation of capital assets, along with the development and implementation of transit asset management plans.
- **Eligible Recipients**
  - State and local government authorities in urbanized areas with rail fixed guideway and high intensity motor bus systems that have been in operation at least 7 years
- **Eligible Expenses**
  - Capital
- **Example Projects**
  - Projects that maintain, rehab and replace capital assets; developing and implementing Transit Asset Management plans
- **Circular:** FTA C 5300.1
- **Period of Availability:** available for obligation for four FYs(FY made available + 3)

# FTA Programs

## **Section 5339 Bus and Bus Facilities**

- **Purpose**

Replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities including technological changes or innovations to modify low or no emission vehicles or facilities.

- **Eligible Recipients**

- Recipients that operate or allocate funding to fixed route bus service; State or local governmental entities that operate fixed route bus service that are eligible to receive direct grants under 5307 and 5311

- **Eligible Expenses**

- Capital projects \*\*Preventive Maintenance is not eligible\*\*

- **Example Projects**

- Replace, rehab and purchase buses, vans, construct bus-related facilities

- **Circular:** FTA C 5100.1

- **Period of Availability:** Funds are available for three years after the FY in which the amount is apportioned.

# FTA Systems

# FTA Systems

- **The Transit Award Management System (TrAMS)**
  - This is where you apply for your funding and manage the award.
    - Appian based software; need permission from FTA to access the system.
- **Electronic Clearing House Operation (ECHO)**
  - This is where recipients draw down their funding.
    - This is a web based application; need permission from FTA to access the system.

# FTA Systems

- **National Transit Database (NTD)**
  - Records the financial, operating and asset condition of transit systems.
  - Recipients receiving funding from the Urbanized Area Formula Program (5307) or Rural Formula Program (5311) – are required to submit data to the NTD.
  - Transit Asset Management reporting in FFY 2019

# **FTA Pre Award Basics and Application Development**

# Overview

- I. FTA Lingo
- II. FTA Grant Prerequisites

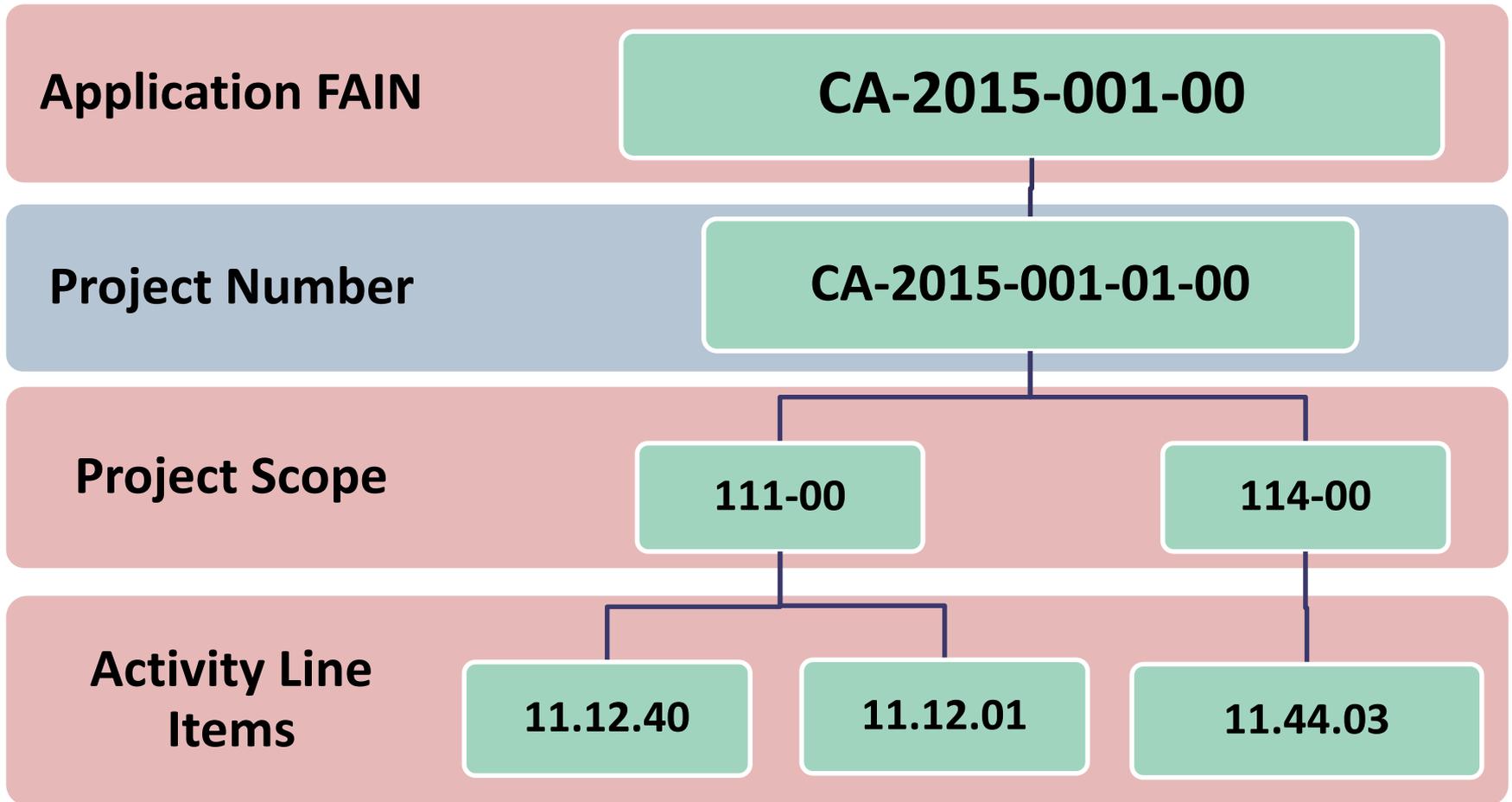
# FTA Lingo

- **Pre-award** – most actions within the grant application process through execution of the grant
  - Primary Contact: Community Planner/TPS
    - ✓ Questions regarding plans/programs (i.e. STIP, UPWP), NEPA, eligibility, grant amendments, FLEX funds
- **Post-award** – most actions within the grant application process from execution until grant close-out
  - Primary Contact: Program Manager/Engineer/TPS
    - ✓ Questions regarding vehicles, construction, procurement, contracts, budget revisions
- Note: Sometimes this is the same person within FTA; sometimes it is two separate individuals. For states, your contact is one person for both pre and post award.

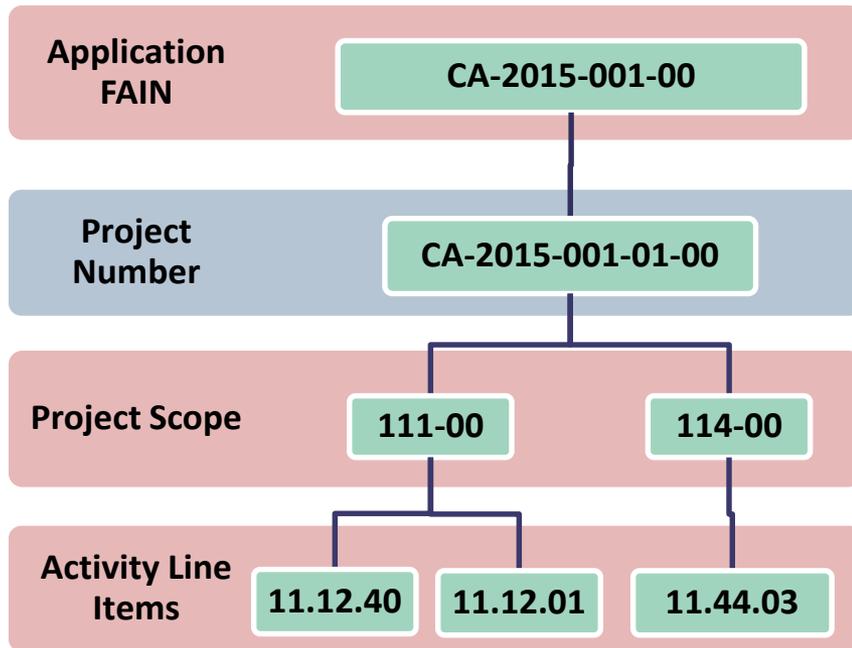
# FTA Lingo

- **Temporary FAIN** – number automatically assigned to TrAMS Application when draft is initiated in system
  - Example: 1101-2016-007
- **Federal Award Identification Number (FAIN)** – official number assigned to application by Pre-Award Manager just prior to submission of application in TrAMS
  - Example: GA-2016-003
- **Project** – mechanism within TrAMS application that allows separation of funding; assigned unique identifier and trackable in TrAMS
  - Example: GA-2016-003-01-00, GA-2016-003-02-00

# FTA Lingo



# FTA Lingo

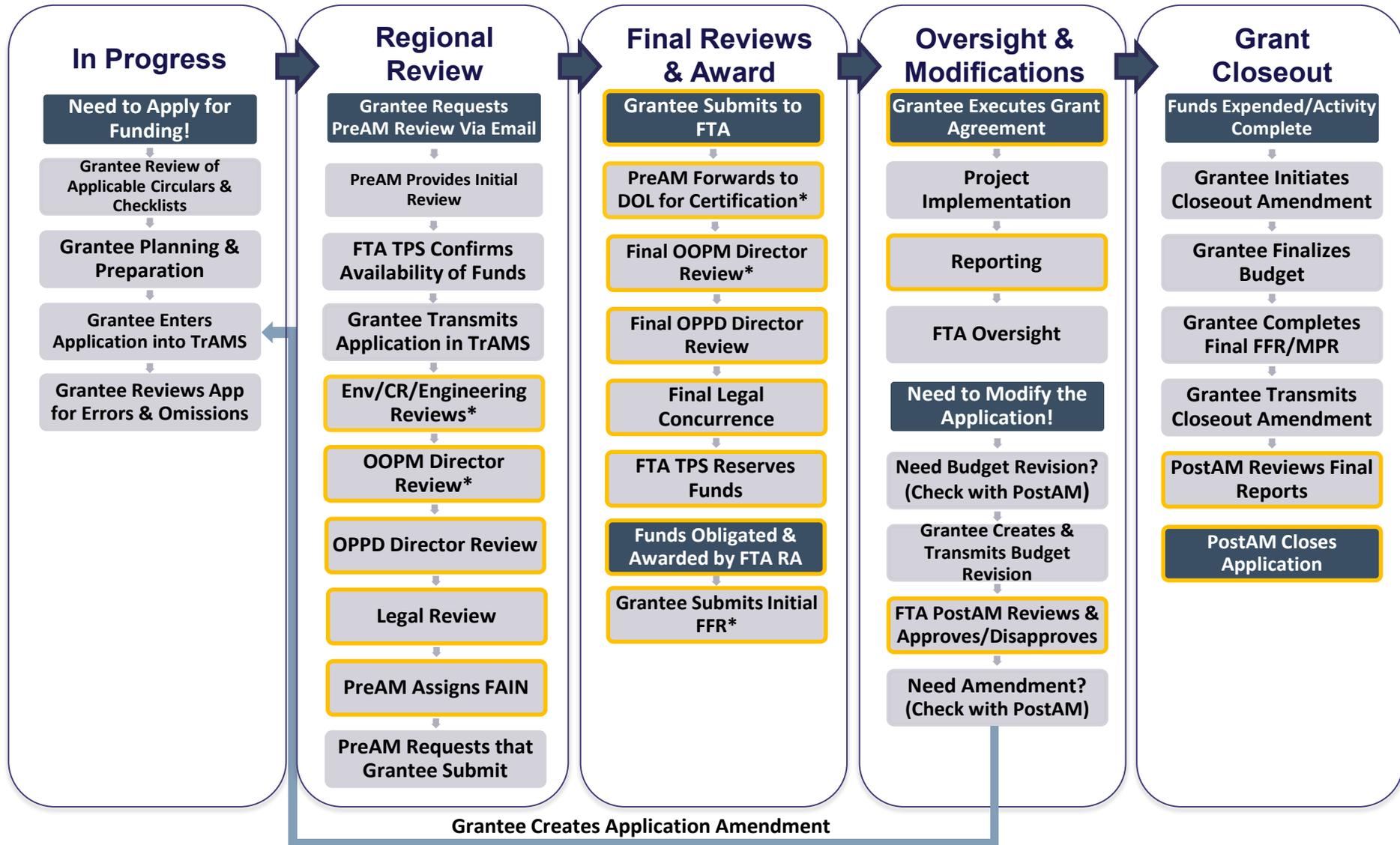


- The application is identified by the FAIN (State, FFY the FAIN is assigned, next application in sequence, and initial/amendment)
- The Project Number inherits the FAIN and is indicated by the first 01; then initial/amendment 00. The initial and amendment are always the last two digits.
- The Scopes and Activity Line Items (ALIs) will not change.

# FTA Lingo

- **In-Progress:** Both the applicant and FTA can view and edit the document (aka DRAFT)
- **Transmit:** Send initial Draft Application to FTA; Locked to the grantee; however, FTA can edit and comment
- **Submit:** Application to FTA; Point at which budget and ALIs must be finalized; neither FTA nor grantee may make substantial changes at this point

# FTA Lingo: TrAMS Application Life Cycle



**Grantee Creates Application Amendment**

**RA** – Regional Administrator

**PreAM** – FTA Pre-Award Manager

**FFR** – Federal Financial Report

**CR** – Civil Rights

**OPPD** – Office of Planning & Program Development

**TPS** – Transportation Program Specialist

**MPR** – Milestone Progress Report

Indicates TrAMS-Generated Task

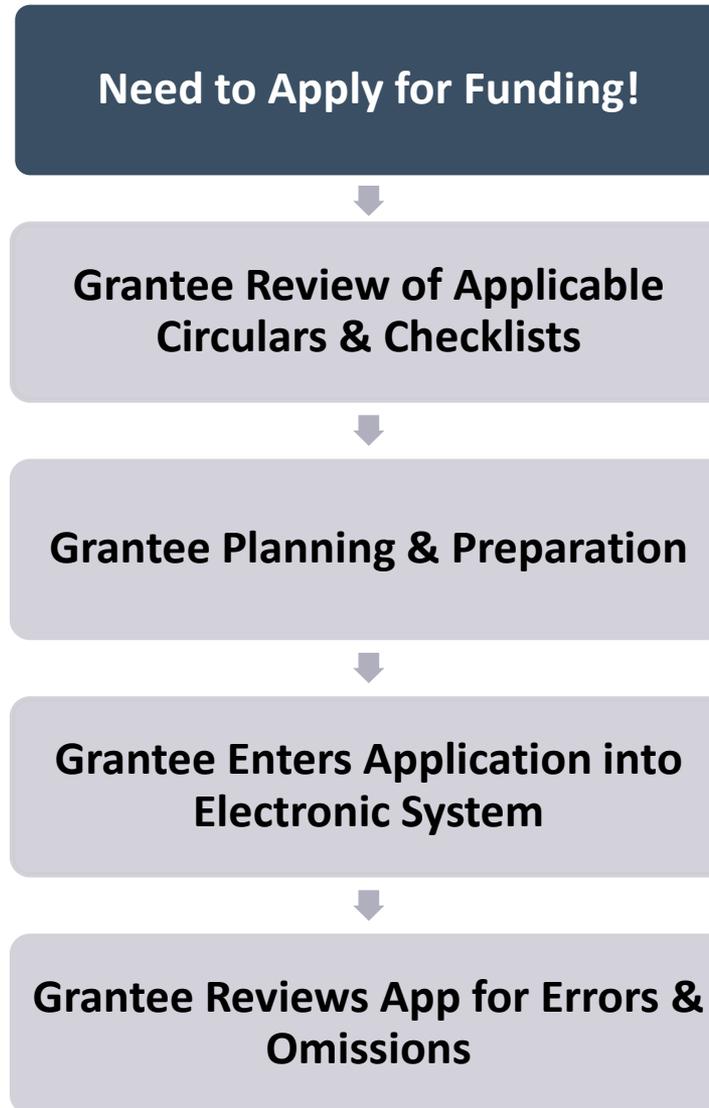
**OOPM** – Office of Oversight & Program Management

**PostAM** – FTA Post-Award Manager

**Env** – Environmental

\*Applicability Varies by Application

# FTA Grant Prerequisites



# FTA Grant Prerequisites

Section	Program	Circular
5307	Urbanized Area Formula	C 9030.1E
5311	Rural Area Formula	C 9040.1G
5339	Bus & Bus Facilities	C 5100.1
5337	State of Good Repair	C 5300.1
5310	Enhanced Mobility of Seniors & Individuals with Disabilities	C 9070.1G
5309	Capital Investment Program	C 9300.1B
5303/5304	Metropolitan Planning & State Planning	C 8100.1C

**Tip:** There is a program-specific grant checklist located at the back of each program Circular!

# FTA Grant Prerequisites

- Funds must be programmed in **TIP/STIP (MPO/DOT)** for **capital projects**
- If planning project, must be programmed in **UPWP**
- Complete **Coordinated Planning** process, if applicable for HSTP funds like JARC, New Freedom
- Obtain **NEPA** class of action (may require checklist completion) from R4 and initiate **NEPA** work & gather documentation, if applicable. Check with R4 first!

# FTA Grant Prerequisites

- **Statewide Transportation Improvement Program (STIP)** – a statewide (DOT) prioritized listing/program of federally-funded transportation projects over four years
- **Transportation Improvement Program (TIP)** – A prioritized listing/program of transportation projects covering a period of four years that is developed and formally adopted by an MPO as part of the metropolitan transportation planning process; fiscally constrained
- **Unified Planning Work Program (UPWP)** – a program of work identifying the planning priorities and activities to be carried out within an MPA during the next one or two-year period

# FTA Grant Prerequisites

## **Stan Mitchell**

Environmental Program Specialist  
FTA Region IV  
230 Peachtree Street, NW, Suite 1400  
Atlanta, GA 30303  
E-mail: [stanley.a.mitchell@dot.gov](mailto:stanley.a.mitchell@dot.gov)

## **Julia “Carrie” Walker**

Environmental Program Specialist  
FTA Region IV  
230 Peachtree Street, NW, Suite 1400  
Atlanta, GA 30303  
E-mail: [julia.walker@dot.gov](mailto:julia.walker@dot.gov)

# FTA Grant Prerequisites

- Ensure **Civil Rights** Programs are current in TrAMS:
  - Title VI Program
  - DBE Program
  - DBE Goals
  - EEO Program
- Familiarize yourself with **Civil Rights requirements** for your service type
- Know triggers for **Service & Fare Equity Analysis** and for **Title VI Equity Analysis**

# FTA Grant Prerequisites

## **FTA -Title VI of the Civil Rights Act of 1964**

<http://www.fta.dot.gov/civilrights/12328.html>

## **Title VI Circular 4702.1B**

[http://www.fta.dot.gov/legislation\\_law/12349\\_14792.html](http://www.fta.dot.gov/legislation_law/12349_14792.html)

## **Civil Rights Training Materials**

<http://www.fta.dot.gov/civilrights/12885.html>

# FTA Grant Prerequisites

*Dee Foster*

Civil Rights Officer

[doretha.foster@dot.gov](mailto:doretha.foster@dot.gov)

(404) 865-5633

*Sarah Majdiak*

Civil Rights Officer

[sarah.Majdiak@dot.gov](mailto:sarah.Majdiak@dot.gov)

(404) 404-865-5639

# FTA Grant Prerequisites

Make sure your grant application is ready for review

- Obtain copy of **Split or Governor's Allocation Letter** and attach to application in TrAMS, if applicable. New required language:
  - *"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."*
- Sign/PIN **Certification & Assurances**
  - PIN'd in TrAMS and hard copy signed/uploaded
- Identify source of **Local Match**
  - if transportation development credits, obtain approval letter from State
- If **Flexing Funds** from FHWA, ensure that Region 4 has received funds

# FTA Post-Award/Oversight Basics

# FTA Post Award / Oversight Basics

- **Grantees/Recipients** are responsible for the day-to-day management of your Federal grants and of grant supported activities.
- **FTA** monitors grants and federally funded projects to confirm that grantees establish and follow procedures that comply with Federal requirements.

# FTA Post Award / Oversight Basics

- C 5010.IE - Award Management Requirements
- C 4220.IF - Third Party Contracting Guidance

All FTA Circulars may be found here:

[http://www.fta.dot.gov/legislation\\_law/about\\_FTA\\_circulars\\_guidance.html](http://www.fta.dot.gov/legislation_law/about_FTA_circulars_guidance.html)

# FTA Post Award / Oversight Basics

- Once the Grantee executes the Grant Agreement in TrAMS electronically, post-award grant requirements apply.
- **Reporting**
  - FFR and MPR
  - Civil Rights Reports
  - Associated Transit Improvement Report (200K Pop)
  - National Transit Database (NTD) Reporting

# FTA Post Award / Oversight Basics

- **Budget Revision** may be made as long as there is no change in the grant purpose, scope codes, and Federal funding of the grant (PM/Engineer)
- **Grant Amendment** is required when there is either a change in the scope or an addition of Federal funds to an existing grant. Grant amendments are subject to the same application requirements as a new grant request (CP/GM)

# FTA Post Award / Oversight Basics

Following items obtained for the project purposes must be ***managed, used, and disposed of*** in accordance with applicable laws and regulations:

- Real Property
- Equipment and Supplies, Rolling Stock
- Facilities purchased or constructed
  - See C 5010.1E

# FTA Post Award/Oversight Basics

Financial management is one of the most important practices in the management of Federal funds:

- Internal Controls
- Annual Audit
- Electronic Clearing House Operation (ECHO)
  - See C 5010.1E

# FTA Post Award / Oversight Basics

- FTA is responsible for conducting oversight activities to ensure that recipients of grants use the funds in a manner consistent with their intended purpose and in compliance with regulatory and statutory requirements.
- A number of oversight review programs exist to accomplish this goal.

# FTA Post Award / Oversight Basics

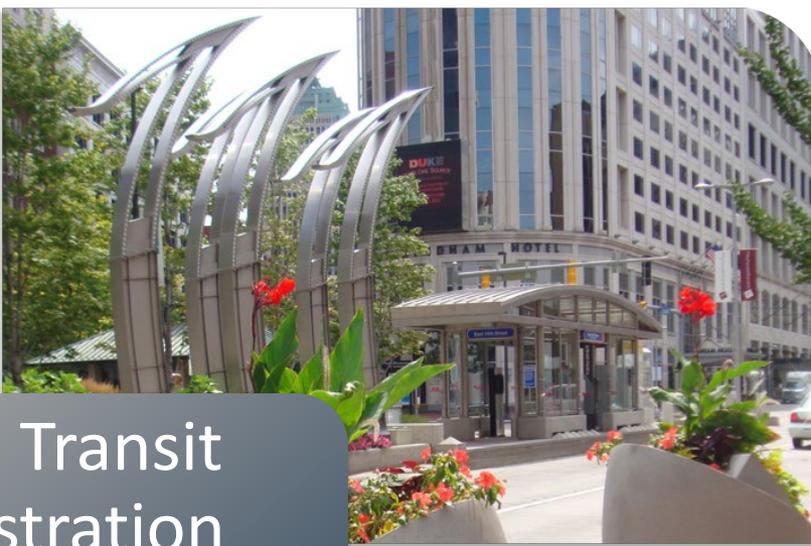
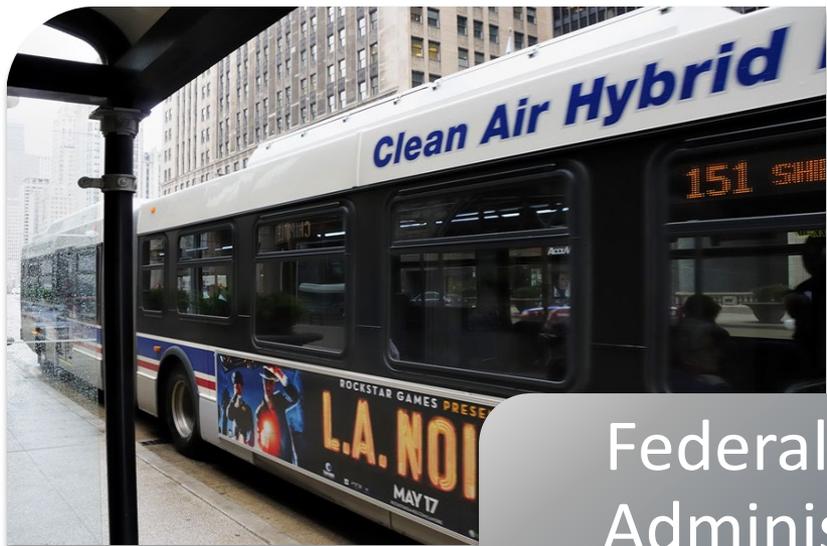
## FTA Oversight Review Program:

- General Reviews
  - Triennial Review and State Management Review
- Program-Specific Reviews
  - Financial Management Oversight (FMO), Procurement System Review (PSR), Civil Rights, Safety & Security
- Project-Level Reviews
  - Project Management Oversight (PMO), Financial Capacity

# FTA Post Award / Oversight Basics

- Grantee must initiate close-out of a grant when all approved activities are completed and/or applicable Federal funds expended (90 days).
- A grant may be closed-out by FTA unilaterally under certain circumstances.
  - See C 5010.1E





Federal Transit  
Administration  
[www.fta.dot.gov](http://www.fta.dot.gov)

