



# ***BIRTH OF A GRANT***

**Federal Transit Administration – Region V**



# Outline

---

- Overview
- Eligibility
- Planning for Fiscal Year
- Planning Documents
- Grant Development
- Reporting

# Eligibility to Receive Federal Funds

---

- Designated Recipient Authorization from Governor (depending on program)
- Authorizing Resolution – ID Responsible Person
  - Certifications & Assurances
  - Executing Grants & Cooperative Agreements
- Opinion of Counsel
  - Affirm Legal Authority
  - No Legal Impediment Concurrence
- Annual Certifications & Assurances Executed in TEAM
- Letter of Agreement - Multiple Transit Operators
  - TEAM (Transp. Electronic Award Management) User Access Form
  - ECHO (Electronic Clearing House Operation System) Access Request Form

Sample Authorizing Resolution and Opinion of Counsel can be found in Circular 9030.1D, Appendix D

BIRTH OF A GRANT



# Certifications and Assurances

Cert's and Assurances Summary in TEAM



View / Modify Recipient ( CITY OF RACINE ) - Windows Internet Explorer

**View / Modify Recipient**

General | Contact Persons | **Cert's & Assurances** | Codes | Payment Codes | Civil Rights

Organization: 1262 CITY OF RACINE

Cat	Description	Applicable	N/A	Cert Date	Text
01	ASSURANCES REQUIRED FOR EACH APPLICANT	<input checked="" type="checkbox"/>	<input type="checkbox"/>	12/1/2010	
02	LOBBYING CERTIFICATION	<input checked="" type="checkbox"/>	<input type="checkbox"/>	12/1/2010	
03	PROCUREMENT COMPLIANCE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	12/1/2010	
04	PROTECTIONS FOR PRIVATE TRANSPORTATION	<input checked="" type="checkbox"/>	<input type="checkbox"/>	12/1/2010	
05	PUBLIC HEARING	<input checked="" type="checkbox"/>	<input type="checkbox"/>	12/1/2010	

**Affirmation of Certifications and Assurances**

FEDERAL FISCAL YEAR 2011 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE  
(Required of all Applicants for FTA assistance and all FTA Grantees with an active capital or formula project)

AFFIRMATION OF APPLICANT

Name of Applicant: CITY OF RACINE

Official's Name:  PIN:  **CERTIFY**

Attorney's Name:

BIRTH OF A GRANT



# Planning for the Fiscal Year

---

- Discussion with Grantee and FTA Colleagues to plan for Fiscal Year
- Overview of current open grants
- Establish grant strategy for upcoming year:
  - New Grant versus Amendment
- Understanding agency needs/goals
- Upcoming projects

BIRTH OF A GRANT



# Initiation of Projects – Local Transportation Planning

- Urbanized Area Long-Range Transportation Plan
  - Document resulting from regional or statewide collaboration and consensus on a region's or state's transportation system, and serving as the defining vision for the region's or state's transportation systems and services.
  - In metropolitan areas, this is the official multimodal transportation plan addressing no less than a 20-year planning horizon.
  - Developed, adopted, and updated by the Metropolitan Planning Organization (MPO) through the metropolitan transportation planning process.

BIRTH OF A GRANT



# Transportation Improvement Program – TIP

---

- Prioritized list of projects covering 4 year period;
- Developed by MPO as part of the metropolitan transportation planning process, consistent with the metropolitan transportation plan (MTP);
- Required for projects to be eligible for funding under Title 23 U.S.C. and Title 49 U.S.C. Chapter 53.
- Programming for capital, operating, and planning projects not appearing in a Unified Planning Work Program (UPWP) or State Work Program.
- Exceptions (not requiring planning documentation)
  - Section 5314 (National Research Program),
  - Section 5311c (Tribal Transit only); and
  - Section 3038 (Over-the-Road Bus)

BIRTH OF A GRANT



# Unified Planning Work Program – UPWP

---

- Prioritized list of planning projects and goals covering 1 year
- Developed by MPO
- Multi-modal in scope and includes highways, transit, pedestrian, and airport-related projects for state, local, and federal agencies
- Include project descriptions with a deliverable product
- Identify state and local shares
- Reviewed and Approved by State, FHWA and FTA
- Programming for Sections 5303, 5304, 5307, 5339

BIRTH OF A GRANT



# Statewide Transportation Improvement Program – STIP

- Statewide prioritized listing/program of transportation projects covering 4 year period
- Consistent with the long-range statewide transportation plan (LRSTP), metropolitan transportation plans (MTPs), and transportation improvement plans (TIPs)
- Planning Regulations can be found at:  
<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=1b9ceaabe91737f14faaba41928a9ac1&rgn=div5&view=text&node=23:1.0.1.5.11&idno=23#23:1.0.1.5.11.2.1.9>

BIRTH OF A GRANT



# Fund Availability

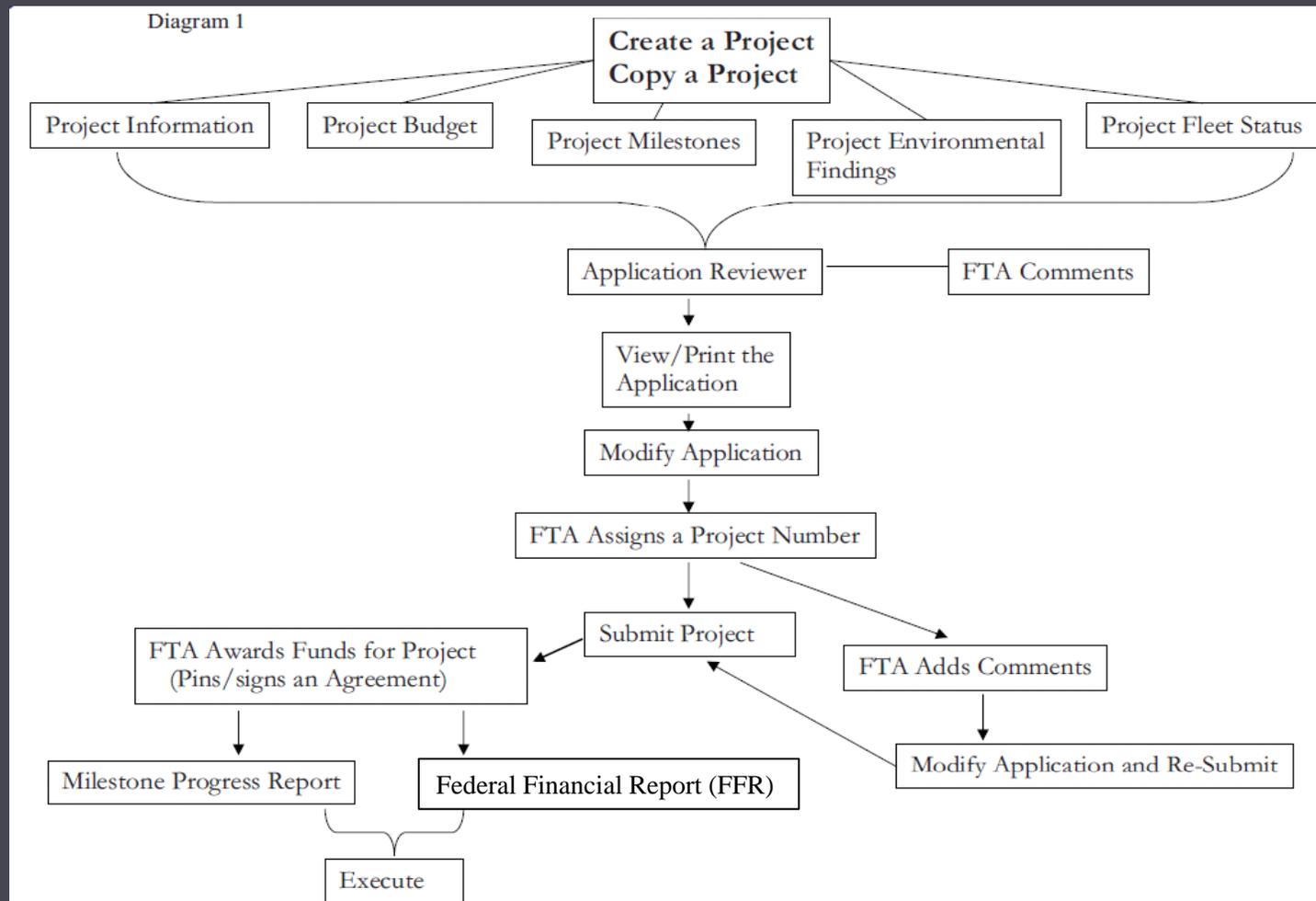
---

- Know the total project costs
  - Supported in a planning document
- Federal Register Apportionment
- Confirmation of local share
  - Understand local match required by FTA (may vary by program)
  - Identify commitments / challenges / deficiencies
- Establish agreement on funding balances prior to grant making
  - Know all recipients within the Urbanized Area (UZA)
  - Obtain State and Designated Recipient Allocations as necessary
    - Letters / Agreements
    - Formula splits between grantees / recipients
- Confirm project eligibility under Title 49, Chapter 53

BIRTH OF A GRANT



# Grant Development Flowchart



BIRTH OF A GRANT



# Creating a New Grant

- Recipient ID data is shown.
- Project # (from FTA).
- Section of Statute.
- Brief Description (FY, Primary Projects, LAPSING).
- Program Date (FTA STIP approval letter date).
- Expected Environmental Findings (Class II(c) in most cases).

Main Menu - (Home)

- ▣ Recipients
- ▣ Applications
  - ▣ Create New Project**
  - ▣ Copy Project
  - ▣ Assign Project Number
  - ▣ Application Reviewer
  - ▣ Submit Application
  - ▣ Create Amendment
  - ▣ View/Print
- ▣ Modify Application
  - ▣ Project Information
  - ▣ Budget
  - ▣ Milestones
  - ▣ Environmental Findings
  - ▣ Fleet Status
  - ▣ Application Reviewer
  - ▣ Comments/Concurrence
- ▣ Review and Approval
- ▣ Execution
- ▣ Project Management
- ▣ Funds Control
- ▣ Funding Adjustments
- ▣ TEAM Administration
- ▣ Dynamic Query
- ▣ Charter Registration
- ▣ Static Reports

### Create New Project

NEW PROJECT DETAIL | PROJECT DESCRIPTION

**Recipient ID:** 6998 - RENO SPARKS INDIAN COLONY

RENO SPARKS INDIAN COLONY

98 COLONY RD

Enter a requested Project Number (FTA will approve or reassign):

**Project Number:** [ ]

**Section of Statute:** Not Specified

**Brief Description:** [ ]

**Program Date:** [ ]

**Fiscal Year:** 2010

Proposed Environmental Classifications:

<b>Class I (EIS):</b> <input type="radio"/> No <input type="radio"/> Yes	<b>Class II (CE):</b> <input type="radio"/> No <input type="radio"/> Yes
<b>Class III (EA):</b> <input type="radio"/> No <input type="radio"/> Yes	<b>Other [4(f),106]:</b> <input type="radio"/> No <input type="radio"/> Yes

BIRTH OF A GRANT



# Creating a New Grant – Project Information

Fields to be completed

- Main Menu - (Home)
- ▣ Recipients
- ▣ Applications
  - ▣ Create New Project
  - ▣ Copy Project
  - ▣ Assign Project Number
  - ▣ Application Reviewer
  - ▣ Submit Application
  - ▣ Create Amendment
  - ▣ View/Print
  - ▣ Modify Application
    - ▣ **Project Information**
    - ▣ Budget
    - ▣ Milestones
    - ▣ Environmental Findings
    - ▣ Fleet Status
    - ▣ FTA Comments
- ▣ Review and Approval
- ▣ Execution
- ▣ Project Management
- ▣ Program Operations
- ▣ Funds Control
- ▣ Civil Rights
- ▣ Data Query
- ▣ TEAM Administration
  - ▣ Exit

## Project Query Results

Project Number	Description	Rev.
VA-90-X211	Hybrid Electric Bus Project	0

## Project Details

<b>Project Number:</b>	VA-90-X211	FY2001	<b>Cost Center:</b>	783-00	
<b>Application Type:</b>	Electronic			<b>Submitted:</b>	
<b>Entered:</b>	8/27/2001			<b>Awarded:</b>	
<b>Recip. Contact:</b>	Audrey Bredehoff			<b>Executed:</b>	
<b>FTA Manager:</b>	Sheila Byrne			<b>FTA Amount:</b>	564,000
<b>Status:</b>	Pending Submission/App. in Development			<b>Total Elig. Cost:</b>	705,000
<b>Description:</b>	Hybrid Electric Bus Project				
<b>Recipient:</b>	2049	- NORTHERN VIRGINIA TRANSPORTATION COMMISSION			

BIRTH OF A GRANT



# Project Information – General

- Title of Project.
- Enter Project #.
- New or Amendment.
- FTA program type.
- FTA Grant Reps.
- Recipient Grant Mgr.
- Start/End Dates  
(consistent w/earliest  
& latest Milestones).
- Latest pertinent STIP  
/ STIP Amendment  
FTA approval date.
- STIP table page#(s).
- Project Description.

Project Information

General
Control Totals
UZA/Cong Dist
Earmarks
Security

<b>Recipient:</b>	1177 ILLINOIS DOT	
	STATE OF ILLINOIS DEPARTMENT OF TRANSPORTATION	
<b>Project:</b>	Operating Assistance for SFY 06	
<b>Project Type:</b>	Grant Award	<b>Rec by State:</b> <input type="text"/>
<b>New/Amendment:</b>	New	<b>EO 12372 Review:</b> <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A
<b>Amend Reason:</b>	Initial Application	<b>Contract No:</b> <input type="text"/>
<b>Recip. Type:</b>	State Agency	<b>Rev Date:</b> <input type="text"/>
<b>Sec of Statute:</b>	<input type="text"/>	
<b>Fed Dom Asst#:</b>	20.509 - Formula Grants for Other Than Urbanized Are	
<b>FTA Proj Mgr:</b>	<input type="text"/>	
<b>Recip Contact:</b>	<input type="text"/>	
<b>State Appl ID:</b>	<input type="text"/>	
<b>Est Start/End:</b>	<input type="text"/> - <input type="text"/>	
	<b>Planning Grant:</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No
	<b>Program Date:</b>	<input type="text" value="7/1/2005"/>
	<b>Program Page:</b>	<input type="text"/>
	<b>Application Type:</b>	<input type="radio"/> Paper <input checked="" type="radio"/> Elect
	<b>Supplemental Agreement:</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Project Description</b>		
<input style="width: 100%; height: 100%;" type="text"/>		

BIRTH OF A GRANT



# Project Description – Details

---

- Concise general summary of what is occurring
- Enter in Project Description / Details box of Part 2: Project Information section
  - Agency name & location
  - Section of funding
  - Year of funds
  - Total amount of Federal funds & source of local match
  - Dates of project

Example: *“This grant to Steele Valley Regional Transit Authority (SVRTA) in Steubenville, Ohio is for Section 5307 FY2010 funds in the amount of \$2,968,200 for capital, planning and operating expenses for the period May 2010 through June 2011. Local funds come from a dedicated local tax.”*

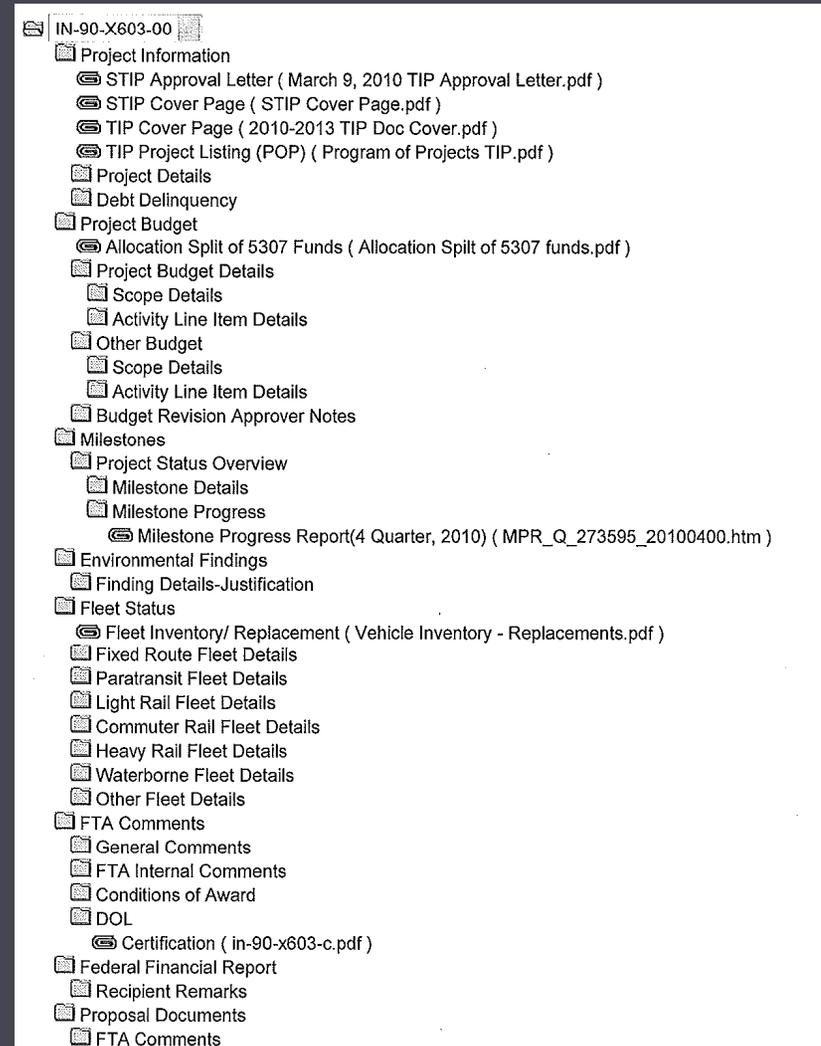
- Other information to include if applicable:
  - Toll Revenue Credit amount/Reference to attached ODOT approval letter
  - Construction: *“FTA Region V approved the project as a categorical exclusion pursuant to correspondence dated June 24, 2008. The Ohio Historic Preservation Office concurred with a finding of no significant impact to archaeological and cultural resources pursuant to correspondence dated November 20, 2007. These documents are attached in TEAM.”*
- Amendments:
  - Retain original description and label as ORIGINAL GRANT
  - Insert new description at top and label as AMENDMENT ONE

**BIRTH OF A GRANT**



# Attachments in TEAM – Paper Clip

- STIP Page w/Project Listing
- STIP Amendment
- STIP/STIP Amendment Approval
- Allocation Split Letter
- Program of Projects (POP)
- DOL Certification (by DOL)
- Environmental Documents
- Other Documentation
- \* Ensure documents are really attached  
– No characters (#, %, &) in file name



BIRTH OF A GRANT



# Control Totals

- Project totals is the sum of original and all amendments.
- Total Eligible cost is total of all funds.
- Total FTA funds, usually 80% of total eligible.
- State/local funds.
- Pre-Award Authority must be Yes if spending funds prior to award.

**Project Information**

General

**Control Totals**

UZA/Cong Dist

Earmarks

Security

<b>Recipient:</b>	1234	WRTA	
	WESTERN RESERVE TRANSIT AUTHORITY		
<b>Project:</b>	OH-90-X683	Capital/Planning	

	Amendment	Project	
Gross Project Cost:			Special Condition: <span style="border: 1px solid gray; padding: 2px;">None</span>
Adjustment Amt:			Spec Cond Tgt Date: <span style="border: 1px solid gray; padding: 2px;"> </span>
Total Eligible Cost:			Spec Cond Eff Date: <span style="border: 1px solid gray; padding: 2px;"> </span>
Total FTA Amount:			Est Oblig Date: <span style="border: 1px solid gray; padding: 2px;"> </span>
Total State Amount:			Pre-Award Authority: <input type="radio"/> Yes <input checked="" type="radio"/> No
Total Local Amount:			Fed Debt Delinquent: <input type="radio"/> Yes <input checked="" type="radio"/> No
Other Federal Amt:			Final Budget: <input type="radio"/> Yes <input checked="" type="radio"/> No
Special Cond Amount:			

BIRTH OF A GRANT



# Pre-Award Authority

---

- “...permits a grantee to incur costs on an eligible transit capital, operating, planning or administrative project without prejudice to possible future Federal participation in the cost of the project.”
- Grantee invokes
- Expires when funds lapse
- Must meet all Federal requirements
  - Capital Project Implementation – Written FTA Concurrence for Documented Categorical Exclusion (DCE):
    - Property Acquisition
    - Demolition
    - Construction

BIRTH OF A GRANT



# UZA/Congressional District

- FTA Grant Rep checks this information as it populates automatically
- UZA Code
- Congressional District(s) and Officials

**Project Information**

DELETED [Icons: User, Paperclip, No, Save, Cancel, OK]

General | Control Totals | **UZA/Cong Dist** | Earmarks | Security

Recipient: 5702 STEEL VALLEY  
STEEL VALLEY REGIONAL TRANSIT AUTH

Project: OH-90-X720-00 FY2010, FY2011 Operating, Planning.

Urbanized Areas		Congressional Districts		
UZA ID	UZA Name	State ID	Dist Code	District Official
390000	OHIO	39	18	Zachary T Space
392030	STEUBENVILLE-WEIR, OH-PA-WV			

BIRTH OF A GRANT



# Earmarks

- Concise summary.
- Detailed purpose and need, description, and derived benefits of projects in grant.
- City and State.
- Enter Congressional Rep. only if involved.
- Click on magnifying glass, select Earmark(s), and enter amount to be applied from Earmark.

**Project Information** DELETE HELP PRINT NO SAVE CANCEL OK

General    Control Totals    UZA/Cong Dist    **Earmarks**    Security

Recipient:

Project:

Talking Points Overview:

Talking Points:

Place of Performance:

Congressional Interest Expressed by:

Earmark Details:     Number of Earmarks:     Total Amount Applied:

Earmark ID	Earmark Name	Orig. Balance	Unreserved	Amount Applied

Send through Release Process

BIRTH OF A GRANT



# Security

- Select yes if 1%+ for security.
- If no, select pertinent box & provide explanation.
- Security equipment not pre-installed in buses should have a separate AI in budget.
- Security equipment should also be entry in Budget, Other section under a 991-00 Security Expenditures scope (“Non-add scope”).

**Project Information** [DELETE] [EDIT] [PRINT] [REVIEW] [CANCEL] [OK]

General	Control Totals	UZA/Cong Dist	Earmarks	Security
Recipient:	728	TO BE SELECTED		
	THIS VENDOR TO BE SELECTED BY COMPETITIVE BID			
Project:	1234 TEST	Test		

Please select Yes or No below.

Yes – We will expend 1% or more of the 5307 funds in this grant application for security purposes.  
Please list security-related projects in the project budget and summarize them in the non-add scope code 991.  
NOTE: Non-add scopes do not apply to ARRA grants.

No – We will not expend at least 1% of the 5307 funds in this grant application for security purposes.

1. No Deficiency found from threat/vulnerability assessment.

2. FTA/TSA Security Action Items met.

3. Other, please describe below.

Explanation is mandatory. Please use textbox below.

If 1 or 2 is not selected, select Other and provide explanation below.

BIRTH OF A GRANT



# Creating a New Grant – Budget

Fields to  
be  
completed

- Main Menu - (Home)
- ▣ Recipients
- ▣ Applications
  - ▣ Create New Project
  - ▣ Copy Project
  - ▣ Assign Project Number
  - ▣ Application Reviewer
  - ▣ Submit Application
  - ▣ Create Amendment
  - ▣ View/Print
  - ▣ Modify Application
    - ▣ Project Information
    - ▣ **Budget**
    - ▣ Milestones
    - ▣ Environmental Findings
    - ▣ Fleet Status
    - ▣ FTA Comments
- ▣ Review and Approval
- ▣ Execution
- ▣ Project Management
- ▣ Program Operations
- ▣ Funds Control
- ▣ Civil Rights
- ▣ Data Query
- ▣ TEAM Administration
  - ▣ Exit

## Project Query Results

Project Number	Description	Rev.
VA-90-X211	Hybrid Electric Bus Project	0

## Project Details

<b>Project Number:</b>	VA-90-X211	FY2001	<b>Cost Center:</b>	783-00	
<b>Application Type:</b>	Electronic			<b>Submitted:</b>	
<b>Entered:</b>	8/27/2001			<b>Awarded:</b>	
<b>Recip. Contact:</b>	Audrey Bredehoft			<b>Executed:</b>	
<b>FTA Manager:</b>	Sheila Byrne			<b>FTA Amount:</b>	564,000
<b>Status:</b>	Pending Submission/App. in Development			<b>Total Elig. Cost:</b>	705,000
<b>Description:</b>	Hybrid Electric Bus Project				
<b>Recipient:</b>	2049	NORTHERN VIRGINIA TRANSPORTATION COMMISSION			

BIRTH OF A GRANT



# Budget

- Scope is the general project activity.
- Activity Line Item (ALI) is the specific project under the Scope.
- Select add project ALI.
- Ensure 1st 3 digits of ALI match the Scope digits.
- Provide detailed description/justification of the project, i.e. purpose & need, derived public benefits, specific costs to be covered, & STIP line item.
- Use Circulars for eligible project language.

**BUDGET( OH-90-X720-00 )**

ADD DELETE [Icons]

**PROJECT CONTROL TOTALS:** 0 \$540,110.00 \$960,576.00  
**DIFFERENCE:** 0 \$0.00 \$0.00

Activity	Activity Line Item Description	Qty	FTA Amount	Total Elig. Cost
117A00	PREVENTIVE MAINTENANCE	0	\$93,660.00	\$117,076.00
11700	OTHER CAPITAL ITEMS (BUS)	0	\$93,660.00	\$117,076.00

Scope/ALI: 117A00

Std. Desc: PREVENTIVE MAINTENANCE

User Desc: PREVENTIVE MAINTENANCE

Fuel: [Dropdown]

**Details:**  
 Estimated preventive maintenance costs budgeted for equipment and facilities is \$304,900.00 less \$187,824.00 provided

BIRTH OF A GRANT



# Budget – Other – Security

- Entries duplicate what is already in main budget section or included as part of ALL.
- Select Other and then add project ALL.
- Enter Non-Add Scope 991 for Security.
- Enter the specific security ALL/project under the 991 Scope.

PROJECT CONTROL TOTALS:	20	\$1,702,636.00	\$1,702,636.00
DIFFERENCE:	0	\$0.00	\$0.00

Acti	Activity Line Item Description	Qt	FTA Amount	Total Elig. Cos
114209	ACQUIRE - MOBILE SURV/SECURITY EQUIP	0	\$26,085.00	\$26,085.00

99100	SECURITY EXPENDITURES	0	\$26,085.00	\$26,085.00
-------	-----------------------	---	-------------	-------------

<b>Scope/ALI:</b>	114209	<b>Details:</b>
<b>Std. Desc:</b>	ACQUIRE - MOBILE SURV/SECURITY EQUIP	The purchase of the buses includes preinstalled cameras for security purposes.
<b>User Desc:</b>	ACQUIRE - MOBILE SURV/SECURITY EQUIP	
<b>Fuel:</b>		

BIRTH OF A GRANT



# Creating a New Grant – Milestones

Fields to  
be  
completed

- Main Menu - (Home)
- ▣ Recipients
- ▣ Applications
  - ▣ Create New Project
  - ▣ Copy Project
  - ▣ Assign Project Number
  - ▣ Application Reviewer
  - ▣ Submit Application
  - ▣ Create Amendment
  - ▣ View/Print
  - ▣ Modify Application
    - ▣ Project Information
    - ▣ Budget
    - ▣ Milestones
    - ▣ Environmental Findings
    - ▣ Fleet Status
    - ▣ FTA Comments
- ▣ Review and Approval
- ▣ Execution
- ▣ Project Management
- ▣ Program Operations
- ▣ Funds Control
- ▣ Civil Rights
- ▣ Data Query
- ▣ TEAM Administration
  - ▣ Exit

## Project Query Results

Project Number	Description	Rev.
VA-90-X211	Hybrid Electric Bus Project	0

## Project Details

<b>Project Number:</b>	VA-90-X211	FY2001	<b>Cost Center:</b>	783-00	
<b>Application Type:</b>	Electronic			<b>Submitted:</b>	
<b>Entered:</b>	8/27/2001			<b>Awarded:</b>	
<b>Recip. Contact:</b>	Audrey Bredehoft			<b>Executed:</b>	
<b>FTA Manager:</b>	Sheila Byrne			<b>FTA Amount:</b>	564,000
<b>Status:</b>	Pending Submission/App. in Development			<b>Total Elig. Cost:</b>	705,000
<b>Description:</b>	Hybrid Electric Bus Project				
<b>Recipient:</b>	2049	NORTHERN VIRGINIA TRANSPORTATION COMMISSION			

BIRTH OF A GRANT



# Milestones

- Description for operating assistance:  
1. Begin; 2. End.
- Enter completion dates.
- ALI Key field is a dropdown with all ALI's listed that were entered in Budget section.
- Click Add Milestone.

Add Milestone	
Milestone Description	<input type="text"/>
Estimated Completion Date	<input type="text"/>
ALI Key	Project Budget

BIRTH OF A GRANT



# Milestones

- Every ALI in the main budget must have a milestone.
- There must be 2 line item entries for each milestone.
- Click add button for new milestone.
- Typical entries for acquisition of vehicles.
- Are dates realistic?

Scope-ALI	Seq No	Milestone Description	Estimated Comp. Date
11100-111204	1	RFP/IFB OUT FOR BID	1/5/2005
	2	CONTRACT AWARDED	1/22/2010
	3	FIRST VEHICLE DELIVERED	6/30/2010
	4	ALL VEHICLES DELIVERED	7/30/2010
	5	CONTRACT COMPLETE	8/31/2010

BIRTH OF A GRANT



# Creating a New Grant – Environmental Findings

Fields to  
be  
completed

- Main Menu - (Home)
- ▣ Recipients
- ▣ Applications
  - ▣ Create New Project
  - ▣ Copy Project
  - ▣ Assign Project Number
  - ▣ Application Reviewer
  - ▣ Submit Application
  - ▣ Create Amendment
  - ▣ View/Print
  - ▣ Modify Application
    - ▣ Project Information
    - ▣ Budget
    - ▣ Milestones
    - ▣ Environmental Findings
    - ▣ Fleet Status
    - ▣ FTA Comments
- ▣ Review and Approval
- ▣ Execution
- ▣ Project Management
- ▣ Program Operations
- ▣ Funds Control
- ▣ Civil Rights
- ▣ Data Query
- ▣ TEAM Administration
  - ▣ Exit

## Project Query Results

Project Number	Description	Rev.
VA-90-X211	Hybrid Electric Bus Project	0

## Project Details

<b>Project Number:</b>	VA-90-X211	FY2001	<b>Cost Center:</b>	783-00
<b>Application Type:</b>	Electronic		<b>Submitted:</b>	
<b>Entered:</b>	8/27/2001		<b>Awarded:</b>	
<b>Recip. Contact:</b>	Audrey Bredehoft		<b>Executed:</b>	
<b>FTA Manager:</b>	Sheila Byrne		<b>FTA Amount:</b>	564,000
<b>Status:</b>	Pending Submission/App. in Development		<b>Total Elig. Cost:</b>	705,000
<b>Description:</b>	Hybrid Electric Bus Project			
<b>Recipient:</b>	2049	NORTHERN VIRGINIA TRANSPORTATION COMMISSION		

BIRTH OF A GRANT



# Environmental Findings

- Every ALI in the main Budget must have an Environmental Finding.
- Ensures any project impacts on the environment are resolved.
- Select ALI and then click Add for EF entry.

OH-90-X685-00

Activity Line Item	# EFs
PRJBUD	0
11100	0
▶ 111204	1
OTHER	0
99100	0
▶ 114209	0

Line Item: PRJBUD Project Budget

FTA Amount: \$1,702,636.00 Total Eligible Cost: \$1,702,636.00 Quantity: 20

Env. Findings Table

#	Classification
---	----------------

BIRTH OF A GRANT



# Environmental Findings

- Class I screen pops up but this is only used for projects with an EIS. This is a drop-down menu.
- For projects with automatic CE select Class II(c).
- Click pertinent box to check CE type.
- Repeat for each ALI.
- Click OK.
- Finding Details.

OH-90-X677-01

Activity Line Item	# EFs
PRJBUD	0
11300	0
113302	0
11400	0
114207	0
114208	0
114409	1
11600	0
116202	0
11700	0
117A00	1
117C00	0
117691	0
117900	0
11900	0
119208	0
119209	0
44200	0
442200	0
OTHER	0

Line Item: 114409 REHAB/RENOVATE - MOBILE SURVEILL/SECURITY EQUIP

FTA Amount: \$38,847.00 Total Eligible Cost: \$48,558.00 Quantity: 0

Env. Findings Table

#	Classification
1	Class II(c)

Environmental Finding #1 for ALI 114409 (Class II(c))

Select Categorical Exclusion Type

BIRTH OF A GRANT



## 23 CFR 771.117 – Class II(c) Options

---

Type 01: Engineering/Design/Planning/Tech. Studies

Type 02: Approval of utility installations

Type 03: Bicycle, pedestrian construction project

Type 04: State highway safety plans

Type 05: Transfer of Federal lands

Type 06: Installation of noise barriers

Type 07: Landscaping

Type 08: Install Shelters, fencing & Amenities

Type 09: Emergency repairs under 23 USC 12

Type 10: Acquisition of scenic easements

Type 11: Determination of payback

Type 12: Rest areas & weigh stations improvements

Type 13: Ridesharing activities

Type 14: Bus & rail car rehabilitation

Type 15: Alteration for elderly & persons w/disabilities

Type 16: Program Admin. & Operating Assistance.

Type 17: Purchase of vehicles

Type 18: Track & railbed maintenance/improvements

Type 19: Install/Purchase maintenance equipment

Type 20: Promulgation of rules and regulations

Type 21: Deployment of electronics, photonics, communications, or information processing used singly or in combination, or as components of a fully integrated system, to improve the efficiency or safety of a surface transportation system or to enhance security or passenger convenience. Examples include, but are not limited to, traffic control and detector devices, lane management systems, electronic payment equipment, automatic vehicle locaters, automated passenger counters, computer-aided dispatching systems, radio communications systems, dynamic message signs, and security equipment including surveillance and detection cameras on roadways and in transit facilities and on buses.

**BIRTH OF A GRANT**



## 23 CFR 771.117 – Class II(d) Options

---

Type 02: Highway safety or traffic improvements

Type 03: Bridge rehabilitation

Type 04: Transportation parking facilities

Type 05: Construction of new weigh stations

Type 06: Approvals for disposal of right-of-way

Type 07: Approvals for changes in access control

Type 08: Construction of new bus storage

Type 09: Reconstruction of rail & bus buildings

Type 10: Construction of bus transfer facilities

Type 11: Construction of rail storage

Type 12: Land acquisition for hardship or protective purposes

- Can't limit evaluation of alternatives.
- NEPA still needs to be completed to develop property.
- Hardship: Land owner must show inability to sell and nexus to health, safety, financial issue.
- Protective: Prevent imminent development for a non-transit use.

Type 13: Acquisition of pre-existing railroad right-of-way

Written FTA Approval is needed  
for all (d) Environmental Findings

BIRTH OF A GRANT



# Creating a New Grant – Fleet Status

Fields to  
be  
completed

- Main Menu - (Home)
- ▣ Recipients
- ▣ Applications
  - ▣ Create New Project
  - ▣ Copy Project
  - ▣ Assign Project Number
  - ▣ Application Reviewer
  - ▣ Submit Application
  - ▣ Create Amendment
  - ▣ View/Print
  - ▣ Modify Application
    - ▣ Project Information
    - ▣ Budget
    - ▣ Milestones
    - ▣ Environmental Findings
    - ▣ **Fleet Status**
    - ▣ FTA Comments
- ▣ Review and Approval
- ▣ Execution
- ▣ Project Management
- ▣ Program Operations
- ▣ Funds Control
- ▣ Civil Rights
- ▣ Data Query
- ▣ TEAM Administration
  - ▣ Exit

## Project Query Results

Project Number	Description	Rev.
VA-90-X211	Hybrid Electric Bus Project	0

## Project Details

<b>Project Number:</b>	VA-90-X211	FY2001	<b>Cost Center:</b>	783-00	
<b>Application Type:</b>	Electronic			<b>Submitted:</b>	
<b>Entered:</b>	8/27/2001			<b>Awarded:</b>	
<b>Recip. Contact:</b>	Audrey Bredehoft			<b>Executed:</b>	
<b>FTA Manager:</b>	Sheila Byrne			<b>FTA Amount:</b>	564,000
<b>Status:</b>	Pending Submission/App. in Development			<b>Total Elig. Cost:</b>	705,000
<b>Description:</b>	Hybrid Electric Bus Project				
<b>Recipient:</b>	2049	NORTHERN VIRGINIA TRANSPORTATION COMMISSION			

BIRTH OF A GRANT



# Fleet Status

- Required for all Revenue Vehicle purchases.
- Example: Purchasing 4 replacement buses:
  - Active Fleet entries unchanged
  - Inactive Fleet – Enter 4 in Change column/Pending Disposal row to show vehicles being replaced
  - Spare ratio must be at/below 20% if 50+ vehicles

**Fleet Status**

Fleet Status | Fleet Details

Fleet Type:	I. Active Fleet	Before	Change	After
<input checked="" type="radio"/> Fixed Route	A. Peak Requirement	10	0	10
<input type="radio"/> Paratransit	B. Spares	2	0	2
<input type="radio"/> Light Rail	C. Total (A+B)	12	0	12
<input type="radio"/> Commuter Rail	D. Spare Ratio (B/A)	20.0%	0%	20.0%
<input type="radio"/> Heavy Rail	<b>II. Inactive Fleet</b>			
<input type="radio"/> Waterbome	A. Contingency	0	0	0
<input type="radio"/> Other	B. Pending Disposal	0	4	4
	C. Total (A+B)	0	4	4
	<b>III. Total (I.C and II.C)</b>	12	4	16

BIRTH OF A GRANT



# FTA Review and Concurrence

---

- Planning & Program Development Grant Representative
- Program Management & Oversight Representative
- Planning Director
- Civil Rights Officer
- Paralegal
- Regional Counsel
- Funds Reservation Staff
- Regional Administrator

BIRTH OF A GRANT



# Grant Award and Execution

---

- Regional Administrator Awards Grant
- Grantee Official Executes Grant

BIRTH OF A GRANT



# Reporting Guidance

---

- FTA Grant reports
  - Submit Quarterly or Annually in TEAM
  - Based on Federal Fiscal Year
- Milestone Progress Report – MPR
- Federal Financial Report – FFR

BIRTH OF A GRANT



# Objectives of the MPR

---

- Narrative description of project
  - Status
  - Any problems encountered in implementation
- Actual Completion
  - Original Estimated Completion/Revised Estimated Completion
  - Budget changes
  - Schedule changes

# Completing the MPR in TEAM

TEAM-Web ( PRODUCTION Database )

- Main Menu - (Home)
- Recipients
- Applications
- Review and Approval
- Execution
- Project Management
  - Federal Financial Report
  - Milestones/Progress**
  - Revise Project Budget
  - Project Funds/Status
  - FPC Transfer
  - New CloseOut Process
  - Project Info
- Funds Control
- Funding Adjustments
- TEAM Administration
- Dynamic Query
- Charter Registration
- Static Reports
- TEAM Documentation
- ARRA Reporting: 1201
  - Help Desk Information
- Exit

TEAM-Web ( PRODUCTION Database ) MN-86-X005-00 - Windows Internet Explorer

### Milestones Status Report

Summary | Milestone Status

Work In Progress  Submit Report

**Recipient:** 2039 MINNESOTA DOT Office of Transit

**Project:** [REDACTED]

**Amendment:** [REDACTED]

**Period:** FY2011, 1st Quarter **Paper Award?**  Yes  No **Pre-Award Authority?**  Yes  No

Quarterly  Monthly  Other **Initial Submission:** [REDACTED]

**Final Report?** No, Not Final Report **Last Update:** [REDACTED]

**Report Status:** No MS/P Report; FFR Submitted

**Project Status:** Active Amendment

#### Project Status Overview

Three Rivers contract #96203 encumbered 3/29/10. Subaward fully executed April 1, 2010. A bid for architectural services was let on 5-28-10. Proposals were opened and reviewed on 6-25-10. Three Rivers Transit is submitting paperwork to Mn/DOT Office of Civil Rights for contract clearance. Contract was awarded 10/06/10.

Done Trusted sites 100%

BIRTH OF A GRANT



## Completing the MPR: Summary Tab

---

- Please select the proper reporting period – drop down button.
- Click the Other radio button.
- Include brief description in the Project Status Overview text box. Include the date/initials of who entered the information.
- When all the information has been completed in the Summary and Milestone Status tabs – select the ‘Submit Report’ button on the upper right corner.

BIRTH OF A GRANT



# MPR: Milestone Status Tab

TEAM-Web ( PRODUCTION Database ) MN-86-X004-00 - Windows Internet Explorer

**Milestones Status Report**

Summary | Milestone Status

Scope-ALI	Seq No	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date
11700-117691	1	Contract Award	9/1/2009	1/15/2010	1	1/15/2010
	2	Contract Complete	12/1/2009	1/30/2010	1	1/15/2010
11400-114302	1	RFP/IFB Issued	7/1/2009	4/30/2010	2	5/23/2010
	2	Contract Award	12/1/2009	7/23/2010	3	7/9/2010
	3	Contract Complete	12/31/2010		0	
11400-114401	1	RFP/IFB Issued	7/1/2009	4/30/2010	2	5/23/2010
	2	Contract Award	12/1/2009	7/23/2010	3	7/9/2010
	3	Contract Complete	12/31/2009	12/31/2010	2	
61000-118000	1	Contract Complete	12/31/2010		0	

**Line Item:** 114302 construct - maintenance facility

**FTA Amount:** \$ [ ] **Total Eligible Cost:** \$ [ ] **Quantity:** 0

**3rd Party Contractor Code:** [ ]

**Milestone Detail Description:** Issue Contract for Construction of Maintenance Facility

**Milestone Progress:** 4th Qtr. 2009 Status Report: No Activity to Report. Project delayed due to NEPA

javascript:SelectRow(1,190910,229677,1,4) Trusted sites 100%

BIRTH OF A GRANT



# Completing the MPR: Milestone Status Tab

---

- Please make sure the report is complete – meaning that if the Original Estimated Completion Date fell within the year, report it in either the Revised Estimated Completion Date or the Actual Completion Date box.
- If it is a Revised Estimate Completion Date, there must be a note of explanation justifying the revision in the Milestone Progress text box. Include the date/initials of who entered the information.

BIRTH OF A GRANT



# Objectives of the FFR

---

- Primary source of financial information
  - Report actual financial situation of the grants
- Key indicators of potential problems
  - Excessive unobligated balances
  - Obligated more than 5 years ago and/or have not had a disbursement within the past 18 months

BIRTH OF A GRANT



# Completing the FFR in TEAM

TEAM-Web ( PRODUCTION Database ) MN-86-X005-00 - Windows Internet Explorer

## Federal Financial Report

Summary | Financial Status | Remarks and Certification

Work In Progress  Submit Report

**Recipient:** 2039 MINNESOTA DOT Office of Transit

**Project:** [REDACTED]

**Amendment:** Three Rivers Transit Facility

**DUNS Number:** 957271604 **EIN Number:** [REDACTED]

**Report Type:**  
 Quarterly  Monthly  Annual  Other

**Period:** 2011,1st Quarter **Indirect Expense:**

**Final Report?** No, Not Final Report **Type:** Predetermined

**Paper Award?**  Yes  No **Rate:** 13.03%

**Initial Submission:** 1/11/2011 **Base:** \$0.00

**Last Update:** 1/11/2011 **Period From:** [REDACTED]

**Pre-Award Authority?**  Yes  No **Period To:** [REDACTED]

**Amount Charged:** \$0.00

**Federal Share:** \$0.00

**Report Status:** No MS/P Report, FFR Submitted

**Project Status:** Active

TEAM-Web ( PRODUCTION Database )

- Main Menu - (Home)
- Recipients
- Applications
- Review and Approval
- Execution
- Project Management
  - Federal Financial Report**
  - Milestones/Progress
  - Revise Project Budget
  - Project Funds/Status
  - FPC Transfer
  - New CloseOut Process
  - Project Info
- Funds Control
- Funding Adjustments
- TEAM Administration
- Dynamic Query
- Charter Registration
- Static Reports
- TEAM Documentation
- ARRA Reporting: 1201
  - Help Desk Information
- Exit

BIRTH OF A GRANT



# Completing the FFR: Financial Status Tab

ION Database ) - Windows Internet Explorer  
 TEAM-Web ( PRODUCTION Database ) MN-86-X005-00 - Windows Internet Explorer

**Federal Financial Report**

Summary | **Financial Status** | Remarks and Certification

Line: Transactions:	Previous	This Period	Cumulative
A. Federal Cash on Hand at Beginning of Period:			\$0.00
B. Federal Cash Receipts :			\$0.00
C. Federal Cash Disbursements:			\$0.00
D. Federal Cash on Hand at End of Period:			\$0.00
E. Total Federal Funds Authorized:			
F. Federal Share of Expenditures:			
G. Recipient Share of Expenditures:			
H. Total Expenditures:(F+G)			
I. Federal Share of Unliquidated Obligations:			
J. Recipient Share of Unliquidated Obligations:			
K. Total Unliquidated Obligations(I+J):			
L. Total Federal Share (F+I):			
M. Unobligated Balance of Federal Funds(E-L):			
N. Total Recipient Share Required:			
O. Remaining Recipient Share to be provided N-(G+J):			
P. Federal Program Income on Hand at Beginning of Period:			\$0.00
Q. Total Federal Program income earned:			\$0.00
R. Federal Program income expended in accordance with the deduction alternative:			\$0.00
S. Federal Program income expended in accordance with the addition alternative:			\$0.00
T. Federal Program income expended on allowable Transit Capital and Operating expenses:			\$0.00
U. Federal Unexpended Program income (P+Q- R or S or T):			\$0.00

- Some lines are automatically populated by TEAM
- See instructions

BIRTH OF A GRANT



# Completing the FFR: Remarks & Certification Tab

TEAM-Web ( PRODUCTION Database ) MN-86-X005-00 - Windows Internet Explorer

## Federal Financial Report

Summary | Financial Status | Remarks and Certification

### Recipient Remarks

Unobligated balance: administrative costs FP 06.

When this report is submitted to FTA, the submitter and the individuals providing the information submitted to FTA, if any, certify that it is true, complete, and accurate to the best of their knowledge. They are aware that any false, fictitious, or fraudulent information may subject them to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001).

Name:  Date: 1/11/2011

### FTA Remarks

I reviewed the report and any associated review comments are documented in the FTA remarks field.

Name:  Date:

- Include appropriate remarks and certify that information submitted is correct
- See instructions

BIRTH OF A GRANT



# FFR Step-by-Step Instruction

---

- Word attachment in TEAM Main Page under:  
**06/04/2010: Federal Financial Report(FFR)**  
**Webinars Notice.**

## Federal Transit Administration The Federal Financial Report (FFR) – TEAM Instructions Form

- Step-by-step instructions for completing the three tabs of FFR

BIRTH OF A GRANT



# Legislation, Regulations & Guidance

Federal Transit Administration - Legislation, Regulations & Guidance - Windows Internet Explorer

http://www.fta.dot.gov/leg\_reg.html

File Edit View Favorites Tools Help

Federal Transit Administration - Legislation, Reguatio...

FTA United States Department of Transportation Federal Transit Administration

Follow us on Twitter!

Enter Search Terms...

Site Map | Ethics | Web Accessibility | FAQs | United We Ride | Contact Us

Advanced Search | Help

About FTA

News & Events

Planning & Environment

Grants & Financing

Legislation, Regulations & Guidance

- ↳ SAFETEA-LU Implementation
- ↳ Legislation
- ↳ Regulations
- ↳ FTA Circulars
- ↳ Other Significant Guidance
- ↳ Federal Register
- ↳ Federal Docket Management System (FDMS)

Research, Technical Assistance & Training

Civil Rights & Accessibility

You are here: Legislation, Regulations & Guidance

## Legislation, Regulations & Guidance

This virtual legal library provides easy access to the laws and rules that govern FTA programs.

The [SAFETEA-LU link](#) takes you to the reauthorization page, which contains the text of the bill, explanatory material, and information on implementation.

Under Appropriating Legislation, you can get the latest information on the budget and status of appropriations, and link to the congressional committees of jurisdiction over transportation. You will also find information on the Freedom of Information Act (FOIA) and instructions on how to [submit a FOIA request](#).

From this page, you can also access [regulations](#), [circulars](#), [significant guidance](#) and information on how to submit comments, a date-ordered table of [federal register notices](#), and a link to the [Federal Docket Management System \(FDMS\)](#), also know as [Regulations.gov](#), the Federal government's multi-agency online docket management system. Visitors to this site can view docket submissions or submit electronic comments.

ASK Questions

Suggest Automated Email Updates

Report Problems

SHARE

What is this?

Several Park City Transit buses moving through the Transit Center. Learn more about: <http://www.parkcity.org/citydepartments>

BIRTH OF A GRANT



# Program Guidance – FTA Circulars

---

- 9030.1D Section 5307: Urbanized Area Formula Program
- 9040.1F Section 5311: Non Urbanized Area Formula Program
- 9030.1B Section 5309: Capital Investment Program
  - Bus Program; Fixed Guideway Modernization and New Starts / Small Starts
- 9045.1 Section 5317: New Freedom Program
- 9050.1 Section 5316: Job Access and Reverse Commute (JARC)
- 5010.1D: Grants Management Guidelines
- 4220.1F: Third Party Contracting

[http://www.fta.dot.gov/laws/leg\\_reg\\_circulars\\_guidance.html](http://www.fta.dot.gov/laws/leg_reg_circulars_guidance.html)

**BIRTH OF A GRANT**



# Other Resources: TEAM User Guide

The screenshot shows the TEAM-Web (PRODUCTION Database) website. On the left is a navigation menu with options like 'Main Menu - (Home)', 'Recipients', 'Applications', 'Modify Application', 'Review and Approval', and 'Execution'. The main content area lists several resources: 'Clean Fuels Grant Program Reporting', 'New FSR Report Requirements', '2000 Census Information', 'System Maintenance Notice Archive', 'Release Notice Archive', and 'General Information Archive'. Below this is a 'Shortcut to - Dynamic Query by State' with a map icon. A list of resources follows, each with a circular icon: 'TEAM-Web News - Current TEAM-Web News', 'User's Guide - The TEAM-Web User's Guide provides detailed information on how to access and use the Federal Transit Administration's online TEAM-Web system', 'TEAM-Web Distance Training', 'Regional Contacts - Names and phone numbers of all regional TEAM contacts.', 'Best Practices', 'Activity Line Item Tree - Contains a list of all the active scopes and activity line items (ALI Change Log)', and 'TEAM Legal Documents'. An inset window shows the 'TEAM-Web User Guide Compilation' page, version 2.2, dated 02/11/2011, with links for 'Compiled / Full Version' (PDF and Zipped) and 'Modular Version' (Table of Contents and chapters 1-5).

- Access by scrolling down the Main Menu (Home) in TEAM
- Click User Guide
- Step-by-Step Manual

BIRTH OF A GRANT



## FTA Alerts

---

- Grantees should sign-up for automatic e-mail updates from FTA at [http://fta.dot.gov/news/news\\_events\\_7783.html](http://fta.dot.gov/news/news_events_7783.html)
- Notice of Funding Availability (NOFA) are transmitted through FTA's email notification alerts
- Dear Colleague Letters
- Other updates as user requests

BIRTH OF A GRANT



## Region V Contact Information

---

### Office of Planning & Program Development

Vanessa Adams, [vanessa.adams@dot.gov](mailto:vanessa.adams@dot.gov); 312.886.0309

Susan Weber, AICP [susan.weber@dot.gov](mailto:susan.weber@dot.gov); 312.353.3888

### Office of Program Management & Oversight

Nichole Neal [nichole.neal@dot.gov](mailto:nichole.neal@dot.gov); 312.353.2792

Athena Medero, PE, LEED AP [athena.medero@dot.gov](mailto:athena.medero@dot.gov);  
312.353.4038

Website: [www.fta.dot.gov](http://www.fta.dot.gov)

Location: 200 W. Adams Street, Suite 320  
Chicago, IL 60606

BIRTH OF A GRANT

