



U.S. Department of Transportation Federal Transit Administration

Grant Making 101

Tajsha LaShore, Community Planner
Marie Lopez, Transportation Program Specialist





Outline

- Requirements for a “COMPLETE” grant
- Annual/Project Specific Requirements
- Program Requirements
- Grant application Common Errors/Omissions
- Grant Application Phases
- Grant Process: Friendly Reminders
- FY 2008 Grant Making Information
- Example Grant Application



FTA Grant Programs

Section 5303 and 5304 Planning	Section 5307 Urbanized Area Formula Program	Section 5308 Clean Fuels Discretionary Program
Section 5309 New/Small Starts, Fixed Guideway, Bus and Bus Facilities	Section 5310 Elderly and Disabled	Section 5311 Non Urbanized Program
Section 5316 Job Access Reverse Commute (JARC)	Section 5317 New Freedom Formula Program	Section 5320 Transit in the Parks Discretionary Program
Section 3038 Over the Road Bus Program	Section 5339 Alternative Analysis	Other – TRI/UWR

FTA Grant Programs – Sample project numbers

- Section 5303 and 5304 – Planning – FL-80-0001
- Section 5307 – Formula – FL-90-X001
- Section 5309 – Discretionary (earmark) – FL-03-0001
FL-04-0001 (FY 06 and prior) New Starts – FL-03
Fixed Guideway – FL-05
- Section 5310 – Elderly and disabled - FL-16-X001
- Section 5311 – Non-urbanized program – FL-18-X001
- Section 5316 – JARC – FL-37-X001
- Section 5317 – New Freedom Formula – FL-57-X001



Grant Awards



GRANTS PRE-AWARD





Requirements for a "Complete" Grant

- Annual Requirements
 - Recipient Information
 - Contact, DUNS#
 - Certifications and Assurances
 - Civil Rights (EEO, DBE, Title VI)
 - Authorizing Resolution
 - Designation Letter and STIP/TIP (on file at Local office)
 - Union Information





Requirements for a "Complete" Grant

- Project Specific Requirements
 - Project Information
 - Congressional Districts
 - Project Details
 - Budget
 - Project Budget
 - Scope Codes, Activity Line Items
 - Extended Budget Descriptions
 - Non-add scope/ALI for 5307 applications
 - EARMARK page is completed in TEAM - 5309





Requirements for a "Complete" Grant

- Project Specific Requirements (cont.)
 - Milestones
 - Each ALI has the appropriate number of milestones
 - Environmental Findings
 - Each ALI has a finding
 - CE &/or Doc. CE, EA/FONSI, DEIS/FEIS/ROD
 - Fleet Status
 - Spares ratio
 - Replacement vehicle listing
 - Age, mileage, make/model and VIN of vehicles to be replaced
 - Disposition of vehicles
 - Expansion vehicle support





Requirements for a “Complete” Grant

- Program Requirements
 - Appropriated Funds
 - Statewide Transportation Improvement Plan (STIP)
 - Project in current approved STIP
 - Page Number
 - Unified Planning Work Program (UPWP)





Grant Application Common Errors / Omissions

- Civil Rights documentation incomplete/missing
- Current FY Certs & Assurs missing
- Difficult-to-understand and incomplete project descriptions
- Program Date Errors
- Not running the "Review Errors" tool function FIRST
- Budget:
 - Does not balance
 - Match miscalculated
- Start/End Dates
- Mismatch of ALI's, Milestones, and Environmental Findings
- Spare Ratios
- Vehicle Replacement Information
- Project not in the current STIP





Grant Application Phases

- **Draft Grant Application** – a grant application that has not been reviewed for completeness and does not have a grant number assigned
- **Pending Grant Application** – a grant application, which has been assigned a draft grant number which is in the process of verification of available funds and OPPD and OOPM review and approval.
- **Complete Grant Application** - a complete/accurate grant application that has verified funding available and that has an assigned final grant number.
- **Submitted Grant Application** – FTA Review Process (Civil Rights, Legal, OPPD, OOPM, DOL (5307, 5309, 5316), Headquarters (Discretionary))
- **Awarded and Executed**





Grant Process: Friendly Reminders

- Review recent FTA Federal Register Notices and updated Circulars to ensure new guidelines and procedures are being followed
- Provide allocation letters for direct recipients (5307, 5309, 5316, 5317)
- Make sure that the project is in the current approved TIP/STIP prior to notifying FTA to review the draft grant
- Ensure that all transfer funds have been completed prior to initiating a DRAFT review





Grant Process: Friendly Reminders

- Properly PLAN out your projects and grant submittals. Look for options to combine years of funding.
- Allow 2-3 weeks for DRAFT reviews to be completed by FTA
- Allow a **minimum of 45-60 days** for grants that must be approved by the Dept. of Labor
- For discretionary grants (Section 5309) please allow time for the Congressional Release process





FY 2008 Grant Making

- FY 2008 Apportionment and Allocation Notice has been published (January 28, 2008)
- Supplemental notice dealing with earmarks and project extensions identified in Reports accompanied the FY 08 Appropriations Act.
- Start preparing grants for FY06 (lapsing) funds first, then FY 07, FY 08





FY 2008 Grant Making

Region IV deadlines for complete grant applications in TEAM:

- Discretionary Grant Programs
 - June 15, 2008
- Formula Grant Programs
 - July 15, 2008





Questions?

