U.S. Department of Transportation
Federal Transit Administration

Grant Making 101

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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

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