



# U.S. Department of Transportation Federal Transit Administration

## State Programs Team FTA 101 Training

Jamie Pfister, Program Manager, *Team Leader*  
David Schilling, Community Planner, *Team Member*  
Myra Immings, Community Planner, *Team Member*





# Overview

- Region IV Office
- Partnership with State DOTs
- FTA Grant Programs and Guidance Update
- Circular Update
- Grants
  - Pre-Award
  - Post-Award
  - FY 2008 Update
- NEPA





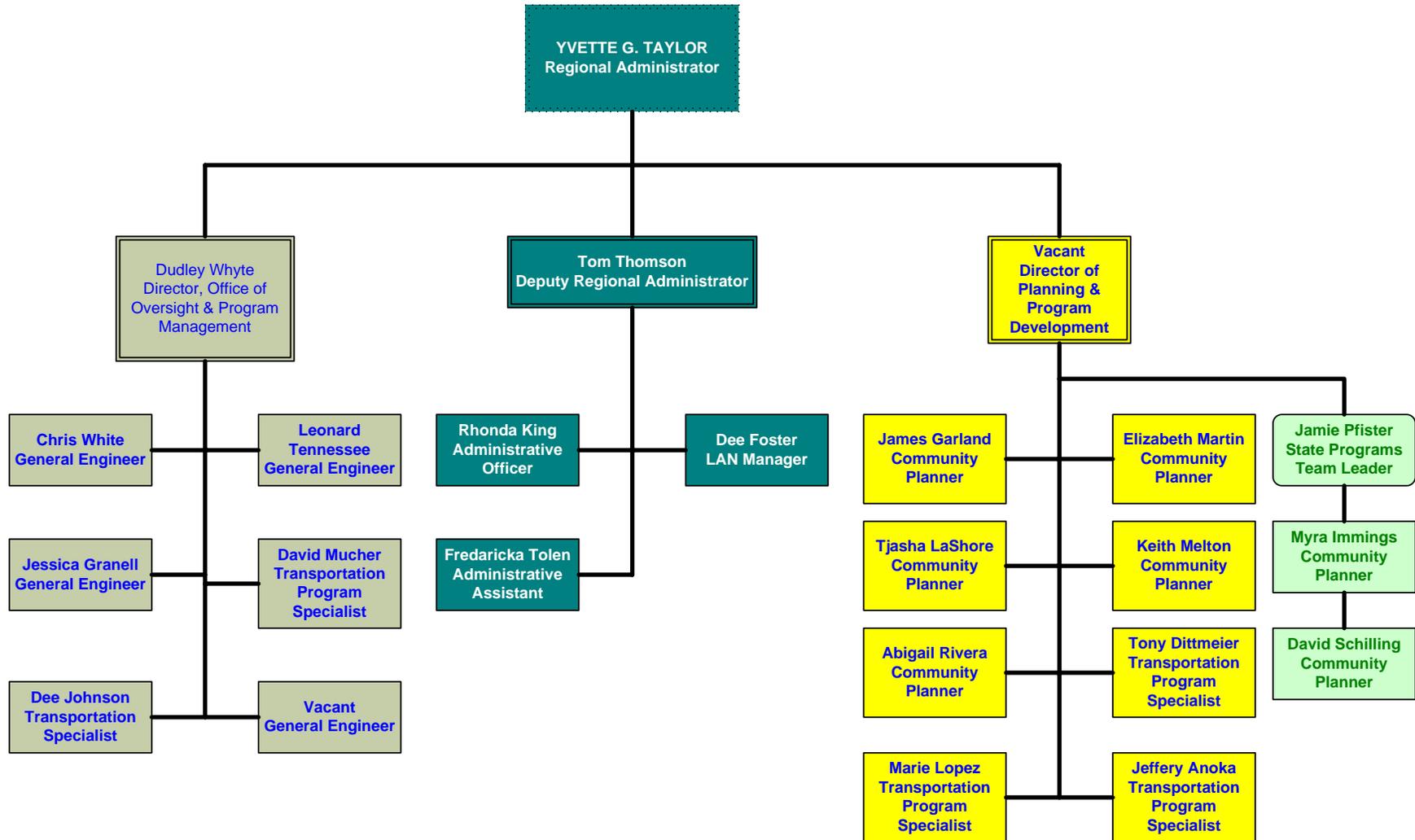
# Region IV Office

- Regional & Deputy Administrator
- Legal & Civil Rights Officer
- Community Planners & Transportation Program Specialists
- General Engineers & Transportation Program Specialists
- Pilot Program: State Programs Team
- Support Staff





# Region IV Office





# Region IV Office /Partnership with ALDOT and Alabama Grantees

## Alabama FTA Contacts:

- ALDOT
  - David Schilling, Community Planner, [david.schilling@dot.gov](mailto:david.schilling@dot.gov), 404.865.5645
- Alabama Urbanized Area Grantees
  - Pre Award - Planning, NEPA, Grant Making
    - Jeffrey Anoka, Transportation Program Specialist, [jeffrey.anoka@dot.gov](mailto:jeffrey.anoka@dot.gov), 404.865.5631
  - Post Award - Grant and Project Management, Oversight
    - David Mucher, Transportation Program Specialist [david.mucher@dot.gov](mailto:david.mucher@dot.gov), 404.865.5623





# Region IV Office /Partnership with GDOT and Georgia Grantees

## Georgia FTA Contacts:

- GDOT
  - Myra Immings, Community Planner,  
[myra.immings@dot.gov](mailto:myra.immings@dot.gov), 404.865.5608
- Georgia Urbanized Area Grantees
  - Pre Award - Planning, NEPA, Grant Making
    - Tony Dittmeier, Transportation Program Specialist,  
[tony.dittmeier@dot.gov](mailto:tony.dittmeier@dot.gov), 404.865.5612
  - Post Award - Grant and Project Management, Oversight
    - David Mucher, Transportation Program Specialist  
[david.mucher@dot.gov](mailto:david.mucher@dot.gov) , 404.865.5623



# FTA Grant Programs

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



# FTA Grant Programs

- Section 5303 and 5304:
  - Statewide/Metropolitan Planning Program
- Section 5307:
  - Urbanized Area Formula Program
- Section 5309:
  - Capital Fixed Guideway Modernization
  - Capital Bus and Bus Facilities Program
  - Major Capital Investments





# FTA Grant Programs

- Section 5310:
  - Transportation for Elderly Persons and Persons with Disabilities
- Section 5311:
  - Rural and Small Areas
- Section 5316
  - Job Access and Reverse Commute Program
- Section 5317
  - New Freedom Program





# FTA Grant Programs

- Other Discretionary Programs:
  - Section 5308 Cleans Fuels Grant Program
  - Section 5320 Alternative Transportation in the Parks and Public Lands
  - Section 5339 Alternative Analysis
- Programs can be found at:
  - [http://www.fta.dot.gov/funding/grants\\_financing\\_263.html](http://www.fta.dot.gov/funding/grants_financing_263.html)





# Circular Update

## Circulars Published in FY 2007:

- 9040.1F: Nonurbanized Area Formula Program Guidance and Grant Application Instructions
- 9045.1: New Freedom Program Guidance and Application Instructions
- 9050.1: Job Access Reverse Commute Guidance and Application Instructions
- 9070.1F : Elderly Individuals and Individuals with Disabilities Guidance and Application Instructions





# Circular Update

## Proposed Circulars:

- FTA C 4220.1F: Third Party Contracting Guidance
- FTA C 5010.1D: Grant Management Requirements
- FTA C 8100.1C: Program Guidance for Metropolitan Planning and State Planning and Research Program Grants
- FTA C 9300.1B: Capital Investment Program Guidance and Application Instructions





# Coordinated Planning

## New SAFETEA-LU provisions for Coordinated Planning:

- Section 5310, 5316 and 5317 program projects must now be derived from a locally developed, coordinated public transit-human services transportation plan
- Section 5316 (JARC) changed from discretionary to formula program
- Section 5317 (New Freedom) program established
- Section 5316 and 5317 program projects have to be competitively selected





# Coordinated Planning

Other new requirements under SAFETEA-LU in order to receive 5310, 5316 and 5317 funds:

- DR letter from Governor on file
- Project derived from a local coordinated plan made of up representatives of...
- Project selected through a competitive selection process (5316, 5317)
- Projects in TIP/STIP
- Program of Projects (POP)
- State Management Plan/Program Management Plan developed and approved by FTA (SMP/PMP)





# Charter Rule

- New Charter Rule published on January 14, 2008
- Rule does not go in effect until April 30, 2008
- Goals of the new rule are to increase flexibility, clarity and transparency
- FTA created new position to assist with new rule requirements





# Charter Rule

- New website has been published for help
- [http://www.fta.dot.gov/laws/leg\\_reg\\_179.html](http://www.fta.dot.gov/laws/leg_reg_179.html)
- Contains the new Charter Rule, Q&A and fact sheet, Charter Registration Website and contact information





# Grant Awards



**GRANTS**  
**PRE-AWARD**  
**POST-AWARD**





# Requirements for a "Complete" Grant

- Annual Requirements
  - Recipient Information
    - Contact, DUNS#
  - Certifications and Assurances
  - Civil Rights
    - EEO
    - DBE
    - Title VI
  - Union Information





# Requirements for a "Complete" Grant

- Project Specific Requirements
  - Project Information
    - Project Description
    - Congressional Districts
    - Project Details
  - Budget
    - Project Budget
      - Scope Codes, Activity Line Items
    - Extended Budget Descriptions





# Requirements for a "Complete" Grant

- Project Specific Requirements (cont.)
  - Milestones
    - Each ALI has a milestone
  - 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
    - Expansion vehicle support





# Requirements for a "Complete" Grant

- Program Requirements
  - Appropriated Funds
  - Statewide Transportation Improvement Plan (STIP)
    - Project in current approved STIP/UPWP
    - FTA Endorsement Date
    - 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

- Notify FTA via E-Mail/Phone during grant process (draft review, comment period, submittal, execution)
- Adequately describe the project and cite the fiscal year source of funding. If funds are from a state apportionment, please indicate in project description.
- Each ALI must have a Milestone and appropriate Environmental Finding
- All ALI's should be listed in numerical order
- Make sure that the ALI's correspond with the proper scope codes (see ALI tree on TEAMWeb Homepage)





# 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

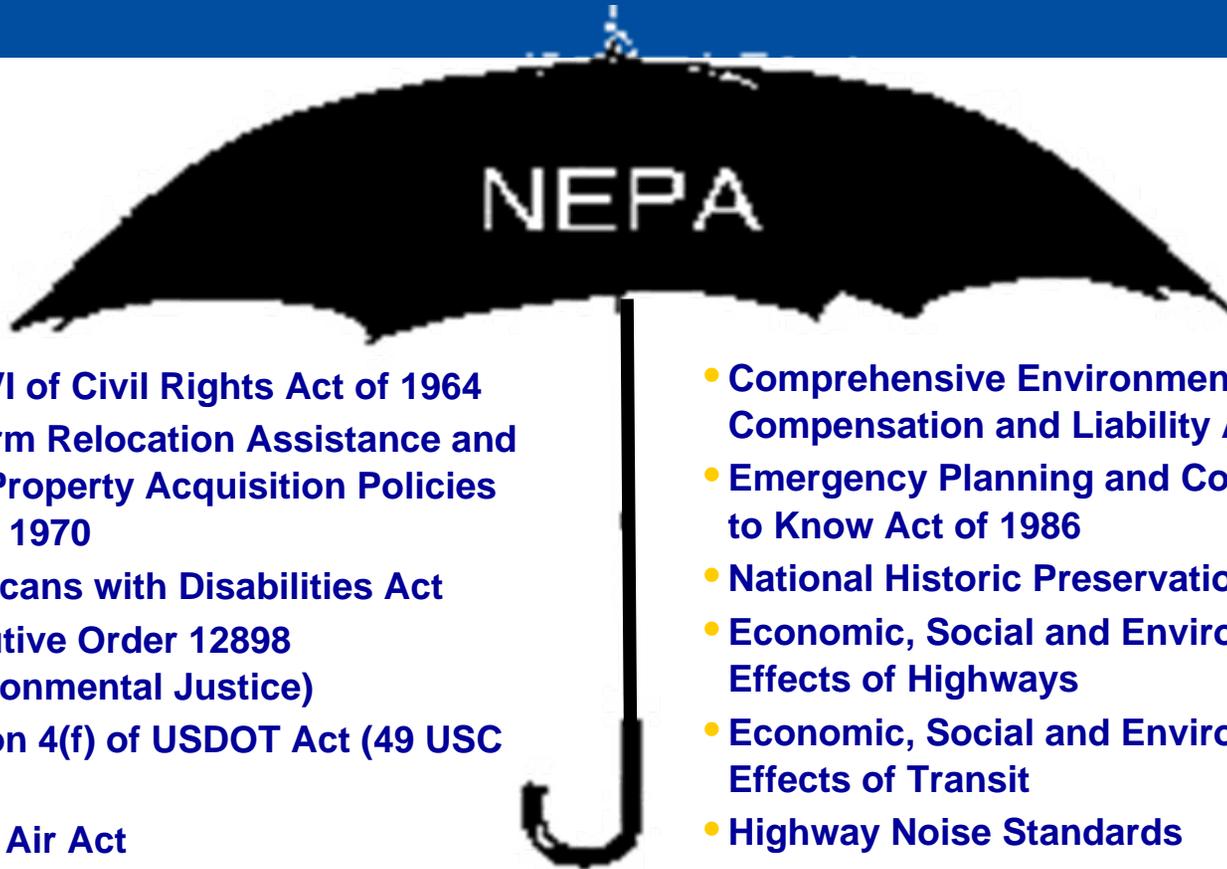
Region IV deadlines for complete grant applications in TEAM:

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





# NEPA "Umbrella"



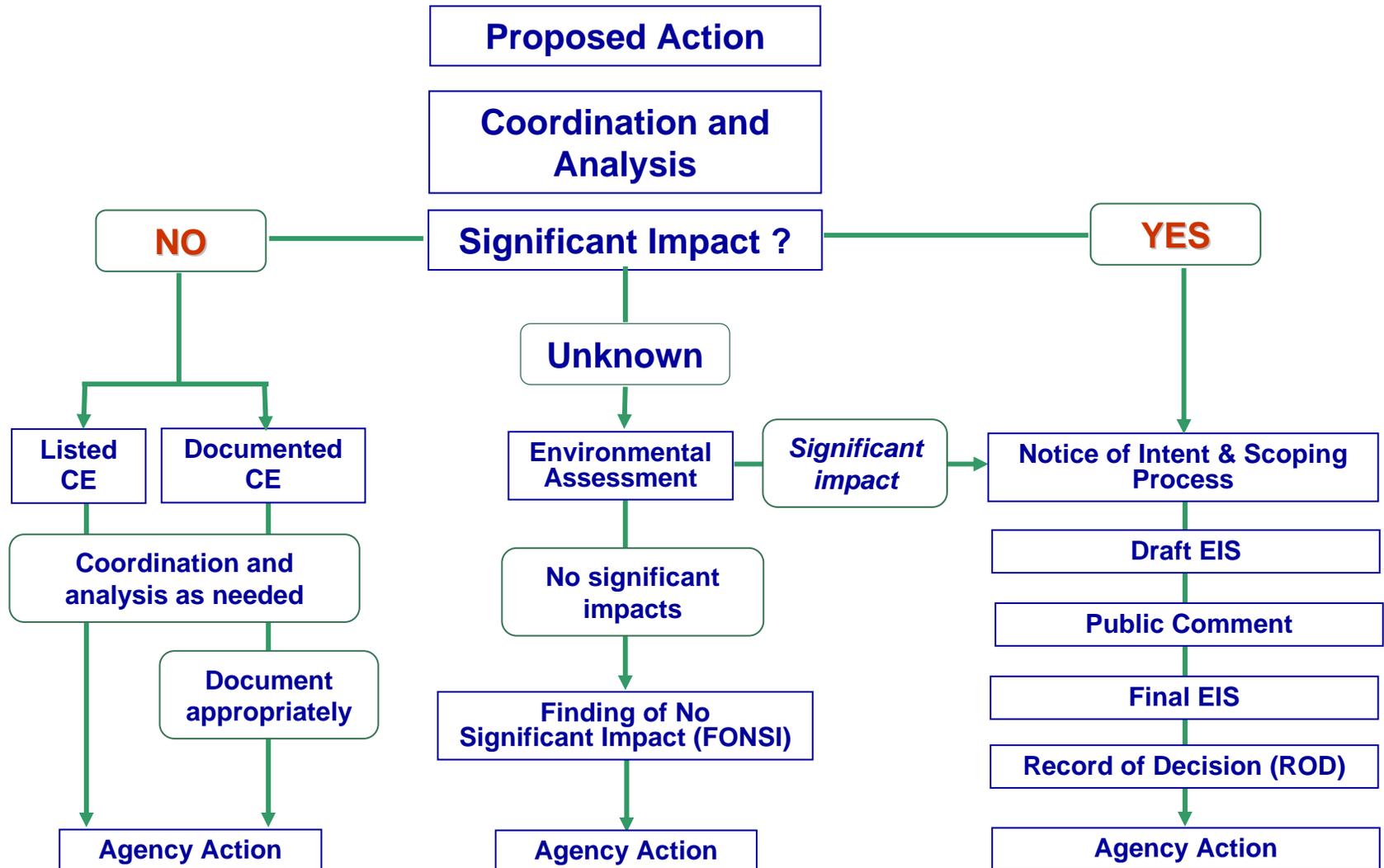
- Title VI of Civil Rights Act of 1964
- Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970
- Americans with Disabilities Act
- Executive Order 12898 (Environmental Justice)
- Section 4(f) of USDOT Act (49 USC 303)
- Clean Air Act
- Safe Water Drinking Act
- Farmland Protection Policy Act
- Solid Waste Disposal Act
- Resource Conservation and Recovery Act of 1976

- Comprehensive Environmental Response, Compensation and Liability Act
- Emergency Planning and Community Right to Know Act of 1986
- National Historic Preservation Act
- Economic, Social and Environmental Effects of Highways
- Economic, Social and Environmental Effects of Transit
- Highway Noise Standards
- Public Hearing Requirements
- Archaeological and Historic Preservation Act
- Archaeological Resources Protection Act
- AND MORE...





# NEPA Process Options (Classes of Action)





# Post-Award Activities

- Grant Management
- Grantee Responsibilities
- Reporting Requirements
- Grant Close-outs





# Grant Management

- Administering and managing the grant in compliance with Federal regulations, grant agreement and applicable FTA circulars.
- Managing and reporting on progress of projects, to expend grant funds in a timely and effective manner and, to close out grants when activity is complete.
- Overseeing funds that “pass-through” to subrecipients.





# Grantee Responsibilities

- Administer and manage Federal grants and grant supported activities.
- Provide, directly or by contract, adequate technical inspection and supervision by qualified professionals of all work in progress.
- Ensure conformity to grant agreements, applicable statutes, codes, ordinances, and safety standards.





# Grantee Responsibilities

- Maintain the project work schedule and constantly monitor grant activities to ensure that schedules are met and other performance goals are achieved.
- Ensure compliance with FTA requirements on the part of agencies (subrecipients), consultants, contractors, and subcontractors working under approved third party contracts or inter-agency agreements.





# Grantee Responsibilities

- Account for project property, provide for its repair and replacement, and maintain property inventory records that contain all the elements required.
- Request and withdraw Federal cash only in amounts and at times as needed to make payments that are immediately due and payable.
- Keep expenditures within the latest approved budget.





# Grantee Responsibilities

- Demonstrate and retain satisfactory continuing control over the use of project property.
- Ensure that effective control and accountability is maintained for all grants, subgrants, cash, project property, and other assets. Grantees and subgrantees must ensure that resources are properly used and safe-guarded, and that funds, equipment, and property are used solely for authorized purposes.





# Grantee Responsibilities

- Prepare and submit FTA required reports (TEAM, NTD, Civil Rights, Drug and Alcohol, etc.)
- Update and retain FTA required reports and records for availability during audits and oversight reviews.
- Ensure an Annual A-133 Audit is conducted in accordance with OMB Circular, A-133.





# Reporting Requirements

- Financial Status & Milestone Progress Reports (TEAM)
- Civil Rights Reports
- National Transit Database (NTD)
- Annual Single Audit (A-133)





# Financial Status Reports (FSRs)

- Financial Status Reports (FSRs)
  - Provides a current, complete and accurate financial picture of the grant and the projects within the grant
  - FSR must be submitted for all active grants
  - Submitted electronically in TEAM system





# Financial Status Reports (FSRs)

TEAM-Web ( Production Database ) AL-03-0029-00 - Microsoft Internet Explorer

## Financial Status Report

Summary | Financial Status | Remarks & Comments

Work In Progress  Submit Report

**Recipient:** 1000 ALABAMA DEPARTMENT OF TRANSPORTATION

**Project:** AL-03-0029-00 Statewide Capital Equipment Project

**Amendment:** Statewide Capital Equipment Project

Quarterly  Monthly  Other

**Period:** 2008,1st Quarter

**Final Report?** No, Not Final Report

**Paper Award?**  Yes  No

**Initial Submission:**

**Last Update:** 1/22/2008

**Pre-Award Authority?**  Yes  No

**Report Status:** MS/P Report In Progress, FSR In Progress

**Project Status:** Active

**Cost Plan:**

**Type of Rate:** N/A

**Rate:** 0.00%

**Base:** \$0.00

**Total Amount:** \$0.00

**Federal Amount:** \$0.00





# Financial Status Reports (FSRs)

TEAM-Web ( Production Database ) AL-03-0029-00 - Microsoft Internet Explorer

## Financial Status Report

Summary | Financial Status | Remarks & Comments

Line: Transactions:	Previous	This Period	Cumulative
A. Total Outlays:	\$6,156,394.00	\$0.00	\$6,156,394.00
B. Recipient Share of Outlays:	\$1,088,337.00	\$0.00	\$1,088,337.00
C. Federal Share of Outlays:	\$5,068,057.00	\$0.00	\$5,068,057.00
D. Total Unliquidated Obligations:			\$0.00
E. Recipient Share of Unliq. Oblig:			\$0.00
F. Federal Share of Unliq. Oblig.:			\$0.00
G. Total Federal Share (C+F):			\$5,068,057.00
H. Total Federal Funds:			\$5,166,184.00
I. Unobl. Bal. of Fed Funds (H-G):			\$98,127.00





# Financial Status Reports (FSRs)

TEAM-Web ( Production Database ) AL-03-0029-00 - Microsoft Internet Explorer

## Financial Status Report

Summary   Financial Status   Remarks & Comments

### Recipient Remarks

1st qtr FY 2008..No activity in grant during this reporting period. Balance of grant is earmarked for City of Dothan and Marshall County. Anticipate grant balance will be obligated and expended during 2008.

### FTA Remarks





# Milestone/Progress Reports (MPR)

- Milestone/Progress Reports (MPRs)
  - Provides the current status of activities contained in the grant; includes detailed discussion of all budget and schedule changes, including explanation of expected delays.
  - MPR must be submitted for all active grants
  - Submitted electronically in TEAM system







# Milestone/Progress Reports (MPRs)

TEAM-Web ( Production Database ) AL-03-0029-00 - Microsoft Internet Explorer

**Milestones Status Report** [Print] [ADD] [DELETE] [Cut] [Copy] [Paste] [Refresh] [Cancel] [OK]

Summary | Milestone Status

Scope-ALI	Seq No	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date
99604-111215	1	RFP/IFB OUT FOR BID	2/28/2000		0	2/28/2000
	2	CONTRACT AWARDED	3/15/2000		0	3/15/2000
	3	FIRST VEHICLE DELIVERED	6/15/2000	9/30/2005	2	2/28/2005
	4	ALL VEHICLES DELIVERED	9/15/2002	12/31/2007	4	
	5	CONTRACT COMPLETE	12/30/2002	12/31/2007	6	
99605-111204	1	RFP/IFB OUT FOR BID	2/28/2000		0	2/28/2000
	2	CONTRACT AWARDED	3/15/2000		0	3/15/2000
	3	FIRST VEHICLE DELIVERED	6/15/2000		0	10/31/2001
	4	ALL VEHICLES DELIVERED	9/15/2001		0	10/31/2001

**Line Item:** 111215 buy replacement van (83)

**FTA Amount:** \$63,919.00    **Total Eligible Cost:** \$77,013.00    **Quantity:** 2

**3<sup>rd</sup> Party Contractor Code:** [Dropdown]

Milestone Detail Description     Milestone Progress

[Text Area]    [Text Area]





# FSRs and MPRs

- Due Dates:
  - Annual: 30 days after the end of the Federal Fiscal year, which ends October 30.
  - Quarterly: within 30 days after the end of each calendar quarter, i.e., by January 30, April 30, July 30, and October 30.





# FSRs and MPRs – FTA role

- FTA Review
  - Review FSR Data and comments
  - Review Project Fund Status information
  - Compare reported expenditures to recorded disbursements
  - Review MPR information for current dates and project status
  - Monitor progress and status of projects
  - Follow-up with grantee on any discrepancies





# Civil Rights Reports

- Title VI
  - Triennial Basis, report on compliance
  - Circular 4702.1
- EEO
  - Applicability: 50 or more employees; \$1 million more of FTA assistance
  - Requirement: Triennial Basis, report on compliance
- DBE
  - Applicability: Receive \$250,000 or more in FTA funds each year, excluding vehicle procurement
  - Requirement: Establish Goals on an Annual Basis
  - Due Date: Required by August 1 of each year
  - Submitted to Region CR officer (Frank Billue)





# National Transit Database (NTD)

- **Applicability:** Recipients of Section 5311 (DOTs)
- **Requirement:** Annual report containing information on capital investment, operations, and service provided
  - (A) Total annual revenue;
  - (B) Sources of revenue;
  - (C) Total annual operating costs;
  - (D) Total annual capital costs;
  - (E) Fleet size and type, and related facilities;
  - (F) Revenue vehicle miles; and
  - (G) Ridership
- **Rural Reporting Manual:**  
<http://www.ntdprogram.gov/ntdprogram/rural.htm>





# Annual Single Audit (A-133)

- **Applicability:** Non-Federal entities that expend more than \$500,000 or more in Federal awards
- **Requirement:** Conduct an annual organization-wide audit in accordance with OMB Circular A-133.
- **Due Date:** Audit completed within 9 mos. of the end of grantee's fiscal year. Depending on results of audit, follow-up action with Regional office as follows:
  - If no FTA or DOT findings, submit copy of clearinghouse transmittal forms (SF-SAC) to Regional office
  - If FTA or DOT findings, submit entire report and copy of clearinghouse transmittal forms (SF-SAC) to Regional office





# Grant Close-outs

- “New Closeout Process” in TEAM
- Grantee must submit a Final FSR, MPR, and budget; if necessary, a request to de-obligate funds and any other report as required by the terms of the grant.
- FTA may unilaterally initiate grant closeout.
- All financial, programmatic records and supporting documentation must be retained for a period of 3 years.





# Grant Close-outs

- 2 Year Rule
  - FTA has established guidelines to close-out grants *with no signs of activity for 2 years*, unless the grantee provides justification to support the grant remaining open.
- 5 Year Rule
  - FTA has established guidelines to close-out grants *that have remained open for 5 years*, unless the grantee provides justification to support the grant remaining open.





# Grant Close-outs: Friendly Reminders

- Prepare & provide close-out schedule for all active grants
- Track 95-100% disbursed
- Consider deobligating small amounts of funding
- Submit Final FSR and MPRs (mark report "Yes, Final Report" in TEAM)
- 3  Checks on the "Closeout" Screen
- Email FTA a list of grants that have been prepared for close-out





# Post-Award Summary

- Grants Management
- Grantee Responsibilities
- Reporting Requirements
  - FSRs/MPRs
  - Civil Rights
  - NTD
  - A-133
- Grant Close-outs





# Upcoming FTA Events

- March 2008 – Semi-Annual State Programs Meeting (SCDOT)
  - *Charlotte, NC, March 18-20*
- May 2008 – Region IV Grantee Conference
  - *Atlanta, GA, May 28-30*
- June 2008 – Advanced NEPA Seminar
  - *Atlanta, GA, June 10-11*





# Questions?





# Contact Information

Jamie Pfister  
Team Leader

Email: [jamie.pfister@dot.gov](mailto:jamie.pfister@dot.gov)

Phone: 404.865.5632

David Schilling  
Community Planner

Email: [david.schilling@dot.gov](mailto:david.schilling@dot.gov)

Phone: 404.865.5645

Myra Immings  
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