FY2008
New Grantee Workshop
(Part 1)

Federal Transit Administration
U.S. Department of Transportation
Washington, DC
Overview
Workshop Objectives

- Provide an overview
  - FTA and its programs
  - Grant application process
  - Grant management
  - FTA resources
  - Triennial Review process

- Answer your questions
FTA Organization

FTA Administrator
Deputy Administrator

Office of Communications & Congressional Affairs
Office of Civil Rights
Office of Planning & Environment
Office of Research, Demon. & Innovation

Office of Chief Counsel
Office of Budget & Policy
Office of Program Mgmt.
Office of Administration
Regional & Metro Offices
Regional Office Organization

Chief Counsel in DC

Office of the Regional Counsel

Office of the Regional Administrator

Office of Planning and Program Development

FTA/FHWA Metropolitan Office

Office of Civil Rights in DC

Office of Planning and Program Development
FTA Grant Programs

- Section 5307 – Urbanized Area Formula Program
- Section 5309 – Capital Program
- Section 5310 – Elderly Individuals and Individuals with Disabilities Program
- Section 5311 – Nonurbanized Area Formula Program
- Section 5316 – Job Access and Reverse Commute Program
- Section 5317 – New Freedom Program
FTA Grant Programs

- Section 5320 – Transit in the Parks Discretionary
- Section 5308 – Clean Fuels Grant Program
- Section 5303 – Metropolitan Planning
- Section 5304 – Statewide Planning
- Section 5305 – Planning Programs
- Section 5339 – Alternative Analysis
Section 5307

• Apportioned to eligible public entities
  – Governors’ apportionment
  – Large urban apportionment

• Are available the year apportioned plus 3

• Used for public transportation activities
  – Planning projects
  – Capital projects
  – Operating expenses (small urban areas only)
Section 5307

- Capital: 80/20
- CAA Amendments Compliance and ADA
  - Equipment only: 90/10
  - Rolling stock with equipment: 83/17
- Bicycle-to-Transit Access: 90/10
- Planning: 80/20
- Operating Assistance: 50/50
Eligible Section 5307 Capital Projects

- Rolling stock
- Facilities
- Preventive maintenance
- ADA complementary paratransit operations
- Contracting
- Transit enhancement projects
- Security plans, drills, and training
Section 5307 Local Share

- Cash (or in-kind contribution)
- Non-Federal funds
- Certain Federal funds (e.g., non-DOT funds)
- Contract revenue from state or local social service organizations
- Non-farebox revenues from transit operations (e.g., advertising and concession revenues)
- Real property integral to the project
- Toll credits
Flex Funds

- Highway funds that can be used for transit
  - Surface Transportation Funds (STP)
  - Congestion Mitigation and Air Quality Improvement (CMAQ)
- Used for non-operating purposes
- Administered in accordance with 5307 requirements
Section 5309

• Awarded as earmarks to public entities

• Period of Availability
  – Year of apportionment plus 2 for bus/new starts
  – Year of apportionment plus 3 for fixed guideway modernization

• Eligible Projects
  – Bus and bus-related facilities
  – Rail modernization
  – New fixed-guideway systems and extensions
Section 5309

• Funding Ratios
  – New/small starts: capped at 80/20 but varies depending on project size and other factors
  – Bus and bus-related facilities: 80/20
Section 5309

• Local share can include:
  – Cash (or in-kind contribution)
  – Non-Federal funds
  – Certain Federal funds (e.g., non-DOT funds)
  – Non-farebox revenues from transit operations (e.g., advertising and concession revenues)
  – Real property integral to the project
  – Toll credits
Oversight Activities

• **Annual Grantee Assessment**
  – Performed by the regional offices
  – Determines level of oversight

• **Assessment Areas**
  – Grant Administration
  – Grantee Profile
  – Property Management
  – Financial Management
  – Procurement Management
Oversight Activities

• Assessment Areas (continued)
  – Technology Deployment
  – Safety and Security
  – Planning
  – Civil Rights

• Results
  – Low, medium or high rating
  – Specialty reviews
Oversight Activities

• General Reviews
  – Triennial Review
    • Conducted of recipients of 5307 funds
    • Mandated by law
  – State Management Review
    • Conducted of states and territories
    • Addresses 5309, 5310, 5311, 5316 and 5317 requirements

• Program Specific Reviews
  – Procurement System
  – Financial Management
Oversight Activities

– Safety and Security
  • Drug and Alcohol Program
  • Security – Readiness Assessment
  • State Safety

– Civil Rights
  • Americans with Disabilities Act (ADA)
    – Key Station
    – Fixed Route
    – Complementary Paratransit
  • Disadvantaged Business Enterprise
  • Equal Employment Opportunity (EEO)
  • Title VI
Oversight Activities

- Project Level Reviews
  - Project Management Oversight
  - Financial Capacity
Program Management Systems

- Transportation Electronic Award and Management System (TEAM-Web)
- Electronic Clearing House Operation (ECHO)
- National Transit Database (NTD)
- Drug and Alcohol Management Information System (DAMIS)
- Oversight Tracking System (OTTrak)
- Accounting System (Adelphi)
Grant Planning
Grant Program Prerequisites

- Legal Authority
- Authorizing Resolution
- Certifications and Assurances
- Program of Projects
- Planning Processes
  - Local Transportation Improvement Plan
  - Statewide Transportation Improvement Plan
  - Unified Planning Work Program
Grant Program Prerequisites

• Environmental Analysis
  – Categorical Exclusions
  – Environmental Assessment
  – Environmental Impact Statements

• Section 106 Historic Properties and Parklands

• Other Environmental Requirements
TEAM-Web

- File annual certifications and assurances
- Apply for grants
- Report progress and expenditures
- Manage FTA funding
Choose one:

TEAM-Web
TEAM Reports

[If you're having trouble logging into TEAM-Web, Click Here.]
Welcome to TEAM-Web!

LOGIN

User Name: [Input]
Password: [Input]
Database: Production

Change Password.

Login  Reset

SECURITY NOTICE

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Click here to go to Certifications and Assurances

IMPORTANT TEAM USER NOTICES

RELEASE NOTICE:
02/15/2008: Notice: TEAM v 3.2.000 was successfully published to PRODUCTION

GENERAL INFORMATION:
01/28/2008: Notice: TEAM Open for FY 2008 apportionments and allocations pursuant to P.L. 110-161
01/11/2008: Notice: Password Complexity

TEAM USER DOCUMENTATION AND REFERENCE

TEAM User Access Forms and Instructions - pdf
TEAM Vendor Id Number Request Form
2000 Census Information
<table>
<thead>
<tr>
<th>ID</th>
<th>Recipient</th>
<th>City</th>
<th>State</th>
<th>Cost Center</th>
</tr>
</thead>
<tbody>
<tr>
<td>1234</td>
<td>ABC Transit</td>
<td>78600</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**General**
- **Organization:** ABC Transit
- **Acronym:** ABC Transit
- **Street:** 1520 Main Street
- **City/State/Zip:** Anywhere, TX, 75000

**Contact Persons**

**Cert's & Assurances**
- **NTDB Code:**
- **Cert's & Assur's:**
- **Mstr Agmt Iss'd:**

**Payment Codes**
- **Assistance:**
  - Yes
  - No
- **Designated Recipient:**
  - Yes
  - No
- **Type:**
  - Yes
  - No

**Civil Rights**
- **State DOT:**
  - Yes
  - No
- **OST Type:**
  - 
- **DUNS Number:**

**Contact Information**
- **Phone:**
- **Ext:**
- **Fax:**
- **Website:**
1. Select applicable certifications

2. Enter PIN of Authorized Official and Attorney
Grant Application
Sample Agency Description

• ABC Transit
  – Population: 85,000
  – Number of vehicles: 50 total, 42 peak
  – Type of agency: transit authority

• Agency Needs
  – Rolling stock (bus) purchase
  – Preventive maintenance
  – Planning
ABC’s Grant Projects & Budgets

- Available 5307 funds: $858,750
- Rolling stock (bus) purchase
  - Expansion: two 40-foot buses
  - Total Cost - $625,000; FTA Amount - $518,750
- Preventive maintenance
  - Total Cost - $375,000; FTA Amount - $300,000
- Planning
  - Total Cost - $50,000; FTA Amount - $40,000
Grant Application

• FTA Circular 9030.1C
• Application Process – TEAM-Web
  – Project Information
  – Budget
  – Milestones
  – Environmental Findings
  – Fleet Status
  – Security
  – Description for Earmarks
  – FTA Review
1. Select Create New Project

2. Enter Project Number, Section, Brief Description and Program Date

3. Select Environmental Classification

4. Click here to enter more detailed description
Grant funds to be used to purchase two, 40-foot transit buses, for FY2009 preventive maintenance expenses, and planning to complete FY2009 through FY2014 Short Range Transit Plan. Funding from the FY08 apportionment.

5. Click OK when finished
Under Modify Application, select Project Information
1. Edit fields as necessary
2. Click on Control Totals tab
3. Enter control totals
4. Select the “Security” tab
5. Indicate whether one percent of 5307 funds will be spent for security purposes.

6. Click OK when finished.
Note:
For earmarks (Section 5309 grants), grantees should enter relevant information for their Congressional representatives under this tab.
Click here to modify project budget

Control Totals appear here

Project Query Results

<table>
<thead>
<tr>
<th>Project Number</th>
<th>Description</th>
<th>Rev.</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09 5307 FUNDS</td>
<td>FY09 Rolling Stock, PM and Planning</td>
<td>0</td>
</tr>
</tbody>
</table>

Project Details

- Project Number: FY2009 5307 Funds
- Application Type: Electronic
- Entered: 1/7/2008
- Recip. Contact: AEC Transit

Total Elig. Cost: $1,050,000.00
1. Click “ADD” to begin a new budget.
2. Use the Details icon to add scopes and ALIs
3. Budgets are added by scope and activity.
4. Additional scopes and activities can be added.
5. Enter amounts for each activity (FTA and Total Eligible)
6. Click OK when finished
Select Milestones
1. Enter Milestones

- Publish solicitation for vehicle purchase by 4/1/08. All bids will be due by 5/15/08.

2. Enter Detailed Description

- Publish solicitation for vehicle purchase by 4/1/08. All bids will be due by 5/15/08.

3. Enter other Milestones and Descriptions

4. Click OK when finished
Select Environmental Findings
1. Click the "ADD" button to begin.

2. Select an environmental classification and type.

3. Click OK when finished.
### Project Query Results

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### Select Fleet Status

**Project Details**

- **Project Number:** FY2009 5307 Funds
- **Application Type:** Electronic
- **Entered:** 1/7/2008
- **Recip. Contact:**
- **FTA Manager:**
- **Status:** Pending Submission/App. in Development
- **Description:** FY09 Rolling Stock, PM and Planning
- **Recipient:** 1234 AEC Transit

**Cost Center:** 660-00
**Submitted:**
**Awarded:**
**Executed:**
**FTA Amount:** $858,750.00
**Total Elig. Cost:** $1,050,000.00
1. Enter fleet status

2. Click OK when finished
Select Comments/Concurrence
Mark “Ready for Proj. #” and click OK.
Grant Management
Grant Management

• FTA Circular 5010.1C
  – Financial Status Reports (FSRs)
  – Milestone Progress Reports (MPRs)
  – ECHO draws
  – Budget Revisions
  – Grant Amendments
  – Grant Closeout

• Activities performed using TEAM-Web
Financial Status Reports

- Due quarterly for grantees in urbanized areas with 200,000 or more in population
- Due annually for grantees in urbanized areas under 200,000 in population
- Due 30 days after end of quarter or fiscal year
Financial Status Reports

- Report on accrual basis
- Report funds expended and unliquidated obligations
- Report actual, not budgeted, costs
Unliquidated Obligations

- Encumbrance against the grant for which no cash outlay has been recorded (value of goods and services under contract but not yet received)
- Examples:
  - Contract for buses on order
  - Contract for construction services not yet rendered
  - Open purchase orders
  - Contract retentions
1. Select report period

2. Select “Financial Status” tab
3. Enter outlays, cumulative amounts and unliquidated obligations

4. Select “Remarks & Comments” tab
5. Enter remarks, if necessary

6. Click OK when finished
Milestone Progress Reports

- Due quarterly for grantees in urbanized areas with 200,000 or more in population
- Due annually for grantees in urbanized areas under 200,000 in population
- Due 30 days after end of quarter or fiscal year
Milestone Progress Reports

- Check milestones and revise as necessary
- Discuss changes in milestone dates
- Discuss budget or schedule changes
- Discuss problems with projects—delays, cost variances, and other unforeseen events
Milestone Progress Reports

- List outstanding claims over $100,000 and claims settled
- List change orders exceeding $100,000, pending or settled
- Report on transit enhancements (4th quarter only for designated recipients in urbanized areas of 200,000 or more)
- Submit even when no activity or changes
Select Milestone Status
Publish solicitation for vehicles by 4/1/08. All bids will be due by 5/15/08. Solicitation delayed due to recent retirement of the procurement officer (9/24/08).

1. Enter milestone progress
2. Enter revised dates
3. Click OK
ECHO Draws

• Draw funds periodically to ensure timely grant closeout
• For 5307 grants, code draws using proper financial purpose code
  – 0 – capital
  – 2 – planning
  – 4 – operating
  – 8 – capital costs of ADA complementary paratransit
ECHO Draws

• Have supervisor review and sign to ensure segregation of duties
• Maintain on file documentation supporting amounts drawn
  – Project expenditure reports
  – Vendor invoices
  – Check/payment issuance
• Disburse funds within three business days
Reconcile Grant Balances

- Frequently reconcile internal grant balances with TEAM and FSR balances
- Reconcile to the financial purpose code level
- Use Project/Funds Status screen in TEAM
Revisions vs Amendments

• **Budget Revision**
  – Make a change within the scope of the grant
  – Do any time

• **Grant Amendment**
  – Change the scope of the grant or Federal participation
  – Do within the period of availability of funds
Budget Revisions Not Requiring FTA Approval

- Transfer funds within scope and between scopes of same matching ratio if under 20 percent
- Add activities within scope
Budget Revisions Requiring Prior FTA Approval

- Add, delete or modify work tasks
- Transfer funds exceeding 20 percent of budget
- Increase or reduce number of units where the change does not exceed the greater of 2 units or 20 percent
- Transfer funds between operating scopes with different matching ratios
Grant Amendment

- Increase or reduce number of units where the change exceeds the greater of 2 units or 20 percent
- Add a project scope
- Delete a project scope which changes the grant scope
Good Grant Management Practices

• Assign responsibility for grant reporting and ensuring projects are on schedule
• Wait to apply for funds until the project is ready to go
• Sweep grants annually for unexpended project balances
• Spend the oldest funds first
Good Grant Management Practices

- Tie contracts to projects, not grants
- Develop a grant drawdown plan
- Report retentions in newest grant
- Complete projects and close grants within period of availability of funds
Grant Closeouts

- Refer to FTA Circular 5010.1C for closeout procedures
- Enter final FSR in TEAM-Web
  - Balance **MUST** match project funds/status screen
- Enter final MPR in TEAM-Web
  - Should include a discussion of each activity line item (ALI)
  - Must include a list of equipment purchased with grant funds (over $5K)
Grant Closeouts

• Enter final budget revision in TEAM-Web
  – Reflect actual project costs
  – Request to deobligate remaining funds

• Notify grant manager
Grantee needs to address the unliquidated balance before closeout.