U.S. Department of Transportation
Federal Transit Administration

FTA

Region IV State Programs Team
Annual Meeting
Atlanta, GA
February 1-3, 2012
Agenda

Wednesday, February 1, 2012

1:00 pm    Welcome and Introductions
1:30 pm    FY 2012 Updates
2:00 pm    State of the States: Region IV DOT Showcase
3:00 pm    BREAK
3:15 pm    State of the States: Region IV DOT Showcase
4:30 pm    FTA Ambush Makeover
5:15 pm    ADJOURN

Dinner on your own
Thursday, February 2, 2012

8:00 am  **BREAKFAST** (GDOT/ SRTA HOT Lane Presentation)

8:45 pm  TOUR (Hartsfield-Jackson Atlanta International Airport)

12:15 pm  **LUNCH**

1:30 pm  Planning and Pre-Award Activities and Updates

2:30 pm  NEPA Updates

3:00 pm  **BREAK**

3:15 pm  Reporting and Oversight Activities and Updates
Thursday, February 2, 2012 (cont.)

4:00 pm   Office of Inspector General
4:45 pm   State Electronic Grant Systems
5:15 pm   ADJOURN
6:00 pm   Dinner at Baronda Italian Restaurant (SPT Awards)
Friday, February 3, 2012

7:45-8:15 am  BREAKFAST
8:15 am        Legal/ Civil Rights Updates
9:00 am        Human Service Transportation Programs Update
9:45 am        BREAK
10:00 am       Veteran’s Transportation and Community Living Initiative
11:00 pm       Intelligent Transportation Systems
12:00 pm       Recap of Meeting/ SPT Goals/ General Q/ A and Action Items
12:15 pm       ADJOURN
State Programs Team - Contact Information

- David Schilling, Team Lead
  - NCDOT, SCDOT, VIDPW
  - 404.865.5632, david.schilling@dot.gov

- Valencia Williams, Community Planner
  - MDOT, TDOT
  - 404.865.5634, valencia.williams@dot.gov

- Andres Ramirez, General Engineer
  - ALDOT, FDOT
  - 404.865.5611, andres.ramirez@dot.gov

- Robert Buckley, Community Planner
  - GDOT, KYTC
  - 404.865.5618, robert.buckley@dot.gov
U.S. Department of Transportation
Federal Transit Administration

Region IV State Programs Team
Annual Meeting

Planning and Program Development

Jennifer Hibbert, Director of Planning
Valencia Williams, Community Planner
Planning and Program Development

Agenda

- FTA Funding
- FY 2012 Grant Making
- Discretionary Funding
- New Starts/Small Starts Program
- TEAM Training
- Census Criteria (Info in FR allocations)
- Narrow Banding
- DUNS/CCR Registration
- Planning Certification Reviews
## FTA Funding

### FY 2011 Grant Awards - FTA Region IV

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<tr>
<th>State</th>
<th>Total Grants</th>
<th>Total Award</th>
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<tr>
<td>Alabama</td>
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<td>$47,688,323</td>
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<td>Florida</td>
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<td><strong>Totals</strong></td>
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Planning and Program Development

**FY 2012 Grant Making**

- FY 2012 Apportionment
- Fuel Provision
- FY 2012 Funding and Carryover Balances
- State Lapsing Funds
- Supplemental Agreements
- Application Deadlines
- Helpful Hints
- Certifications and Assurances
FY 2012 Apportionment

- SAFETEA-LU continuing resolution extended through March 31, 2012
- 6/12ths Apportionment Federal Register published on January 12, 2012 (based on the FY 2011 apportionment)
- Section 5307 $100M fuel provision
Fuel Provision

- FY 2012 Apportionment Notice Published
- Section 5307 Formula Funding - Not limited to large UZAs
- Initiative does not provide grantees with more funding over and above their usual apportionment.
- Initiative provides grantees with additional flexibility in how they may use their usual apportionments in FY 2012.
- Eligibility provision to charge fuel and/or electric propulsion utility costs to 5307 grant as a capital expense (80/20).
- FTA is allowed to permit the use of this provision for up to $100 M.
Fuel Provision (cont.)
In order to utilize this opportunity:

• Section 5307 Designated Recipients must submit a request via grants.gov no later than February 15, 2012
• Two required forms must be submitted (OMB SF-424 and SF-424 Supplemental Form)
• More information can be found at:
• Please note states are responsible to submit on behalf of the small urbanized areas as the DR
• Please start working with your small urbanized areas now.
FY 2012 Funding and Carryover Balances

- FY 2012 Partial Apportionment (6/12)
- Carryover and Lapsing balances available
  - Notifications sent in January
  - Deadline for lapsing dollars requiring DOL (e.g. JARC)
  - State schedules for calls for projects & STIP should be coordinated to meet schedule
Carryover/ Lapsing Balances

- Apply for oldest balances first
- Carryover balances need to be reprogrammed in current STIP
- Revised Split Allocation Letters needed from State
- Transfer requests (to other programs or to direct recipients) need to be done in advance
- Best Practice: Application schedule
- Lapsing balances by State
### ALABAMA

**TOTAL FY2012 LAPSING FUNDS- $19,746,194**

| FY2009 - 5307 | UZA | $3,652,792 |
| FY2010 - 5316 | JARC - JM | $979,780 |
| FY2010 - 5316 | JARC - JS | $653,793 |
| FY2010 - 5317 | New Freedom - FM | $521,871 |
| FY2010 - 5317 | New Freedom - FS | $671,066 |
| FY2010 - 5310 | E & H | $2,334,007 |
| FY2010 - 5311 | SM UZA | $10,737,369 |
| FY2010 - 5311 | RTAP - 2010.23.18.R7 | $40,086 |
| FY2010 - 5311 | RTAP - 2010.25.18.R7 | $155,430 |
**FLORIDA**

**TOTAL FY2012 LAPSLING FUNDS-** $4,176,646

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<th>Amount</th>
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<td>FY2010 - 5317, New Freedom - FM</td>
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<td>FY2010 - 5317, New Freedom - FS</td>
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<td>FY2010 - 5307, N. Freedom transfer to 5307</td>
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Planning and Program Development

**GEORGIA**

**TOTAL FY2012 LAPSING FUNDS - $735,743**

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<td>New Freedom</td>
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**Planning and Program Development**

### KENTUCY

**TOTAL FY2012 LAPSING FUNDS-** $5,856,806

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**Discretionary**

| D2010-BLIV-09011 | Bus and Bus Facilities Livability | $5,043,760 |
### MISSISSIPPI

**TOTAL FY2012 LAPSING FUNDS - $2,806,640**

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# Planning and Program Development

## NORTH CAROLINA

### TOTAL FY2012 LAPSING FUNDS- $15,074,472

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PUERTO RICO
TOTAL FY2012 LAPSING FUNDS- $21,094,238

FY2009 - 5307  Urbanized Area Formula  $ 12,567,735
FY2010 - 5316  JARC - JM  $ 3,295,188
FY2010 - 5316  JARC - JS  $ 453,898
FY2010 - 5317  New Freedom - FM  $ 886,724
FY2010 - 5317  New Freedom - FS  $ 101,636
FY2010 - 5311  Non-Urbanized Formula  $ 1,402,016
FY2010 - 5311  Transfer from 5307 to 5311  $ 2,304,753
FY2010 - 5311  RTAP  $ 82,288
**SOUTH CAROLINA**

**TOTAL FY2012 LAPSING FUNDS - $11,839,478**

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**Discretionary**

| D2010-BLIV-05002 | Bus and Bus Facilities Livability | $   3,100,000 |
# TENNESSEE

**TOTAL FY2012 LAPSING FUNDS-** $4,589,660

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<td>FY2010 - 5307</td>
<td>Transferred 5316 to 5307</td>
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**Earmark**

| E200-BUSP-182 | Tennessee Statewide Bus Program, TN | $ 573,718 |
VIRGIN ISLANDS
TOTAL FY2012 LAPSING FUNDS- $400,000

Earmarks
E2010-BUSP-206  Bus and Bus Facilities  $ 200,000
E2010-BUSP-235  Refurbished Passenger Ferry  $ 200,000
Governor’s Apportionment Recipients/Supplemental Agreements

- Supplemental Agreements required when:
  - Direct Recipient applies directly to FTA
  - The Direct Recipient is not a Designated Recipient

- Benefits:
  - Allows for better tracking of apportionment obligations & deobligations
  - Helps prevent lapsing funds
Supplemental Award Process

● Background Steps:
  – Documentation:
    – DOT provides copy of Designated Recipient Letter
    – Direct Recipient provides Opinion of Counsel and Authorizing Resolution
    – Direct Recipient’s Recipient Screen is updated (next slide)
    – DOT Point of Contact submits TEAM Access form for PIN number to PIN Supplemental Agreements

● Upon Grant Award
  1. FTA Notifies Direct Recipient of Award with CC to DOT
  2. Direct Recipient completes Initial FFR (If pre-award authority selected in grant)
  3. DOT PINs supplemental Agreement
  4. Direct Recipient Executes the grant in TEAM
### Planning and Program Development

#### View / Modify Recipient (CITY OF GADS DEN) - Windows Internet Explorer

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<tr>
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<td>N</td>
<td>Sherri Carroll</td>
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<td>City of Clarksville, TN</td>
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</tr>
<tr>
<td>October 22, 2011</td>
<td>TEAM reopens:&lt;br&gt;Execute any FY 2011 outstanding awards.&lt;br&gt;Update Recipient Information Screen, which includes contact information for agency personnel.&lt;br&gt;Check the Civil Rights screen to prevent delays from lapsed/expired programs.&lt;br&gt;Begin entering draft grants for carryover balances, if known. Begin preliminary NEPA document, if applicable.</td>
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</tr>
<tr>
<td>November 01, 2011</td>
<td>PIN FY 2012 Certifications and Assurances within 90 days of this Nov. 01, 2011 date.</td>
<td></td>
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</tr>
<tr>
<td>January 09, 2012</td>
<td>Carryover notifications emailed by FTA to grantees and cc to MPOs.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>February 9, 2012</td>
<td>Response due to FTA regarding carryover and lapsing fund applications. Response should include a schedule for your applications and if you intend to lapse any funding.</td>
<td></td>
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</tr>
<tr>
<td>April 30, 2012</td>
<td>Region IV lapsing grant deadline for all draft grants requiring DOL certification to be entered in TEAM and under FTA to review. After you have ensured that the draft application has been entered accurately and completely, please notify your FTA representative to review the application.</td>
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</tr>
<tr>
<td>May 31, 2012</td>
<td>Region IV lapsing grant deadline for submission to DOL. Grant submissions for lapsing funds after this date will be handled on a case-by-case basis and may not make it through the grant review process in sufficient time to obligate during the fiscal year. The DOL certification process can take up to 30-60 days. Following DOL certification, discretionary grants will be sent for Congressional Release (which can take 30-60 days).</td>
<td></td>
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</tr>
<tr>
<td>June - July, 2012</td>
<td>Reviewing and processing of current year and non-lapsing grant applications and non-DOL grant applications. Discretionary Grants in release. We will prioritize the carryover and new FY apportionment application reviews during this period, particularly if the apportionment notice is late.</td>
<td></td>
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<tr>
<td>July 31, 2012</td>
<td>Region IV grant deadline for non-DOL grant applications.</td>
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</tr>
<tr>
<td>August – September, 2012</td>
<td>Obligations, Awards, and Execution of Grants. During this time, we expect to obligate and award the funding that has been in process since May. This will include grants returning from DOL and if discretionary funding, following their release.</td>
<td></td>
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</tr>
<tr>
<td>September 29, 2012</td>
<td>Anticipated TEAM closing.</td>
<td></td>
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</tr>
</tbody>
</table>
Helpful Hints

- New Grant Applications vs. Grant Amendments
- Project Eligibility
- Environmental Coordination and Approval
- Flex Funds and Transfers
- Transfers of JARC to direct recipients (small UZA)
- Compliance with other requirements (e.g. C&A, Civil Rights, planning)
FY 2012 Certifications & Assurances

- Published in Federal Register on 11/3/2011
- Grantees have 90 days to certify (by 2/3/2012)
- Not accepting paper certifications: Needs to be done in TEAM.
  - Both the Certifying Official and Attorney need to enter their PIN #'s in TEAM.
- If one person can certify for both:
  - Need to attach documentation to TEAM that demonstrates the C&A’s have been reviewed by both parties.
FY 2012 Certifications & Assurances

- Published in Federal Register on 11/3/2011
- Grantees have 90 days to certify (by 2/3/2012)
- Not accepting paper certifications: Needs to be done in TEAM.
  - Both the Certifying Official and Attorney need to enter their PIN #’s in TEAM.
- If one person can certify for both:
  - Need to attach documentation to TEAM that demonstrates the C&A’s have been reviewed by both parties.
# DOT Certifications & Assurances Status

<table>
<thead>
<tr>
<th>DOT</th>
<th>C &amp; A PIN</th>
<th>Note</th>
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<tr>
<td>ALDOT</td>
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<td></td>
</tr>
<tr>
<td>FDOT</td>
<td>Y</td>
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</tr>
<tr>
<td>GDOT</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>KYTC</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>NCDOT</td>
<td>N</td>
<td>(Attorney Signature Needed)</td>
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<td>SCDOT</td>
<td>N</td>
<td>(Official Signature Needed)</td>
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<td>TDOT</td>
<td>N</td>
<td>(Attorney Signature Needed)</td>
</tr>
<tr>
<td>MDOT</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>VI</td>
<td>N</td>
<td>(Official &amp; Attorney Sig. Needed)</td>
</tr>
<tr>
<td>PR</td>
<td>N</td>
<td>(Attorney Signature Needed)</td>
</tr>
</tbody>
</table>
FY 2011 Discretionary Funding

• Currently, approximately $1.1B has been awarded in discretionary funding over the last year.

• These programs are funded through unallocated discretionary funding and targeted at FTA’s priorities

• Federal Register notice
<table>
<thead>
<tr>
<th>Discretionary Program</th>
<th>Available Amount (in millions)</th>
<th>NOFA Publication Date</th>
<th>Announcement Date</th>
<th>Federal Register Notice</th>
</tr>
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<tbody>
<tr>
<td>Over-the-Road-Bus</td>
<td>$8.8</td>
<td>7/13/2011</td>
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<td></td>
</tr>
</tbody>
</table>
FY 2011 Discretionary Awards by State

ALABAMA
TOTAL - $3,448,645

State of Good Repair
City of Huntsville Public Transit  $3,293,061

Tribal Transit
Poarch Band of Creek Indians  $155,584
Planning and Program Development

**FLORIDA**
**TOTAL - $57,457,259**

**Clean Fuels**
- City of Gainesville: $3M
- Hillsborough Area RTA: $2.32M

**TIGGER III**
- South Florida RTA: $5.75M

**Alternative Analysis**
- Broward MPO: $1.5M
- LYNX Orlando: $1.2M
Planning and Program Development

FLORIDA

Bus and Bus Facility Livability
- LYNX Orlando-Kissimmee $2M
- City of Gainesville $9M
- South Florida RTA $4.6M

State of Good Repair
- Pinellas Suncoast $5M
- FDOT $468,736
- Indian River $500,000
- JTA $308,200
- St. Johns County $527,780
- Lee County $13,920,000
# Florida Veteran's Initiative

<table>
<thead>
<tr>
<th>Location</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>City of Tallahassee</td>
<td>$1.2M</td>
</tr>
<tr>
<td>Broward MPO</td>
<td>$539,937</td>
</tr>
<tr>
<td>Pinellas County MPO</td>
<td>$1,098,339</td>
</tr>
<tr>
<td>Jacksonville Trans. Authority</td>
<td>$1,925,200</td>
</tr>
<tr>
<td>Polk County</td>
<td>$1,542,267</td>
</tr>
<tr>
<td>LYNX Orlando</td>
<td>$1,056,800</td>
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</tbody>
</table>
GEORGIA
TOTAL - $29,508,000

Clean Fuels
Columbus $1.6M

Alternative Analysis
MARTA $480,000

State of Good Repair
MARTA $7M
MARTA $14.08M
MARTA $5,628,000
**KENTUCKY**

**TOTAL - $6,902,021**

**Bus and Bus Facility Livability**
KYTC $1.0M

**State of Good Repair**
TARC $5,104,515

**Veteran's Initiative**
KYTC $797,506
Planning and Program Development

MISSISSIPPI
MISSISSIPPI
TOTAL - $200,000

Tribal Transit
Mississippi Band of Choctaw Indians $200,000
Planning and Program Development

NORTH CAROLINA
TOTAL - $26,771,661

Alternative Analysis
Town of Chapel Hill $560,000

State of Good Repair
Town of Chapel Hill $7,470,000

TIGER III
City of Charlotte $18.0M

Tribal Transit
Eastern Band of Cherokee Indians $140,000

Veteran's Initiative
Wake County $601,661
Planning and Program Development

PUERTO RICO
TOTAL - $6,720,000

State of Good Repair
Puerto Rico Highway and Transportation Authority

$6,720,000
Planning and Program Development

SOUTH CAROLINA
TOTAL - $7,061,505

**TIGGER III**
SCDOT  
$4.1M

**Alternative Analysis**
Charleston  
$360,000

**State of Good Repair**
Pee Dee RTA  
$2,091,507

**Tribal Transit**
Catawba Indian Nation  
$385,518

**Veteran's Initiative**
Lowcountry Council of Governments  
$124,480
# Planning and Program Development

## TENNESSEE

**TOTAL - $13,902,950**

**TIGGER III**
- Chattanooga Area RTA: $2.5M

**Alternative Analysis**
- Memphis Area Transit Authority: $800,000

**Bus and Bus Facility Livability**
- Chattanooga Area RTA: $440,000
- Memphis Area RTA: $644,000

**State of Good Repair**
- Nashville Metropolitan Transit Authority: $721,131
- Nashville Metropolitan Transit Authority: $4,649,819
- Chattanooga Area RTA: $4,148,000
VI RGI N I SLAN D S
TOTAL - $1,080,000

State of Good Repair
Government of the Virgin Islands $1,080,000
FY 2012 Discretionary Funding

- Additional Discretionary programs are being planned for FY 2012.
- 2012 budget does not fund a 4th round of TIGGER
- Continued support for Military Veterans
# Proposed Table - FY12 Discretionary Funding

<table>
<thead>
<tr>
<th>Program</th>
<th>2012 Full-Year Funding ($000)</th>
<th>2011 Funding Availability ($000)</th>
<th>Anticipated NOFA Publication</th>
<th>Public Announcement of Allocation³</th>
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<tbody>
<tr>
<td><strong>Bus and Bus Facilities</strong></td>
<td></td>
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<tr>
<td>State of Good Repair</td>
<td>650,000</td>
<td>750,000</td>
<td>Jan. 2012</td>
<td>Early July 2012</td>
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<tr>
<td>Livability</td>
<td>125,000</td>
<td>150,000</td>
<td>Jan. 2012</td>
<td>Early July 2012</td>
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<tr>
<td><strong>Veterans Transportation &amp; Community Living²</strong></td>
<td>25,000</td>
<td>30,000</td>
<td>Jan. 2012</td>
<td>Late July 2012</td>
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<tr>
<td><strong>Clean Fuels</strong></td>
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<tr>
<td>Clean Fuels</td>
<td>51,500</td>
<td>51,500</td>
<td>Jan. 2012</td>
<td>Late July 2012</td>
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<td><strong>Other Programs</strong></td>
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<tr>
<td>Alternatives Analysis</td>
<td>25,000</td>
<td>25,000</td>
<td>Feb. 2012</td>
<td>August 2012</td>
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<tr>
<td>Tribal Transit</td>
<td>15,000</td>
<td>15,075</td>
<td>Feb. 2012</td>
<td>August 2012</td>
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<tr>
<td>Over-the-Road Bus</td>
<td>8,800</td>
<td>8,800</td>
<td>Mar. 2012</td>
<td>August 2012</td>
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</table>
**Planning and Program Development**

**New Starts/ Small Starts**

- January 25, 2012 Dear Colleague Letter to modernize and streamline the programs
- To ensure capital projects capture the vision and unique needs of local communities, FTA is proposing:
  - Capture the vision of a community by using a broad set of measures, including environmental benefits and a project’s impact on local economic development
  - Project sponsors will calculate the anticipated ridership of the project they actually intend to build; instead of using a hypothetical baseline
- Proposal could potentially reduce timeline by six months or more
TEAM Training

- Still utilizing webinar technology for more consistent training throughout Region IV
- TEAM Training Website: http://www.fta.dot.gov/regions/regional_offices_12240.html
- Next Training:
  - Grant Development Webinar:
    - February 2012 (Tentative)
Census

- FY 2012 formula allocations based on 2000 Census data and designations.
- The 2010 Census UZA designations and populations will be released during FY 2012.
- The 2010 Census UZA designations and populations will be used for FTA formula funds no earlier than FY 2013.
Narrow Banding

- Land Mobile Radio systems in the frequency range 150 – 174 MHz and 421 – 512 MHz must operate the narrowband channels 12.5 KHz or less, or meet the 12.5 KHz equivalent efficiency requirement before 1 January 2013.
- Most current public safety radio systems use 25 kHz-wide channels.
- FCC has mandated that all non-Federal public safety licensees using 25 kHz radio systems migrate to narrowband 12.5 kHz channels by January 1, 2013.
Narrow Banding

- Agencies that do not meet the deadline face the loss of communication capabilities.
- Agencies need to start planning now to migrate to narrowband systems by assessing their current radio equipment and applying for new or modified licenses.
DUNS/ CCR Registration

- All Grantees must have DUNS number
- All Grantees must register in the CCR (Central Contractor Registry)
- CCR Registration required annually
- DUNS and CCR provide a universal registration and other identifying information for our recipients.
- Grantees can have multiple DUNS numbers
- Registration required prior to making grants
Planning Certification Reviews

The following UZA will have Certification Reviews in FY 2012:

- Birmingham, AL
- Columbus, GA
- Northeast Florida
- Collier County, FL
- Tallahassee, FL
- Jackson MPO, Jackson, MS
Planning Certification Reviews

- Cabarrus-S. Rowan, NC
- Asheville, NC
- Charlotte, NC
- Winston-Salem, NC
- Rock Hill, SC
- Knoxville, TN
Planning and Program Development

Planning Certification Reviews

- FTA expect Transit agencies to participate in the Planning Certification Reviews.
- Both FHWA and FTA will be present for the reviews (based on funding availability).
Wrap-up

- Comply with the grant deadlines; develop an application schedule
- Submit supplemental agreement documentation
- Help us with Section 5309 Discretionary “Orphan Earmarks”
- Don’t forget to submit C&As & DBE reports in TEAM
- Remember all of the resources we have available: TEAM Training, New Grantee Process
- Remember DOT role: UPWP, TIP/STIP, Coordinated planning
U.S. Department of Transportation
Federal Transit Administration

NEPA/ Environmental Updates

Region IV State Programs Team
Annual Meeting
NEPA/Environmental Update

Agenda
- Class of Action Determinations
- Determining EA versus DCE Actions
- New Documented Categorical Exclusion (DCE) Template
- Section 106 Consultation Process
- Environmental Justice
- Streamlining the NEPA Approval Process
Class of Action Determinations

- A Class of Action determination is required for all Federal actions and establishes the level of environmental documentation required to comply with the National Environmental Policy Act (NEPA).
- Lead Federal agency responsible for class of action determination (1501.4) and for management and preparation of environmental documents (23 CFR 771.109(c)).
- Should have this discussion early in planning process – planning process is the first tool in identifying need for project and environmental issues:
  - Contact community planner
  - Provide preliminary project information (project description, location maps, etc.)
When to Use an EA over a DCE:

- More than a small amount of right-of-way
- When public involvement is necessary
- When alternatives need to be considered
  - Section 106 impacts
  - Section 4(f) involvement
  - Wetland impacts
New Documented Categorical Exclusion Template

- Two types of CEs ("Listed" [23 CFR 771.117(c)], and "Documented" [23 CFR 771.117(d)])
  - Information highlighted in yellow are notes that should be deleted when submitted to FTA
  - Grantee’s responsibility to review and approve the information provided to FTA for review, if hiring a consultant
- Revised to include better instructions and new Particulate Matter (PM2.5 and PM 10) evaluation section separate from MPO/Air Quality conformity section
- Available on FTA Region IV Website (http://www.fta.dot.gov/about/region4.html)
  - Far Upper Right side of webpage
  - “Grantee Resource Center”
  - Environmental/NEPA Resources
Section 106 Consultation Process

- Section 106 Worksheet
- FTA initiates all Section 106 Consultation with SHPO and other parties
- FTA makes the determination of eligibility for the National Register
- FTA makes effects determinations for each historic property
- Before publication of a final NEPA document, FTA should have received written concurrence from the SHPO on the effects determinations and when there are adverse effects, FTA works with consulting parties to develop a draft MOA or PA to include as an attachment to final NEPA document.
Environmental Justice

- Executive Order 12898
- FTA’s proposed EJ Circular
- Disproportionately high and adverse human health and environmental effects of programs and policies on minority and low income populations.
- Not a measurable impact
- Environmental Justice analysis focuses on the presence of Environmental Justice populations and evaluates disproportionately high and adverse impacts to these populations as compared to a reference population, considers alternatives, conducts public involvement, and develops mitigation efforts.
- Program level vs. project level analysis
Streamlining the NEPA Approval Process

• Currently FTA has 30 days to acknowledge that a submittal is in our hands
• Review and approvals vary according to current workload and complexity of project
• Congress considering several recommendations to eliminate certain requirements in ongoing efforts to produce a reauthorization bill:
  – Provide assurances that environmental decisions made in the planning process will be carried forward into the NEPA process
  – Provide clear statutory authorization and encouragement for programmatic approaches
Questions?
Brian Smart
Environmental Protection Specialist
Email: brian.smart@dot.gov
Phone: 404.865.5607
Program Management and Oversight Activities and Updates

Andres Ramirez, General Engineer

Ted Schmidt, General Engineer
Program Management and Oversight

**Agenda:**

- Introduction and Oversight Updates
- Procurement
- Program Management
- State Safety Oversight
- Reporting
- ARRA
- Tools/Resources/Training/Upcoming Events
Oversight Updates:
Oversight Reviews Completed in 2011

- Triennials – 42
- FMO – 7
- PSR – 9
- SMR – 7 Puerto Rico (PRHTA), Kentucky, Mississippi, Georgia (Follow up), North Carolina, Tennessee and VIDPW

- SSO – 2 North Carolina/CATS, PRIMA (Follow up)
Program Management and Oversight

**Oversight Updates:**
Oversight Reviews Scheduled for 2012

- Triennials – 42
- FMO – 28
- PSR – 13 FDOT
- SMR – 3 Virgin Islands, GDOT and GADHS
- SSO – 3 Tennessee, GDOT & FDOT (Follow ups - tentative)

- Additional FMO/PSR Reviews Will Occur As Needed.
Program Management and Oversight

Oversight Updates:

Workshops

• State Management Review Workshop
  (Registration Deadline: Feb 14, 2012)

• State Safety and Oversight Program Managers Meeting
  Colorado Springs and Pueblo, Colorado
  May 21 to 25, 2012.
Program Management and Oversight

Oversight Updates

State Level Oversight to Sub-recipients

• Achieve consistency in the level of State’s Sub-recipient oversight

• State Oversight via Oversight Contractors
  • Scope and oversight aspects covered
  • Duration, Reports
  • Follow up/corrective actions
  • Lapsing Contracts
Program Management and Oversight

**Oversight Updates**

**OIG**

- Red Flags During Reviews
- Oversight Challenges and Weaknesses
- Critical Areas of Concern
- Currently following up on issues throughout the region
Program Management and Oversight

Procurement

• Full and Open Competition
• Independent cost and price analyses
• Buy America requirements
• Change orders / Contract claims exceed $100,000
• 5 year limitation of contract period of performance
• Prohibition on geographic preferences
• Use of Brooks Act Procedures for A&E services if state has not adopted statute governing procurement
• Inclusion in contracts of all Federal clauses
Program Management and Oversight

Procurement

Cooperative Purchase (Houston-Galveston Area Council)

- Does not Comply with Federal procurement requirements
- Vendors’ pricing is not a response to actual grantee needs for vehicles
- Does not offer Full and Open Competition and constitutes a sole source procurement on the part of the grantee
# Program Management and Oversight

## Program Management - Section 5311

<table>
<thead>
<tr>
<th>Grantee</th>
<th>5311 Grants</th>
<th>Undisbursed Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALDOT Total</td>
<td>2</td>
<td>$20,126,898</td>
</tr>
<tr>
<td>FDOT Total</td>
<td>3</td>
<td>$29,300,111</td>
</tr>
<tr>
<td>GDOT Total</td>
<td>5</td>
<td>$48,121,075</td>
</tr>
<tr>
<td>KYTC Total</td>
<td>1</td>
<td>$9,067,542</td>
</tr>
<tr>
<td>MDOT Total</td>
<td>9</td>
<td>$32,562,337</td>
</tr>
<tr>
<td>NCDOT Total</td>
<td>7</td>
<td>$37,668,862</td>
</tr>
<tr>
<td>PRHTA Total</td>
<td>10</td>
<td>$8,009,329</td>
</tr>
<tr>
<td>SCDOT Total</td>
<td>4</td>
<td>$12,044,820</td>
</tr>
<tr>
<td>TDOT Total</td>
<td>6</td>
<td>$16,247,126</td>
</tr>
<tr>
<td>VIDPW Total</td>
<td>0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>GRAND TOTAL</strong></td>
<td></td>
<td><strong>$213,148,100</strong></td>
</tr>
</tbody>
</table>
Program Management and Oversight

**Section 5311 Program Management Strategies**

- **Equipment Management** - States can follow own guidance on:
  - Minimum useful life standards for vehicles
  - Procedures for determining fair market value
  - Developing policies and procedures for maintenance and replacement of vehicles
- **Maintenance**
  - Must be adequate to protect Federal interest for the useful life identified by the state.
- **Disposition (end of useful life)**
  - States proceeds from the disposition of equipment must return to transit.
**Program Management and Oversight**

**Section 5311 Program Management Reminders**

**Grants Management**

- Continue timely corrective actions on all oversight review findings

- Help to expedite the closeout of grants that have 95-100% expenditures

- Advance projects or closeout inactive grants
Section 5311 Program Management Reminders

Financial Management

- Watch overdraws
- Ensure proper documentation supporting draws in files
State Safety Oversight (SSO): Fixed Guideway Systems

- 49 CFR Part 659 went into effect on May 1, 2006.
- Includes non-FRA Light, Heavy, or Rapid rail, Trolley
- In Region IV: GA, FL, NC, TN and PR
- Formal Audits and Follow Ups

Program Management and Oversight

FTA Reporting

• Quarterly FFR/MPRs are due 30 days after the end of the quarter.

• ARRA:
  • 1512 January 14, 2012
  • 1201c February 17, 2012 (Last round of reporting beginning on Feb 1, 2012)

• FFATA

• A-133

• Performance Measures/Program Measures
Section 5310, 5316 and 5317 annual reporting and Performance Reporting Requirements

- Government Performance and Results Act of 1993 (GPRA)
  1. Section 5310 Performance measures
  2. Section 5316 Program measures
  3. Section 5317 Program measures
- Due on an Annual basis (October 31) Covering the Previous Fiscal Year
- Attach to the most recent grant in TEAM
Program Management and Oversight

Section 5310 Performance Measures

1. Gaps in Service Filed
2. Ridership (One Way Trips)

Section 5316 Program Measures

1. Actual or estimated number of jobs accessed by the JARC Projects in the Geographical area Covered
2. Actual or estimated number of rides (One Way Trips) provided
**Program Management and Oversight**

**Section 5317 Program Measures**

1. Services that impact availability of transportation for individuals with disabilities

2. Additions or changes to environmental infrastructure as a result of the projects implemented in the reporting year

3. Actual or estimated number of rides (one-way trips)
Federal Funding Accountability and Transparency Act (FFATA)

- FFTA Sub-award Reporting System (FSRS)
  www.USASpending.gov
- Applies to grants awarded after October 1, 2009
- Report by the end of the next month after any month in which the grantee makes a sub-award (not the end of the month after FTA awards the grant – unless the grantee gave pre-award authority to subs, or awards the sub-awards the same month)
**FFATA Reporting Procedures**

- Direct recipients must register on-line to use the [www.FSRS.gov](http://www.FSRS.gov) reporting site (must have a valid DUNS and current CCR registration).
- Sub-recipients must also have DUNS, but are not required to register in CCR.
- Just first tier sub-recipients (not vendors/third party contracts)
- The direct recipient must report the information about each first tier sub-award over $25,000.
**FFATA Required Data**

The required data elements in FSRS for each first tier sub-award over $25,000:

- Name of entity receiving sub-award
- DBA Name & DUNS of the entity and its parent
- Amount of Sub-Award
- Sub-award Number (Note: assigned by recipient)
- CFDA Number (Note: The same CFDA associated with the FTA award)
- Award Title, Purpose and Description
- Place of performance & Location of Entity including Congressional District
FFATA Required Data (Cont’d)

Information Reported

• Total compensation and names of top five executives, if required (Note: Not typically required, with thresholds of $25 M and 80% of total revenue coming from Federal funds)
**FFATA Resources**

- Information and training materials about FFATA sub-award reporting and FSRS are posted on [www.USASpending.Gov/news](http://www.USASpending.Gov/news).

(Add your email address under the “What’s New” Section To receive new information on changes and updates)

- Information and reporting guidance on FFATA Sub-award Reporting System (FSRS) at: [www.FSRS.GOV](http://www.FSRS.GOV)
Program Management and Oversight

American Recovery and Reinvestment Act (ARRA) Agenda

- Reporting Requirements
- Spend money by 9/30/2013 – Dear Colleague Ltr
- Budget Revisions (5307 and 5311) – MMC – see Rita Marisch emails
- Accelerated Drawdowns – Progress Payments Guidance
American Recovery and Reinvestment Act (ARRA)

- All ARRA dollars have been obligated!
- No amendments currently allowed (as of September 30, 2010)
- Budget Revisions are limited to those not requiring prior FTA approval per 5010.1D
American Recovery and Reinvestment Act (ARRA)

Budget Revisions Allowed:

- When the budget revision does not require prior FTA approval per FTA Circular 5010.1D
  - Change in scope is less than 20%
  - Change in existing ALI does not take away from complying with ADA or CAA compliance
  - Number of vehicles is no more than 20% or two units for fewer than 10 vehicles
  - Budget revision does not change the size or physical characteristics
  - Does not involve a deletion or addition of an ALI (unless adding an ALI through a cost savings)

*Note:* Where a budget revision is initiated as a result of cost savings, documentation should be included in the TEAM grant file. A budget revision that includes the addition of an activity line item is subject to FTA review and approval on a case-by-case basis.
### ARRA Program Management

<table>
<thead>
<tr>
<th>Grantee</th>
<th>Total Award</th>
<th>Disbursed Amount</th>
<th>Available Balance</th>
<th>% Disbursed</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALDOT</td>
<td>$24,906,871</td>
<td>$14,929,877</td>
<td>$9,976,994</td>
<td>60%</td>
</tr>
<tr>
<td>FDOT</td>
<td>$20,333,034</td>
<td>$16,841,783</td>
<td>$3,491,251</td>
<td>83%</td>
</tr>
<tr>
<td>GDOT</td>
<td>$37,973,652</td>
<td>$15,201,965</td>
<td>$22,771,687</td>
<td>40%</td>
</tr>
<tr>
<td>KYTC</td>
<td>$21,416,719</td>
<td>$21,416,719</td>
<td>$0</td>
<td>100%</td>
</tr>
<tr>
<td>MDOT</td>
<td>$17,252,566</td>
<td>$11,017,145</td>
<td>$6,235,421</td>
<td>64%</td>
</tr>
<tr>
<td>NCDOT</td>
<td>$33,055,504</td>
<td>$12,711,592</td>
<td>$20,343,912</td>
<td>38%</td>
</tr>
<tr>
<td>PRHTA</td>
<td>$18,554,142</td>
<td>$7,567,522</td>
<td>$10,986,620</td>
<td>41%</td>
</tr>
<tr>
<td>SCDOT</td>
<td>$17,221,838</td>
<td>$12,474,429</td>
<td>$4,747,409</td>
<td>72%</td>
</tr>
<tr>
<td>TDOT</td>
<td>$21,168,758</td>
<td>$16,231,416</td>
<td>$4,937,342</td>
<td>77%</td>
</tr>
<tr>
<td>VIDPW</td>
<td>$1,284,112</td>
<td>$1,178,397</td>
<td>$105,715</td>
<td>92%</td>
</tr>
<tr>
<td>REGION IV DOT TOTAL</td>
<td>$213,167,196</td>
<td>$129,570,845</td>
<td>$83,596,351</td>
<td>61%</td>
</tr>
</tbody>
</table>

ARRA Target Completion Date: September 2013
ARRA Program Management

- Continue Reporting per Statutory Deadlines
  - ARRA FFR/MPRs – due 30 days after the end of each quarter
  - 1512s – due 30 days after the end of each quarter
  - 1201(c) – due February 17, 2011

- ARRA Reporting Website
Program Management and Oversight

Reporting Reminders

• 1512 January 14, 2012
• 1201c February 17, 2012 (Last round of reporting beginning on Feb 1, 2012)
• FFR/MPR
  Jan 30, April 30, July 30, and Oct 30
• A-133 Reports and/or SAC Forms.
ARRA Reporting and Oversight

1201(c) Webinar

• February 2, 2012 2:00-3:30 PM EST
Program Management and Oversight

ARRA Reporting and Oversight

ARRA Site Visits

• Grants with large construction projects
• New grantees (sub-recipients)
• Issues
ARRA Reporting and Oversight

Visits consist of:

**Interview - Questions regarding:**

- Financial Oversight
- Procurement
- Continuing Control
- Civil Rights
- Construction
ARRA Reporting and Oversight

Visits consist of:

Review of Procurement Documentation Grantees (sub-recipients) should have hard copies and digital (CD) for:

- RFP’s
- Contracts
- PO’s
- Bid Tabulations
- Selection Committee Ratings ready in advance
ARRA Reporting and Oversight

Visits consist of:

Site Walk with Photos – Grantees (sub-recipients) should have half size Site Layout and/or Floor Plan with digital (CD) ready in advance.
ARRA Reporting and Oversight

- Visits take from 2-3 hours to a half a day or more depending on the number, size, and complexity of the construction site(s).

- Purpose is to make sure grantees (sub-recipients) are managing their grants and construction activities in accordance with federal requirements, and to assist where necessary.

- For State Grants the prime responsibility for this activity is the State.
Program Management and Oversight

ARRA Reporting and Oversight

New ARRA Assignments:

- Ted Schmidt: AL, KY, MS and TN
- Program Managers for all other states
Questions?
FRAUD AWARENESS & PREVENTION

Vivian Vega
Senior Special Agent
(954) 382-6648
U. S. DOT OFFICE OF INSPECTOR GENERAL

Region 4 Special Agent In Charge, Marlies Gonzalez
Region 3 Special Agent In Charge, Kathryn Jones
Investigations Regional Offices

(1) Cambridge, MA  
   (617) 494-2701

(2) New York, NY  
   (212) 337-1250

(3) Washington, DC  
   (202) 260-8580

(4) Sunrise, FL  
   (954) 382-6645

(5) Chicago, IL  
   (312) 353-0106

(6) Ft. Worth, TX  
   (817) 978-3236

(9) San Francisco, CA  
   (415) 744-3090

North Carolina is now part of Region 3
Topics to Discuss

- OIG: Who We Are
- Investigative Regions
- Investigative Priorities
- Types of Investigations
- Fraud Schemes
- Criminal Statutes Typically Used to Prosecute Fraud
- How we can help you with your specific programs like 5311, 5310, 5316, 5309 to name a few
- If You Suspect Fraud, Waste, and Abuse
- Reporting Suspected Fraud to OIG
- OIG Hotline
- Additional Sources of Information
- Why Should We Care?
- Questions?
OIG – Who We Are

- **The Office of Inspector General’s Mission:**
  - Conduct independent and objective audits, investigations, and inspections,
  - prevent and detect fraud, waste, and abuse,
  - promote economy, effectiveness, and efficiency,
  - review pending legislation and regulation, and
  - keep the agency head and Congress fully and currently informed.
Investigative Priorities

• Contract and Grant Fraud
• Transportation Safety
• Employee Integrity
TYPES OF INVESTIGATIONS

- CRIMINAL
- CIVIL
- ANTI-TRUST
- ADMINISTRATIVE ACTIONS
Cases that work for you

- #1 Reason For Fraud, Follow the money...
- Who handles it, who awards contracts, who benefits from changes in watered down clauses, employees getting paid heavy overtime, is there a complaint center for the public to log complaints? This is blues clues for grownups. RED FLAGS
- RED FLAG- unusual, irregular, discrepancy, repeated patterns, excuse is LOST IN TRANSLATION,
- Excuses: Didn’t understand, no training, one division doesn’t know what the other is doing. What are the ulterior motives?
Follow the money or be lost in Translation

- 5311-5309 (non-urbanized formula and investment capital programs) utilize employees of governmental agencies. If capital construction is ongoing you have to follow the money to the third party. Are they agents of the municipality? Are DBE’s involved?
- Dufast Transit in Dubois, PA – False Statements – False tax returns.
- Cases with Task Forces- mail fraud- bribery
TAXI’s, JARC buses, Assets missing

- 5310-5316-(Elderly Individuals and Individuals with Disabilities and Job access and Reverse Commute Programs)
- Buses, private for profits, taxi services, non traditional transportation providers.
- Example of case that went local instead of federal and achieved compliance and affected changes.
- Found: Drivers that no longer worked there making trips, drivers with excessive trips making earning high amounts, patients who the health centers advised never took the trips, riders who had been dead for years taking trips. About 13 drivers were arrested and changes implemented in the contract and the contractor had to pay the municipality back over $200,000 in punitive fees.
What is Fraud?

• Deliberate deception to secure an unfair gain; false statement; concealment of a material fact
  ✓ Intend to deceive
• Fraud “Triangle”
Investigative Techniques

- Physical surveillance of persons & things
- Electronic surveillance - it is a beauty 😊
- Research and audits of organization’s records
- Forensic analysis
- Undercover
- Interviewing - 😊
American Recovery and Re-Investment Act

- **Proactive Activities**
- Previously we have been a reactive agency...for ARRA funded projects, we are much more proactive in providing oversight

- Investigators are contacting project managers, inspectors, procurement managers, audit personnel, claims personnel and contractors
Proactive Investigative Activities

• Previously we have been a reactive agency...for ARRA funded projects, we are much more proactive in providing oversight

• Investigators are contacting project managers, inspectors, procurement managers, audit personnel, claims personnel and contractors
Proactive Activities

- Criminal checks and Suspension and Debarment checks on prime contractors, subcontractors, and DBEs.
- Reviewing Bidding Documents.
- Reviewing Certified Payrolls.
- Checking Certification and Net Worth Status on DBEs.
- Reviewing change orders, supplemental agreements, and claims.
Criminal & Civil Prosecutions

- Types of Crimes:

  - False Statements,
  - False Claims,
  - Bribery,
  - Bid-rigging,
  - DBE Fraud,
  - Prevailing Wage Fraud,
  - Product Substitution, and
  - Conflict of Interest
What can you do?

- Do you see Red Flags, like Under-bidding, collusion between bidders, DBE companies that don’t appear to be doing the work, or make too much money on existing contracts, assets being leased and not used like minivans for elderly in nursing homes, or land being sold and not disclosed, abusive purchasing practices using formula money.
- ASK WHY AND DOCUMENT THEIR ANSWERS.
- DON’T ACCEPT THE EXCUSES...KEEP PROBING and DOCUMENTING.
- FINALLY, CALL US.
TYPES OF FRAUD IN DOT CONTRACTS and CRIMES

- False Statements, DBE Fraud
- Corruption/Bribery
- False Certifications
- Obstruction of Justice
- Over Billing
- Product Substitution, Price fixing, Bid Rigging
- False Change Orders or Supplemental Agreements
- False Claims, Mail or Wire Fraud
www.oig.dot.gov
Contact Information

- National OIG Hotline: 1 - 800 - 424 - 9071 or 202 - 366 - 1461
- OIG Hotline E-mail: hotline@oig.dot.gov
- OIG Web Page: www.oig.dot.gov
Enterprise Grants Management
NCDOT

FTA State Programs Meeting
February 2, 2012
Timeline

- Planning, Design and Testing began June 2010 and ended April 2011.
- System went live for NCDOT staff April 2011.
- Grantees were trained August/September 2011.
- System went live for Grantees August 2011.
- First applications of grantees began November 2011.
Program Management

- Manage Program Budget
- Track Application Status
- Monitor Agreements
- Program Audits
- Reporting and data analysis

Data Provided “Real Time”
Online Presence

• Grant sub-recipients access grants online
  – Grant Application Submission
  – Award Status
  – Invoice Submission
  – Program Tracking
  – Grant Budgets and Balances
Project History

• Public Transport Division (PTD)
  – Went live on April-2011
  – 50 programs
  – Application with $ 90 million
  – Users – Internal -25 External- 500

• Governors Highway Safety Program (GHSP)
  – Went live on March-2011
  – 2 Programs
  – Application with $ 20 million
  – Users – Internal -10 External- 350

• Department of Aviation (DOA)
  – In Process
  – 4 to 6 Programs
  – Application – > $ 50 million (estimated)
Business Value

• Reduced Manual Processes and Workload
• Improved Transparency and Auditability of Grant Program Activities
  – Control Unallowable Costs (Reduces State Funding)
  – Enable Controls to Ensure Each Grant Spent in Accordance with Federal Guidelines
  – Streamline Activities from Proposal to Closeout
  – Reduce Manual Processes
• Streamlined Grants Activities From Proposal to Closeout
• Integrated Grants-Related Reports in Business Warehouse
• Increased Sponsor Satisfaction with Management of Funds, Potentially Increasing External Funding
Best Practices & Challenges

Best Practices
• Going green
• Eliminates mathematical errors
• Very user friendly
• Help manual & FAQ page

Challenges
• Training grantees in a timely manner
• Technical issues with old computers
User ID and PIN

- **User ID**
  - User name (ID) and password identifies the user
  - Required for system logon
  - Obtained through the security form available on the PTD & GHSP website
  - Associated with vendor number

- **PIN**
  - Represents an electronic signature (Based on FTA Model)
  - Required during Contract/Agreement and Claim processes
  - Obtained through the security form available on the PTD & GHSP website
  - Unique to a specific person
Contact Details

- Wayne Rogers, Asst. Director for Administrative Services, PTD
  wrogers@ncdot.gov

- Jill Stewart, Customer Experience Manager -IT
  jestewart@ncdot.gov

- Manoj Pandya- IT Technical/ Integration
  mpandya@ncdot.gov
Can we really develop a good system here???
Electronic Management System

- Asset Management System
- Grants Management System
- Performance Management System
- RTAP Management System
Provider Management Features

- Office of Public Transit (OPT) will manage provider information from a centralized location.
- A single provider data entry interface will allow all management systems to be cross-populated with relevant data at one time.
- OPT and our transit providers will be able to modify various information related to the specific providers.
## Provider Management

<table>
<thead>
<tr>
<th><strong>Provider</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Organization:</strong> Central Midlands Regional Transit Authority</td>
</tr>
<tr>
<td><strong>Acronym:</strong> CMRTA</td>
</tr>
<tr>
<td><strong>Provider Type:</strong> Public Providers</td>
</tr>
<tr>
<td><strong>FEIN:</strong></td>
</tr>
<tr>
<td><strong>Organizational DUNS:</strong></td>
</tr>
<tr>
<td><strong>Website address:</strong> <a href="http://www.gocmrt.com">www.gocmrt.com</a></td>
</tr>
<tr>
<td><strong>Physical Address:</strong></td>
</tr>
<tr>
<td><strong>Street Address:</strong> 3613 LUCIUS ROAD</td>
</tr>
<tr>
<td><strong>City:</strong> COLUMBIA</td>
</tr>
<tr>
<td><strong>State:</strong> SC</td>
</tr>
<tr>
<td><strong>Zip:</strong> 29201</td>
</tr>
<tr>
<td><strong>Mailing Address:</strong></td>
</tr>
<tr>
<td><strong>Address:</strong> POST OFFICE BOX 214</td>
</tr>
<tr>
<td><strong>City:</strong> COLUMBIA</td>
</tr>
<tr>
<td><strong>State:</strong> SC</td>
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<tr>
<td><strong>Zip:</strong> 29202</td>
</tr>
</tbody>
</table>

Created at 1/9/2012 11:15:48 AM by NT$\backslash Richards3F
Last modified at 1/25/2012 2:35:29 PM by NT$\backslash scott84
Asset Management System

Purpose

- To allow OPT to enter new capital equipment including vehicles, update, track and manage existing equipment statewide from a centralized location.
- In addition, this system will ultimately allow OPT and our transit providers to plan and budget for new equipment more accurately and efficiently.
- With this system, OPT has the ability to manage the equipment across providers; meanwhile, a provider can only view the information for their agency.
Asset Management System

- Through the system, asset management coordinators are set up to manage all information related to a piece of equipment or vehicle. They are allowed to edit, view, and delete this information.

- Other members of OPT and the providers are allowed to view this information but they cannot make any changes.

- Coordinators also have the ability to:
  - Electronically release a vehicle title or
  - Electronically release and transfer a title.
Asset Management System
### Asset Management System

Below is a list of data elements that will be tracked and managed, and can be searched:

<table>
<thead>
<tr>
<th>Vehicle Identification Number (VIN)</th>
<th>Initial Odometer Reading</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provider</td>
<td>Current Odometer Reading</td>
</tr>
<tr>
<td>Year</td>
<td>Contract Number</td>
</tr>
<tr>
<td>Make</td>
<td>Grant Number</td>
</tr>
<tr>
<td>Model</td>
<td>Invoice Number(s)</td>
</tr>
<tr>
<td>Body Style</td>
<td>Program Funding Code</td>
</tr>
<tr>
<td>Vehicle Type</td>
<td>Title Number</td>
</tr>
<tr>
<td>Weight</td>
<td>Date Issued</td>
</tr>
<tr>
<td>County</td>
<td>Purchase Approval Date</td>
</tr>
<tr>
<td>Physical Condition</td>
<td>Purchase Order Date</td>
</tr>
<tr>
<td>Vehicle Status</td>
<td>Purchase Amount</td>
</tr>
<tr>
<td>Seating Capacity</td>
<td>Date Title Received</td>
</tr>
<tr>
<td>ADA Compliance</td>
<td>Availability for Emergency Use</td>
</tr>
<tr>
<td>Wheelchair Positions</td>
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</tr>
<tr>
<td>Useful Life Years</td>
<td></td>
</tr>
<tr>
<td>Useful Life Miles</td>
<td></td>
</tr>
</tbody>
</table>
## Equipment Search

The fields below are used to narrow the results in the Equipment list at the bottom of the page. Please enter information or make selections using the fields provided then click Search to filter the results. Click the Reset button to clear the fields below and display all equipment in the list.

<table>
<thead>
<tr>
<th>VIN</th>
<th>Provider</th>
<th>Year</th>
<th>Make</th>
<th>Model</th>
<th>Type</th>
<th>Physical Condition</th>
<th>Contract Number</th>
<th>Grant Number</th>
<th>Title Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>285YD32Z6K5322022</td>
<td>Anderson County Economic Development</td>
<td>1984</td>
<td>Chevrolet</td>
<td>120YN-35</td>
<td>17-PASS</td>
<td>Salvage</td>
<td>23443</td>
<td>23443</td>
<td>23443</td>
</tr>
<tr>
<td>285YD32Z6K5322021</td>
<td>Central Midlands RTA</td>
<td>1997</td>
<td>Dodge</td>
<td>RMW</td>
<td>15-PASS</td>
<td>Good</td>
<td>DMT-6C2GB-23</td>
<td>0FT-12312321</td>
<td>20000</td>
</tr>
<tr>
<td>285YD32Z6K5322072</td>
<td>Bethel Senior Day Care Center</td>
<td>2001</td>
<td>Chance</td>
<td>120SN</td>
<td>17-PASS</td>
<td>Excellent</td>
<td>2343234</td>
<td>2343234</td>
<td>2343234</td>
</tr>
<tr>
<td>285YD32Z6K5320183</td>
<td>Pee Dee RTA</td>
<td>1991</td>
<td>Dodge</td>
<td>RMW</td>
<td>15-PASS</td>
<td>Excellent</td>
<td>2343321</td>
<td>2343321</td>
<td>2343321</td>
</tr>
<tr>
<td>285YD32Z6K5320168</td>
<td>Lowcountry RTA</td>
<td>1997</td>
<td>Dodge</td>
<td>RMW</td>
<td>15-PASS</td>
<td>Excellent</td>
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<td>2343321</td>
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<td>York County Adult Day Care</td>
<td>2002</td>
<td>Dodge</td>
<td>RAM</td>
<td>15-PASS</td>
<td>Excellent</td>
<td>MT-28810-39</td>
<td>SC-03-0026</td>
<td>18299 A</td>
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<tr>
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<td>York County Adult Day Care</td>
<td>2002</td>
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<td>Excellent</td>
<td>MT-28810-39</td>
<td>SC-03-0026</td>
<td>18299 A</td>
</tr>
</tbody>
</table>

10
Asset Management System

Asset Management Coordinators can upload a scanned copy (in PDF format) of the following documents. Each document can be associated with a specific piece of equipment.

- Certification of Title
- Invoice
- Property Delivery Receipt
- Equipment Transfer
- Procurement Documentation
**Grants Management System**

- The Grants Management System allows transit providers to apply for grants, track the status of pending applications, and interact with OPT on all grant applications.
- This system allows real-time processing and collaboration between OPT and the providers on all grant applications through the entire process from initial submittal, review and comment, approval, and contract agreement.
- The intent is to completely automate the entire manual process which is currently used by OPT and transit providers throughout South Carolina.
Grants Management System

Below are the major functions provided by the system:

- Allow OPT to manage the contact information for the providers.
- Allow OPT to post and manage/maintain the funding announcements.
- Allow the providers to enter the information for their Certifications & Assurances and required documents electronically.
- Allow the providers to enter information and submit the formal application(s).
- Allow OPT to monitor the applications as they are submitted by the providers.
Grants Management System

Major system functions continued:

- Allow OPT to collaborate with the provider through the use of comments for each application submitted.
- Allow OPT to electronically either approve or reject each application submitted.
- Allows for electronic contract signature.
- Allows for search of provider contract agreements by federal grant agreement.
- Allows for monitoring of the workflow to identify and address bottlenecks.
- Allow for communication with new SAP-based statewide, interagency enterprise management system.
Grants Management System

Funding Announcements: New Item

- **Title**: This is the subject line specified on the actual announcement letter.
- **Fiscal Year**
- **Announcement Date**: 1/27/2012
- **Sender**
- **Recipients**
- **Contact Name**
- **Federal Funding Amount**: 0.60
- **Reminder Date**
- **Expiration Date**: This is the date the funding announcement will expire.
- **Status**: Pending
- **Grants**

- 5307 (SMTF) Urbanized Area Formula Grant
- 5309 Facilities
- 5309 Vehicle Acquisition Program (VAP)
- 5310 Elderly Individuals and Individuals with Disabilities Program
- 5311 Rural Transportation Formula Program
- 5316 JARC Rural
- 5316 JARC Small Urban
- 5317 New Freedom Rural
- 5317 New Freedom Small Urban
Grants Management System
Grants Management System
Grants Management System
Next Management Systems

- Performance Management System
  - Currently manual entry and calculations through Excel spreadsheets
  - Tied to RouteMatch
  - Tied to NTD

- RTAP Management System
  - Electronic Course Notification
  - Electronic Course Registration
  - Electronic Request for Reimbursement
  - Electronic Payment
We’re not there yet, but we’re on our way...
In closing...
SOUTH CAROLINA
GAMECOCKS. BASEBALL

BACK-TO-BACK
NCAA® BASEBALL
NATIONAL CHAMPIONS
SOUTH CAROLINA GAMECOCKS
2010-2011

BACK-TO-BACK
2010-2011

RECORD SETTING 16 CONSECUTIVE NCAA® TOURNAMENT VICTORIES
Atlanta’s CRD Program

FTA Region 4
Ben Rabun, PE - Georgia DOT
Patrick Vu, PE - State Road and Tollway Authority
January 25, 2012
Goal: Provide more reliable travel times and commuting choices

I-85 Express Lanes, $60 million
- ~16 miles long, from Chamblee Tucker near I-285 to Old Peachtree Road
- Existing HOV2+ lane conversion to HOT3+
- Opened September 30, 2011

Regional transit improvements, $122 million
- New Xpress Park and Ride Lots including 3 along I-85
- New Xpress commuter coach

Total cost $182 million, with USDOT contributing $110 million
I-85 Express Lane Corridor

- 16 miles, 1 lane in each direction, painted buffer
- 67 toll sites located every 0.5 miles
- Registered lane, even for toll-exempt vehicles
  - HOV3+, motorcycles, transit, Alternative Fuel Vehicles
- Dynamically priced
- Signs show min and max tolls
- 24/7 operations

www.PeachPass.com
### Weekday Longest Trip and Average Tolls

<table>
<thead>
<tr>
<th>Date</th>
<th>Average Toll</th>
<th>SB Longest Trip Toll</th>
<th>NB Longest Trip Toll</th>
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<tbody>
<tr>
<td>12/12</td>
<td>$0.00</td>
<td>$1.00</td>
<td>$2.00</td>
</tr>
<tr>
<td>12/13</td>
<td>$0.00</td>
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<tr>
<td>12/23</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$1.00</td>
</tr>
</tbody>
</table>

Graph showing the trend of average tolls and longest trip tolls from December 3 to January 16.
I-85 Express Lanes Daily Trips

- 12,000 trips
- 3,200 trips

www.PeachPass.com
Peach Passes Transponders Issued

Total Peach Passes Assigned

- 75k
- 130k

www.PeachPass.com
Tolling Operations Center (TOC)

- 3 primary goals:
  1. Adjust toll rates
  2. Monitor for traffic incidents and coordinate with GDOT Traffic Management Center (TMC)
  3. Monitor tolling equipment

- Redundant monitor roadway with tolling system, GDOT’s TMC NaviGAtor, and EarthCam Stations
- Be flexible to modify/add access points and weave zone designs
- Incident response strategy evolves over time

www.PeachPass.com
Pricing and Operational Insights

- Constant monitoring and adjustments
- Found different travel patterns
- “Mark Arum” effect – traffic reporters and real-time traveler information signs can have significant immediate impacts to motorist response
- Pricing of shoulder hours is as important as setting peak hour toll rates
Enforcement Technology

- HOV3+ mode can be self-declared via changing toll mode by phone, website interfaces, or mobile app.

- Occupancy enforced by law enforcement, but aided by the tolling system and Mobile License Plate Recognition (MLPR).

- Gantry Controlled Access (GCA) creates electronic barrier to deter improper double white solid lines using tolling entry/exit logic.

www.PeachPass.com
Marketing and Outreach Insights

- Implementation of integrated marketing campaign (ie outreach, paid and earned media, websites, social media, etc)
- Strategy of transparency and responsiveness to the public and the media
- Educating the media, especially traffic reporters, during lead up and post launch
- Coordinated media and marketing activities in order to not overwhelm Customer Service Center
- Targeted HOV 2+ outreach effort by Clean Air Campaign
CRD Transit Projects

- I-85 North HOV to HOT
  - Add 36 coaches on 5 routes
  - Add 2,200 parking spaces in 4 park and ride lots
- Remainder of Region
  - Added 45 coaches on 9 new routes
  - Added 5,000 parking spaces in 8 park and ride lots
  - New operating facilities
Xpress Service Pre-Post Ridership

- September 2011 vs First Week

<table>
<thead>
<tr>
<th></th>
<th>Destination</th>
<th>Route Sponsor</th>
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<tbody>
<tr>
<td></td>
<td>Total</td>
<td>Downtown</td>
</tr>
<tr>
<td>Sept Average</td>
<td>15,724</td>
<td>11,007</td>
</tr>
<tr>
<td>Oct 3-7</td>
<td>16,411</td>
<td>11,260</td>
</tr>
<tr>
<td>Change</td>
<td>+4.4%</td>
<td>+2.3%</td>
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</table>

- 2010 vs 2011 Monthly Comparisons

<table>
<thead>
<tr>
<th>Xpress Daily Ridership Relative Month Comparison 2010 -2011</th>
<th>October</th>
<th>November</th>
<th>December</th>
</tr>
</thead>
<tbody>
<tr>
<td>I-85 Corridor</td>
<td>20.9%</td>
<td>12.8%</td>
<td>9.6%</td>
</tr>
<tr>
<td>I-85 Corridor w/o the new routes 413 and 416</td>
<td>13.5%</td>
<td>5.1%</td>
<td>1.7%</td>
</tr>
<tr>
<td>Xpress Service outside of I-85</td>
<td>4.9%</td>
<td>4.6%</td>
<td>9.9%</td>
</tr>
</tbody>
</table>
Next Steps

- Monitor and evaluate the performance and affects of the CRD projects, including before and after studies
- Apply lessons learned to future projects
- Adjust operations and pricing of Express Lanes
- Strategically align Marcomm plan to new insights to maintain base and attract new customers
QUESTIONS?

More information:
http://www.peachpass.com
http://www.dot.state.ga.us/travelingingeorgia/expresslanes/I85ExpressLanes/Pages/default.aspx

Ben Rabun, PE
brabun@dot.ga.gov
Patrick Vu, PE
patrickvu@georgiatolls.com
U.S. Department of Transportation
Federal Transit Administration

FTA

Region IV State Programs Team
Annual Meeting

Legal Update: Hot Topics for 2012
Overview

• Cooperative Purchasing and the Houston-Galveston Area Council (HGAC) Agreement:

• FTA Review of Bid Protests

• 2012 Certification and Assurances Helpful Hints
Legal Update

Cooperative Purchase

• Common scenario for cooperative purchase is for vehicle purchases, such as bus.

• Three (3) typical procurement methods:

1. Joint procurement with another grantee for a finite number of vehicles
2. Accepting the assignment of another grantee’s contractual right to purchase a finite number of vehicles (aka “piggybacking”)
3. Conducting a stand alone procurement for a finite number of vehicles
Cooperative Purchase cont.

- Grantee’s responsibility when purchasing using FTA funds:
  - Common Grant Rule (49 C.F.R. 18.36) and 49 U.S.C. 5325 require grantees to use full and competition when making purchases.
Cooperative Purchase cont.

- Houston- Galveston Area Council (HGAC) Agreement:
  
  - FTA considered this agreement to be a sole source procurement on the part of a grantee, and not full and open competition, because:
    
    - HGAC did not advertise for a finite number of vehicles.
    - HGAC does not actually purchase vehicles because it is not a transit system.
Cooperative Purchases cont.

- HGAC agreement results in a “catalog” of prices and services that are normally advertised by individual vendors.
  - Per HGAC agreement, HGAC “members” can then negotiate with participating vendors based on the prices listed in the HGAC agreement.
FTA’s Review of Bid Protests

• What are the grantee’s responsibilities?
  – Have appropriate written protest procedure
    (part of technical capacity requirement)
  – Timely notify FTA when a third party contract protest is received.

• What does FTA review?
  – Whether the grantee followed its own protest procedures
  – Whether federal laws or regulations were violated
2012 Certifications and Assurances

• **Reminder**: Please ensure that your 2012 Certifications and Assurances have been submitted in TEAM-Web
## Legal Update

### 2012 Certifications and Assurances Tracking

<table>
<thead>
<tr>
<th>Grantee</th>
<th>Official PIN</th>
<th>Legal PIN</th>
<th>Attachment (if applicable)</th>
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<td>Yes</td>
<td>No</td>
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<td>ADSS</td>
<td>Yes</td>
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</tr>
<tr>
<td>FDOT</td>
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<td>Yes</td>
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</tr>
<tr>
<td>GDOT</td>
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<td>GDHS</td>
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<td>VIDPW</td>
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</table>

Dates as of 1/24/2012
Legal Update

For additional information or questions, please contact:

Erica Matos
Regional Counsel, Region IV
404-865-5474
Erica.matos@dot.gov
CIVIL RIGHTS UPDATE

FTA has put an increased emphasis on assuring compliance with all civil rights regulations.

Having all required civil rights programs (Title VI, EEO, and DBE Program and Goal) on file and approved are pre-requisites to funding.

Increased emphasis means:
1. programs are uploaded in TEAM
2. reviews are more in-depth
3. reviews are followed-up with a letter from TCR indicating review determination, and any corrections needed
Do not wait until the last minute to submit your updated program because...

- The Office of Civil Rights needs 30 days to review the program.
- You need time to make corrections if necessary.

And most importantly, because.....
ALL CIVIL RIGHTS REQUIREMENTS MUST BE MET BEFORE GRANTS CAN BE PROCESSED

- Not having all civil rights programs approved could result in delays in processing grants or draw-down restrictions.
Submit a program by attaching entire program under the civil rights tab in TEAM.

Save under a name easily identifiable.
- Include the date in the filename so we know we are reviewing the most current submission.
  - e.g. EEO2011-2014Metro12.17.11

Email your Civil Rights Officer to notify him or her of your submission.

Technical issues with TEAM?
  Contact the TEAM Helpdesk at: 888-443-5305
**Title VI and EEO**

- Program expiration date is 3 years from date program is due, *not* 3 years from date of program review and approval.

- **Title VI Program** – Applies to All FTA Recipients
  - Expires every 3 years
  - MPO submits a Title VI program every 4 years
  - Remember to submit a service and fare equity analysis BEFORE you institute a change

- **Equal Employment Opportunity (EEO) Program** – Does it apply to you?
  - FTA recipients with 50 or more transit-related employees
    - **AND**
      - (1) received $1 million or more in capital or operating assistance
      - OR
      - (2) received $250,000 or more in planning assistance during the previous fiscal year
The Office of Civil Rights has separated EJ from Title VI Circular

- A Brand New Environmental Justice Circular has been created and Proposed.

- A revision to the Title VI Circular has been proposed.

✓ Comments received are currently being compiled and Processed.
Why Environmental Justice

- To avoid, minimize or mitigate disproportionately high and adverse human health and environmental effects, including social and economic effects on minority populations and/or low-income populations.

- To ensure the full and fair participation by all potentially affected communities in the transportation decision making process.

- To prevent denial of, reduction in, or significant delay in the receipt of benefits by minority populations and/or low-income populations.
DBE

- DBE applies to FTA recipients receiving planning, capital and/or operating assistance who will award contracts exceeding $250,000 in FTA funds in a Federal fiscal year (excluding vehicle purchase and internal expenses, i.e. planning).

The DBE Program is different from the DBE Goal grantees submit every three years.

- The DBE Goal anticipates contracts with FTA funds and the availability of DBEs to perform work on FTA-assisted contracts.

- The DBE PROGRAM describes how the agency implements the program or carries out its DBE efforts.
ALL grantees must make revisions to their **DBE PROGRAM** and submit an updated **PROGRAM** in its entirety to FTA by February 28, 2012.
Taking all reasonable steps to eliminate obstacles to small business participation, including unnecessary and unjustified bundling of contract requirements.

- Plans MUST include an implementation schedule not to exceed nine months.

- **Tools that recipients may choose to utilize in their small business plan could include:**
  - requiring prime contractors to provide subcontracting opportunities of the type size that small businesses, including DBEs, can reasonably perform
  - identifying alternative acquisition strategies
  - structuring procurements to facilitate the ability of small businesses, including DBEs to compete for and perform prime contracts
Monitoring and Enforcement


- DBE Program must include mechanisms and processes to monitor contractors and subrecipients to ensure compliance by all participants.

- Monitoring Mechanisms must include enforcement provisions to ensure work committed to DBEs in the contract awarded is actually performed by DBEs.
If not, it may be necessary for you to make additional updates beyond the two new components in order to bring your DBE program into full compliance with 49 C.F.R. Part 26.

• Please consult with your Regional Civil Rights Officer if you are unsure or need assistance.
FTA Office Of Civil Rights Will Be Hosting 3 Webinars

- Tuesday, February 7, 2012 ~ 12:30–2:00 p.m. EST
- Wednesday, February 8, 2012 ~ 2:00–3:30 p.m. EST
- Thursday, February 9, 2012 ~ 10:00–11:30 a.m. EST

Register by visiting the civil rights website / emailing Brian Whitehead at: brian.whitehead@dot.gov.

Within your email, please indicate which webinar you wish to attend.

- We ask that grantees sign-up for only one webinar due to capacity issues.
- Depending on the demand, we may schedule additional webinars.
Once you have developed the necessary updates, you must incorporate the updates into your existing DBE program.
- Standalone documents will not be accepted.

Submit the ENTIRE DBE Program in TEAM.
- Remember: an entire submission includes any additional updates needed to make your existing program compliant, especially if you have not updated your program in a while.
FTA issued an ADA Final Rule September 19, 2011

Points to Note:

• The term “common wheelchair” has been removed.
• The definition of “wheelchair” has been refined.
• Missed trips and denials (paratransit) are addressed.
• No change has been made to the definition of “service animal;” existing DOT definitions continue in effect.

US DOJ Issued Final Rule on ADA March 15th

** The DOJ Rule does NOT apply to FTA
For questions or concerns regarding public transportation for persons with disabilities

Call the FTA Civil Rights ADA Assistance Line (toll free)

1–888–446–4511

Relay Service: 1–800–877–8339
Leave a message and your questions or concerns will be addressed by a member of the FTA ADA Team.

Or

- Email the FTA ADA Team: FTA.ADAAssistance@dot.gov
QUESTIONS ABOUT CIVIL RIGHTS

› Contact me: Rebecca E. Rand
  Civil Rights Officer, Region VII
  Federal Transit Administration
  901 Locust Street, Room 404
  Kansas City, MO 64106
  Direct: (816) 329–3928/Main: 3920
  Fax: (816) 329–3921
  Rebecca.Rand@DOT.Gov

› Visit the Civil Rights website: http://www.fta.dot.gov/civil_rights.html

THANK YOU!
U.S. Department of Transportation
Federal Transit Administration

Human Services Transportation Programs Update

David Schilling, FTA
Joann Hutchinson, Region IV United We Ride Ambassador
Agenda

• SAFETEA-LU Human Services Transportation Coordination Provisions
• Accomplishments
• Friendly Reminders - Section 5310, 5316 and 5317
SAFETEA-LU Human Services Transportation Coordination Provisions

Coordinated Planning
- Requires the establishment of locally developed coordinated transportation plans in order to access federal program funds (5310, 5316 and 5317)
- Requires the plan to be developed by a process that includes representatives of public, private and nonprofit transportation and human services providers and participation by the public.

Coordinated Federal Funding

Mobility Management

National Resource Center/United We Ride
FTA Coordinated Transportation Programs

- Section 5310 Elderly Individuals and Individuals with Disabilities Program, Section 5316 Job Access and Reverse Commute Program and Section 5317 New Freedom Program
  - FY2006- FY2012 Funding
    - Section 5310 - $842M
    - Section 5316 - $1.1B
    - Section 5317 – $600M
- United We Ride Grants (3 rounds of grants)
- FY 2011 DOT, DOL, DOD, VA, HHS Veterans Initiative
Accomplishments

• Coordinated Plans – Over 700 areas have adopted or developing plans!

• One Call Centers – 70% of states have already implemented or are developing one-call centers!

• Mobility Managers
  – Over 400 Mobility Managers nationwide (70% funded by 5310/JARC/NF)
  – Partnership for Mobility Management (APTA, CTAA, Easter Seals, AASHTO)
  – Expo 2011 – First National Conference
Accomplishments

- Toolkits, Best Practices and Resources (CTAA, ESPA, UWR, NRC)
  - Framework for Action; One-Call, One-Click, Medical Transportation, Transit Pass and Senior Transportation Toolkits; Transportation Solutions Course; CTAA Coordination Institute; National Dialogue; Economic Benefits; Cost Sharing; Federal Funding Eligibility Chart

- Coordination Legislation – 26 state coordination councils (NCSL)

- USDOT ITS MSAA National Demonstration

- Establishment of Quarterly UWR Region Conference Calls
Accomplishments

- United We Ride
  - Ambassadors
  - Establishment of Quarterly Regional Conference Calls
- Policies on Coordinated Planning and Vehicle Sharing
- Leadership Awards
Friendly Reminders – Section 5310, 5316 and 5317 Programs

Friendly Reminders:

- Carry-over funding – apply now!
- Section 5310 Pilot Program (SCDOT and NCDOT)
- Coordinated Plans should be updated during the same cycle for metropolitan or state transportation plans:
  - 5 years in attainment areas
  - 4 years in non-attainment and maintenance areas
- DRs – required to publicly advertise the availability of funds and selection criteria and also publish a list of selected projects following the competitive selection process.
Friendly Reminders – Section 5310, 5316 and 5317 Programs

**Friendly Reminders:**

- TIPs – Urbanized Areas (JARC, NF)
- DRs can use up to 10% for Administration @ 100% federal
- POP must contain name of coordinated plan and page number of the project or the goal or strategy the project is derived from
- Mobility Management (80/20)
- Amendments/Budget Revisions – can’t add new projects unless they were CS
Friendly Reminders: Section 5310, 5316, and 5317 Programs

Friendly Reminders:

- Eligibility:
  - The purchase of bus/transit passes are not eligible for any program
  - Sidewalks or sidewalk improvements are not eligible for the JARC program
  - Transportation for general education is not eligible under the JARC program – only specific job training
  - New Freedom projects must be open to all people with disabilities
  - Insurance is eligible (operating expense)
  - Operations should not exceed two years
  - Vouchers are an operating expense
VTCLIO Sites

55 projects - 32 States plus Guam - $34.6 M

States with statewide projects
States with local projects
Local projects

AK, HI & insular areas not to scale
VTCLI Partners

Direct Funding Partners
Department of Transportation
Department of Veterans Affairs
Department of Labor

Other Partners
Department of Defense
Department of Health & Human Services
Military and Veterans Service Organizations
VTCLI Purpose

• Build on success of FTA’s United We Ride “One Call Center” model

• Bring together available transportation services with human service programs—especially for veterans and military families
Program Benefits

- Enhance coordinated federal, local transportation and community partnerships
- Integrate services that help U.S. veterans, service member and military families connect with local transportation options
- Improve access to home- and community-based services for people with disabilities and older adults
- Reflect intent of Supreme Court’s Olmstead Decision
- Align with White House Joining Forces Initiative
Project Goals

• Establish or expand a one-call/one-click transportation resource center
  – Include resources for veterans, service members and military families
  – Promote use of center with military community

• Create partnerships between transportation providers and veterans and military communities

• Increase involvement of veterans and military communities in local Coordinated Human Services Transportation Planning process
Project Expectations

• Continued development of partnerships with Veterans and Military Service Organizations (VSO/MSO)

• Partnership including VSO/MSOs will be continually involved in the design and implementation of project

• Community will update Coordinated Plan to address transportation needs of veteran & military community (or verify it has already done so)
Mission

*Improve the quality of life for veterans by increasing access to health care through integrated and cost effective transportation solutions*

Vision

*Overcome barriers to care by assuring effective and efficient transportation*
VTS Program Objectives

- Provide Veterans with convenient and timely access to transportation services and overcome access barriers to increase transportation resources and options for all Veterans.
- Focus on Rural and Highly Rural areas.
- Establish a network of community transportation service providers
- Partner and integrate with Veteran Service Organizations
- Create a state of the art system using 21st Century ride share software.
- Apply transportation best practices/ strong practices.
- Support facility and VISN leadership
VTS Keys to Success

- Customer Centric Service
- Convenience Factor
- Positive ride environment
- Franchise Concept
- Board of Directors
- Mobility Manager
- Partnerships (VSO & Community)
- Cost effective (ROI)
- Operations Business Model
Mobility Management

- Focus on transportation service diversity and a family of transportation services
- Focus on individual and community partnerships
- Uses multiple transportation providers to offer the most efficient and effective service to individuals
- Mobility Managers serve as policy coordinators, operations service brokers and customer travel navigators
- Mobility Managers disaggregates service planning and markets in order to better serve individuals and the community
- Mobility Manager acts as a travel agent/service coordinator/advocate to find the most effective individual transportation needs
VTS Locations

VTS Site Map

46 sites

- Pilot sites
- Phase II sites
- Phase III sites
Typical VTS Operational Structure

- VAMC Director
- Board of Directors
- Responsible Office
- Mobility Manager
- Scheduler
- Dispatcher
- Driver
- Driver
- Driver
- Escort
- Escort
- Escort
- VSO Representative
Community Partnerships

- United We Ride
- Community Transportation Association of America (CTAA)
- FTA Veterans Transportation & Community Living Initiative grant
  - Prescott, Arizona is partnering with Northern Area Council of Governments, Central Yavapai Metropolitan Planning organization and Chino Valley Transit
  - Muskogee hosted a regional meeting with multiple transit organizations and Native American representatives
- Temple, Texas partnerships
  - “The Hop” local bus transit system
  - VetRides partnership (VTS bus meets VetRide bus to cut 150 mile ride in half)
  - Austin CARTS rural transit system (bus stop use and free vet rides)
  - Texas Department of Transportation
  - Texas Veterans’ Commission
- Ann Arbor partnership with Meijers Corporation
Return on Investment

- Reduced Beneficiary Travel costs
- Reduced FEE
- Reduced Special Mode costs
- Reduced Clinic No Shows
- Increased VERA
- Reduced Bed Day of Care
The Brand
"A nation without heroes is nothing."

Roberto Clemente
Kentucky Transportation Cabinet
Office of Transportation Delivery
VETERANS TRANSPORTATION
AND COMMUNITY LIVING
INITIATIVE GRANT

FTA – February 3, 2012
Demonstration of Need

- 335,000 veterans in state of Kentucky
- Two (2) large military bases in Ft. Knox and Ft. Campbell
- Currently, over 55,000 receiving disability compensation
- Expect influx of veterans returning from the battlefields of Iraq and Afghanistan over the next few years
Total Federal Award=$797,506

Overall Objective:
Provide a one-call/one-click call center that will help simplify access to transportation for Veterans and their families by connecting customers in one place to all transportation options available in their local area.
Selection of Projects/Federal Award

KYTC/OTD

- Objective: Expand on Kentucky Statewide Human Service Transportation 1-800 Phone System by adding a “Vet Connection”
Federated Transportation Services of the Bluegrass (FTSB)

- Objective - Call Center Equipment for centers in Lexington and Louisville which comprise 25% of State’s Veterans
LKLP Community Action Council

- Objective - Expansion of call center by targeting 56 counties and Veteran population with purchase and upgrade of equipment
Pennyriile Allied Community Services

- Objective-New phone system to serve Veterans and Fort Campbell in their service area.
Objective: Enhance current one-call/one-click call center with purchase of equipment and software with emphasis on the Veteran population in their 13 county service area
Coordinated Plan

KYTC/OTD requires all applicable transportation providers to address the transportation needs of VSO/MSOs and VA Medical Centers as part of their coordinated process and incorporate these needs/responses into their respective Coordinated Plans.
Partners/Support Services

- Kentucky Department of Veteran Affairs
- Eight (8) VA Medical Centers
- Eastern & Western Kentucky Veterans Centers
- Thomas-Hood Veterans Center
- Kentucky Council on Developmental Disabilities
- Kentucky Commission on Military Affairs
- Homeless Veterans Transition Program
- Veterans Program Trust Fund
- Helmets to Hardhats Employment Program
- Services for Women Veterans
- Office of Employment and Training
BRAC (Base Realignment And Closure)
- Offers Park N Ride service with three (3) routes
- Van Pool Program with approximately 200 people using this service
Overall Goals

The main purpose is to offer a One Call/One Click program where individuals can go to the website and have access to the necessary information at their fingertips.

- Phone #’s
- Transportation Provider/Services
- Cost
- Eligibility Information
The Kentucky Public Transit Association and our office hopes to petition the Kentucky legislature for on-going operating funds that will help:

- Pay for increased fuel and salaries costs
- Make transit services more affordable for Veterans/Families
Kentucky Transportation Cabinet
Office of Transportation Delivery
VETERANS TRANSPORTATION AND COMMUNITY LIVING INITIATIVE GRANT

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Rural Transit Enterprises Coordinated

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Fort Knox/BRAC

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Overview of Intelligent Transportation Systems and Public Transit

Region IV Statewide Meeting

Jeffrey L. Spencer
ITS Team Leader
Office of Mobility Innovation
Federal Transit Administration
Agenda

- Overview of Intelligent Transportation Systems (ITS)
- Public Transit ITS
- New Technology/Future Trends
- Procurement
The Problem

Safety
• 32,788 highway deaths in 2010
• 6,000,000 crashes/year
• Leading cause of death for ages 4 to 34

Mobility
• 4,200,000,000 hours of travel delay
• $80,000,000,000 cost of urban congestion

Environment
• 2,900,000,000 gallons of wasted fuel
Transportation Facts

- If all Americans who take transit to work drove instead, their cars in a line could nearly encircle the earth.
- There are more than 160,000 traffic signals in the U.S.
- The cost of sitting in traffic congestion costs travelers and businesses $40 billion each year.
Achieving the Vision: ITS Strategic Research

Vision: National, multi-modal surface transportation system that features a connected transportation environment among vehicles (cars, trucks, buses, fleets of all kinds), the infrastructure, and mobile devices to serve the public good by leveraging technology to maximize safety, mobility and environmental performance.

Goal: Safety
Connectivity achieved through dedicated short range communications (DSRC).
Vehicle to Vehicle (V2V) Communications for Safety
Vehicle to Infrastructure (V2I) Communications for Safety

Goal: Mobility/ Accessibility/ Reliability
Real-Time Data Capture and Management
Dynamic Mobility Applications including Weather

Goal: Environment
Applications for the Environment: Real-Time Information Synthesis (AERIS)
Real-time, environmental data from all sources will be integrated and available for use in multimodal transportation management and performance improvement and will contribute to better environmental practices.
USDOT ITS Research Program

ITS Research Program Components

Applications
- Safety
  - V2V
  - V2I
  - Safety Pilot
- Mobility
  - Real Time Data Capture & Management
  - Dynamic Mobility Applications
- Environment
  - AERIS
  - Road Weather Applications

Technology
- Harmonization of International Standards & Architecture
- Human Factors
- Systems Engineering
- Certification
- Test Environments

Policy
- Deployment Scenarios
- Financing & Investment Models
- Operations & Governance
- Institutional Issues
Intelligent Transportation Systems (ITS) Program

% Agencies Planning to Invest in New ITS Technology or to Expand Current ITS Coverage in 2010 Through 2013

- % Freeway Management Agencies: 79% (75% to 83%)
- % TMC Agencies: 78% (74% to 82%)
- % Arterial Management Agencies: 48% (44% to 52%)
- % Toll Collection Agencies: 42% (38% to 46%)
- % Transit Management Agencies: 47% (43% to 51%)

Legend:
- Expand Current ITS Coverage
- Invest in New ITS
Categories
Technology Deployments for Transit

[Bar chart showing different categories such as Communications, AVL, Probes, APC, MDT, Component Monitoring, Operations Software, Incident Mgmt, ATIS, Multimodal ATIS, Fares, Integration, Mobility Manager, TMC, Signal Priority, Cameras, Alarms, Microphones, Weather, with Planned and Operational deployments indicated by different colors.]
Public Transit in the U.S.

- Employs more than 380,000 people in the U.S.
- Provides access to jobs for millions of Americans
- Households that use transit & have one less car save an average of $9,000 per year

Source: APTA
Public Transit in the U.S.

- In 2008, 10.7 billion trips taken on public transit
- Passengers rode transit vehicles 55.1 billion miles in 2008
- Transit ridership increased 38% from 1995 to 2008
  - U.S. population grew 14%
  - Highway use grew 21%

Source: APTA
Public Transit ITS

- Mobility Services for All Americans (MSAA)
- Vehicle Assist and Automation (VAA)
- Integrated Corridor Management (ICM)
- Connected Vehicle Program
ITS Research = Multimodal and Connected

Drivers/Operators

Vehicles and Fleets

Connectivity

Wireless Devices

Infrastructure
Mobility Services for All Americans (MSAA) Initiative

Over 60 different Federal programs across 9 Federal departments that provide funding to be used in support of human services transportation. This results in:

- Poor quality of transportation service
- Confused customers and providers
- High cost and underutilized capacity
Mobility Services for All Americans (MSAA) Initiative

A major USDOT ITS project is in collaboration with the United We Ride (UWR) initiative. United We Ride is a federal interagency initiative aimed at improving the availability, quality, and efficient delivery of transportation services for older adults, people with disabilities, and individuals with lower incomes.

The Department of Transportation has joined with the Departments of Veterans Affairs, Labor, Defense, and Health and Human Services to establish the Veterans Transportation and Community Living Initiative (VTCLI), an initiative that will improve transportation options and mobility for America's veterans, service members, and their families.

UWR/MSAA joint demonstration of scalable and replicable Travel Management Coordination Centers (TMCC) that:
- Utilize ITS
- Simplified point of access
- Comprehensive set of services
Mobility Services for All Americans (MSAA) Initiative

**Goal:** Establish scalable and replicable models of ITS-enhanced Travel Management Coordination Centers (TMCC)

- **Paducah, KY**
  - **Scope:** 8 counties, 4 providers, over 50 vehicles.

- **Aiken, SC**
  - **Scope:** 6 counties, 8 providers, over 90 vehicles

- **Camden County, NJ**
  - **Scope:** 1 county, 5 providers including a faith based collaborative, over 50 vehicles

Some observations from the implementing agencies include:

- Increased staff productivity;
- Integrated point of access for traveler support;
- Improved fleet scheduling, dispatching, and routing;
- Streamlined reporting, billing, and financial transactions;
- Simplified fare payment, collection, and processing;
- Enhanced traveler information and travel management capability with accessibility features; and
- Ability to address last-minute requests and cancellations without significant effort or inefficiencies.
Vehicle Assist and Automation (VAA)

- Technologies that partially or fully control bus movement

- Uses include:
  - Precision docking
  - Lane guidance
  - Collision avoidance

- FTA funding 4 demo projects
  - Eugene
  - Oakland
  - Minneapolis
  - San Diego
Major Functions

- **Precision Docking**
  - Allows vehicle’s doors to line up precisely with the edge of the station platform

- **Vehicle Guidance**
  - Controls the lateral movement of the bus while the operator controls the speed of forward motion

- **Vehicle Platooning**
  - Provides vehicle-to-vehicle communications to allow vehicles to follow each other at close distances

- **Automated Operations**
  - Fully automated driving where both longitudinal and lateral control may be safely turned over to the on-board system
Projected VAA Benefits

- Level of Service (LOS) of “F” during the peak hours with speeds consistently average below 20 miles per hour.
- Volumes are expected to increase by 100% by 2035, further decreasing travel speeds.
- BOS lanes would allow speeds up to 45 miles per hour and result in a time savings of 15-20 minutes for each trip.
- Compare construction of a two-lane HOV facility to the cost of modifying existing road shoulders, was estimated at ~$51M, whereas modifying both road shoulders was estimated at ~$26M.
Integrated Corridor Management (ICM) Initiative

**Goals**

- Demonstrate and evaluate strategies and ITS technologies that help transportation operators efficiently and proactively manage corridors.
- Provide the necessary tools, knowledge, and guidance, for ICM.

- $28.5 million in USDOT funds
Broad ICM Strategies

- Increase multi-agency collaboration and coordination for overall corridor management
  - Coordinate incident management
  - Coordinate operations for planned and special events
  - Optimize corridor mobility by promoting mode and route shifts
  - Manage demand
## Results from ICM Pioneer Modeling Sites

<table>
<thead>
<tr>
<th></th>
<th>San Diego</th>
<th>Dallas</th>
<th>Minneapolis</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Annual Travel Time Savings (Person-Hours)</strong></td>
<td>246,000</td>
<td>740,000</td>
<td>132,000</td>
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<tr>
<td><strong>Improvement in Travel Time Reliability (Reduction in Travel Time Variance)</strong></td>
<td>10.6%</td>
<td>3%</td>
<td>4.4%</td>
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<tr>
<td><strong>Gallons of Fuel Saved Annually</strong></td>
<td>323,000</td>
<td>981,000</td>
<td>17,600</td>
</tr>
<tr>
<td><strong>Tons of Mobile Emissions Saved Annually</strong></td>
<td>3,100</td>
<td>9,400</td>
<td>175</td>
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<tr>
<td><strong>10-Year Net Benefit</strong></td>
<td>$104M</td>
<td>$264M</td>
<td>$82M</td>
</tr>
<tr>
<td><strong>10-Year Cost</strong></td>
<td>$12M</td>
<td>$14M</td>
<td>$4M</td>
</tr>
<tr>
<td><strong>Benefit-Cost Ratio</strong></td>
<td>10:1</td>
<td>20:1</td>
<td>22:1</td>
</tr>
</tbody>
</table>
The Key is Integration and Communications

- Incidents
  - Emergency Response Management
  - Rail Intersection Safety
  - Traffic Signal Control Systems
- Traveler Information Systems
  - Transit Management Systems
  - Electronic Toll Collection
    - Electronic Fare Payment Systems
  - Freeway Management Systems
  - Traffic Systems
- System Users
Connected Vehicle Program
Transit Connected Vehicle Program

Transit Connected Vehicle Concept of Operations

Safety
- Safety Applications
  - Pedestrian Indication
  - Vehicle Collision Warnings
  - Transit Vehicle at Stop Warnings
  - Intersection Collision Warnings

Mobility
- Dynamic Mobility Applications
  - Connection Protection (T-Connect)
  - Dynamic Transit Operations (T-Disp)
  - Dynamic Ridesharing (D-Ride)
  - Transit Signal Priority (TSP)
  - Smart Park and Ride System
  - Universal Map Application
  - Smart Emergency Communications and Evacuation
  - Intermittent Bus Lane
  - Route ID for the Visually Impaired
  - Integrated Multi-modal Electronic Payment
  - Transit Vehicle Real-Time Data Collection

Environment
- AERIS
  - Interactive TSP (Green Wave)
  - Transit Urban Probes
  - Dynamic Vehicle Assignment
  - Greener Operators
  - Greener Travelers

Data Capture & Management
Transit Safety (V2V)

Cars passing a stopped bus do not realize the bus is pulling away from the stop.
Transit Safety (V2I)

Approximately 35% of all pedestrian crashes occur during turning maneuvers.

85% are left turns
15% are right turns
Connected Vehicle Benefits Analysis

- V2V systems potentially address about 79% of all vehicle target crashes annually.

- V2I systems potentially address about 26% of all-vehicle target crashes annually.

- Combined V2V and V2I systems potentially address about 81% of all-vehicle target crashes annually.
Procurement Process

The Transportation Acts Transportation Equity Act for the 21st Century (TEA-21) and, Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) required that ITS projects using federal funds must conform to the National ITS Architecture and Standards, and use a systems engineering process.

The Highway Trust Fund (HTF) is the source of funding for most of the programs in the Transportation Act. The HTF is composed of the Highway Account, which funds highway and intermodal programs, and the Mass Transit Account.
Procurement Process

- An ITS project, as spelled out in the Final Rule, is any project in whole or in part that funds the acquisition of technologies or systems of technologies, that provide or significantly contribute to the provision of one or more ITS user services as defined in the National ITS Architecture.

Procurement Process

- ITS standards should be used on all transportation projects that involve ITS technologies. ITS standards bring about interoperability by specifying consistency and compatibility of the interconnects and interfaces, both hardware and software, between ITS systems and components.

- Each of the information flows in the ITS Architecture has the appropriate ITS standards identified, so the stakeholders can select which ITS standards should be pursued as individual projects are developed.
Procurement Process

As an inter-disciplinary approach to procurement and implementation, systems engineering (SE) enables you to identify and document all of the project requirements, to effectively manage the technical complexity of the resulting developments, and to verify that the requirements are thoroughly and correctly implemented.
Region IV SPT Goals: Raising the Bar in FY 2012

David Schilling, State Programs Team Leader
Agenda

- FY 2011 Highlights
- FY 2012 SPT Goals
- FY 2011 SPT Objectives
- FY 2012 SPT Objectives
- FY 2012 SPT Training
FY 2011 Highlights

• FY 2011 State Partner Grants (DOTs, VIDPW, ADSS, GADHS)
  - TOTAL: 82 Grants; Approximately $296M
  - 22% of Region IV grants
  - 33% of funding
FY 2011 Highlights

• Partnering Activities and Events
  - State Program Team Meeting: Atlanta, GA, January 2011
  - ALDOT (Management Training), MPTA, MS Coordination Summit, GTA, GAMPO, FPTA, FL MPOAC, TASC, NCDOT (Rural Conference), NCPTA, KPTA, TPTA, TNMPO
  - Bi-Monthly Conference Calls
  - Quarterly Meetings: SCDOT, NCDOT
FY 2011 Highlights

• Training
  - State Management Review Workshop: Nashville and Raleigh
  - TEAM Training
  - NTI Classes
  - Workshops: FMO, Triennial

• Reviews
  - NCDOT, KYTC, GDOT MDOT, PRHTA, TDOT and VI DPW
FY 2011 SPT Objectives

• Implementation of 5307 Governor’s Apportionment Supplemental Agreements
• FTA/FHWA/DOT Partnerships
• New TEAM training
• Timely and thorough close-out of all review findings
• Assist with updates to State Management Plans
• Implementing an effective and streamlined grant delivery program
FY 2012 SPT Objectives

• On-site FTA 101 Training (Spring)
  - ALDOT/ADSS/GDOT/GADHS
  - MDOT/TDOT/KYTC
  - SCDOT/NCDOT
  - FDOT

• TEAM Training/Webinars

• NEPA Training/Webinars
FY 2012 SPT Objectives

• Bi-Monthly Calls
  - Next call is March 29th at 10AM
  - State Public Transportation Association Meetings – Include FTA on the agenda

• State Feedback
Questions?