



Federal Transit Administration Region V

**Minnesota Public Transit
Conference
St. Paul, MN
October 12-14, 2011**





Agenda

- **FTA and Region V Organizational Updates**
- **Program Funding Developments**
- **Grant Process & Discretionary Programs**
- **NEPA**
- **Project Management and Oversight**
- **Civil Rights Update**
- **Contact Information**
- **Questions**



Organizational Updates

- **FTA Headquarters**
- **Regional Staff and Assignments**



Program Funding Developments

- **Continuing Resolution**
- **Reauthorization**
- **American Jobs Act**



GRANT ADMINISTRATION/ DISCRETIONARY PROGRAMS

**BILL WHEELER
COMMUNITY PLANNER**



Project Information – General

- Title of Project.
- Enter Project #.
- New or Amendment.
- FTA program type.
- **FTA Proj Manager.**
- Recipient Grant Mgr.
- Start/End Dates (consistent w/earliest & latest Milestones).
- Latest pertinent STIP / STIP Amendment FTA approval date.
- STIP table page#(s).
- Project Description.

Project Information

General
Control Totals
UZA/Cong Dist
Earmarks
Security

Recipient:	1177	ILLINOIS DOT
Project:	STATE OF ILLINOIS DEPARTMENT OF TRANSPORTATION	
Project Type:	Grant Award	Rec by State: <input type="text"/>
New/Amendment:	New	EO 12372 Review: <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A
Amend Reason:	Initial Application	Contract No: <input type="text"/>
Recip. Type:	State Agency	Rev Date: <input type="text"/>
Fed Dom Asst#:	20.509 - Formula Grants for Other Than Urbanized Are	
FTA Proj Mgr:	<input type="text"/>	
Recip Contact:	<input type="text"/>	
State Appl ID:	<input type="text"/>	
Est Start/End:	<input type="text"/>	- <input type="text"/>
	Planning Grant:	<input type="radio"/> Yes <input checked="" type="radio"/> No
	Program Date:	7/1/2005
	Program Page:	<input type="text"/>
	Application Type:	<input type="radio"/> Paper <input checked="" type="radio"/> Elect
	Supplemental Agreement:	<input type="radio"/> Yes <input checked="" type="radio"/> No

Project Description



Project Description – Details

- Concise general summary of what is occurring
- Example:

This grant to the City of Rochester in Rochester, MN is for Section 5307 funds in the amount of \$2,000,000 for capital, planning and operating expense for the period of May 2012 through June 2012.
- Other information to include if applicable:

Construction Language: FTA Region 5 has approved the project as a categorical exclusion pursuant to correspondence dated [insert date]. The States Historic Preservation Office concurred with a finding of no significant impact to archaeological and cultural resources pursuant to correspondence dated [insert date].

Amendment Language: Retain original description and label the section as ORIGINAL GRANT. Insert new description above it and label as AMENDMENT ONE.



UZA/Congressional District

- FTA Grant Rep checks this information as it populates automatically
- UZA Code
- Congressional District(s) and Officials

Project Information

General | Control Totals | **UZA/Cong Dist** | Earmarks | Security

Recipient: 5702 STEEL VALLEY
STEEL VALLEY REGIONAL TRANSIT AUTH

Project: OH-90-X720-00 FY2010, FY2011 Operating, Planning.

Urbanized Areas		Congressional Districts		
UZA ID	UZA Name	State ID	Dist Code	District Official
390000	OHIO	39	18	Zachary T Space
392030	STEUBENVILLE-WEIR, OH-PA-WV			



Discretionary Funds

- Concise summary.
- Detailed purpose and need, description, and derived benefits of projects in grant.
- City and State.
- Enter Congressional Rep. only if involved.
- Click on magnifying glass, select Earmark(s), and enter amount to be applied from Earmark.

Project Information

DELETE

General Control Totals UZA/Cong Dist Earmarks Security

Recipient:

Project:

Talking Points Overview:

Talking Points:

Place of Performance:

Congressional Interest Expressed by:

Earmark Details: Number of Earmarks: Total Amount Applied:

Earmark ID	Earmark Name	Orig. Balance	Unreserved	Amount Applied

Send through Release Process



Budget

- Scope is the general project activity.
- Activity Line Item (ALI) is the specific project under the Scope.
- Select add project ALI.
- Ensure 1st 3 digits of ALI match the Scope digits.
- Provide detailed description/ justification of the project, i.e. purpose & need, derived public benefits, specific costs to be covered.
- Use Circulars for eligible project language.

BUDGET(OH-90-X720-00) ADD DELETE [Icons]

PROJECT CONTROL TOTALS:
 DIFFERENCE:

Activity	Activity Line Item Description	Qty	FTA Amount	Total Elig. Cost
117A00	PREVENTIVE MAINTENANCE	0	\$93,660.00	\$117,076.00
11700	OTHER CAPITAL ITEMS (BUS)	0	\$93,660.00	\$117,076.00

Left Panel: PRJBUD, 30000, 300901, 44100, 442200, 11700, 117A00, OTHER

Scope/ALI: **Details:**

Std. Desc:

User Desc:

Fuel:

Estimated preventive maintenance costs budgeted for equipment and facilities is \$304,900.00 less \$187,824.00 provided



So you think you're ready to enter a grant?



DEVELOPMENT OF A GRANT

Some Reminders

- **Recertify your agency Certification and Assurances annually**
- **Make sure your project is in the Statewide Transportation Improvement Program (STIP)**
- **Begin environmental work **NOW!!!****
- **Update your agency contact information regularly**
- **Review Application**
 - Make sure Project Details has all required information
 - There must be an Environmental Finding and at least 2 Milestones for each activity line item (ALI)
- **Technical Assistance**
- **Please call your grant representative**



Recent Discretionary Programs

- **Alternatives Analysis**
- **Bus Livability (and State of Good Repair)**
- **Clean Fuels**
- **Over the Road Bus**
- **Transit Investments for Greenhouse Gas and Energy Reduction (TIGGER)**
- **Tribal Transit**



Recent Discretionary Programs

Initiative	Funding Availability	NOFA Publication Target	Application Deadline
SGR Initiative (Bus)	\$750,000,000	6/24/2011	7/29/2011
Livability Expansion Initiative	\$175,000,000	6/24/2011	7/29/2011
Alternatives Analysis	\$25,000,000		
Bus & Bus Facilities	\$150,000,000		
Sustainability Initiative	\$101,400,000	6/24/2011	8/23/2011
Clean Fuels Bus Program	\$51,500,000		
TIGGER III	\$49,900,000		
Other Programs	\$50,640,500		
Paul S. Sarbanes Transit in Parks	\$26,765,500	3/10/2011	5/9/2011
Tribal Transit	\$15,075,000	7/25/2011	9/26/2011
Over-the-Road-Bus	\$8,800,000	7/11/2011	9/12/2011



Applying for Discretionary Programs

- **TIGGER Program (Eligible Applicants)**
 - Public Transportation Agencies
 - Federally Recognized Tribes
 - State DOTs
- **State of Good Repair (Eligible Applicants)**
 - Direct Recipients under the Section 5307 Program
 - States
 - Proposals from projects in rural (nonurbanized) areas must be submitted through the State
 - Indian Tribes



Applying for Discretionary Programs

- It is **IMPORTANT** to coordinate with direct recipients
 - Direct recipients know the FTA requirements
 - Direct recipients can assist with project development
 - Direct recipients may be required to apply for the discretionary funds if a project is selected
- **Give direct recipients all information about your project**
- **Applying for discretionary programs is NOT an easy process**



Tips for applying for discretionary funds

- **Do not wait until the last minute to apply.**
 - The requirements and application process varies from program to program.
 - The information required is involved and may take the entire application period to prepare.
- **Make sure your application answers all of the questions and criteria listed in the federal register.**
 - The application should be well organized and easy to read for the reviewers.
 - Make sure you spell out acronyms.



Tips for applying for discretionary funds

- **Submission of maps or designs of the project (for example before and after pictures or designs) may not be required, but will give the reviewer a better understanding of the proposal**
- **Submit supporting documents/give specifics**
- **Do not answer questions “no” without an explanation.**
- **Letters of Support are always helpful.**



Tips for applying for discretionary funds

- Coordinate with Minnesota DOT (rural areas) or your 5307 direct recipient (urban areas).
 - This is important, even if your agency can apply directly to the program. Minnesota DOT and the direct recipient can provide technical assistance as they are aware of FTA program requirements.
 - It is important that Minnesota DOT or the direct recipient is aware of the project because if it is selected, they may be expected to apply to FTA on your behalf.
- You may be able to apply for multiple programs if your project meets the criteria.



NEPA OVERVIEW



RENEE KURUC
ENVIRONMENTAL PROTECTION SPECIALIST



NEPA Overview

- New FTA Initiative
- Benefits to Grantees
- You're Invited to NEPA Breakout Session



NEPA Overview

- Agency Roles
- Classes of Action
- How-to produce a quality NEPA Document
- Section 106 Process
- See you on Friday at 10:30 a.m.





Program Management and Oversight

**CYRELL R. MCLEMORE
GENERAL ENGINEER**



Program Management and Oversight

- Oversight Program
- Reporting Requirements
- Triennial Reviews
- SMR
- PSR
- Some Reminders





Program Management and Oversight Post Award/Grant Management Activities

- **Grant Modifications**

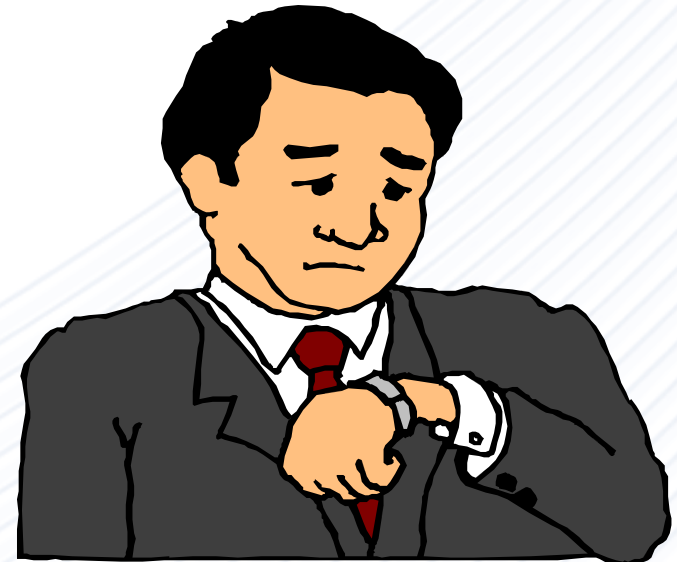
- Budget Revisions
 - No change in the grantee purpose, scope codes, and Federal funding
- Amendments
 - A change in the scope or an addition of Federal funds to an existing grant

- **Grant Reporting**

- Federal Financial Report (FFR)
- Milestone/Progress Report (MPR)

- **Grant Closeout**

- All \$'s expended from the grant
- Inactive grants....*no activity*



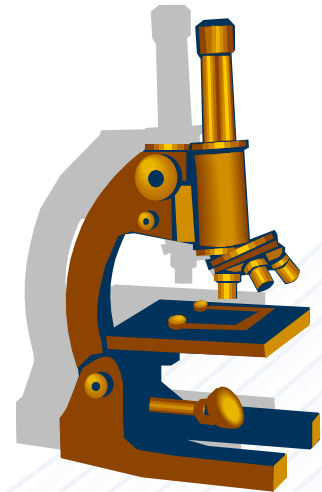


Program Management and Oversight

Oversight Programs and Activities

•FTA Oversight Review Program areas:

- Grantee Oversight Assessment
- Triennial Review
- State Management Review
- Procurement System Review
- Financial Management Review
- Planning Certification Review
- Americans with Disabilities (ADA)
- Title VI
- Disadvantaged Business Enterprise (DBE)
- Equal Employment Opportunity (EEO)
- Safety and Security
 - Drug and Alcohol Program
 - State Safety Oversight
 - Security Readiness Assessment
- Project Management Oversight





Program Management and Oversight

Oversight Programs and Activities

- **Annual Grantee Oversight Assessment**

- Identify the potential risk that the grantee poses to the overall integrity of FTA programs.
- Results of the risk assessment are used to identify grantees that pose relatively greater risk and where to focus oversight resources.
- The risk assessment process may result in an oversight review.

- **Regional Oversight**

- Site Visits & Periodic Meetings
- Major capital projects and New Starts
- Training & Technical Assistance



Triennial Reviews

•Mandated by Congressional Law

- Urbanized Area Formula Program (Section 5307) grantees
- Important Performance Measure for FTA
- Technical Assistance Added to the Program
- 24 Areas of Review (including new area on ARRA)

•Findings Summary

- Average number of findings is 6
- Key Concerns: Maintenance; ADA; Charter; Drug & Alcohol

•Keys to a Successful Review

- Start and maintain a file
- Study the previous review
- Flexible schedule to include agency staff
- Use FTA & consultants as a resource of ideas when on-site
- Follow-up on findings before the due date

•Minnesota Reviews in FY 2012

- (Metropolitan Council & St. Cloud MTC)



State Management Reviews

- **The review addresses the following FTA programs**
 - 5303 Metropolitan Planning (Circular 8100.1C)
 - 5304 Statewide Planning & Research (Circular 8100.1C)
 - 5307 Urbanized Area Formula Program (Circular 9030.1D)
 - 5309 Capital Investment Program (Circular 9300.1B)
 - 5310 Elderly Individuals with Disabilities (Circular 9070.1F)
 - 5311 Nonurbanized Formula Program (Circular 9040.1F)
 - 5316 Job Access & Reverse Commute (Circular 9050.1)
 - 5317 New Freedom Program (Circular 9045.1)

- **Process is similar to Triennial Review Program**

- **There are 27 review areas**



Procurement System Reviews (PSR)

- The Federal Transit Administration (FTA) has a vested interest in assisting grantees to maintain efficient and effective **procurement systems**.....
- The objectives of the **PSR** are,
 - To encourage and facilitate improved grantee procurement operations,
 - Foster the use of industry best practices, and
 - Assess the grantee's compliance with Federal procurement requirements, specifically the requirements of [FTA Circular 4220.1F](#) and applicable statutory and administrative requirements.
- The **PSR** is designed to be a customer-oriented review that emphasizes mutual respect between FTA and the grantee.



Procurement System Reviews (PSR)

- **Top 5 PSR findings:**
 - Cost/Price Analysis
 - Independent Cost Estimate
 - Cost/Price Analysis (Sole Source)
 - Procurement Policies/Procedures
 - FTA required Contract Clauses
- **Minnesota PSRs in 2012**
 - TBD

Procurement Resources:

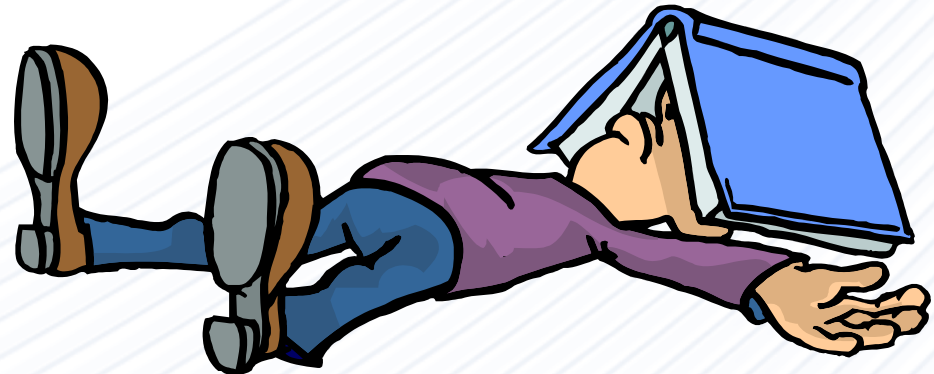
- Procurement Systems Review Guide
- Best Practices Procurement Manual





Important FTA Resources for Post Award Activities

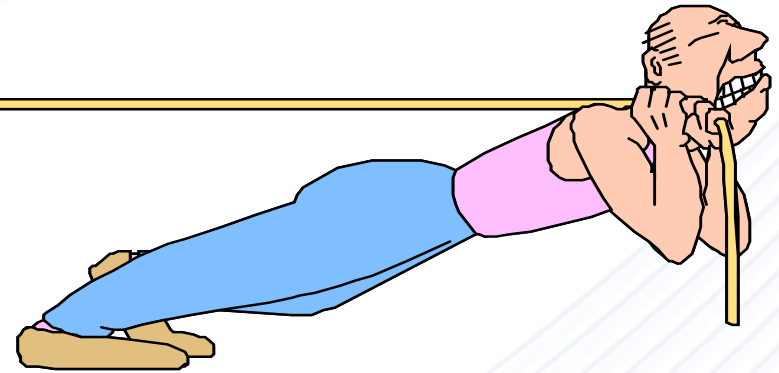
- FTA Circular 5010.1D (Grant Management)
- FTA Circular 4220.1F (Procurement)
- Best Practices Procurement Manual (BPPM)
- PMO Standards for Hiring Real Estate Consultant
http://www.fta.dot.gov/planning/planning_environment_5937.html
- Register for Email Alerts @ www.fta.dot.gov
- Reporting of Waste, Fraud and Abuse
 - www.oig.dot.gov
 - 1-800-424-9071
 - hotline@oig.dot.gov





FTA and Transit Training Resources

- FTA Online Submit A Question Tool: www.fta.dot.gov
 - Region V Website
 - Grantee Resource Center
- National Transit Institute
 - www.ntionline.org
- FTA Regional Workshops (contact Region V)
 - **Triennial Review** (TR Workshop in Chicago on Dec 6-7, 2011 at the Drake Hotel, 140 E. Walton)
 - **State Management Review** – March 2012 (tentative)
 - Procurement Systems Review - TBD
 - Financial Management Review – TBD





Program Management and Oversight

Some Reminders

- **170 Active Grantees, 1368 Open Grants**
Please close grants when possible
- **168 Separate Oversight Actions this Year**
Please respond to findings by due date or request an extension in advance
- **Technical Assistance**
Please call your FTA Program Manager







FTA Civil Rights Program Overview



Getting To Yes!

**ERICK ALLEN
REGIONAL CIVIL RIGHTS OFFICER**



Civil Rights in Transit covers *ALL*

- **EEO** – Agency Employees
- **ADA** - Targeted population with unique requirements
- **Title VI** – All service users, including those with limited language skills and low-income users
- **DBE** – The vendor / contractor community



EEO in Transit

WHO?

- 50 or more transit-related employees, and;
- \$1,000,000.00 Capital / Operating assistance or;
- \$250,000.00 planning assistance

WHAT?

- Develop EEO Plan
- Submitted to FTA every **3 years**



ADA in Transit

KEY AREAS

- Comparable Para transit Service
- Reasonable Modifications
- Maintenance of Accessible Features

DOT ADA Update

- Rules “cheat sheet”



Title VI in Transit

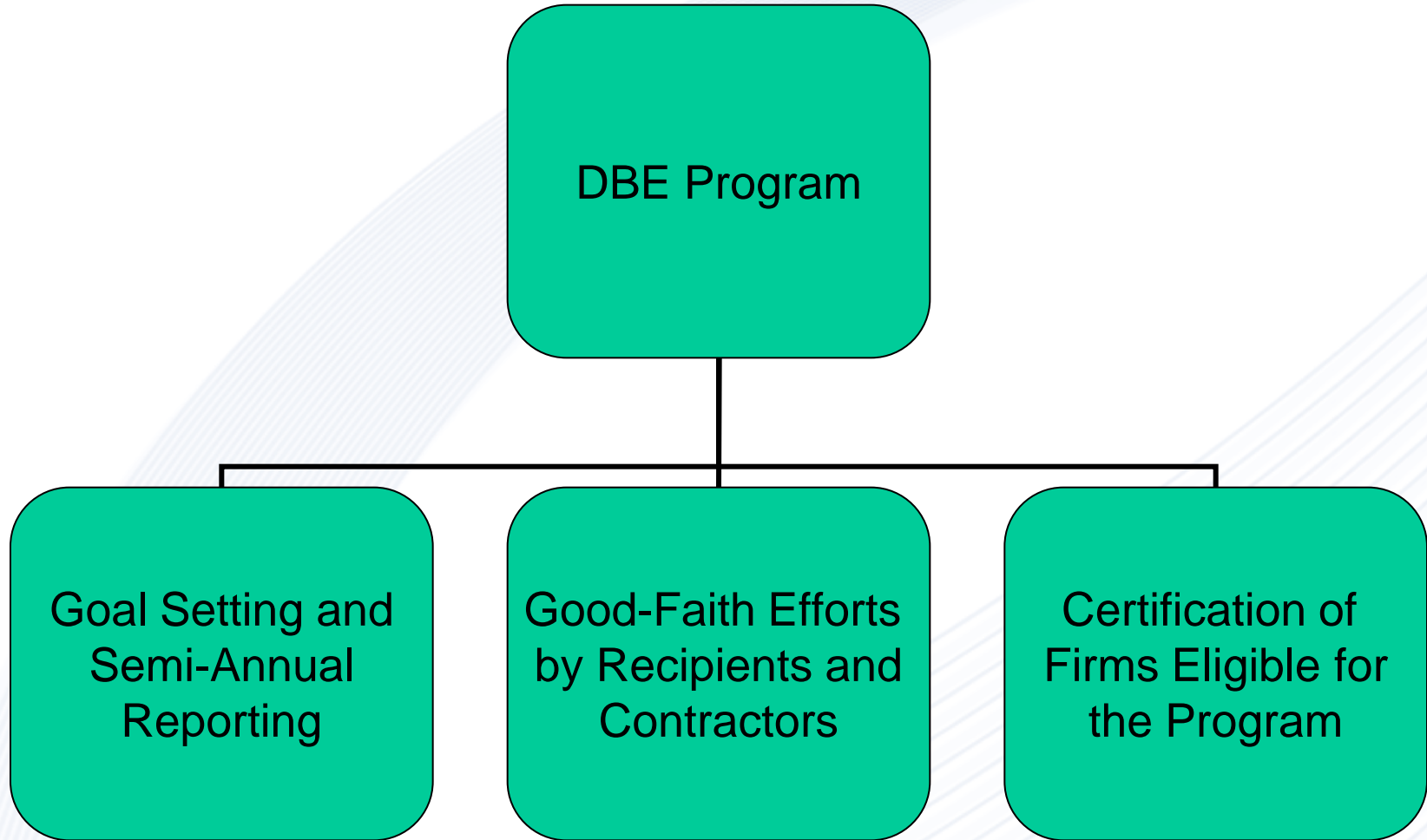
- Any entity receiving Federal financial assistance.....\$1 or \$1,000,000.00
- Recipients enter into a relationship with the Federal government akin to a contract
- Primary recipients and sub recipients **must** comply with Title VI

Title VI Circular Update

- A revised FTA Title VI circular is currently ready for review and comment on the Federal Registry @:
 - http://fta.dot.gov/civilrights/title6/civil_rights_13041.html



DBE Program Overview





FTA DBE Program Overview

- **2011 DBE Goals were due**
 - August 1, 2011....effective until 2014

- **Semi Annual Reports Due**
 - December 1 & June 1 annually

- **Next ARRA DBE Report Due**
 - Oct 10



FTA Civil Rights Priorities

- **Timely Program Reviews**
 - Positive grantee civil rights fundable status
 - Current program status documented in TEAM

- **Full TEAM utilization**
 - IF it's not in TEAM...we don't have it 😊

- **Ongoing Technical Assistance**
 - Revised Title VI Circular
 - DBE Reporting Webinars
 - DBE Goal Review
 - Virtual & on-site assistance



In Conclusion

- QUESTIONS!!!!
- THUNDEROUS APPLAUSE!!!!



Region V Contact Information

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