

# FTA Grantee Requirements and Responsibilities

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# Federal Transit Administration (FTA) Overview

#### **Vision**

A Better Quality of Life for All Built Upon Public Transportation Excellence

#### **Mission**

Improving America's Communities through Public Transportation













# **Origin of FTA**

1964

President Lyndon
Johnson signed the
act creating the
Urban Mass
Transportation
Administration
(UMTA). Agency had a
focus on Urban
Transportation

1974

Congress passed the

**National Mass** 

**Transportation** 

**Assistance Act,** 

which created an annual formula program to restore and expand services

1991

**UMTA** was renamed

to

Federal Transit

Administration (FTA)

to reflect the agency's focus on urban and rural areas, and mobility for all Americans

## **FTA Today**



- One of 9 modal administrations within USDOT
- Approximately 680 staff and growing!
- \$21.4 billion annual budget in FY 2023
- \$69.4 billion in COVID-19 Emergency Relief
  - \$25 billion in CARES Act funds in 2020
  - \$14 billion in CRRSAA funds in 2021
  - \$30.4 billion in ARP funds in 2021



















#### FTA's Roles



- ✓ Set Policy
- ✓ Develop Guidance





- ✓ Financial Assistance
- ✓ Technical Assistance
- ✓ Program Oversight

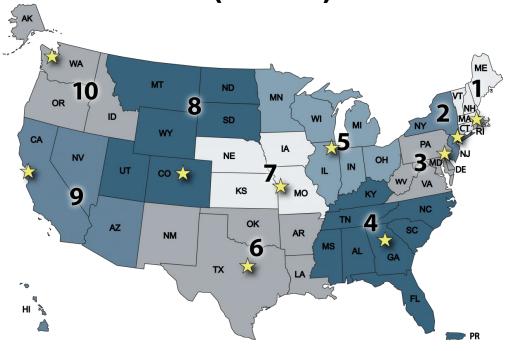


✓ Support Research, Demonstration, and **Innovation** 

✓ Holds Regulatory Authority on Safety for **Public Transportation** 

# FTA – Regional Offices

# 10 Regional Offices (TROs)



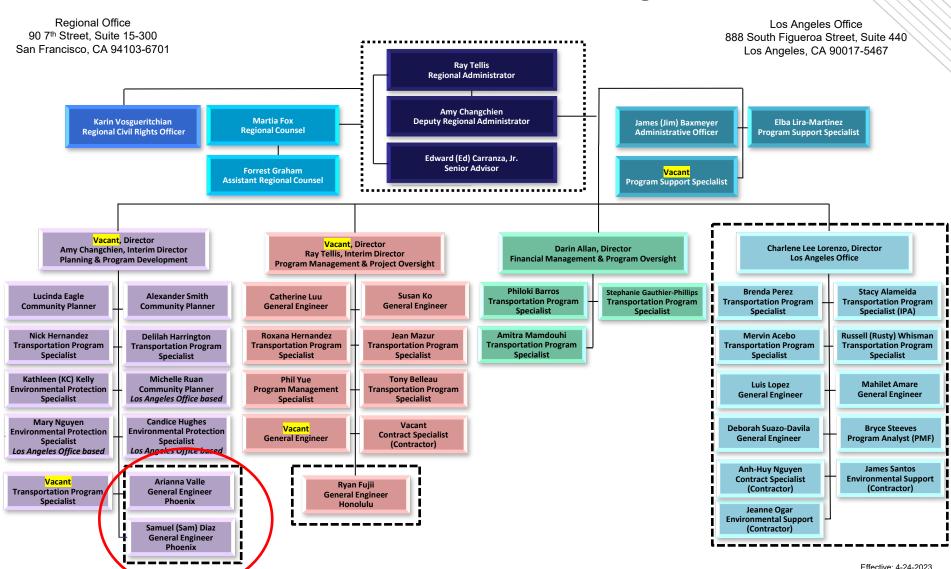
- TRO-1: Cambridge, MA
- TRO-2: New York, NY
- **TRO-3**: Philadelphia, PA *Washington, DC*
- TRO-4: Atlanta, GA
  San Juan, Puerto Rico
- TRO-5: Chicago, IL
- TRO-6: Fort Worth, TX
- TRO-7: Kansas City, MO
- TRO-8: Denver, CO
- TRO-9: San Francisco, CA Los Angeles, CA
- TRO-10: Seattle, WA

### FTA Region 9 Office

- Areas Served: Arizona, California, Hawaii, Nevada, American Samoa,
   Commonwealth of the Northern Mariana Islands, and Guam
- 173 Grantees (including 26 in AZ)
  - 4 State DOTs
  - 35 Native American Tribes
  - 14 Regulated Rail Agencies
- 9 of Top 30 Transit Agencies
- ~ 1,300 Active Grants
  - 353 Grants awarded in FY 2022, totaling \$6.5 billion



#### Federal Transit Administration, Region 9





#### Who Are Our Grantees?



## **Typical Grantees**

- Transit Agencies
- States DOT's
- Local Governments
  - Cities, Counties, and Boroughs
- Federally Recognized Indian Tribes
- Metropolitan Planning Organizations (MPO)
- Private Non-Profit Transportation Providers
- University Research Centers

#### **Arizona Grantees**

Casa Grande, City of

Lake Havasu, City of

Northern AZ Intergovernmental Public Trans Auth

Prescott Valley, Town of

Sierra Vista, City of

Southeastern Arizona Governments Organization Inc.

Arizona Dept of Transportation

Bullhead City, City of

Maricopa, City of

Phoenix, City of

Tucson, City of

Yuma County Intergovernmental Public Trans Authority

- Ak-Chin Indian Community
- Cocopah Indian Tribe
- Colorado River Indian Tribe
- Havasupai Tribe
- Hopi Tribe
- Hualapai Tribal Council
- Kaibab Band of Paiute Indians
- Navajo Nation Tribal Government
- Pascua Yaqui Tribe
- Salt River Pima-Maricopa Indian Community
- San Carlos Apache Tribal Council
- Tohono O'Odham Nation, The
- White Mountain Apache Tribe
- Yavapai Apache Nation



# What Projects Do We Fund?



### **Typical Projects**

- Operating Assistance
- Preventive Maintenance
- Capital Projects (rail extensions, bus rapid transit, etc.)
- Vehicles (railcars, buses, ferries, etc.)
- Stations, Stops, and Terminals
- Maintenance and Support facilities
- Safety and Security Improvements
- ADA Accessibility Improvements
- Transportation Planning
- Transit Access (sidewalks/crossings, first-mile & last-mile connection, etc.)

# **How Does the Funding Work?**



### **Funding & Program Authorization**



#### **Congress** Passes Funding Bill

#### **President Signs it into Law**

- FAST Act Enacted on December 4, 2015
- IIJA Enacted on November 15, 2021

#### **Congress** Appropriates Funds to Agencies

#### **FTA** Implements Funding Programs

- Sets policies & requirements
- Awards grants
- Provides technical assistance
- Conducts program and project oversight



#### FTA's Funds Are...

**Authorized** by Law (e.g., FAST Act)

**Appropriated** by Congress to FTA

**Apportioned** by FTA to its funding programs

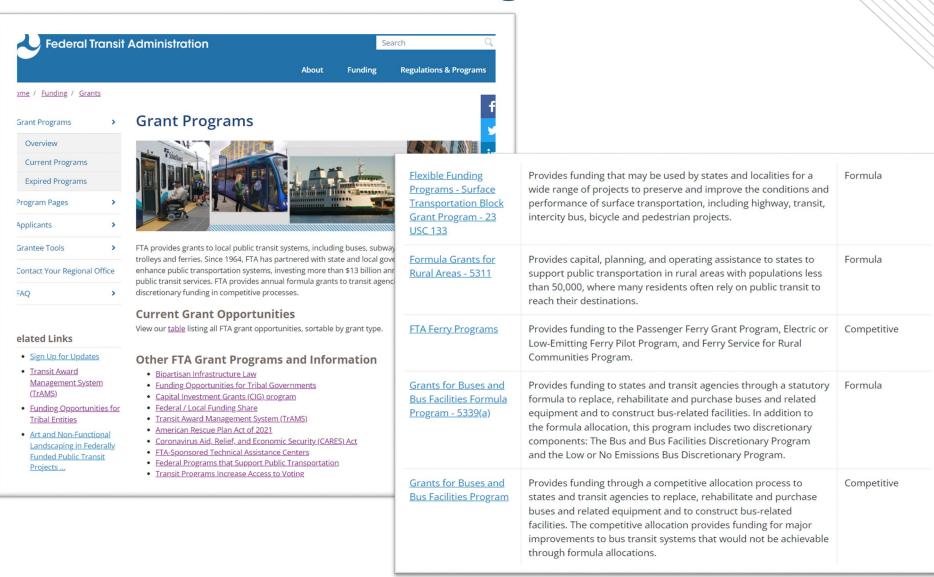
Allocated by FTA to states\*, urbanized areas, and Tribes

**Awarded** by FTA to Grantees

\* Allocations could be <u>sub-allocated</u> by State DOTs or other Designated Recipients.



#### **FTA Grant Programs**



## Nomenclature De-mystified

#### **Applicant**

An entity that is competing for funding

#### **Recipient (or Grantee)**

A direct or designated recipient of FTA funds

#### Subrecipient

 An organization that receives FTA funds from a direct or designated recipient that is carrying out the project and must meet FTA requirements

#### **Competitive vs. Discretionary**

# **Applicant vs. Recipient (Grantee)**

Eligible applicants and recipients vary by program

Successful <u>APPLICANT</u> may not necessarily be the <u>RECIPIENT</u> (for example, via sub-recipient or intergovernmental agreement)

- Formula Programs mostly limited to public entities that provide and/or administers public transportation (i.e. "traditional" FTA grantees)
- **Competitive** Programs may be open to traditional and non-traditional FTA grantees

# **FTA Funding Types**

#### **Formula**







# **Discretionary**

- Competitive Programs
- Congressionally Directed Spending

#### **FTA Grant Programs**

- 49 Grant Programs
  - 14 Formula Grant Programs
  - 35 Competitive Grant Programs

Complete list of grant programs for FTA can be found here: <a href="https://www.transit.dot.gov/funding/grants/grant-programs">https://www.transit.dot.gov/funding/grants/grant-programs</a>

### FTA Formula Programs - Examples

- Statewide & Metropolitan Planning Sec 5303/5304
- Urbanized Transportation Sec 5307
- Elderly and Persons with Disabilities Sec 5310
- Rural Area Transportation Sec 5311 including Tribal Transit Program (formula)
- State Safety Oversight Sec 5329
- State of Good Repair Sec 5337
- Bus and Bus Facilities Sec 5339(a)

#### **Formula Funds**

Allocation is determined by formula established in law, and mostly based on:



#### Census data

#### A combination of:

- Total Population
- Population Density
- Low Income Population

https://www.census.gov/en.html





#### **National Transit Database (NTD)\***

#### A combination of tiered data:

- Bus
  - » Revenue vehicle miles
  - » Passenger miles
- Fixed guideway (rail, ferry, BRT, etc.)
  - » Revenue vehicle miles
  - » Route miles
  - » Passenger miles



<sup>\*</sup> Data used from NTD is dependent upon FTA program

#### How to Find Formula Funds

FTA publishes apportionments for formula programs annually.

https://www.transit.dot.gov/funding/apportionments

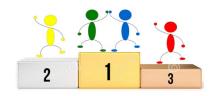
#### Fiscal Year 2023 Apportionment Tables (Full Year)

- Table 1. FTA Appropriations and Apportionments for Grant Programs
- Table 2. Section 5303 and 5304 Statewide and Metropolitan Planning Apportionments
- Table 3. Section 5307 and 5340 Urbanized Area Formula Appropriations
- Table 3A. Section 5307 Operating Assistance Special Rule Operator Caps
- Table 4. Section 5307 Apportionment Formula
- Table 5. Formula Apportionments Data Unit Values
- Table 6. Section 5307 Small Transit Intensive Cities Apportionments
- Table 7. Section 5309 Fixed Guideway Capital Investment Grants Allocations
- Table 7A. <u>Additional Funding to New Starts and Core Capacity Projects with Existing Full Funding Grant</u>
   <u>Agreements</u>
- Table 8. Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities
- Table 9. Section 5311 and Section 5340 Rural Area Formula Apportionments, Rural Transportation Assistance
   Program Allocations, and Appalachian Development Public Transportation Assistance Program
- Table 10. Public Transportation on Indian Reservations
- Table 11. Section 5337 State of Good Repair
- Table 12. <u>Section 5339 Buses and Bus Facilities Apportionments</u>
- Table 13. <u>Section 5329 State Safety Oversight Apportionments</u>
- Table 14. <u>Prior Year Unobligated Section 5307 Passenger Ferry Grant Program Allocations</u>
- Table 15. Prior Year Unobligated Section 5339(b) Buses and Bus Facilities Competitive Program Allocations
- Table 16. <u>Prior Year Unobligated Section 5309 Fixed Guideway Capital Investment Grants (CIG) and Section</u> 3005(b) <u>Expedited Project Delivery Program Allocations</u>
- Table 17. Prior Year Unobligated ICAM Allocations



### **Discretionary Programs**

- Competitive program funds are typically allocated based on:
  - A set of project selection criteria published in the Notice of Funding Opportunity (NOFO)
  - The discretion of the Secretary of Transportation and/or the FTA Administrator



- Congressional Directed Spending program funds are typically allocated by Congress
  - FY 2022 Transit Infrastructure Grants
     (Community Project Funding / Congressionally Directed Spending)

### FTA Competitive Programs – Examples

- Bus and Bus Facilities Sec 5339(b)
- Low or No Emission Vehicles Sec 5339(c)
- Tribal Transit Program Sec 5311(j)
- Access and Mobility Partnership Grants Sec 5310
- Integrated Mobility Innovation Sec 5310
- Mobility on Demand Sandbox Sec 5312
- Rebuilding American Infrastructure with Sustainability and Equity (RAISE\*) grants (formerly known as BUILD and TIGER)

<sup>\*</sup> RAISE is a USDOT-administered program

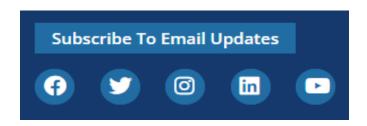
## **How to Find Competitive Funds**

#### Federal Register Notice

- Notice of Funding Opportunity (NOFO)
- Specifies eligibility for
  - Applicants vs. Recipients
  - Projects

#### FTA and/or USDOT Website(s)

- Notice of Funding Opportunity (NOFO)
- Project selection announcements
- FTA's Social Media Links
- FTA Social Media Links



# Applying for Competitive Program Funds

#### DEPARTMENT OF TRANSPORTATION

#### **Federal Transit Administration**

Fiscal Year 2019 Competitive Funding Opportunity; Grants for Buses and Bus Facilities Program

AGENCY: Federal Transit Administration (FTA), DOT.

ACTION: Notice of Funding Opportunity (NOFO).

SUMMARY: The Federal Transit Administration (FTA) announces the opportunity to apply for approximately \$423.35 million in fiscal year (FY) 2019 funds under the Grants for Buses and Bus Facilities Program (CFDA#20.526). As required by federal public transportation law and subject to funding availability, funds will be awarded competitively to assist in the financing of capital projects to replace, rehabilitate, purchase or lease buses and related equipment, and to rehabilitate. purchase, construct or lease bus-related facilities. Projects may include costs incidental to the acquisition of buses or to the construction of facilities, such as the costs of related workforce development and training activities, and project administration expenses. FTA may award additional funds if they are made available to the program prior to the announcement of project selections.

DATES: Complete proposals must be submitted electronically through the 21900

Federal Register/Vol. 84, No. 94/Wednesday, May 15, 2019/Notices

GRANTS.GOV "APPLY" function by 11:59 p.m. Eastern Time on June 21, 2019. Prospective applicants should initiate the process by promptly registering on the GRANTS.GOV website to ensure completion of the application process before the submission deadline. Instructions for applying can be found on FTA's website at <a href="http://transit.dot.gov/howtoapply">http://transit.dot.gov/howtoapply</a> and in the "FIND" module of GRANTS.GOV.

The GRANTS.GOV funding opportunity ID is FTA-2019-003-TPM. Mail and fax submissions will not be accepted.

#### FOR FURTHER INFORMATION CONTACT:

Mark Bathrick, FTA Office of Program Management, 202–366–9955, or mark.bathrick@dot.gov.

#### SUPPLEMENTARY INFORMATION:

#### Table of Contents

- A. Program Description
- B. Federal Award Information
- C. Eligibility Information
- D. Application and Submission Information
- E. Application Review
- F. Review and Selection Process
- G. Federal Award Administration
- H. Technical Assistance and Other Program Information
- I. Federal Awarding Agency Contacts

engaged in public transportation. In accordance with 49 U.S.C. 5339(b)(2), FTA will "consider the age and condition of buses, bus fleets, related equipment, and bus-related facilities" in selecting projects for funding. FTA may prioritize projects that demonstrate how they will address significant repair and maintenance needs, improve the safety of transit systems and deploy connective projects that include advanced technologies to connect bus systems with other networks.

#### B. Federal Award Information

Federal public transportation law at 49 U.S.C. 5338(a)(2)(M) authorizes \$267,059,980 in FY 2019 funds for the Section 5339(b) Grants for Buses and Bus Facilities Program. The Consolidated Appropriations Act, 2019 appropriated an additional \$160,000,000 for the Grants for Buses and Bus Facilities Program. After the mandatory oversight takedown of \$3,840,450 and the addition of \$130,710 in unallocated FY 2018 program funding, FTA is announcing the availability of \$423,350,240 for the Grants for Buses and Bus Facilities Program through this notice.

As required under 49 U.S.C. 5339(b)(5), a minimum of 10 percent of nonprofit organizations engaged in public transportation.

Under 49 U.S.C. 5339(b)(3), States may submit a statewide application on behalf of public agencies or private nonprofit organizations engaged in public transportation in rural areas or for other areas for which a State allocates funds. Except for projects proposed by Indian tribes, all proposals for projects in rural (non-urbanized) areas must be submitted by a State, either individually or as a part of a statewide application. States and other eligible applicants may also submit consolidated proposals for projects in urbanized areas. The submission of a statewide or consolidated urbanized area application shall not preclude the submission and consideration of any application from other eligible recipients in an urbanized area in a State. Proposals may contain projects to be implemented by the recipient or its subrecipients.

To be considered eligible, applicants must be able to demonstrate the requisite legal, financial and technical capabilities to receive and administer Federal funds under this program.

#### 2. Cost Sharing or Matching

The maximum federal share for



# Project Selection Announcement for Competitive Programs



# Project Selected for FTA Competitive Program Funding?

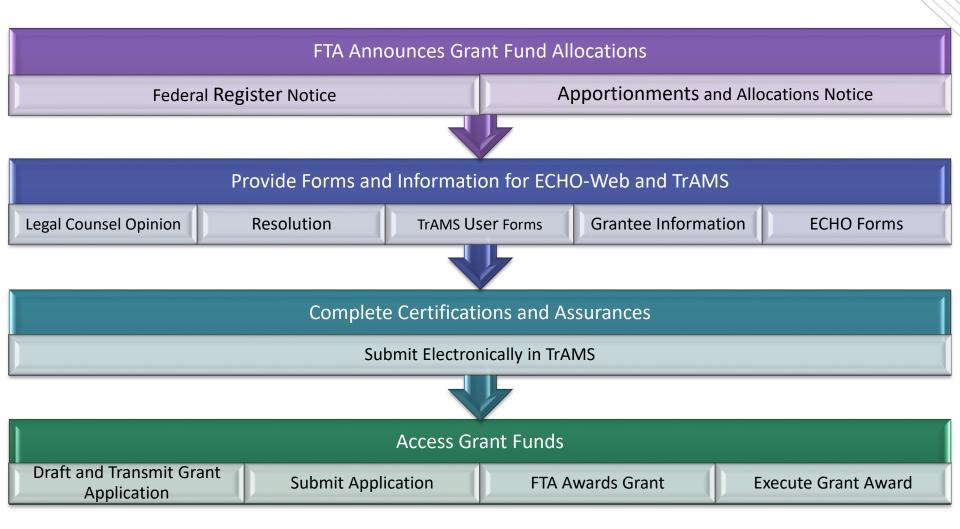
- Federal Register Notice (FRN)
- Project Selection Announcement
- Instructions on how to access/obligate funding
- Outlines program policies and requirements



### **Success! Next Steps**

- 1. Contact your Regional Office
- 2. Determine Recipient Type your organization is
  - Designated Recipient
    - -Typically large urbanized area transit providers
  - Direct Recipient
    - Typically small urbanized area transit providers and tribes/native villages; sometimes non-profit transportation providers
  - Sub-recipient (of a State DOT, typically)

#### **Getting Started with FTA**



# Two Paths to Get Set Up as a New Grantee

Requirements to Access FTA Funding	Designated / Direct Recipient (including Tribes)	Subrecipient to State DOT
Basic Information including UEI, CAGE, SAM, etc.	Must Provide to FTA	State DOT is responsible for Meeting All Requirements with FTA
Authorizing Resolution		
User Manager, Designation of Signature Authority Forms for TrAMS		
Opinion of Counsel		
ECHO-Web Forms (to set up for financial disbursement)		

# Two Paths to Get Set Up as a New Grantee

Requirements to Access FTA Funding	Designated / Direct Recipient (Including Tribes)	Subrecipient to State DOT
Required Civil Rights Programs (DBE, Title VI, ADA)	Must Provide to FTA  (If a Native Village or Tribe these programs are NOT submitted to FTA for TTP Funding)	State DOT is responsible for Meeting All Requirements with FTA
Annual Certifications and Assurances	Must Provide to FTA	

#### **Accessing Grant Funds**

Transportation Award Management System or **TrAMS** (System of Record)



**Obligating Funds** 



Electronic Clearinghouse Operation or **ECHO-Web** (Financial System)





**Drawing Down Funds (for reimbursement)** 

## Flow of System Information



#### **TrAMS**

- Grants
- Cooperative Agreements
- Reporting
- Reports

#### **ECHO-Web**

Request Reimbursements



### Two Paths to Access FTA Funds

Requirements to Access FTA Funding	Designated / Direct Recipient (Including Tribes)	Subrecipient to State DOT
Draft Grant Agreement in TrAMS		
Address all FTA Comments		
PIN to Submit	Must Complete Directly with FTA	State DOT is Responsible
Initial Federal Financial Report (FFR)		
PIN to Execute		

## **Post-Award Activities**



# "Cross-Cutting" Program Requirements

- Planning
- Legal, Financial, and Technical Capacity
- Annual Certifications and Assurances
- Civil Rights
- Environmental Review
- Procurement
- Safety

### **Post-Award Activities**

- Reporting of financial and project implementation progress
- Budget Revisions
- Grant Amendments
- Grant Closeouts
- Program Oversight / Compliance Reviews

# **Oversight / Compliance Reviews**

# FTA conducts the following program compliance reviews:

- Triennial Review
- State Management Review
- Financial Management Oversight (FMO) Review
- Procurement System Review
- TMA Planning Certification Review
- UPWP Review
- State Safety Oversight (SSO) Program Review
- Civil Rights Reviews (EEO and DBE)
- Drug and Alcohol Program Review

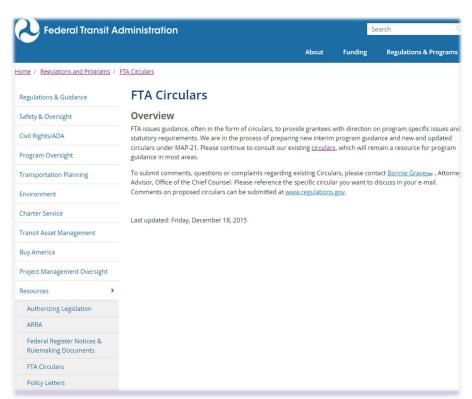
# Resources

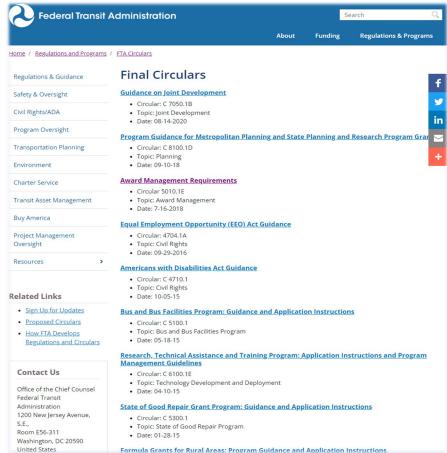


# **Training Opportunities**

- National Rural Transportation Assistance Program (RTAP) <a href="http://nationalrtap.org/Tribal-Transit">http://nationalrtap.org/Tribal-Transit</a>
- National Transit Institute
   <a href="https://www.ntionline.com/courses/">https://www.ntionline.com/courses/</a>
- FTA Website <u>https://www.transit.dot.gov/</u>
- FTA Region 9 Training / Workshop Coming Soon!

# FTA Grant Program "Circulars"





### **Grant Application Development Toolkit**

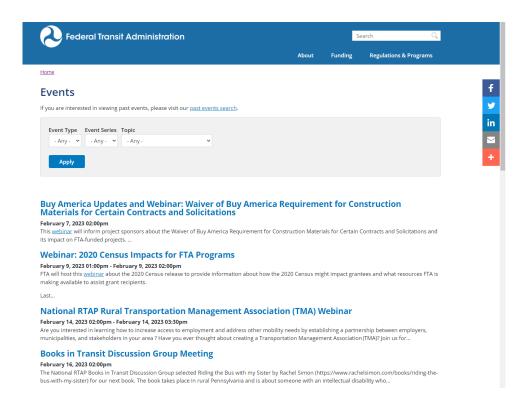
- FTA Region 9's "Grant Application Development Toolkit"
  - -- premiering at AzTA Conference in April 2023!
- This toolkit includes:
  - TrAMS Grant Application Example
  - Grant Development Checklists
  - Template language for TrAMS grant application entries
  - Funding Program Information (fund source codes, match ratio, etc.)
  - TrAMS Workflow Diagram
- Update to Region 9 Staff / Points of Contact for grantees:
   "Grantee Assignment List" coming soon!
- Other FTA grantee training and resources can be found here:

  <a href="https://www.transit.dot.gov/regulations-and-programs/program-oversight/new-recipient-webinar-module-1-resources">https://www.transit.dot.gov/regulations-and-programs/program-oversight/new-recipient-webinar-module-1-resources</a>



### **FTA Online Events**

Stay informed and engaged through various FTA webinars and virtual meetings. <a href="https://www.transit.dot.gov/events">https://www.transit.dot.gov/events</a>



### Resources

- FY 2023 Apportionments Tables https://www.transit.dot.gov/funding/apportionments/current-apportionments
- FY 2023 Certifications & Assurances

  https://www.transit.dot.gov/funding/grantee-resources/certifications-and-assurances/certifications-assurances
- FTA Grant Programs
   https://www.transit.dot.gov/funding
- USDOT Grant Programs
   https://www.transportation.gov/grants
- Public Transportation Agency Safety Plan Requirements
   Public Transportation Agency Safety Plans | FTA (dot.gov)
  - Technical Assistance Resources https://www.transit.dot.gov/funding/grants/fta-sponsored-technical-assistance-centers
  - Buy America
     https://www.transit.dot.gov/buyamerica
  - Federal Register Notices and Rule-Making Documents
     Notices and Rulemaking Documents | FTA (dot.gov)



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