Tips and Tricks to Effective FTA Grants Development and Management

2016 Washington Tribal-State Transportation Conference

September 28, 2016

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FTA Region 10
Seattle, WA
Agenda

- Grant Development
- Grant Management
- FTA TTP Program
- FAST Act
- TrAMs
- TTP Technical Assistance Assessments
- Region 10 Staff Changes
- Questions
FTA Grant Development
FTA Grant Development

- Applying for Funding (Discretionary Awards)
- FTA Grant Making Process in TrAMS
Tip #1: Plan

• Know the transit needs
  – Transit Development Plan
  – Capital Investment Plan
  – Transit Asset Management

• Be at the table
  – TTPO
  – RTPO/MPO
  – Coordinated Human Services Transportation Plan
Tip #2: Be Proactive

• Share transit needs with potential funders even when funds not available (FTA, etc)
• Have projects ready to go in case of funding opportunity (Plan, NEPA, Match)
• Sign up for websites that list grant opportunities:
  – Grants.gov
  – https://public.govdelivery.com/accounts/USDOTFTA/subscriber/new
Tip #3: Know the Requirements

- Read, read, and read again!
  - Federal Register Notices
  - FTA Funding Circulars
  - FTA Grant Management Requirements (C. 5010.1D)
Grant Award

• Discretionary
  – Published in the Federal Register Notice
  – Register provides any specialized information regarding the program
  – Region 10 sends an award letter for TTP

• Formula
  – Apportionments and allocations published annually on FTA’s website (www.transit.dot.gov)
FTA Grant Making Process
Tip #4: Roles and Responsibilities

• Staff Roles
  – User Manager
  – Developer
  – Submitter
  – Official
  – Attorney
  – FFR Reporter
  – MPR Reporter
Grant Development Cycle

Collect Required Data

Clear funding/match identified, clear project description

Determine Grant Structure

Determine if one project or multiple projects needed

Map out Scope/ALI

Select correct Scope and ALI’s and determine amounts of FTA/Match for each

NEPA

Determine environmental determination for project or submit worksheet to FTA if not done

Create and Transmit Grant Application

PIN to submit grant, Initial FFR, PIN to Execute Grant

Execute Grant

Enter all information in TrAMS and work with FTA Grant Rep
Grant Making Process

Grant Application Steps

1. Draft and Transmit FTA Grant
   - Once received, FTA will assign the grant to an FTA Grant Rep

2. FTA and Grantee refine application
   - Application is reviewed by FTA and then returned to the grantee or moved forward

3. Initial Reviews
   - Completed by FTA
   - Quality Control, Technical, Environmental, Civil Rights

4. FAIN Assigned / PIN to Submit

5. Grant goes through Final Reviews / Reservation
   - Includes DOL, Planning, Legal, Regional Administrator

6. Grant Awarded
   - FTA awards the grant and obligates funds

7. Grant Executed
   - Grantee files Initial FFR and then PINs to Execute Grant
Tip #5: Simple Grant Structure

Application

- Project 1
  - Budget (Scope/ALI) and Milestones

- Project 2

- Project 3
  - Budget (Scope/ALI) and Milestones
Tip #6: Pre-Award Requirements

• Certifications and Assurances
• Civil Rights
  – Concur
  – In Review
• Resolution is Current
  – Submission of Agreements
  – Execution of Agreements
  – Execution of Certifications and Assurances
Tip #6: Pre-Award Requirements

• Environmental Determination
  – CE
  – DCE
  – EIS

• Real Estate Documentation
Tip #7: Use Your Resources

- Talk to your counterparts in other transit agencies or tribes
- Call FTA
- Websites
  - [www.transit.dot.gov](http://www.transit.dot.gov)
FTA Grant Management
Tip #1: Know the Requirements

• Reporting
  – TTP Formula and Discretionary
    • Annually
    • TrAMS (Financial and Narrative)
    • National Transit Database (Performance Measures)
  – All other FTA funds
    • Quarterly or Annually (dependent upon funding source)
    • TrAMS (Financial and Narrative)
    • National Transit Database (Performance Measures)
Tip #2: Minimize Your Workload

- **Closeout grants**
  - Grants are supposed to be closed out within 90 days of being fully spent or project complete

- **Monitor project progress**
  - Track spending, any funds remaining able to go towards another active project?

- **Strategic grant management**
  - Can a current operating grant be amended to add a new year of funds to reduce open grants?
Tip #3: Use Your Resources

- Internal Resources
  - Other services or departments that could be partnered with

- External Resources
  - FTA Tribal Liaison
  - FTA TTP Assessments
  - Other tribes and transit agencies
  - TTPO’s and MPO’s
Tip #4: Ask for Help
FTA TTP Program and Updates

• FTA TTP Program
• FAST Act
• FTA’s Electronic Award Management System (EAMS)
  – Transit Award Management System (TrAMS)
• Tribal Transit Program Assessments
  – Technical Assistance
• Region 10 Updates
FTA Tribal Transit Program

Tribal Transit Program (TTP)

• Objective
  – Provide direct funding to federally recognized Indian tribes to provide public transportation service on and around Indian reservations or tribal land in rural areas.

• Eligible Recipients
  – Federally recognized Indian tribes
  – Alaska native villages, groups or communities as identified by the US Department of Interior
# FTA Tribal Transit Program

<table>
<thead>
<tr>
<th>Federally Recognized Tribes</th>
<th>Alaska</th>
<th>Idaho</th>
<th>Oregon</th>
<th>Washington</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Native Entities within the State of Alaska</td>
<td>229</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FTA Grantees</th>
<th>Alaska</th>
<th>Idaho</th>
<th>Oregon</th>
<th>Washington</th>
<th>Total</th>
</tr>
</thead>
</table>

FTA Funding for Tribal Transit

**SAFETEA-LU (FY 2006-2012)**
- Created the Tribal Transit Program (TTP)
  - Administered as a discretionary program at approximately $15 Million per year

**MAP-21 (FY 2013-2015)**
- Continued and Modified TTP
  - Formula Program: $25 Million per year
  - Discretionary Program: $5 Million per year
FTA Funding for Tribal Transit

FAST Act (FY 2016-2020)

• Continued and Modified the Tribal Transit Program (TTP)
  – Formula Program: $30 Million per year (Increase of $5 Million per year)
  – Discretionary Program: $5 Million per year
## TTP Formula Apportionment

- **Statutory Formula (100% Federal Share)**

<table>
<thead>
<tr>
<th>Tier</th>
<th>Percentage of Formula Funding</th>
<th>Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>50%</td>
<td>Vehicle Revenue Miles (NTD)</td>
</tr>
<tr>
<td>2</td>
<td>25%</td>
<td>Indian Tribes providing at least 200,000 vehicle revenue miles (NTD)</td>
</tr>
<tr>
<td>3</td>
<td>25%</td>
<td>Indian Tribes providing public transportation on reservations where more than 1,000 low income persons reside (2010 Census)</td>
</tr>
</tbody>
</table>
TTP Formula Apportionment

• Eligible Projects
  – Any purpose eligible under Section 5311 (Rural Area Formula)
  – Capital, Planning, Operating, Job Access and Reverse Commute, and Program Administration

• Eligible Federal Share
  – 100% (no match required for formula funds)

• Funding Availability
  – Funds are available for the year of appropriation plus 2 years, a total of 3 years
## TTP Formula Apportionment

<table>
<thead>
<tr>
<th><strong>TTP Formula Funds</strong></th>
<th><strong>Eligible Projects</strong></th>
<th><strong>Eligible Federal Share</strong></th>
<th><strong>Funding Availability</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Planning</strong></td>
<td><strong>100%</strong></td>
<td>3 years</td>
</tr>
<tr>
<td></td>
<td><strong>Capital</strong></td>
<td></td>
<td><em>(Year of Appropriation + 2)</em></td>
</tr>
<tr>
<td></td>
<td><strong>Operating</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Job Access &amp; Reverse Commute</strong></td>
<td></td>
<td></td>
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</tbody>
</table>
TTP Discretionary Program

• Approximately $5 million available annually
• Notice of Funding Opportunity (NOFO) is published in the Federal Register (FR) Notice
  – March 14, 2016
    ▪ FTA published the NOFO for FY 2016 TTP discretionary program
  – May 13, 2016
    ▪ Proposals are due in www.grants.gov

# TTP Discretionary Program

<table>
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<tr>
<th>TTP Discretionary Funds</th>
<th>Eligible Projects</th>
<th>Eligible Federal Share</th>
<th>Funding Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Planning</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>✓ $25,000 cap</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Capital</td>
<td>90%*</td>
<td>3 years</td>
</tr>
<tr>
<td></td>
<td>✓ New Services</td>
<td></td>
<td>(Year of Allocation + 2)</td>
</tr>
<tr>
<td></td>
<td>✓ Replacement (bus, equip, facility)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>✓ Expansion (bus, equip, facility)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Operating</td>
<td>90%*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>✓ Tribes receiving &lt;$20,000 in TTP formula funds</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>✓ No existing transit service</td>
<td></td>
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</tbody>
</table>

* Denotes exception can be made for financial hardship cases.
Region 10 TTP Formula Funds

- Alaska
- Idaho
- Oregon
- Washington


Funds Range: $0 to $2,500,000

MAP-21 to FAST transition
Region 10 TTP Discretionary Funds

[Graph showing the allocation of funds for Alaska, Idaho, Oregon, and Washington from 2012 to 2014/2015.]
How to Access FTA TTP Funding

• 5311(b) Tribal Transit Program – **Formula Funds**
  
  – **National Transit Database (NTD) Data**
    
    ▪ Tribes who submitted NTD data for the 2014 reporting period were considered under all 3 Tiers for FY2016 funding.
  
  – **Census Data**
    
    ▪ Tribes that did not submit NTD data in time for the reporting period were only considered under Tier 3 (Poverty Tier).
How to Access Other FTA Funding

• Respond to State DOT’s Call for Projects or Request for Proposals
  – FTA Program Funds managed by the States:
    ▪ Section 5310 - Enhanced Mobility of Seniors and Individuals with Disabilities
    ▪ Section 5311 - Formula Grants for Rural Areas
    ▪ Section 5339 - Bus and Bus Facilities
Fixing America’s Surface Transportation Act (FAST Act)

• Signed into law by President Obama on December 4, 2015

• Effective Date of October 1, 2015
  – Applies new program rules to ALL FY16 funds and all unobligated funds from prior years

• Authorizes transit programs for five years (FY16-FY20), through September 30, 2020
Major FAST Act Features

• Provides steady and predictable funding for five years, with an increase of ~$1 Billion per year to the transit program (8%)
• Re-Introduces a Discretionary Bus Program
• Phases in increased Buy America requirements, up to 70% by FY 2020
• Includes positive improvements to the Workforce Development program
• Targets funding increases towards improving state of good repair and the bus program
• Streamlines Vehicle Procurement & Leasing
Transit Award Management System

https://faces.fta.dot.gov/suite/
History of FTA Grant Making

- Paper Grants
- Transportation Electronic Award Management system (TEAM)
- 1998
- Transit Award Management System (TrAMS)
- 2016
- 1997 and Older
- 2017 and Forward
Welcome to TrAMS!

• TrAMS System Goals
  – User-friendly, flexible, and efficient
  – Strengthens data consistency and integrity
  – Improves transparency and accountability

• Key Features
  – Grantee manages user access
  – E-mail notifications sent to grantees when a new task is assigned
  – “Super Grants” allowed with Regional Office approval
How to Access TrAMS

- Grantee User Managers (UM) activates users or adds new users
- UM sets each user up with specific roles
- Users then receive an email that provides instructions for users to access TrAMS
TrAMS Website

TrAMS Training

https://www.transit.dot.gov/funding/grantee-resources/teamtrams/trams-training
Resources

• FTA Region 10 Grant Representative
• TrAMS Helpdesk
  – 1-877-561-7466
  – FTA.TrAMS.help@dot.gov
TTP Technical Assistance Assessments

- FTA started conducting TTP Technical Assistance (TA) Assessments in FY2015
- Up to 15 Tribes will receive TA assessments per year
- 3-year cycle
- Tribes that do not receive funding from their State DOT will have first priority to receive on-site TA assessment
TTP Technical Assistance Assessments

• **Who?**
  – Tribal grantees are selected based on input from FTA Regional Offices and Headquarters to identify tribes most in need of technical assistance

• **Why?**
  – FTA to collaborate with tribal transit leaders
  – To assist in identifying opportunities and solutions for improvement

• **When?**
  – FTA will offer additional workshops to prepare tribes for TA Assessments
TTP Technical Assessment Areas

- Legal
- Technical
- Grant Administration
- Financial
- National Transit Database
- Asset Management
- Charter Bus
- Procurement & Buy America
- Americans with Disabilities Act
- Drug-Free Workplace
- Drug & Alcohol Testing Program
TTP Technical Assistance

• FTA TTP Web page

• National Rural Technical Assistance Program
  http://webbuilder.nationalrtap.org/

• Northwest Tribal Technical Assistance Program
  http://www.ewu.edu/nwttap
Region 10 Staff Changes

• January 2016
  – Kristy McGuill transitioned in as the Tribal Liaison for Region 10
    ▪ E-mail: Kristine.McGuill@dot.gov
    ▪ Phone: 206-220-7963

• September 2016
  – Linda Gehrke returned to Region 10 as the Regional Administrator
Additional Resources

FTA Region 10

- **Amy Changchien**, Director, Office of Planning and Program Development
  Email: Amy.Changchien@dot.gov
  Phone: 206-220-4464

FTA Headquarters

- **Élan Flippin**, Tribal Transit Program Manager
  Email: Elan.Flippin@dot.gov
  Phone: 202-366-3800
Questions?