



U.S. Department of Transportation  
Federal Transit Administration

# 2022 FTA JOINT STATE SAFETY OVERSIGHT AND RAIL TRANSIT AGENCY HYBRID WORKSHOP

OCTOBER 25-27, 2022

WASHINGTON, D.C



# SSO Grant Cycle and Grant Management

## **Maria Wright**

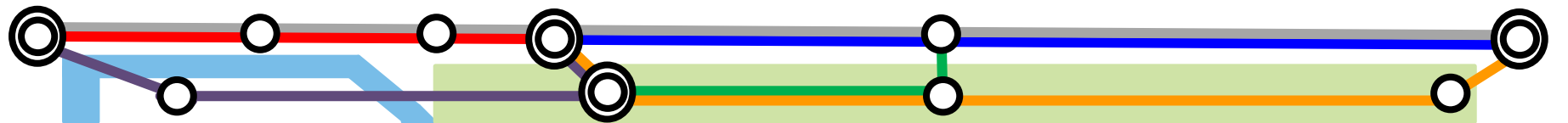
Senior Program Manager, Office of Safety Review  
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## **Richard Wong**

Attorney Advisor  
Office of Chief Counsel  
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State Safety Oversight Program Manager  
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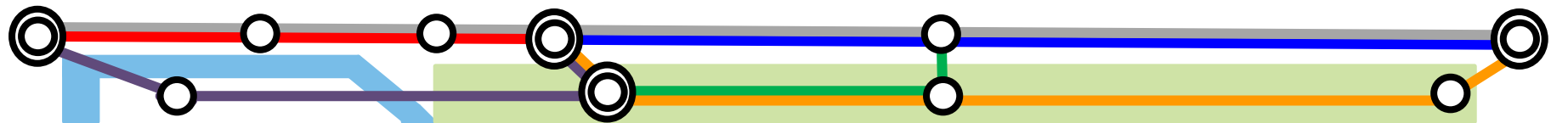
# Grant Management

## Regional Office

Primary point of contact for all grant related activities

## Basic Requirement

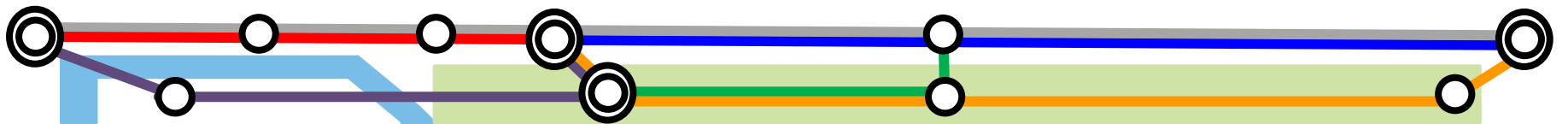
Recipients must track and report on the progress of projects, expend grant funds on time, and close out projects and grants when project activity is completed



# FTA Regional Process for SSO Grant Funds

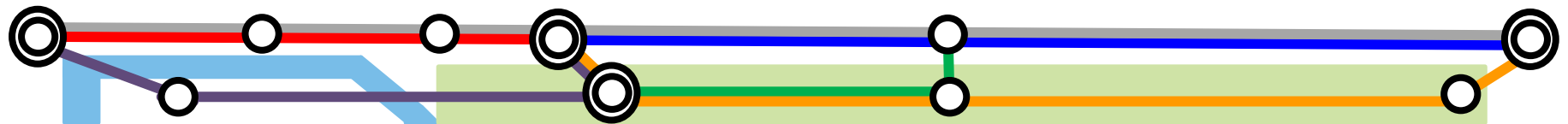
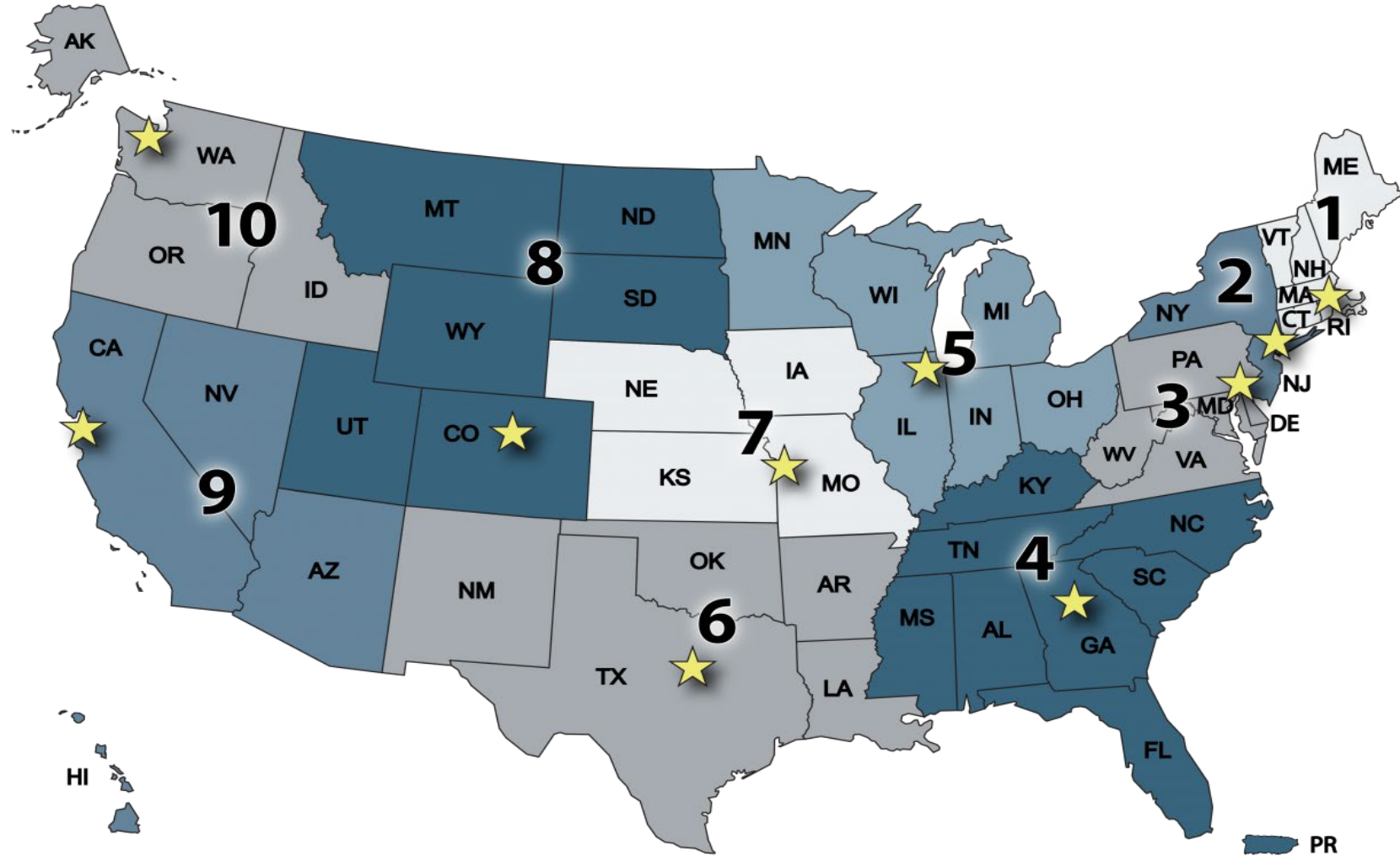
- Discuss scope elements, milestones, and associated attachments with grant recipient.
- Joint review between FTA regional office and FTA HQ office of transit safety and oversight.
- Review status of Certification Work Plan activities (as applicable) and progress and draw down activity on previous grants.
- Follow-up with grant recipient for clarification and extra information, as required.

Reminder: SSO Formula Grant Program funds are available for the year of apportionment plus two additional years. **Any FY 2021 funds that remain unobligated at the close of business on September 30, 2023, will revert to FTA for reapportionment under the SSO Formula Grant Program.**



# Grant Management

## Regional Offices



# Grant Management – Regional Contacts

## Region 1

MA - Pre & Post Award – Ryan Bartlett

## Region 2

NJ – Pre-Award – Raymond Tomczak

NJ – Post-Award – Jonathan Howard

NY – Pre-Award – James Goveia

NY – Post-Award – Jonathan Howard

## Region 3

DC Streetcar – Pre-Award – Daniel Koenig

DC Streetcar – Post-Award – Kelly Tyler

Metro Safety Commission Pre-Award – Daniel Koenig

Metro Safety Commission– Post-Award – Kelly Tyler

Penn DOT – Pre-Award – Timothy Lidiak

Penn DOT – Post-Award – Karen Roscher

VA – Pre-Award – Michele DeAngelis

VA – Post-Award – Jason Yucis

WVA – Pre-Award– Michele DeAngelis

WVA – Post-Award- Ron Shatz

## Region 4

FL – Pre & Post Award – Holly Liles

GA – Pre & Post Award – Courtney Roberts

NC – Pre & Post Award – Holly Liles

PR – Pre-Award – Nelson Delgado

PR – Post-Award – Bayoan Ortiz-Rios

TN – Pre & Post Award – Michael Sherman

## Region 5

IL – Pre- Award – Anthony Greep

IL – Post-Award – Tarressa Carrell

MI – Pre-Award- Susan Weber

MI – Post-Award – Lisa Joiner

MN – Pre-Award – William Wheeler

MN – Post-Award – Hassan Dastgir

OH – Pre & Post Award – Deidre Wesley

WI – Pre & Post Award – Evan Gross

## Region 6

AR – Pre & Post Award – Ronisha Hodge

LA – Pre & Post Award – Sharon Coats

OK – Pre-Award – Luciana Nears

OK – Post-Award – Dominic Lomurro

TX – Pre & Post Award – Luciana Nears

## Regions 7

MO – Pre & Post Award – Shannon Graves

## Region 8

CO – Pre & Post Award – Stephane Minter

UT – Pre & Post Award – Stephane Minter

## Region 9

AZ – Pre & Post Award – Arianna Valle

CA – Pre-Award – Dominique Kraft

CA – Post-Award – Catherine Luu

HI – Pre & Post Award – Ryan Fujii

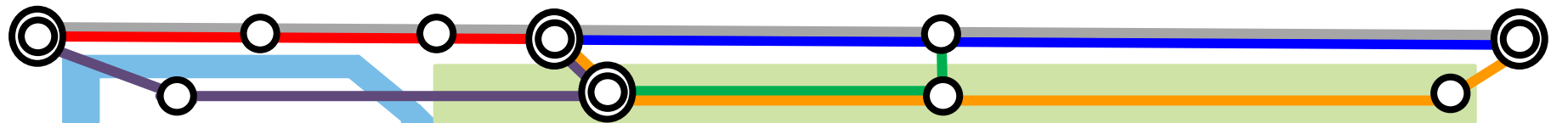
## Region 10

OR – Pre-Award – Kristine Ziglar

OR – Post-Award – Scot Rastelli

WA – Pre-Award – Annette McKelvey

WA – Post-Award – Scot Rastelli



# Common Grant Activities

## Eligible

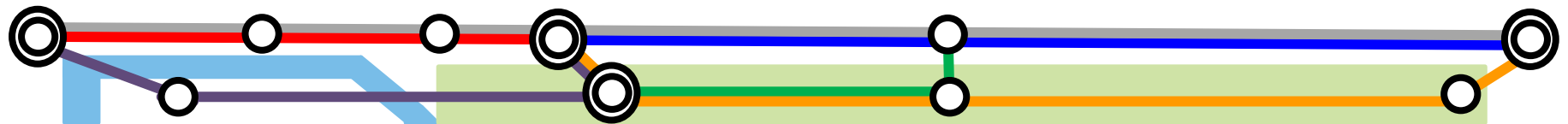


- In-State and out-of-State training and travel
- Training (for SSO personnel) taken at the rail transit system
- Staff wages and payments to contractors
- Vehicles, equipment, or information systems

## Not Eligible



- Oversight of other (non-rail) transit modes
- Rail transit system operations, safety, or maintenance expenses
- Training for rail transit system personnel
- Expenses that benefit the rail transit system





# Eligibility Questions: FTA Circular 5010.1E



U.S. Department  
of Transportation

**Federal Transit  
Administration**

## CIRCULAR

FTA C 5010.1E

**March 21, 2017**  
**Rev. 1, July 21, 2017**  
**Rev. 2, July 16, 2018**

### Subject: AWARD MANAGEMENT REQUIREMENTS

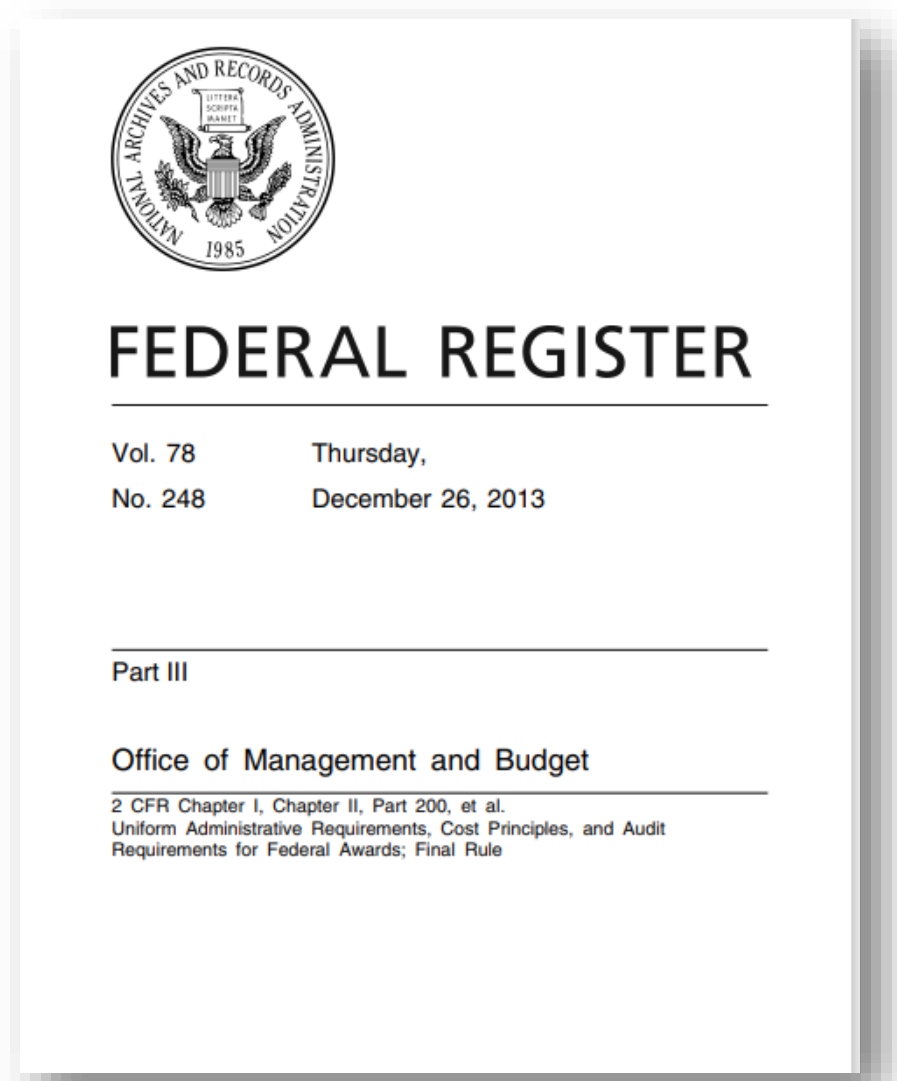
1. **PURPOSE.** This circular is a reissuance of guidance (previously “Grant Management Requirements”) for post-award administration and management activities for all applicable Federal Transit Administration (FTA) federal assistance programs. This revision incorporates provisions of the Fixing America’s Surface Transportation Act (FAST Act) programs and the Moving Ahead for Progress in the 21st Century Act (MAP-21) programs. This circular includes the most current guidance for the federal public transportation programs as of the date of publication.

This circular revision also incorporates provisions of U.S. Department of Transportation (DOT) regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR part 1201. These regulations incorporate by reference the Office of Management and Budget (OMB), “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR part 200, which supersedes and streamlines the former OMB Circulars on Uniform Administrative Guidance, A-102 and A-110, former OMB Circulars on Cost Principles, A-21, A-87, and A-122, and former OMB Circulars addressing Single Audit issues, A-133 on Single Audit Act administration and A-50 on Single Audit Act follow-up. OMB’s final guidance consolidates the guidance previously contained in the aforementioned documents into a streamlined format that aims to improve both clarity and accessibility. The U.S. DOT adopts this guidance, with a few DOT-specific provisions.





# Eligibility Questions: 2 CFR Part 200

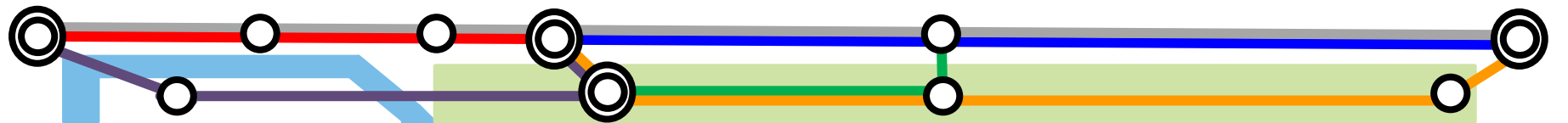


# Eligibility Questions

Title 2 CFR Part 200, subpart E – Cost Principles:

## § 200.423 Alcoholic beverages.

Costs of alcoholic beverages are **unallowable**.

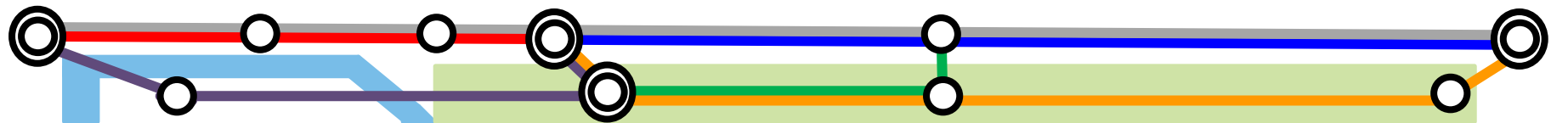


# Eligibility Questions

## § 200.421 Advertising and public relations.

(b) The only allowable advertising costs are those which are solely for:

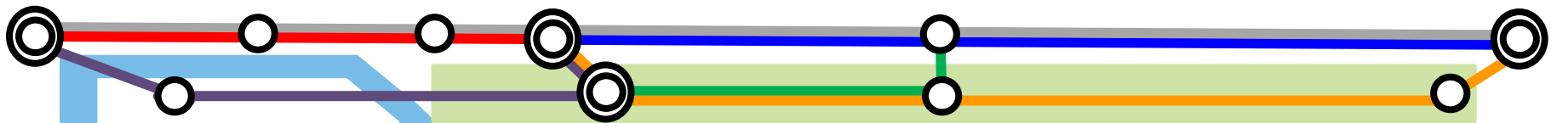
- (1) The recruitment of personnel required by the non-Federal entity for performance of a Federal award (See also [§ 200.463](#));
- (2) The procurement of goods and services for the performance of a Federal award;
- (3) The disposal of scrap or surplus materials acquired in the performance of a Federal award except when non-Federal entities are reimbursed for disposal costs at a predetermined amount; or
- (4) Program outreach and other specific purposes necessary to meet the requirements of the Federal award.



# Eligibility Questions

## § 200.430 Compensation - personal services.

(a) **General.** Compensation for personal services includes all remuneration, paid currently or accrued, for services of employees rendered during the period of performance under the Federal award, including but not necessarily limited to wages and salaries. Compensation for personal services may also include fringe benefits which are addressed in [§ 200.431](#).



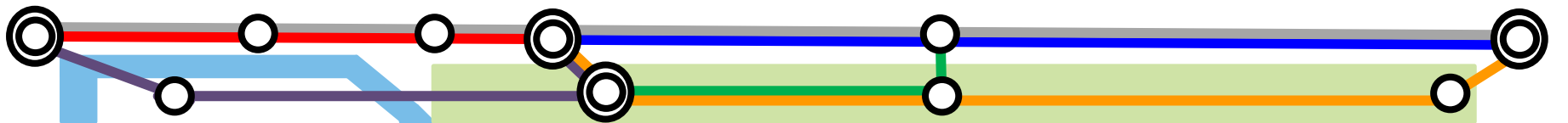
# Eligibility Questions

## § 200.439 Equipment and other capital expenditures.

(b) (1) Capital expenditures for general purpose equipment, buildings, and land are **unallowable** as direct charges, except with the prior written approval of the Federal awarding agency or pass-through entity.

(2) Capital expenditures for special purpose equipment are **allowable** as direct costs, provided that items with a unit cost of \$5,000 or more have the prior written approval of the Federal awarding agency or pass-through entity.

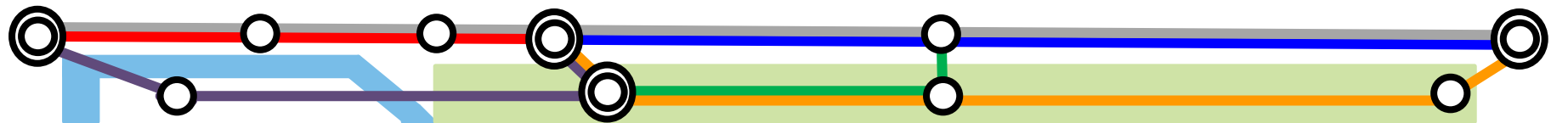
(3) Capital expenditures for improvements to land, buildings, or equipment which materially increase their value or useful life are **unallowable** as a direct cost except with the prior written approval of the Federal awarding agency, or pass-through entity.



# Eligibility Questions

## § 200.441 Fines, penalties, damages and other settlements.

Costs resulting from non-Federal entity violations of, alleged violations of, or failure to comply with, Federal, state, tribal, local or foreign laws and regulations are **unallowable**, except when incurred as a result of compliance with specific provisions of the Federal award, or with prior written approval of the Federal awarding agency. See also [§ 200.435](#).

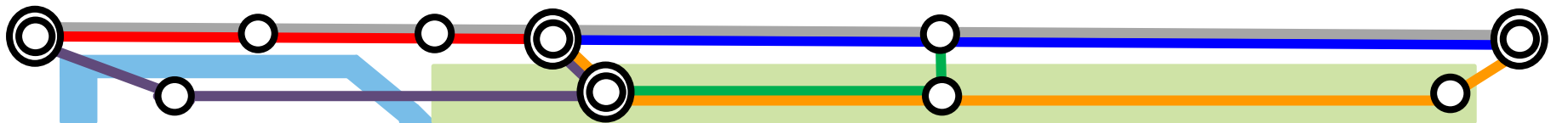




# Eligibility Questions

## § 200.445 Goods or services for personal use.

- (a) Costs of goods or services for personal use of the non-Federal entity's employees are **unallowable** regardless of whether the cost is reported as taxable income to the employees.
- (b) Costs of housing (e.g., depreciation, maintenance, utilities, furnishings, rent), housing allowances and personal living expenses are only allowable as direct costs regardless of whether reported as taxable income to the employees. In addition, to be allowable direct costs must be approved in advance by a Federal awarding agency.



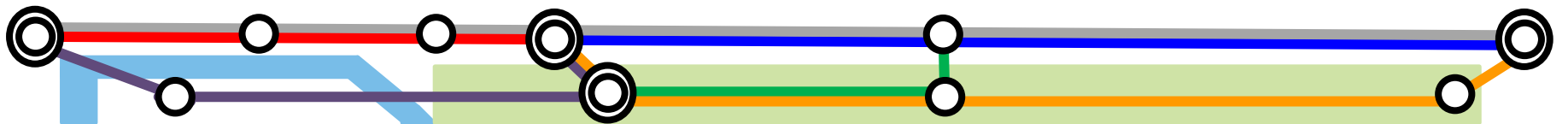
# Eligibility Questions

## § 200.453 Materials and supplies costs, including costs of computing devices.

(a) Costs incurred for materials, supplies, and fabricated parts necessary to carry out a Federal award are **allowable**.

(b) Purchased materials and supplies must be charged at their actual prices, net of applicable credits. Withdrawals from general stores or stockrooms must be charged at their actual net cost under any recognized method of pricing inventory withdrawals, consistently applied. Incoming transportation charges are a proper part of materials and supplies costs.

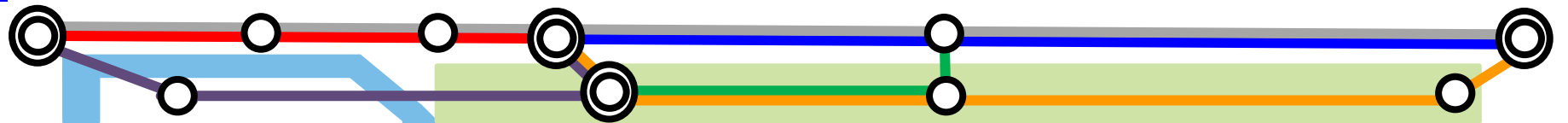
(c) Materials and supplies used for the performance of a Federal award may be charged as direct costs. In the specific case of computing devices, charging as direct costs is allowable for devices that are essential and allocable, but not solely dedicated, to the performance of a Federal award.



# Eligibility Questions

## § 200.454 Memberships, subscriptions, and professional activity costs.

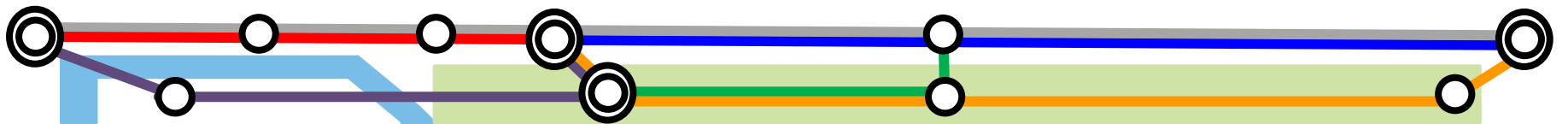
- (a) Costs of the non-Federal entity's membership in business, technical, and professional organizations are **allowable**.
  - (b) Costs of the non-Federal entity's subscriptions to business, professional, and technical periodicals are **allowable**.
  - (c) Costs of membership in any civic or community organization are allowable with prior approval by the Federal awarding agency or pass-through entity.
  - (d) Costs of membership in any country club or social or dining club or organization are **unallowable**.
  - (e) Costs of membership in organizations whose primary purpose is lobbying are **unallowable**.
- See also [§ 200.450](#).



# Eligibility Questions

## § 200.461 Publication and printing costs.

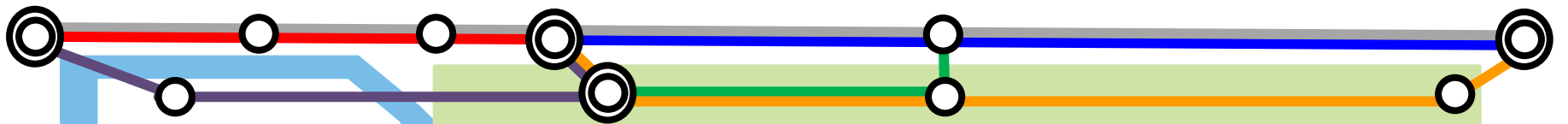
(a) Publication costs for electronic and print media, including distribution, promotion, and general handling are **allowable**. If these costs are not identifiable with a particular cost objective, they should be allocated as indirect costs to all benefiting activities of the non-Federal entity.



# Eligibility Questions

## § § 200.463 Recruiting costs.

(a) Subject to [paragraphs \(b\)](#) and [\(c\)](#) of this section, and provided that the size of the staff recruited and maintained is in keeping with workload requirements, costs of “help wanted” advertising, operating costs of an employment office necessary to secure and maintain an adequate staff, costs of operating an aptitude and educational testing program, travel costs of employees while engaged in recruiting personnel, travel costs of applicants for interviews for prospective employment, and relocation costs incurred incident to recruitment of new employees, are **allowable** to the extent that such costs are incurred pursuant to the non-Federal entity's standard recruitment program. Where the non-Federal entity uses employment agencies, costs not in excess of standard commercial rates for such services are allowable.

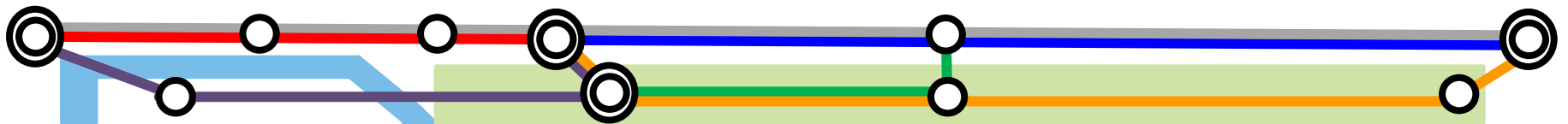


# Eligibility Questions

## § 200.464 Relocation costs of employees.

(a) Relocation costs are costs incident to the permanent change of duty assignment (for an indefinite period or for a stated period of not less than 12 months) of an existing employee or upon recruitment of a new employee. Relocation costs are **allowable**, subject to the limitations described in [paragraphs \(b\)](#), [\(c\)](#), and [\(d\)](#) of this section, provided that:

- (1) The move is for the benefit of the employer.
- (2) Reimbursement to the employee is in accordance with an established written policy consistently followed by the employer.
- (3) The reimbursement does not exceed the employee's actual (or reasonably estimated) expenses.

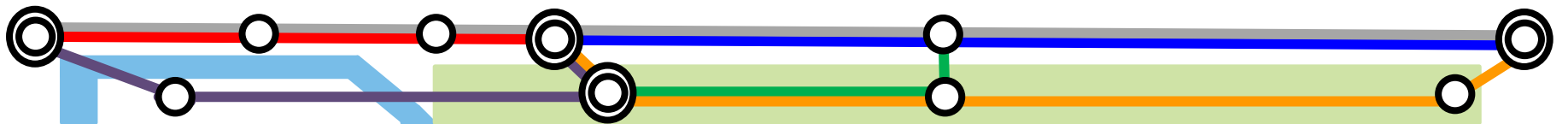




# Eligibility Questions

## § 200.465 Rental costs of real property and equipment.

(a) Subject to the limitations described in [paragraphs \(b\)](#) through [\(d\)](#) of this section, rental costs are **allowable** to the extent that the rates are reasonable in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased. Rental arrangements should be reviewed periodically to determine if circumstances have changed and other options are available.



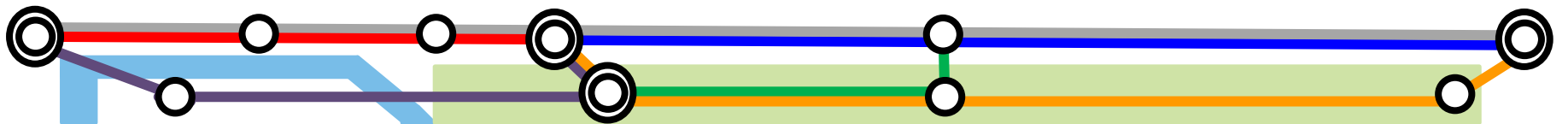
# Eligibility Questions

## § 200.471 Telecommunication costs and video surveillance costs.

(a) Costs incurred for telecommunications and video surveillance services or equipment such as phones, internet, video surveillance, cloud servers are **allowable** except for the following circumstances:

(b) Obligating or expending covered telecommunications and video surveillance services or equipment or services as described in [§ 200.216](#) to:

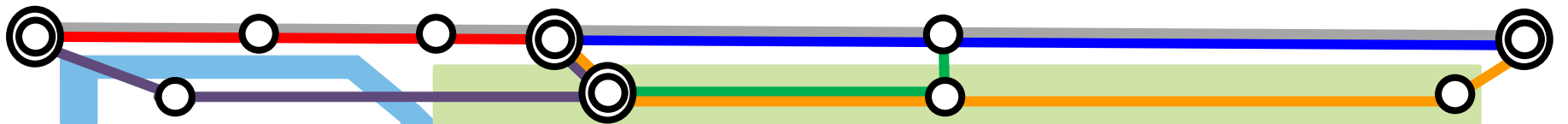
- (1) Procure or obtain, extend or renew a contract to procure or obtain;
- (2) Enter into a contract (or extend or renew a contract) to procure; or
- (3) Obtain the equipment, services, or systems.



# Eligibility Questions

## § 200.475 Travel costs.

(a) **General.** Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business of the non-Federal entity. Such costs may be charged on an actual cost basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip and not to selected days of the trip, and results in charges consistent with those normally allowed in like circumstances in the non-Federal entity's non-federally-funded activities and in accordance with non-Federal entity's written travel reimbursement policies. Notwithstanding the provisions of [§ 200.444](#), travel costs of officials covered by that section are allowable with the prior written approval of the Federal awarding agency or pass-through entity when they are specifically related to the Federal award.



# Eligibility Questions

## § 200.475 Travel costs.

### (e) *Commercial air travel.*

(1) Airfare costs in excess of the basic **least expensive** unrestricted accommodations class offered by commercial airlines are unallowable except when such accommodations would:

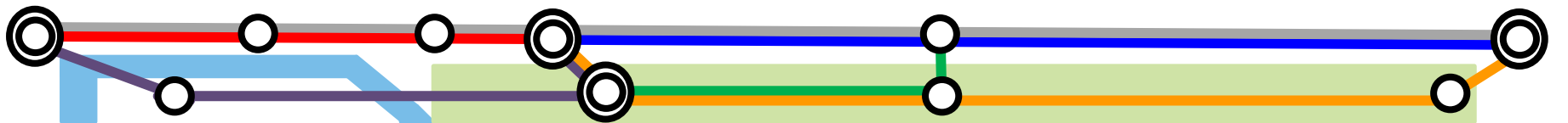
(i) Require circuitous routing;

(ii) Require travel during unreasonable hours;

(iii) Excessively prolong travel;

(iv) Result in additional costs that would offset the transportation savings; or

(v) Offer accommodations not reasonably adequate for the traveler's medical needs. The non-Federal entity must justify and document these conditions on a case-by-case basis in order for the use of first-class or business-class airfare to be allowable in such cases.

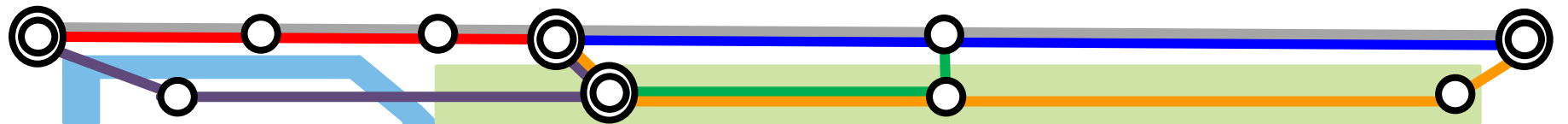


# Eligibility Questions

## § 200.475 Travel costs.

### (e) *Commercial air travel.*

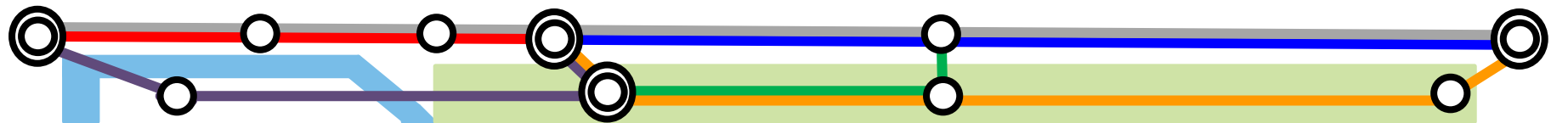
(2) Unless a pattern of avoidance is detected, the Federal Government will generally not question a non-Federal entity's determinations that customary standard airfare or other discount airfare is unavailable for specific trips if the non-Federal entity can demonstrate that such airfare was not available in the specific case.



# Eligibility Questions

## § 200.441 Fines, penalties, damages and other settlements.

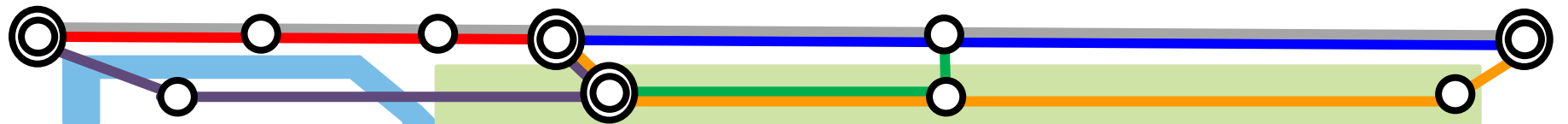
Costs resulting from non-Federal entity violations of, alleged violations of, or failure to comply with, Federal, state, tribal, local or foreign laws and regulations are **unallowable**, except when incurred as a result of compliance with specific provisions of the Federal award, or with prior written approval of the Federal awarding agency. See also [§ 200.435](#).





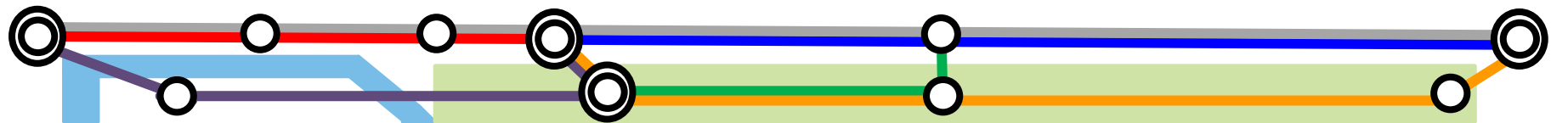
# Eligibility Questions Quiz

- Renting a HQ office?
- Constructing new HQ building?
- Trash Collection?
- Landscaping?
- Vehicle leases?
- Vehicle speeding tickets?
- Parking fees?
- Parking fines?
- Membership in the Association of SSOA Program Managers?
- Membership in Amazon Prime?
  
- FAQ's: <https://www.transit.dot.gov/regulations-and-guidance/safety/frequently-asked-questions-state-safety-oversight-formula-grant> (May not necessarily reflect current agency positions)



# Grant Management

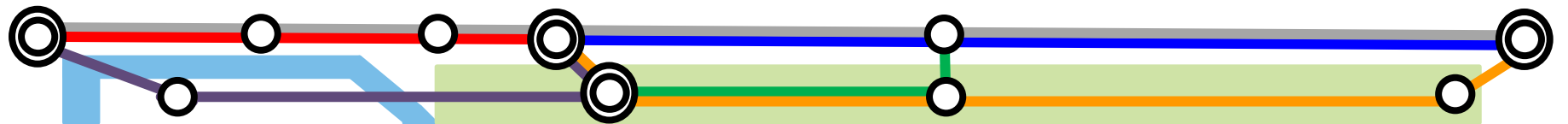
- Recipients should aim to complete projects within the period of availability of funds
  - 5329 Funds: Year of apportionment plus 2 years
- Once award funds are past the period of availability, the ability to amend the Award to change the scope is limited
- Funds de-obligated within the period of availability are available for re-obligation to a new award



# Post Award and Reporting

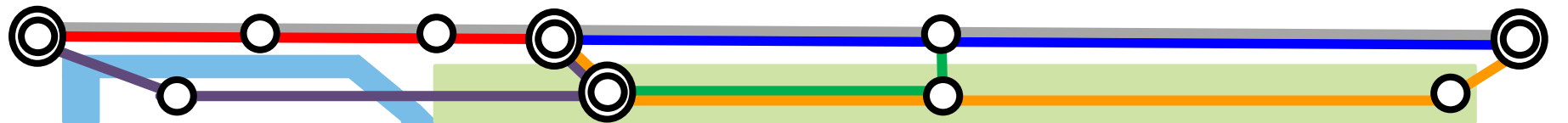
After a grant is awarded, States must submit quarterly Federal Financial Reports and Milestone Progress Reports.

- See the most recent version of FTA's Award Management Circular 5010.1E <https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/award-management-requirements-circular-50101e> or contact your regional office for details
- Note: All project expenditures, whether paid for with Federal award money or local matching funds, must comply with Federal requirements, including Buy America, civil rights, economic development, etc.



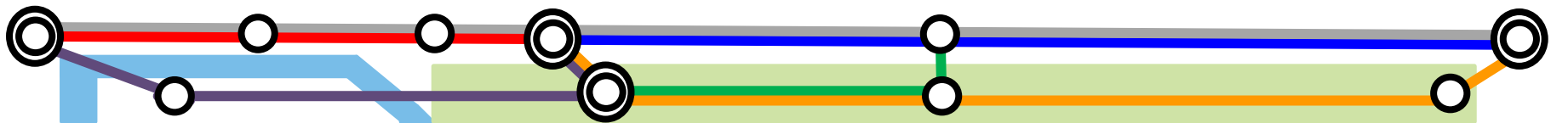
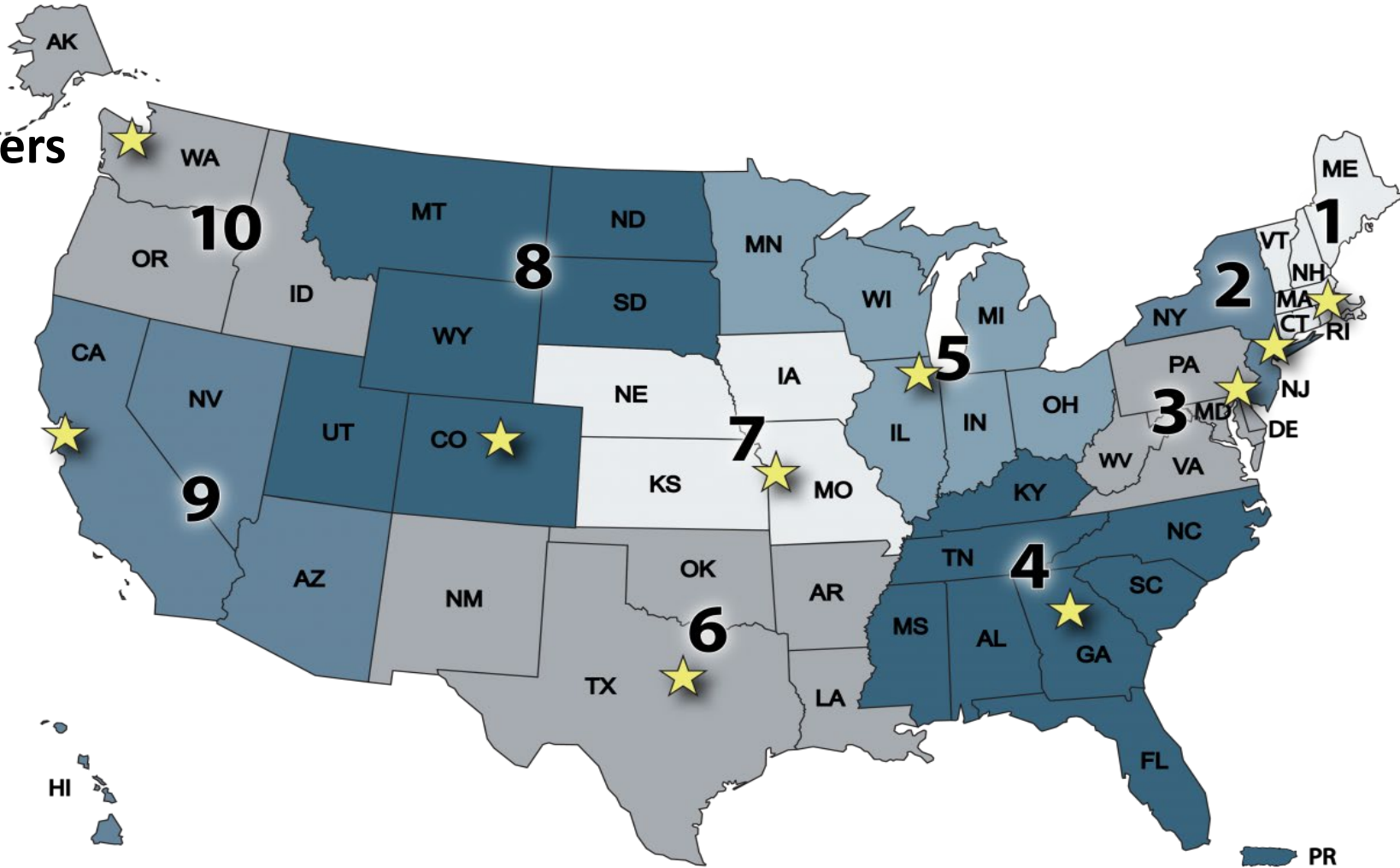
# Grant Management Tips

- Identify available funds in existing awards before applying for new funds
- Spend oldest funds first for on-going expenses such as program administration
- Transfer small remaining balances to new line items
- Move delayed projects to newer awards and active projects to older awards
- Regularly reconcile balances with those in the TRAMS
- Tie third party contracts to projects, then tie projects to award



# Grant Management Quiz (as promised)!

Who are the § 5329  
Grant Program Managers  
for California?



# Contact Information

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