



FEDERAL TRANSIT ADMINISTRATION

# FTA Region IV Grantee Training Webinar

December 8, 2015

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Regional Administrator



U.S. DEPARTMENT OF TRANSPORTATION



FEDERAL TRANSIT ADMINISTRATION

# Agenda

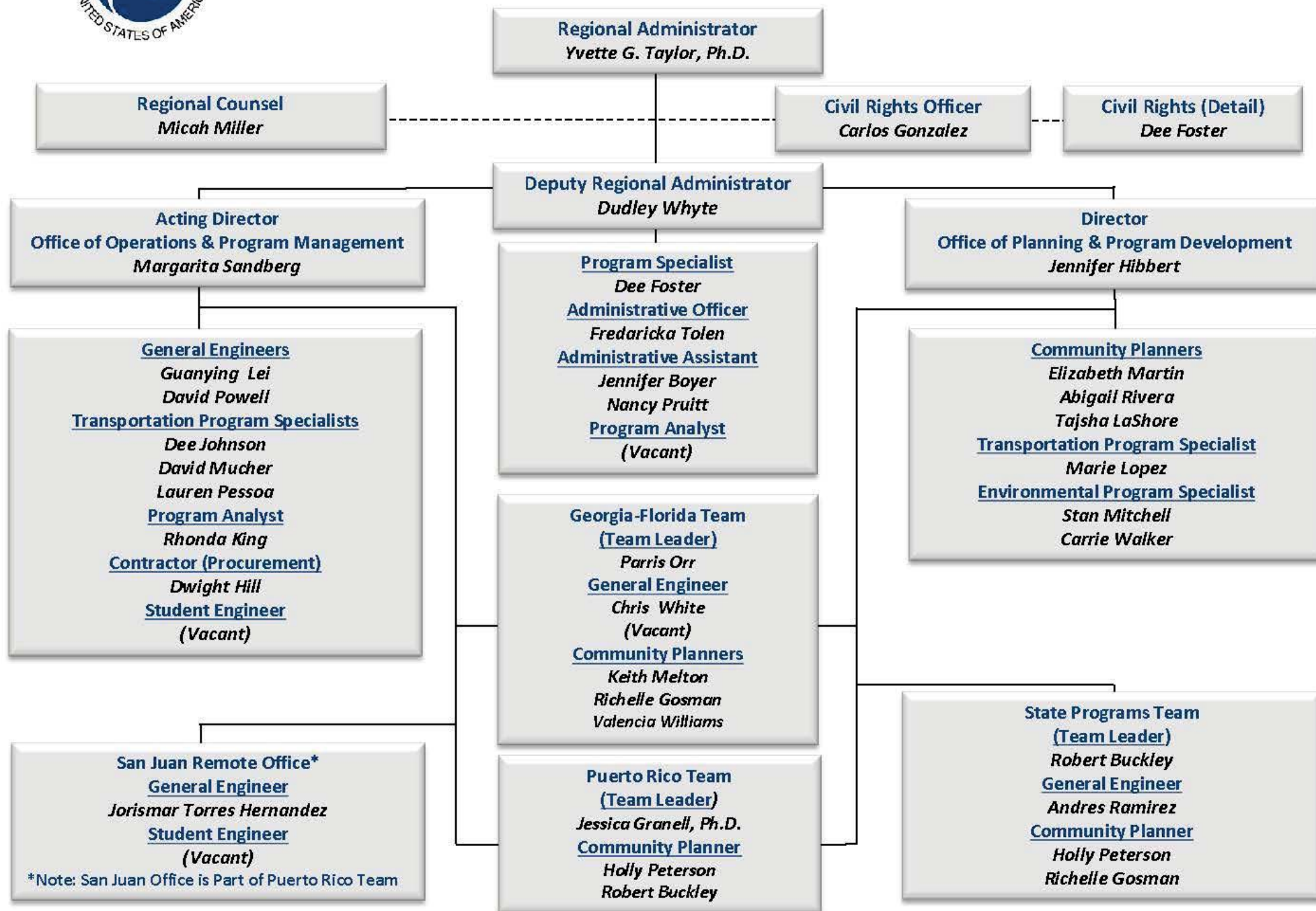
- Organizational Updates
- Regional Updates
- National Updates
- Planning & Program Development Updates
- Program Management & Oversight Updates
- Legal Updates
- Civil Rights Updates
- Questions and Answers

# Organizational Updates

- **Geographic Assignments**
  - Region 4 updated organizational chart is on FTA's homepage at:  
[http://www.fta.dot.gov/documents/Geographic\\_Assignments\\_Oct\\_2015.pdf](http://www.fta.dot.gov/documents/Geographic_Assignments_Oct_2015.pdf)



U.S. Department of Transportation  
Federal Transit Administration  
Region IV Organizational Chart



# Regional Updates

## FY 2015 Grant Awards

State	Number of Grants	Dollar Amount
Alabama	<b>-- NEW --</b>  <i>FY 16 So Far...</i>  From Nov 1 to Nov 30, 2015, Region 4 awarded 57 grants totaling \$199.5 M	\$64,476,011
Florida		\$483,008,286
Georgia		\$212,430,116
North Carolina		\$245,725,150
South Carolina		\$36,274,163
Tennessee		\$87,745,521
Mississippi		\$29,443,576
Kentucky		\$67,302,465
Puerto Rico		\$64,655,596
Virgin Islands		\$0
<b>TOTAL</b>	<b>406</b>	<b>\$1,291,060,884</b>

# Regional Updates

## Requesting Meetings with the Secretary of Transportation and/or FTA Administrator

- To invite the Secretary of Transportation  
Requests can be emailed to [secretaryscheduler@dot.gov](mailto:secretaryscheduler@dot.gov).
- To invite FTA Administrator:  
Fill out and submit the online Meeting / Event Request Form on FTA website at:  
<http://www.fta.dot.gov/MeetingRequestForm.php>

# National Updates

- Fixing America's Surface Transportation (FAST) Act
- FY 2016 Budget/Appportionment
- Recent Federal Register Notices
- TrAMS

# National Updates

- Fixing America's Surface Transportation (FAST) Act
  - Signed 04 December 2015, Five year transportation bill through Sept 2020
  - Total funding for FTA Programs shows a 10.2% increase in year one and 17.7% increase by FY 2020. Total for FTA is \$61.113 billion over the life of the bill.
  - Increases dedicated bus funding by 89% over the life of the bill
  - Provides formula funding and discretionary funding
  - Establishes a pilot program for innovative coordinated access and mobility
  - Establishes an innovative P3 Program
  - CIG programs are authorized at a 20.7% increase over MAP-21 authorized levels, but the level remains flat over the life of the bill.
  - A review of safety standards and protocols will also be undertaken to evaluate the need to establish federal minimum safety standards.



# Highlights of FAST Act Program Changes

## New

- Bus and Bus Facilities Formula Grants (5339 (b))
- Expedited Project Delivery for CIG Pilot Program (3005(b))
- Pilot Program for Innovative Coordinated Access & Mobility (3006(b))

## Repealed

- Bicycle Facilities (5319)
- Pilot Program for Expedited Project Delivery (Subsection 20008(b) of MAP-21)

## Consolidated

- Public Transportation Innovation (Research & TCRP) (5312)
- Technical Assistance & Workforce Development (5314)

## Modified

- Planning (5303/5304)
- Urbanized Area Formula (5307)
- Fixed Guideway Capital Investment Grants (5309)
- Elderly & Disabled (5310)
- Formula Grants for Rural Areas (5311)
- Public Transportation Safety Program (5329)
- State of Good Repair (5337)
- Bus and Bus Facilities (5339(a))

# National Updates

## FY 2016 Budget/Appportionment

- No FY 2016 Apportionment Released at this time.

# National Updates

## Federal Register Notices

- *Environmental Impact and Related Procedures*, published 20 November 2015. Public Comments due 19 January 2016
- This NPRM is an opportunity to comment on proposed revisions to the FHWA and FTA joint regulations that implement NEPA and Section 4(f).
- This NPRM proposes to revise the FHWA/FTA Environmental Impact and Related Procedures and Parks, Recreation Areas, Wildlife and Waterfowl Refuges, and Historic Sites regulations. In addition, FHWA and FTA propose changes to the regulatory text to improve readability and to reflect current practice.

# National Updates

## Federal Register Notices

### ➤ **FY 2015 Full Apportionment Notice**

- Published August 2015
- The formula apportionment tables that allocate the full year of FY 2015 appropriated funds can be found at <http://www.fta.dot.gov/apportionments>
- In addition, the National Transit Database (NTD) and Census Data used in the funding formulas can be found at <http://www.fta.dot.gov/apportionments>

# National Updates

## Federal Register Notices

- *Low or No Emission Vehicle Deployment (LoNo), applications were due 23 Nov 2015*
- Provides funding for transit agencies for capital acquisitions and leases of zero-emission and low-emission transit buses, including acquisition, construction, and leasing of required supporting facilities such as recharging, refueling, and maintenance facilities.
- \$22.5 M Available
- Eligible Applicants:
  - Designated Recipients in non-attainment/maintenance areas
  - State DOTs (for small UZAs) in non-attainment/maintenance areas

# National Updates

## Federal Register Notices

- *Transit Asset Management NPRM Released, Public Comments were due by 30 Nov. 2015*
- FTA issued a [proposed rule](#) that would require public transportation agencies to monitor and manage their capital assets to achieve and maintain a state of good repair.
- The proposed rule would require public transportation agencies to develop a Transit Asset Management (TAM) Plan.
  - To reduce the burden on small operators, the proposed rule offers a two-tiered approach for the TAM Plan requirement.
- MAP-21 directs FTA to create a TAM System to help transit agencies achieve a better and more informed balance between system preservation and expansion projects, with a strong focus on improving safety.
- The proposed rule would also define the term “state of good repair,” establish performance measures, and have transit agencies set performance targets based on those measures.

# National Updates

## Federal Register Notices

- *Final Capital Investment Grant (CIG) Program Guidance -- published on August 5, 2015*
- The policy guidance provides a greater level of detail about the methods FTA uses to apply the CIG evaluation criteria and the sequential steps a sponsor must follow in developing a major capital project. This program includes New Starts, Small Starts and Core Capacity. The guidance is also posted on the FTA website.

# National Updates

## TrAMS

- Transition to TrAMS scheduled for early 2016
  - Four rounds of end-to-end testing on the system completed
  - Refinements continue to the system in preparation for a final round of testing
  - Grantee training is expected in January and will be online, module based
  - Expected implementation is within second quarter, FY 16
- ECHO 2.0 open
  - All awarded **and** executed grants funds will be available for drawdown regardless of the status of TEAM/TrAMS.
  - ECHO has not shut down. The system will remain open for drawdown requests for existing TEAM grants after TEAM close.
  - **REMINDER**: Submit new ECHO user forms ASAP



# National Updates

## TrAMS

- Additional Considerations:
  - TEAM is currently open in READ ONLY status. All information in TEAM is now static.
  - Any application not awarded by Nov 30 must be recreated in TrAMS in its entirety. You will not be able to finish a grant in TrAMS that was started in TEAM.
  - Any application awaiting DOL certification following Nov 30 can use the same certification for a new grant created in TrAMS so long as the grant is identical to the TEAM grant for which the certification was issued. DOL will continue to issue certifications following Nov 30 and these may be used to support a TrAMS grant.

# National Updates

## TrAMS

- Additional Information/Trainings
  - Webinars are on FTA website:  
[http://www.fta.dot.gov/16260\\_15775.html](http://www.fta.dot.gov/16260_15775.html)
    - Module #1: Transitioning from TEAM to TrAMS
    - Module #2: Getting to Know TrAMS
    - More training will be announced via the TrAMS website and regional email communications.
  - Make sure you are signed up for email alerts at:  
[www.fta.dot.gov/TrAMS](http://www.fta.dot.gov/TrAMS)

# Office of Planning and Program Development Updates

## Environmental Updates & Reminders

- What is NEPA?
- NEPA Responsibilities
- Information Needed to Initiate NEPA Checklist
- Section 106 Information and Process forthcoming

# What is NEPA?

## What is NEPA?

**Authority:** NEPA, the Environmental Quality Improvement Act of 1970, as amended (42 U.S.C. 4371 et seq.), sec. 309 of the Clean Air Act, as amended (42 U.S.C. 7609), and E.O. 11514 (Mar. 5, 1970, as amended by E.O. 11991, May 24, 1977).

The intent of NEPA, the National Environmental Policy Act, is to provide federal agencies with sufficient documentation and analysis to make the best environmental decisions through a reasoned study of the existing environment and the likely impacts of the proposed project.

NEPA is **not** intended to stop or delay projects. NEPA is intended to provide decisional information to Federal agencies.

### NEPA is essentially 3 questions:

1. What is the **current** environment in the project area?
2. Will the project **significantly** impact the existing environment?
3. If there is a significant impact, can the impact be **mitigated**?

### Who is responsible for what?

#### Grantee:

- The **Grantee** will provide a clear and accurate project description to FTA
- The **Grantee** will complete the required NEPA documentation either in-house or through a contractor
- The **Grantee** will provide FTA with complete documents for review
- The **Grantee** will notify FTA of any changes to the proposed project

#### FTA:

- **FTA** will ask the grantee for a project description
- **FTA** will determine the class of action (COA) based on the project description
- **FTA** will review environmental documents for technical and legal sufficiency
- **FTA** will initiate consultation to satisfy Section 106 of the National Historic Preservation Act
- **FTA** will be the Federal decision maker for NEPA

# Region 4 NEPA Responsibilities

- FTA will ask the grantee for a **project description**
- FTA will determine the **class of action** (COA) based on the project description
- FTA will review **environmental documents** for technical and legal sufficiency
- FTA will initiate **consultation** to satisfy Section 106 of the National Historic Preservation Act
- FTA will be the Federal **decision maker** for NEPA

# Grantee Responsibilities

- The Grantee will provide a **clear and accurate** project description to FTA
- The Grantee will **complete** the required NEPA documentation either in-house or through a contractor
- The Grantee will **provide** FTA with complete documents for review
- The Grantee will **notify** FTA of any changes to the proposed project

# Information Needed to Initiate NEPA

## INFORMATION REQUIRED TO INITIATE NEPA

### A CHECKLIST

For FTA to determine the extent of environmental analysis required for a proposed project, we must have a clear idea of what it may do to the environment. This includes the **natural environment** (soil, water, air, flora/fauna) and the **human environment** (socioeconomics, land use, traffic, etc.). Additionally, FTA must determine whether any Federal funding is sought (now or in the future) for the proposal and if FTA is required to make a decision or approval (e.g., approval for incidental use of property).

INFORMATION REQUIRED	QUESTIONS ADDRESSED
<input type="checkbox"/> Sources of federal, state, and local funds and transit nexus	<i>Is the project a Federal Action eligible for FTA funding?</i>
<input type="checkbox"/> Description of existing property with map showing Area of Potential Effect (APE)	<i>What are the Existing conditions?</i>
<input type="checkbox"/> Street address or coordinates	<i>Are there possible environmental areas of concern at the site or in its surroundings?</i>
<input type="checkbox"/> Photos of property	<i>What are the characteristics of the natural environment of the property?</i>
<input type="checkbox"/> Photos of buildings on property	<i>Might any of the buildings be historic?</i>
<input type="checkbox"/> Photos of surrounding buildings visible from property	<i>Are there any nearby buildings that may be historic?</i>
<input type="checkbox"/> Description of complete project with site plan. Be specific for each action of the project.	<i>What physical changes will be made to the existing site?</i>
<input type="checkbox"/> List of actions required upon existing property to achieve complete project (e.g., clear 5 acres of wooded land, demolish building, culvert and cover creek, etc.)	<i>Are there physical changes that are not obvious in the site plan? (e.g., excavation for a basement, fuel storage)</i>
<input type="checkbox"/> Logical termini, alignment, mode, and technology (if a linear project).	<i>Has thorough planning for the proposed project occurred? (3 out of 4 are typically enough to begin NEPA.)</i>
<input type="checkbox"/> List of any public involvement done for the project, to date, if any	<i>Has the community affected by the project been informed? Is there any potential controversy?</i>

The more information FTA knows about a project, the more accurate we can be in assigning the most appropriate level of environmental analysis.

Updated 9/8/2015

# Office of Planning and Program Development Updates

## Grant Application Reminders

- STIP/TIP
- Toll Revenue Credit Letters
- NEPA
- Amendments in TrAMS



# Office of Oversight and Program Management Updates

- 2016 Scheduled Oversight Reviews
  - FY16 Triennial Review notices and packages have been sent for agencies having a review this year. Please submit the packages by due date.
  - Triennial workshops were held in Atlanta, Tallahassee, and Puerto Rico
  - PSR and FMO workshops should be coming in Spring 2016
  - ERM's (Extended Review Modules) will be scheduled in the next couple of months as needed (replace a follow up review, look at concern or issue)
  - Follow through with timely resolution of findings. Be sure to implement and put in practice all new procedures and plans that are developed as a result of a corrective action.
- Triennial Workshop Book is available on our website:  
[www.fta.dot.gov/documents/FY16\\_TR\\_Workshop\\_Workbook.pdf](http://www.fta.dot.gov/documents/FY16_TR_Workshop_Workbook.pdf)

# Office of Oversight and Program Management Updates

- FY16 Triennial Review Workshop Webinars
  - Introduction and Overview of Triennial Review
  - Module 1: Planning and Operations –Planning & Program of Projects, Public Comment, Half Fare, Charter Bus, School Bus, and Drug & Alcohol
  - Module 2: Grantee Capacity, Part I –Financial Management & Capacity
  - Module 2: Grantee Capacity, Part II - Technical Capacity
  - Module 2: Grantee Capacity, Part III - Legal and Security
  - Module 3: Asset Management –Maintenance and Satisfactory Continuing Control
  - Module 4: Procurement –Procurement
  - Module 5: Civil Rights I –ADA
  - Module 6: Civil Rights II –Title VI, DBE, and EEO
- <https://connectdotcpublic.connectsolutions.com/content/connect/c1/7/en/events/catalog.html?folder-id=1125732698>

# Office of Oversight and Program Management Updates

- Procurement
  - Coordinate with your procurement department.
  - Ensure all procurement solicitations intended to have Federal participation go out with requirements and clauses
  - Ensure Buy America requirements are being verified and certifications are submitted and filed
  - Software licenses and support – if you have a software that has been in place for years and continue to renew its license and/or support, be sure to do a market analysis, have a current contract in place, and re-compete the procurement . If you make an agency decision to keep the same vendor/software as a sole source, be sure to have a sole source justification and cost analysis.

# Office of Oversight and Program Management Updates

- A-133 – submit your FY16 reports and/or SAC Forms
- Grant Quarterly Review Reminders
  - FFR (Federal Financial Reviews) expenses should be reported in accrual basis
  - MPR (Milestone Progress Report) please include project details and keep milestone dates current
  - Be sure to “submit” reports or they remain in draft form
- TEAM closed on November 30, 2015.
- Data is migrating to TrAMS over the next few weeks and TrAMS is scheduled to become live.

# Office of Oversight and Program Management Updates

- Grants Management
  - Expedite closeout of grants that are 95%-100% expended.
  - Advance projects that are inactive. Submit budget revisions as needed to replace projects that are not advancing with new projects within the same scopes.
- ECHO user setup forms
  - New ECHO 2.0 required all users to submit new user/password form nationwide
  - Region IV has around 500 users to setup
  - Process is still ongoing
  - If you have issues please contact your program manager and we will assist
  - ECHO user name is your email address
  - Once you receive your ECHO temporary password, you will have 24 hours to change to a new permanent password.
  - Password problems should be resolved with the ECHO Helpdesk at [fta.echoweb@dot.gov](mailto:fta.echoweb@dot.gov)

# Office of Oversight and Program Management Updates

- Project Management
  - Submit to FTA all outstanding claims information over \$100,000 and all claims settled during the reporting period. Include a brief description, estimated costs, and reason for the claim.
  - List of all potential and executed change orders over \$100,000, pending or settled, during the reporting period with brief description.
- Incidental Uses of Federal Assets
  - Remember all non-transit use of a Federal Asset requires FTA concurrence per Circular 5010.ID
  - To facilitate this process we're rolling out a new Incidental Use form
  - Contact your Program Manager for a copy of the form.

The screenshot shows the 'Incidental Use Request' form for Region IV. At the top left is the U.S. Department of Transportation Federal Transit Administration logo. To the right, it lists the Region IV states: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, and Tennessee, along with their address and phone numbers. The form title is 'Facility Incidental Use Request | Region IV'. Below this, there are fields for 'Requesting Agency', 'Subject', and 'FTA Program Manager', each with a 'Click here to enter text' placeholder. A 'Request Date' field also has a 'Click here to enter text' placeholder. The main section is titled 'I. Existing Facility Description (attach plans):' and contains seven numbered items, each with a text input field: a. Total Area of Facility, b. Area currently used for Transit & Brief Description of Use, c. Area currently used for Purposes other than Transit & Brief Description of Use, d. Grant(s) used to fund the facility, e. Percent (%) Federal Participation, f. In-service Date, and g. Useful Life of the facility.

# Legal Updates

- OMB Supercircular
  - Applies to procurements funded by grants issued on or after December 26, 2014.
    - Example, simplified acquisition threshold now \$150K
- Buy America
  - Early in the process, hold contractor's feet to the fire
  - Waivers
    - Don't count on it.



# Civil Rights Updates

- The New ADA Circular 4710.1 became effective on Nov. 4, 2015
- This Circular provides comprehensive guidance to carry out provisions of the Americans with Disabilities Act (ADA) and USDOT's implementing regulations - 49 CFR Parts 27, 37, 38, 39.
- The Circular provides topics arranged into 12 chapters with explanations of ADA requirements, implementing information, and sample documents.



# Civil Rights Updates

## **Service and Fare Equity (SAFE) Analyses**

- This requirement requires recipients to develop major service change policy, disparate impact policy, disproportionate burden policy, and evaluate adverse effects for “Major” changes and “Any” fare change, based on degree of impact.
- This requirement applies to Transit Providers with 50 or more fixed route vehicles in peak service, located in UZA of 200,000 or more.
- Complete information in FTA Circular 4702.1B Chapter IV – Requirement to Evaluate Service and Fare Changes.

# Civil Rights Updates

## **TITLE VI EQUITY ANALYSIS**

During the determination of site or location of facilities, a recipient or applicant may not make selections with:

- the purpose or effect of excluding persons from, denying them the benefits of, or
- subjecting them to discrimination on the grounds of race, color, or national origin; or
- with the purpose or effect of defeating or substantially impairing the accomplishment of the objectives of this part.”
- or with the purpose or effect of defeating or substantially impairing the accomplishment of the objectives of 49 CFR Part 21.

# Civil Rights Updates

Facilities included in this provision include, but are not limited to, storage facilities, maintenance facilities, operations centers, etc.

## **In order to comply:**

- a. Complete a Title VI equity analysis
- b. Give attention to other facilities with similar impacts in the area to determine if any cumulative adverse impacts might result.

# Civil Rights Updates

## FTA Region IV Civil Rights Contact Information:

Carlos A. Gonzalez  
Civil Rights Officer  
FTA Region IV

Phone: (404) 865-5471

E-mail:

[Carlos.Gonzalez3@dot.gov](mailto:Carlos.Gonzalez3@dot.gov)

**Geographical Assignment**

Puerto Rico, Alabama, Kentucky,  
Tennessee, Florida, Georgia

Doretha Foster  
Civil Rights Program Analyst  
FTA Region IV

Phone: (404) 865-5633

E-mail:

[Doretha.Foster@dot.gov](mailto:Doretha.Foster@dot.gov)

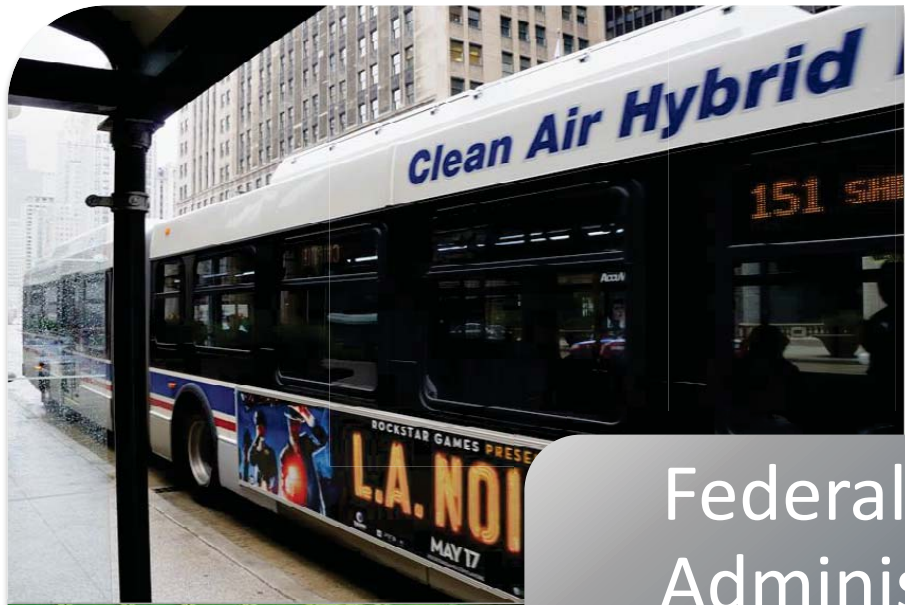
**Geographical Assignment**

North Carolina, South Carolina,  
Virgin Islands, Mississippi

# Questions and Answers







Federal Transit  
Administration  
[www.fta.dot.gov](http://www.fta.dot.gov)

