Region IV

Federal Perspective: Regional Transit Programs and Operational Insights
AGENDA

• WHO WE ARE
• WHAT WE DO
• FTA’s PROGRAMS
• FTA’s NEW GRANTEE PROCESS / REQUIREMENTS
• LESSONS LEARNED ON PROGRAM OPERATIONS / OVERSIGHT
WHAT WE DO

• Provide Federal Funding and Technical Assistance

• Participate in the State and local transportation planning and program development process

• Participate in NEPA Process

• Perform analyses of grantees' project justifications and applications for planning, capital and operating assistance

• Ensure designation actions from Governors for MPOs and designated recipients

• Provide technical assistance

• Review and evaluate the performance of grantees in the implementation of projects
FTA PROGRAMS

- Sections 5303, 5304 & 5305 - Metropolitan & Statewide Planning
- **Section 5307** - Urbanized Area Formula Program
- Section 5307(h) - **Passenger Ferry Grant Discretionary Program**
- Section 5308 - Clean Fuels Grant Program
- **Section 5309** - Fixed Guideway Capital Investment Grant Program
- Section 5310 - Elderly Individuals and Individuals with Disabilities Program
- **Section 5311** - **Formula Grants for Rural Areas**
- Section 5311 (c)(2)(B) - **Tribal Transit Formula Grants**
- Section 5324 - Public Transportation Emergency Relief Program
- Section 5337 - Fixed Guideway and Fixed Motorbus
- Section 5339 - States/Territories and Formula Allocation
FTA PROGRAMS

• Fixed Guideway Capital Investment Grants (5309)
• Discretionary Program for:
  – New and expanded rapid rail, commuter rail, light rail, streetcars, bus rapid transit, and ferries

• 4 Categories:
  – **New Starts**: Estimated cost of $300M or more / OR seeking $100M
  – **Small Starts**: Estimated cost less than $300M / AND seeking less than $100M
  – **Core Capacity**: existing fixed guideway that increase capacity by not less than 10% in corridors at capacity or will be in 5 years
New Starts and Core Capacity Process

1. Project Development
   - Complete environmental review process including developing and reviewing alternatives, selecting locally preferred alternative (LPA), and adopting it into the fiscally constrained long range transportation plan

2. Engineering
   - Gain commitments of all non-New Starts funding
   - Complete sufficient engineering and design

3. Full Funding Grant Agreement
   - Construction

Small Starts Process

1. Project Development
   - Complete environmental review process including developing and reviewing alternatives, selecting locally preferred alternative (LPA), and adopting it into fiscally constrained long range transportation plan
   - Gain commitments of all non-Small Starts funding
   - Complete sufficient engineering and design

2. Small Starts Grant Agreement
   - Construction

Legend:
- Yellow diamond = FTA approval
- Yellow arrow = FTA evaluation, rating, and approval
FTA’S NEW GRANTEE PROCESS / REQUIREMENTS

- Identify what types of activities
- Identify types of FTA funds
- Cite planning basis for activities
  - Feasibility study, Long Range Transportation Plan, State-wide Transportation Improvement Program
- Identify point of contact
FTA’S NEW GRANTEE PROCESS / REQUIREMENTS

• Demonstrate Legal Capacity
  – Eligible and authorized under State or Local law to request, receive, and spend FTA funds
  – Opinion of Counsel: identifies legal authority, such as statutes or legislation. Annual certification and assurances required.
  – Authorizing Resolution: executed by the governing body to demonstrate the applicant has authority to file an official grant application
FTA’S NEW GRANTEE PROCESS / REQUIREMENTS

• Demonstrate Financial Capacity
  – Must be able to match and manage FTA funds
  – Must be evident of financial capacity and proposed project financing
  – Identify source of local share and its availability at time of drawdown of FTA funds
FTA’S NEW GRANTEE PROCESS / REQUIREMENTS

• General Financial Condition – historical trends and current experience
  – Questionnaire for current and past financial standing
  – Current year operating and capital budget
  – Two most recent years of single audit reports
  – Desk Procedures (cash management, accounts payable, payroll processing, etc.)

• Financial Capability – sufficiency, stability, and reliability of revenue sources
  – 3 to 5 Year Financial Plan
FTA’S NEW GRANTEE PROCESS / REQUIREMENTS

• Demonstrate Technical Capacity
  – Ability to carry out and manage Federal grants
  – Questionnaire – current services provided, policies and procedures in place
  – Organizational Chart
  – Triennial Review – every 3 years review performance for urbanized area formula funds

• Compliance with Civil Rights
  – Title VI Plan, EEO Plan, DBE Plan and Triennial Goals
  – ADA and Environmental Justice
# FTA’s New Grantee Timeline

<table>
<thead>
<tr>
<th>ACTION</th>
<th>AGENCY</th>
<th>ESTIMATED TIME</th>
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<tbody>
<tr>
<td>Compilation / Development of required New Grantee documents</td>
<td>New Grantee</td>
<td>30 days</td>
</tr>
<tr>
<td>FTA Review Period: New Grantee Documents</td>
<td>FTA</td>
<td>30 days</td>
</tr>
<tr>
<td>New Grantee Response to FTA review comments</td>
<td>New Grantee</td>
<td>30 days</td>
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<tr>
<td>Approval of Legal/Technical/Financial/Civil Rights Requirements</td>
<td>FTA</td>
<td>14 days</td>
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<tr>
<td>System Access Documentation Development</td>
<td>New Grantee</td>
<td>14 days</td>
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<tr>
<td>System Access Documentation Processing</td>
<td>FTA</td>
<td>14 days</td>
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<tr>
<td>Confirmation of New Grantee Process Complete</td>
<td>FTA</td>
<td>14 days</td>
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<tr>
<td><strong>TOTAL ESTIMATED TIME</strong></td>
<td></td>
<td>~ 5 Months</td>
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LESSONS LEARNED PROGRAM
OPERATIONS / OVERSIGHT

• Repeat Deficiencies
  – Procurement
  – ADA
  – DBE
  – Maintenance
  – Planning/Program of Projects
  – Technical Capacity
  – Drug Free Workplace and Drug and Alcohol Program
  – Financial Management and Financial Capacity
  – Satisfactory Continuing Control