

FTA 101

Roles & Responsibilities of FTA Grantees

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Federal Transit Administration



U.S. Department
of Transportation

Federal Transit
Administration

November 1, 2022

Presentation Overview

1. Who is FTA?
2. Who Are Our Grantees?
3. What Projects Do We Fund?
4. How Does The Funding Work?
5. Pre-Award Activities
6. Post-Award Activities
7. Resources



Who is FTA?



**Federal Transit
Administration**



FTA's Mission

*Improving America's Communities
through Public Transportation*



Origins 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



U.S. Department
of Transportation

Federal Transit
Administration

- One of **9** modal administrations within USDOT
- Approximately **600** staff
- **\$20.4 billion annual budget in FY 2022**
- **\$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



Policy-Setting & Guidance



Grant Administration



Technical Assistance



Oversight



Regulatory Authority on Safety

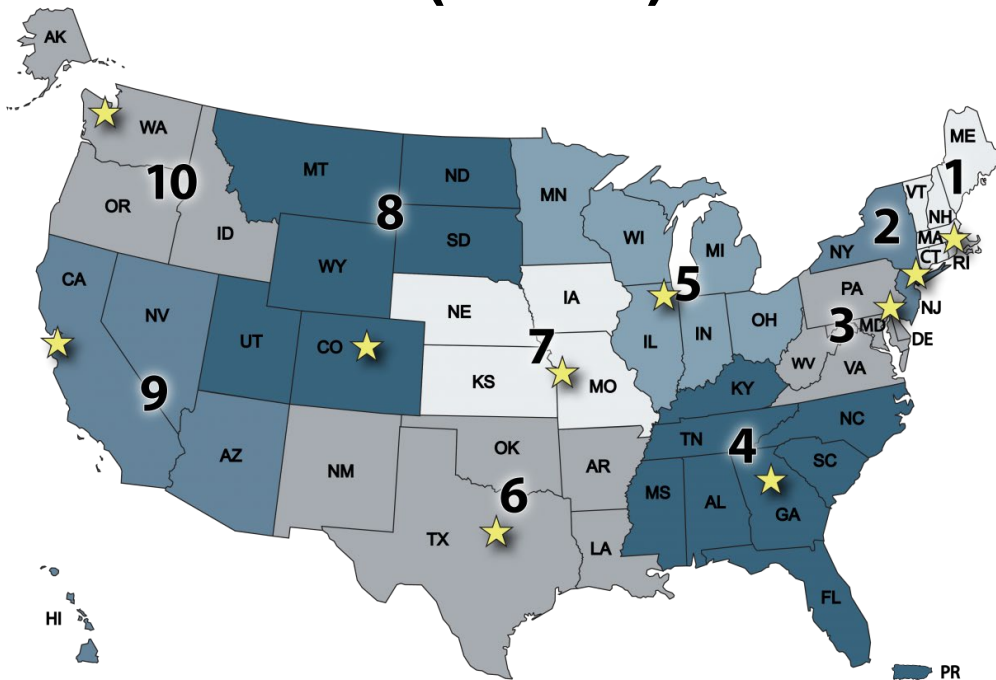


Research, Innovation, and Demonstration



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 – HQ Offices

11 HQ Offices

- **TOA:** Office of the Administrator
- **TAD:** Office of Administration
- **TBP:** Office of Budget & Policy
- **TCA:** Office of Communication & Congressional Affairs
- **TCC:** Office of Chief Counsel
- **TCR:** Office of Civil Rights
- **TPE:** Office of Planning & Environment
- **TPM:** Office of Program Management
- **TRI:** Office of Research, Demonstration & Innovation
- **TRS:** Office of Regional Services
- **TSO:** Office of Transit Safety & Oversight



Who Are Our Grantees?



**Federal Transit
Administration**



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

Note: **Grantees** ↔ **Grant Recipients** ↔ **Recipients**



Nomenclature

Applicant

- An entity that is applying for formula grants or competitive grants

Recipient (or Grantee)

- A direct or designated recipient of FTA funds

Subrecipient

- An organization that receives FTA funds from a direct or designated recipient

Competitive Grant vs. Discretionary Grant

- A competitive grant is always a discretionary grant; however, a discretionary grant is not always a competitive grant.



What Projects Do We Fund?



**Federal Transit
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Typical Projects

- Operating Assistance
- Preventive Maintenance (vehicles and facilities)
- Capital Projects (rail extensions, bus rapid transit, etc.)
- Vehicles (railcars, buses, ferries, vans, etc.)
- Stations, Stops, and Terminals
- Maintenance and Support Equipment and 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?



**Federal Transit
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Funding & Program Authorization



Congress Passes Funding Bill

President Signs it into Law

- Infrastructure Investment & Jobs Act (IIJA) was 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

* Formula Allocations can be sub-allocated by State DOTs or other Designated Recipients.



FTA Grant Programs

Federal Transit Administration

About Funding Regulations & Programs

Home / Funding / Grants

Grant Programs >

Grant Programs

Overview

Current Programs

Expired Programs

Program Pages >

Applicants >

Grantee Tools >

Contact Your Regional Office

FAQ >



FTA provides grants to local public transit systems, including buses, subways, light rail, trolleys and ferries. Since 1964, FTA has partnered with state and local governments to enhance public transportation systems, investing more than \$13 billion annually to support public transit services. FTA provides annual formula grants to transit agencies nationwide and discretionary funding in competitive processes.

Current Grant Opportunities

View our [table](#) listing all FTA grant opportunities, sortable by grant type.

Related Links

- [Sign Up for Updates](#)
- [Transit Award Management System \(TrAMS\)](#)
- [Funding Opportunities for Tribal Entities](#)
- [Art and Non-Functional Landscaping in Federally Funded Public Transit Projects...](#)

Other FTA Grant Programs and Information

- [Bipartisan Infrastructure Law](#)
- [Funding Opportunities for Tribal Governments](#)
- [Capital Investment Grants \(CIG\) program](#)
- [Federal / Local Funding Share](#)
- [Transit Award Management System \(TrAMS\)](#)
- [American Rescue Plan Act of 2021](#)
- [Coronavirus Aid, Relief, and Economic Security \(CARES\) Act](#)
- [FTA-Sponsored Technical Assistance Centers](#)
- [Federal Programs that Support Public Transportation](#)
- [Transit Programs Increase Access to Voting](#)

Flexible Funding Programs - Surface Transportation Block Grant Program - 23 USC 133	Provides funding that may be used by states and localities for a wide range of projects to preserve and improve the conditions and performance of surface transportation, including highway, transit, intercity bus, bicycle and pedestrian projects.	Formula
Formula Grants for Rural Areas - 5311	Provides capital, planning, and operating assistance to states to support public transportation in rural areas with populations less than 50,000, where many residents often rely on public transit to reach their destinations.	Formula
FTA Ferry Programs	Provides funding to the Passenger Ferry Grant Program, Electric or Low-Emitting Ferry Pilot Program, and Ferry Service for Rural Communities Program.	Competitive
Grants for Buses and Bus Facilities Formula Program - 5339(a)	Provides funding to states and transit agencies through a statutory formula to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities. In addition to the formula allocation, this program includes two discretionary components: The Bus and Bus Facilities Discretionary Program and the Low or No Emissions Bus Discretionary Program.	Formula
Grants for Buses and Bus Facilities Program	Provides funding through a competitive allocation process to states and transit agencies to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities. The competitive allocation provides funding for major improvements to bus transit systems that would not be achievable through formula allocations.	Competitive

FTA Grant Program “Circulars”

The screenshot shows the Federal Transit Administration website with the following content:

- Header:** Federal Transit Administration logo and search bar.
- Navigation:** About, Funding, Regulations & Programs.
- Breadcrumbs:** Home / Regulations and Programs / FTA Circulars.
- Left Sidebar:** A list of categories including Regulations & Guidance, Safety & Oversight, Civil Rights/ADA, Program Oversight, Transportation Planning, Environment, Charter Service, Transit Asset Management, Buy America, Project Management Oversight, and Resources.
- Main Content:**
 - FTA Circulars Overview:** A section explaining that FTA issues guidance in the form of circulars to provide direction on program-specific issues and statutory requirements. It mentions the process of preparing new interim guidance and updated circulars under MAP-21.
 - Contact Information:** A note to submit comments or complaints regarding existing circulars to Bonnie Graves, Attorney Advisor, Office of the Chief Counsel, with a reference to the specific circular and a link to the regulations.gov website for comments.
 - Last Updated:** Friday, December 18, 2015.

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- Main Content:**
 - Final Circulars:** A section listing various circulars with their topics and dates.
 - Guidance on Joint Development:** Circular: C 7050.1B, Topic: Joint Development, Date: 08-14-2020.
 - Program Guidance for Metropolitan Planning and State Planning and Research Program Grants:** Circular: C 8100.1D, Topic: Planning, Date: 09-10-18.
 - Award Management Requirements:** Circular: 5010.1E, Topic: Award Management, Date: 7-16-2018.
 - Equal Employment Opportunity (EEO) Act Guidance:** Circular: 4704.1A, Topic: Civil Rights, Date: 09-29-2016.
 - Americans with Disabilities Act Guidance:** Circular: C 4710.1, Topic: Civil Rights, Date: 10-05-15.
 - Bus and Bus Facilities Program: Guidance and Application Instructions:** Circular: C 5100.1, Topic: Bus and Bus Facilities Program, Date: 05-18-15.
 - Research, Technical Assistance and Training Program: Application Instructions and Program Management Guidelines:** Circular: C 6100.1E, Topic: Technology Development and Deployment, Date: 04-10-15.
 - State of Good Repair Grant Program: Guidance and Application Instructions:** Circular: C 5300.1, Topic: State of Good Repair Program, Date: 01-28-15.
 - Formula Grants for Rural Areas: Program Guidance and Application Instructions:** (No specific details listed).
 - Related Links:** Sign Up for Updates, Proposed Circulars, How FTA Develops Regulations and Circulars.
 - Contact Us:** Office of the Chief Counsel, Federal Transit Administration, 1200 New Jersey Avenue, S.E., Room E56-311, Washington, DC 20590, United States.
- Right Sidebar:** Social media icons for Facebook, Twitter, LinkedIn, and a plus sign for more options.

FTA Project Categories

- Capital Projects
- Operating Assistance
- Planning Activities
- Transit Safety Projects
- Research and Demonstration projects
- Emergency Relief
- Other initiatives and programs



FTA Funding Types

Formula

A hand-drawn equation $1+2=$ on a white background with a light gray grid. The numbers and symbols are drawn with a thick black outline and a cross-hatch pattern.

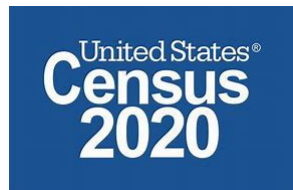


Discretionary

- Competitive Programs
- Congressionally Directed Spending

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>

The National Transit Database (NTD)



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

* 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>

The screenshot shows the Federal Transit Administration website. The header includes the FTA logo, the text 'Federal Transit Administration', a search bar, and navigation links for 'About', 'Funding', and 'Regulations & Programs'. The main content area is divided into two columns. The left column is titled 'Contact Us' and contains contact information for the Office of Program Management, including the address (1200 New Jersey Avenue, S.E., Washington, DC 20590, United States), phone number (202-366-2053), fax number (202-366-7951), and business hours (8:30 a.m.-5 p.m. ET, M-F). It also includes a note for deaf, hard of hearing, or speech disability users. The right column is titled 'Fiscal Year 2022 Apportionment Tables (Full Year)' and contains a list of 20 numbered links to various apportionment tables, such as 'FTA Appropriations and Apportionments for Grant Programs', 'Section 5303 and 5304 Statewide and Metropolitan Planning Apportionments', and 'Transit Infrastructure Grants - Community Project Funding/Congressionally Directed Spending'.

Contact Us

Office of Program Management
Federal Transit Administration
1200 New Jersey Avenue, S.E.
Washington, DC 20590
United States

Phone: [202-366-2053](tel:202-366-2053)
Fax: [202-366-7951](tel:202-366-7951)
Business Hours:
8:30 a.m.-5 p.m. ET, M-F

If you are deaf, hard of hearing, or have a speech disability, please dial 7-1-1 to access telecommunications relay services.

Fiscal Year 2022 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 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. [Section 5339 Buses and Bus Facilities Apportionments](#)
- Table 13. [Section 5329 State Safety Oversight Apportionments](#)
- Table 14. [Prior Year Unobligated Section 5307 Passenger Ferry Grant Program Allocations](#)
- Table 15. [Prior Year Unobligated Section 5339\(b\) Buses and Bus Facilities Competitive Program Allocations](#)
- Table 16. [Prior Year Unobligated Section 5309 Fixed Guideway Capital Investment Grants \(CIG\) and Section 3005\(b\) Expedited Project Delivery Program Allocations](#)
- Table 17. [Prior Year Unobligated ICAM Allocations](#)
- Table 18. [Prior Year Unobligated Section 5339\(c\) Low or No Emission Program Allocations](#)
- Table 19. [Prior Year Unobligated Tribal Transit Competitive Program Allocations](#)
- Table 20. [Transit Infrastructure Grants - Community Project Funding/Congressionally Directed Spending](#)

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)

How to Find Competitive Funds

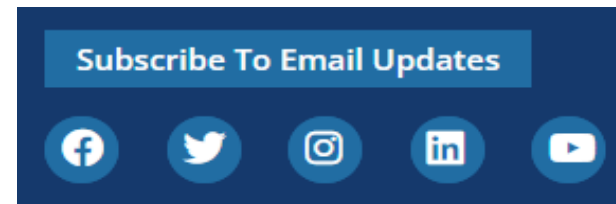
- **Federal Register Notice**

- 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**



Pre-Award Activities



**Federal Transit
Administration**



“Cross-Cutting” Program Requirements

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

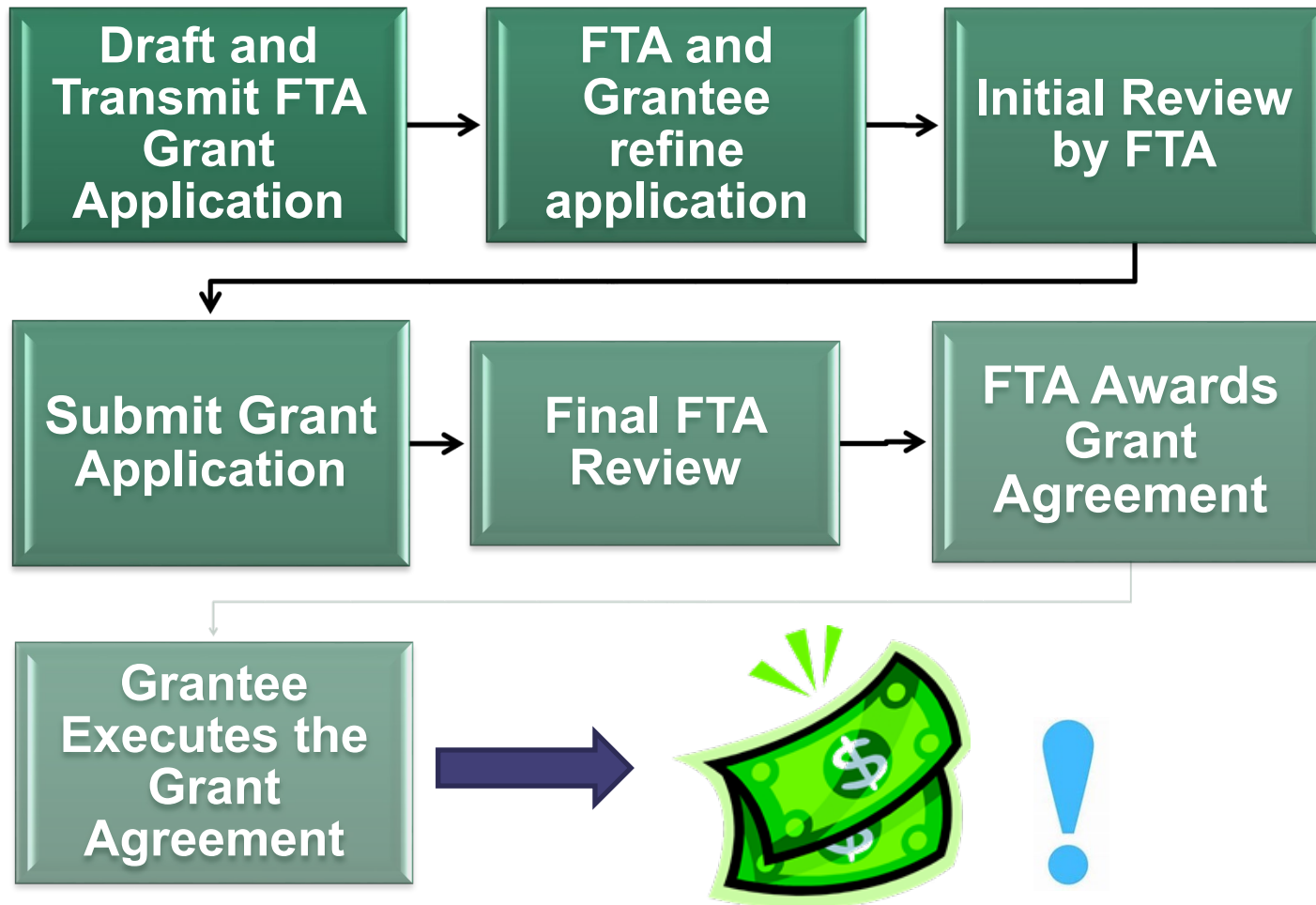


Grant-Making Process

- Transit Award Management System (**TrAMS**) is FTA's platform to award and manage federal grants.
- Grants are developed, transmitted, submitted, awarded, executed, managed, and closed in **TrAMS**.
- From “Submit” (by grantee) to “Award” (by FTA) of a grant to be no more than **36 calendar days**.



Grant-Making Process (cont'd)



Getting Started with FTA

FTA Announces Grant Fund Allocations

Federal Register Notice

Apportionments and Allocations Notice

Provide Forms and Information for ECHO-Web and TrAMS

Legal Counsel Opinion

Resolution

TrAMS User Forms

Grantee Information

ECHO Forms

Complete Annual Certifications and Assurances

Submit Electronically in TrAMS

Access Grant Funds

Draft and Transmit Grant Application

Submit Application

FTA Awards Grant

Execute Grant Award



Two Paths to Get Set Up as an FTA 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 an FTA Grantee

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

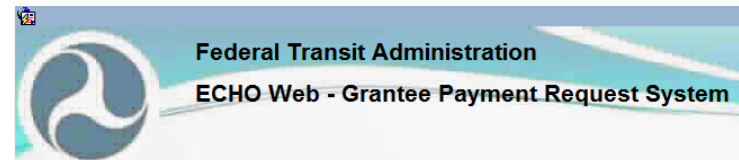


Accessing Grant Funds

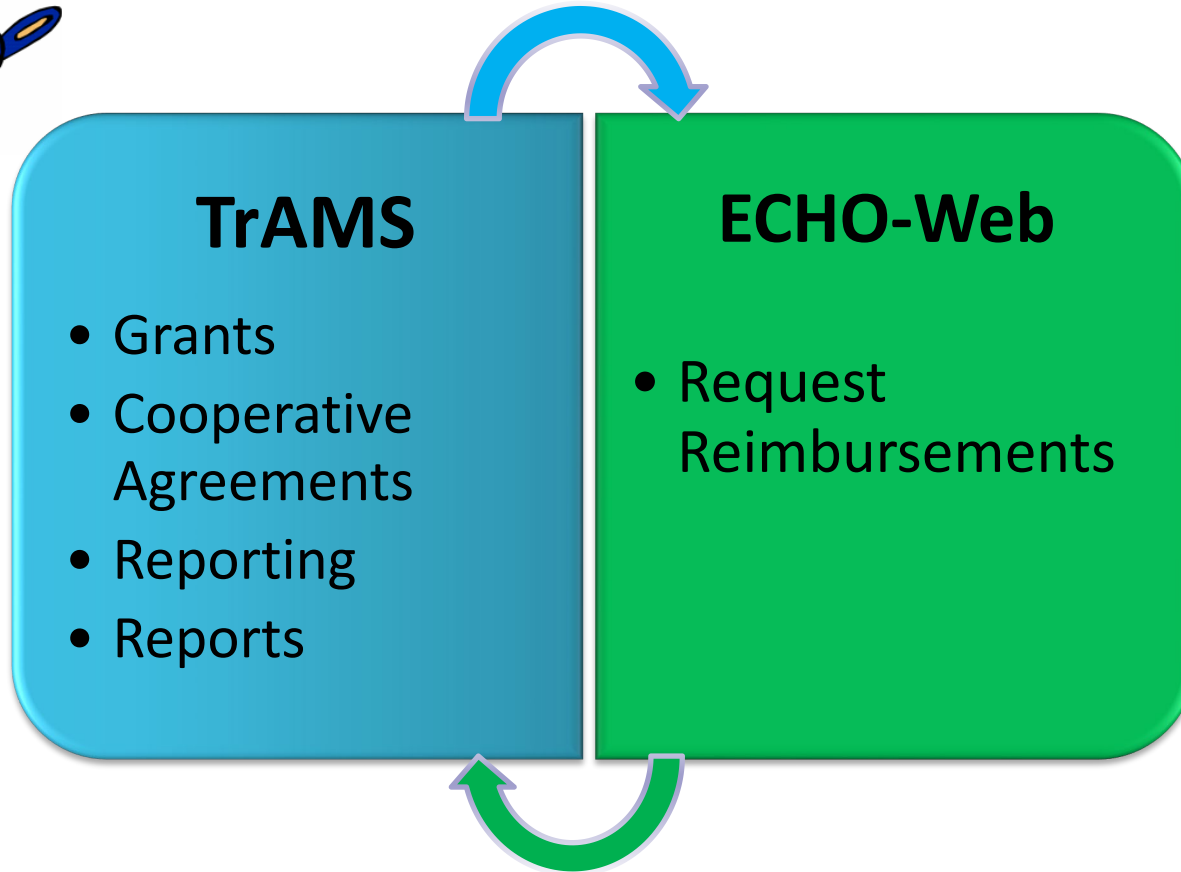
Transportation Award Management System or TrAMS (System of Record)



Electronic Clearinghouse Operation or ECH-Web (Financial System)



Flow of System Information



Two Paths to Access FTA Funds

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

Post-Award Activities



**Federal Transit
Administration**



Post-Award Activities

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



Post-Award Actions

Once the Grant Award is Executed,

- Funds can be accessed in **ECHO-Web** for reimbursement of eligible costs incurred
- Annual reporting and other grants management activities are completed in the **TrAMS**



Two Paths to Compliance

Requirements to Access FTA Funding	Designated / Direct Recipient (including Tribes)	Subrecipient to State DOT
Complete Federal Financial Reports (FFR) and Milestone Progress Reports (MPR)	Submit to FTA	Submit to State DOT
National Transit Database (NTD) Reporting		
Federal Funding Accountability and Transparency Act (FFATA) Subaward Reporting		
Oversight / Compliance Reviews (Triennial Reviews, State Management Review, Financial Management Oversight Review, etc.)		
Special Programmatic Reporting		



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



**Federal Transit
Administration**



Resources

- FTA Grant Programs
<https://www.transit.dot.gov/funding>
- FTA Program Circulars
<https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/final-circulars>
- 2 CFR 200 – “Super Circular”
https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.t



Resources (cont'd)

- Master Agreement
<https://www.transit.dot.gov/funding/grantee-resources/sample-fta-agreements/fta-grant-agreements>
- Certifications and Assurances
<https://www.transit.dot.gov/funding/grantee-resources/certifications-and-assurances/certifications-assurances>
- TrAMS
<https://www.transit.dot.gov/funding/grantee-resources/teamtrams/transit-award-management-system-trams>
- National Transit Database
<https://www.transit.dot.gov/ntd>





[TRANSIT.DOT.GOV](https://www.transit.dot.gov)



FEDERAL TRANSIT ADMINISTRATION