

Subject: DEPARTMENT OF TRANSPORTATION ORGANIZATION MANUAL, FEDERAL TRANSIT ADMINISTRATION

1. PURPOSE. This order prescribes the organization, mission, and functions of the Federal Transit Administration (FTA) within the U.S. Department of Transportation (DOT).
2. CANCELLATION.
  - a. This order cancels DOT Order 1100.66B, “Department of Transportation Organization Manual, Federal Transit Administration,” dated 2-23-95.
3. BACKGROUND.
  - a. The overall organizational structure of FTA is shown on page 3 (Figure 1). FTA functions as a single organization. Under the overall executive leadership of the Administrator, Deputy Administrator, and the Executive Director, the principal components are the Offices of Communications and Congressional Affairs; Chief Counsel; Budget and Policy; Program Management; Planning and Environment; Research, Demonstration and Innovation; Transit Safety and Oversight; Administration; Civil Rights; and Regional Services.
  - b. FTA has 10 Regional Offices, which have been delegated similar program and management responsibilities with at least two program areas—Planning and Program Development and Operations and Program Management.
4. REFERENCES.
  - a. DOT Order 1100.66B, “Department of Transportation Organization Manual, Federal Transit Administration,” dated 2-23-95.
  - b. FTA Order 1100.50E, “Federal Transit Administration Delegations of Authority,” dated 12-15-16.
5. MISSION. The former Urban Mass Transportation Administration was established as a component of the Department of Transportation by Reorganization Plan No. 2 of 1968, effective July 1, 1968, which transferred most of the functions and programs under the Urban Mass Transportation Act of 1964, as amended (78 Stat. 302; 49 U.S.C. § 1606 *et seq.*), from the Department of Housing and Urban Development (HUD). On December 18, 1991, in accordance with the provisions of the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991, the Urban Mass Transportation Administration was renamed the Federal Transit Administration.

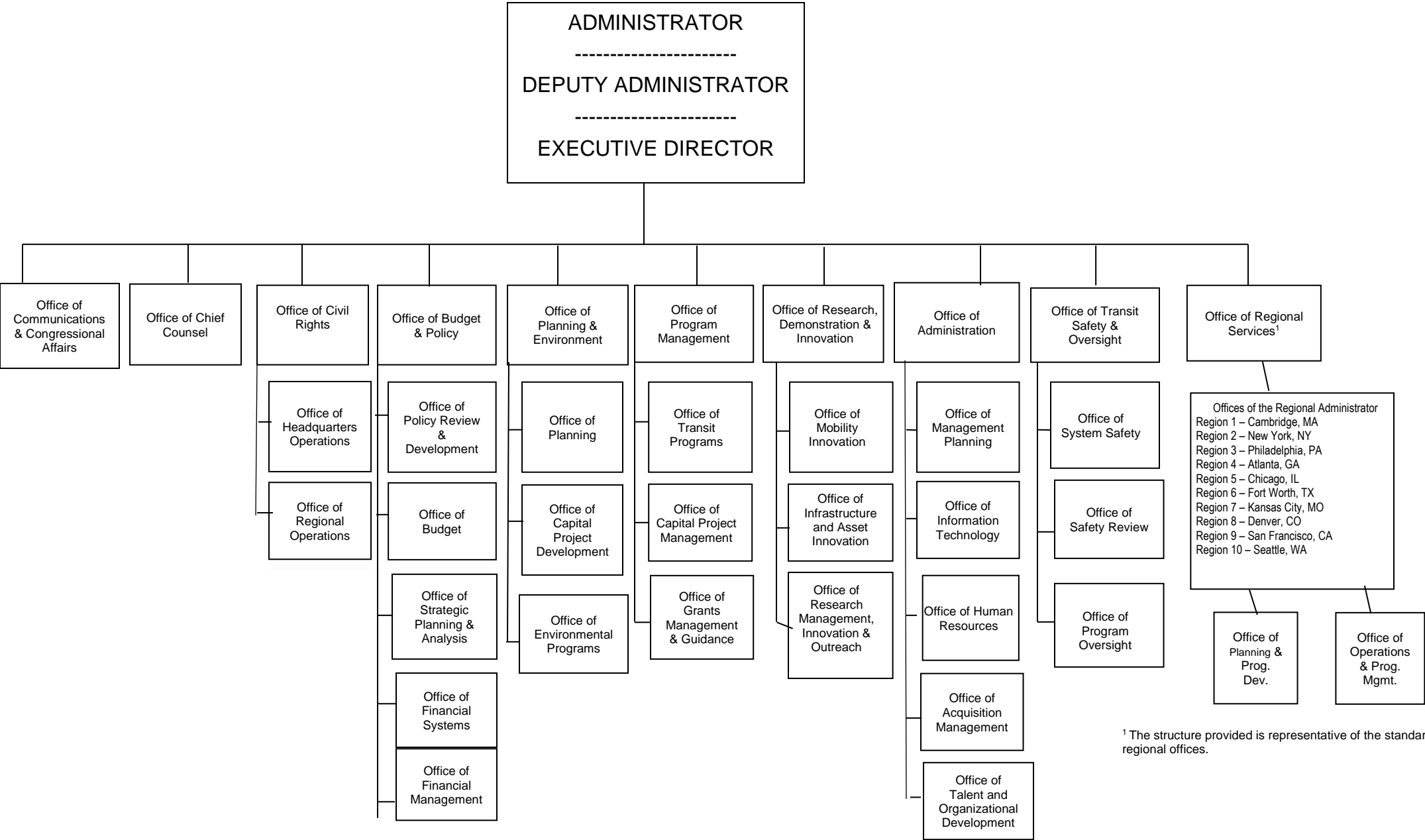
6. FUNCTION.

- a. Assist in the development of improved public transportation facilities, equipment, techniques, and methods, with the cooperation of public transportation providers both public and private;
- b. Encourage the planning and establishment of area-wide public transportation systems needed for economical and desirable development with the cooperation of public transportation companies both public and private;
- c. Provide assistance to state and local governments and their instrumentalities, and regional authorities in financing such systems to be operated by public transportation providers as determined by local needs; and
- d. Provide financial assistance to state and local governments and their instrumentalities, and regional authorities to help implement national goals relating to mobility for seniors, individuals with disabilities, and economically disadvantaged persons.

7. DELEGATIONS. The authority delegated from the Secretary of Transportation to the Federal Transit Administrator is codified at 49 CFR § 1.91.

8. ORGANIZATION.

**Figure 1: FEDERAL TRANSIT ADMINISTRATION**



<sup>1</sup> The structure provided is representative of the standard structure of each of the ten regional offices.

a. Office of the Administrator

- 1) Mission. The Federal Transit Administrator administers programs to:
  - a) Provide Federal financial assistance for planning and developing comprehensive, coordinated public transportation systems.
  - b) Improve public transportation facilities, equipment, techniques, and methods, in cooperation with state and local transportation authorities.
  - c) Promote safe and secure transportation.
  - d) Accomplish all the mandates and objectives of the Federal transit laws.
  - e) Ensure compliance with other statutory and regulatory requirements, such as the “Buy America” provision, the Americans with Disabilities Act, the National Environmental Policy Act, the Clean Air Act, Section 107 of the National Transportation Assistance Act of 1974, and Washington Metropolitan Area Transit Authority legislation.
  - f) Accomplish and promote, as appropriate, all goals and objectives in the departmental Strategic Plan.
- 2) Functions.
  - a) The Administrator provides executive direction over the various FTA Headquarters and field organizations and is directly accountable to the Secretary and Deputy Secretary for successful mission and program accomplishment.
- 3) Roles.
  - a) Deputy Administrator: The Deputy Administrator assists the Administrator in the discharge of his/her responsibilities, with authority to act for him/her in all matters not reserved to the Administrator.
  - b) Executive Director: The Executive Director assists the Administrator and Deputy Administrator in the discharge of their responsibilities, and provides leadership and direction over day-to-day operations of FTA programs and managers.

b. Office of Communications and Congressional Affairs

- 1) Mission. The Associate Administrator for Communications and Congressional Affairs serves the Administrator and FTA by creating and managing a comprehensive public information strategy regarding the Federal transit program. Serves as the central clearing point for all documents and action assignments directed to, or issued by, the Administrator.
- 2) Functions.
  - a) Conducts and implements a comprehensive outreach strategy regarding FTA programs and objectives.
  - b) Plans and arranges for the production of materials such as news releases, brochures, displays, annual and periodic reports, photographs, audio visual materials, etc., that document the achievements of FTA.
  - c) Produces speeches, written materials, and other public presentations for FTA officials.
  - d) Ensures that all public documents are accessible to persons with disabilities, pursuant to Section 508 of the Rehabilitation Act, and when information concerning program access is released considers making available in languages other than English.
  - e) Serves as the FTA point of contact with the news media and the Director of Public Affairs in the Office of the Secretary of Transportation (OST).
  - f) Coordinates FTA interaction and outreach with Congress, including the coordination of all congressional hearings.
  - g) Provides all FTA employees with timely, clear, and consistent information on all transit-related policies, procedures, and external activities using a variety of media.
  - h) Administers FTA's correspondence program by developing standards and guidelines, assigning incoming material to appropriate offices for action, and monitoring both the quality and timeliness of replies.
  - i) Manages paperwork flow into the Office of the Administrator; reviews all FTA-produced materials for consistency and evidence of prerequisite coordination.
  - j) Develops and maintains appropriate tracking systems for various classes of correspondence and action items.
  - k) Supervises the preparation of briefing materials for the Office of the Administrator.

- l) Serves as the FTA point of contact with the Office of the Assistant Secretary for Governmental Affairs.
- m) Coordinates FTA's grant release process.

c. Office of Chief Counsel

- 1) Mission. The Chief Counsel serves as FTA's principal legal officer and advisor.
- 2) Functions.
  - a) Provides legal advice and support to the Administrator and senior management and coordinates with the Department's General Counsel on FTA legal matters.
  - b) Renders legal services to Headquarters and field offices concerning all aspects of the programs, functions, or activities assigned to FTA.
  - c) Has lead responsibility for FTA's congressional oversight and authorization hearings.
  - d) Reviews internal FTA actions and actions taken by grant applicants and recipients to ensure that various legal requirements governing FTA programs and activities have been met.
  - e) Maintains lead responsibility for coordinating internal FTA reviews of proposed or enacted legislation from other departments or agencies affecting FTA programs, and provides technical assistance in legislative or regulatory drafting, as appropriate.
  - f) Provides liaison between the FTA and the Department of Labor regarding the administration of Section 5333(b) of title 49, United States Code (concerning employee protective arrangements).
  - g) Provides legal representation to FTA and the Department in litigation arising in connection with Federal transit programs, in coordination with the Office of the General Counsel and the Department of Justice, when appropriate.
  - h) Develops, coordinates, and implements an FTA Ethics Program.
- 3) Organization.
  - a) Legislation and Regulations Division
    - i. Coordinates new FTA legislative proposals or FTA's position on legislation. In conjunction with the Office of Budget and Policy, finalizes FTA's legislative agenda and coordinates it with appropriate staff, including OST, the Office of Management and Budget (OMB) and congressional staff;

maintains FTA contacts among Congress, public interest groups, and staff through the OST Office of Governmental Affairs.

- ii. Drafts legislative proposals consistent with the legislative agenda in coordination with other FTA offices and OST.
- iii. In cooperation with the Office of Budget and Policy, prepares for (including drafting testimony), attends, analyzes, and follows-up FTA's authorization and related hearings; provides legal and related advice in connection with FTA's annual congressional budget hearings, including reviewing testimony and answers to committee questions.
- iv. Provides FTA offices with interpretations of and advice on congressional appropriations, legislation, and other issues under the FTA program.
- v. Prepares and administers FTA's annual regulatory agenda; assists in formulation and publication of all regulations and guidelines under authority of 49 United States Code Chapter 53 and other statutes, and assists in their implementation as necessary, including interpretive opinions.
- vi. Reviews, analyzes, prepares, and coordinates FTA comments and report letters on proposed legislation and certain regulations affecting FTA.
- vii. Renders legal opinions and advice to entities and persons participating in or affected by FTA programs, projects, and activities, with particular emphasis on appropriations law issues.

b) General Law Division

- i. Represents FTA in administrative proceedings in coordination with the Office of the General Counsel and the Department of Justice in personnel related administrative proceedings.
- ii. Provides legal advice and support to program offices and grant managers in the formulation and processing of applications and administration of approved projects.
- iii. Reviews grants prepared for the Administrator's approval to ensure that all legal and administrative requirements have been met and that a substantial basis exists in the project documentation to support these findings.
- iv. Provides legal advice to FTA officials and applicants/grantees on FTA's programs.
- v. Prepares standardized contracts and agreements for all grant and loan programs.

- vi. Provides legal advice and assistance to FTA managers in meeting the requirements of the Federal Advisory Committee Act.
- vii. Investigates alleged violations of regulations and program requirements, including charter bus, school bus, private sector participation, and “Buy America,” and directs necessary remedial actions.
- viii. Assists in the formulation and publication of all regulations and guidelines under authority of the Federal Transit Act, as amended, and other statutes.
- ix. Reviews and prepares responses to inquiries concerning projects or applications.
- x. Administers the Freedom of Information (FOIA) and Privacy Acts in matters involving initial decisions and provides legal counsel to the Deputy Administrator on FOIA appeals.
- xi. Provides legal advice and assistance to ensure the legal adequacy of audit findings, recommendations, and remedial actions.
- xii. Establishes and maintains the FTA Ethics program in accordance with regulations issued by the Office of Government Ethics.
- xiii. Provides legal advice to FTA officials on direct Federal procurement.
- xiv. Provides liaison between the FTA and the Department of Labor.

c) Litigation and Regional Operations Division

- i. Represents FTA in litigation in the Federal Courts and proceedings before adjudicatory agencies, in coordination with the Departmental Office of the General Counsel and the U.S. Department of Justice.
- ii. Provides legal advice and assistance to FTA regional staff, grantees, state and local officials, industry, special interest groups, and the public at large, regarding the legal and administrative requirements of the FTA program.
- iii. Makes legal determinations on all FTA grant approval packages prepared by regional staff consistent with the delegations of authority for FTA’s Regional Offices.
- iv. Ensures that proper grant and loan contracts, amendments, and other agreements developed in Regional Offices are used and that correct and appropriate insertions are made, and prepares grant and loan contracts, as necessary.
- v. Evaluates the legal eligibility of all grant recipients and applications for new projects developed and administered by the Regional Offices.



- vi. In coordination with the Assistant Chief Counsel for General Law:
  - (a) conducts investigations of complaints of violation of the requirements of Federal transit laws, and FTA's implementing regulations;
  - (b) reviews and comments on legal and factual issues arising from audits, third-party contracts, financial, safety, engineering, triennial, and other oversight reviews;
  - (c) reviews and concurs in all regional correspondence relating to compliance with statutory or regulatory requirements or other terms and conditions of FTA assistance agreements; and
  - (d) acts as regional liaison with the Department of Labor, grantees, and labor unions in coordinating labor compliance activities under the Federal transit laws, and other labor law.
- vii. Administers the FOIA and Privacy Acts in matters involving the Regional Offices.
- viii. As requested, assists the General Law Division in rendering advice and assistance to FTA management on legal issues involving Regional Office personnel.
- ix. Renders legal advice and opinions to FTA management concerning planning, environmental, and historic preservation statutes, regulations, and policies.
- x. Directs the activities of FTA Regional Counsels, in consultation with the Regional Administrators.

d. Office of Civil Rights

- 1) Mission. The Associate Administrator for Civil Rights serves as principal advisor to the Administrator, Executive Staff, and all key FTA officials in all aspects of equal opportunity, nondiscrimination, and civil rights internal and external programs. Serves as the Chief Equal Employment Opportunity (EEO) Officer for FTA. Provides executive leadership and guidance to FTA to ensure nondiscrimination by recipients of FTA funding in support of transit investments. Administers a National Civil Rights Program to serve internal and external customers, including DOT employees, the general public, elected officials, the transportation community, and various civil rights advocacy communities.
- 2) Functions.
  - a) Ensures implementation of all civil rights programs and equal opportunity precepts within FTA and oversees compliance by recipients of Federal assistance and entities that are subject to FTA regulation.

- b) Develops civil rights policies consistent with departmental policies, programs, standards, and procedures to implement FTA civil rights and equal opportunity programs. Provides technical advice and assistance to the Administrator, Deputy Administrator, FTA Executive Staff, Regional Offices, grantees, and the public on all civil rights matters including:
    - i. Title VI of the Civil Rights Act of 1964 and the Federal transit law, 49 U.S.C. § 5332;
    - ii. Section 504 of the Rehabilitation Act and the Americans with Disabilities Act of 1990 (ADA);
    - iii. Disadvantaged Business Enterprise (DBE) program;
    - iv. External EEO program applicable to FTA recipients; and
    - v. Internal EEO program applicable to FTA employment practices, as required by Title VII of the Civil Rights Act of 1964, as amended, and Executive Order 11478.
  - c) Manages civil rights oversight and enforcement programs and activities.
  - d) Serves as official point of contact for compliance regarding civil rights issues. Recommends appropriate enforcement action, subject to review by FTA Chief Counsel.
- 3) Organization.
- a) Office of Headquarters Operations
    - i. Serves as the principal contact on all issues relative to ADA, Title VI, DBE, and External EEO civil rights program requirements.
    - ii. Develops civil rights guidance, standards, and policy positions for FTA's ADA, Title VI, DBE, and External EEO programs.
    - iii. Develops technical assistance material to help recipients carry out ADA, Title VI, DBE, and External EEO program requirements.
    - iv. Develops and implements internal and external training programs for the transit industry, advocacy and community groups, the general public and FTA staff on FTA/DOT ADA, Title VI, DBE, and External EEO requirements, programs, and objectives, as well as fundamental civil rights and equal opportunity laws and regulations.
    - v. Investigates complaints alleging violations of ADA, Title VI, DBE and External EEO program requirements and prepares letters of findings in

response to the complaints that address grant recipients' compliance with the applicable regulations and requirements.

- vi. Designs and manages the national civil rights specialized oversight review program to assess grantee compliance through ADA, Title VI, DBE, and External EEO compliance reviews.
- vii. Provides technical assistance, oral and written, to grantees, transit users, and advocacy groups concerning the proper interpretation and application of ADA, Title VI, DBE, and External EEO statutes, regulations, and guidance.
- viii. Develops training and educational materials for use by grant recipients, transit users and special interest groups concerning the civil rights guaranteed by ADA, Title VI, DBE, and External EEO policies and programs.
- ix. Develops and delivers presentations at meetings, workshops, and conferences on civil rights programs and developments.
- x. Manages FTA's internal EEO counseling and informal complaint process, including facilitating alternative dispute resolution, and supports the FTA Office of Administration in carrying out diversity initiatives.
- xi. Collaborates with the Departmental Office of Civil Rights on the implementation of Departmental civil rights programs, policies, and initiatives, and on the development of Departmental reports.

b) Office of Regional Operations

- i. Reviews, assesses, and tracks the status of grant recipients' Title VI, DBE, and External EEO programs.
- ii. Assesses the civil rights oversight needs for recipients through FTA's annual assessment process.
- iii. Participates in Comprehensive Oversight Review Program and other general oversight efforts regarding grant recipients' implementation of ADA, Title VI, DBE, and External EEO requirements.
- iv. Ensures accurate implementation of ADA, Title VI, DBE, and External EEO program guidance and makes recommendations for improvements in the implementation of the various programmatic areas.
- v. Works with grant recipients to resolve any identified areas of noncompliance regarding ADA, Title VI, DBE, and External EEO program requirements.

- vi. Provides technical assistance, oral and written, to grantees, transit users and members of the public concerning the proper interpretation and application of the ADA, Title VI, DBE, and External EEO program requirements. Assists grant recipients in developing strategies for the effective implementation of the regulations and requirements.
- vii. Develops and delivers presentations at meetings, workshops, and conferences on civil rights program requirements and developments.

e. Office of Budget and Policy

- 1) Mission. The Associate Administrator for Budget and Policy serves as the principal advisor to the Administrator on all audit, internal controls, budget, policy, strategic planning, program review, performance management, financial management, and financial systems matters. Serves as FTA's Chief Financial Officer (CFO) and, subject to the direction of the Departmental CFO, performs the duties specified in Section 902 of title 31, United States Code, with regard to FTA programs, operations, and activities. Acts as official liaison with the Government Accountability Office (GAO) and the Office of the Inspector General (OIG) on all audit report response matters, tracks the status of audit reports and is responsible for developing a coordinated FTA position regarding the resolution of all GAO and OIG audit findings.
- 2) Function. Provides executive direction over the following organizations:
  - a) Office of Policy Review and Development
  - b) Office of Budget
  - c) Office of Strategic Planning and Analysis
    - i. Strategic Planning Division
    - ii. Analysis Division
  - d) Office of Financial Systems
  - e) Office of Financial Management
    - i. General Accounting, Reports and Analysis Division
    - ii. Accounts Payable Division
- 3) Organization.
  - a) Office of Policy Review and Development: Implements and manages FTA's overall policy reviews and development. Provides policy direction on legislative proposals, and prepares and coordinates statutory reports to Congress.

- i. Develops or reviews regulations, procedures, and directives to implement policy initiatives and legislative requirements affecting FTA.
  - ii. Provides policy direction for the legislative agenda, formulates policy aspects of FTA legislative proposals, and reviews and analyzes proposed or enacted legislation, which may impact FTA programs.
  - iii. Coordinates implementation of new legislation, identifying policy implications and needed actions.
  - iv. Maintains liaison with the transit industry, state and local governments, other modal administrations, and Federal agencies on matters pertaining to FTA policies.
  - v. Prepares or reviews testimony, including briefing materials, exhibits, pre- and post-hearing questions, and transcripts for all congressional oversight and authorization hearings in collaboration with the Office of Chief Counsel.
  - vi. Represents FTA with OST, other operating administrations, and the transportation industry on multi-modal policy initiatives.
  - vii. Conducts or monitors policy research in support of the assigned mission of the office.
- b) Office of Budget: Develops, presents, justifies, and executes FTA budgets that support Administration policies and program direction. Ensures that appropriated funds are obligated and expended in accordance with Executive Branch and congressional intent and direction.
- i. Develops FTA budgets which are consistent with Administration policies and follow the broad guidelines of OST, OMB, and the congressional appropriation committees.
  - ii. Assists the Administrator and FTA officials in presenting and defending the budget to OST, OMB and Congress by developing congressional testimony, briefing materials, exhibits, and pre- and post-hearing questions and transcripts.
  - iii. Works directly with OST, OMB, and congressional staff in answering questions and resolving budget and policy issues.
  - iv. After funds are appropriated, works with OST, OMB, and the Department of the Treasury to receive apportionments and warrant grant authority to obligate and expend appropriated funds.

- v. Develops the Administrative Expenses Program Plan which sets the initial funding level for each cost center and directs unprogrammed funds to address the major priorities of the Administrator.
  - vi. Manages the Administrative Expenses and program appropriations by working with cost center managers, the Office of Administration, and others to project and monitor costs, identify deficits and surpluses, and assists the Administrator in the decision-making process.
  - vii. Issues monthly reports on the status of budget execution to the Administrator, Deputy Administrator, and all operating officials.
  - viii. Completes special cost analyses as directed by OMB, OST, and FTA resulting from congressional budget decisions.
- c) Office of Strategic Planning and Analysis: Manages the development and implementation of FTA's strategic planning processes and provides analytical support to program evaluation efforts. Oversees the performance of FTA internal operations by managing internal control activities and operational performance. Coordinates performance management activities for FTA and promotes data driven management by providing data analysis, performance measures, and reporting.
- i. Coordinates the development of the FTA Strategic Plan and monitors its implementation, including the interfaces among the Departmental Strategic Plan, program plans, and budget justifications.
  - ii. Conducts or monitors research supporting the strategic planning and other assigned functions of the office.
  - iii. Conducts special projects and analyses intended to improve the effectiveness of FTA programs and promotes priorities and objectives of the Administration.
  - iv. Directs the National Transit Database Uniform System of Accounts and Records and Reporting System program and related geographic and other information systems.
  - v. Provides the data used in the formula grant apportionments and provides analyses used for evaluation in the triennial review and other reviews.
  - vi. Develops industry and operator/grantee trend data based on National Transit Database (NTD) and other external data, and supplements these trends with external data (i.e., economic, employment trends).
  - vii. Serves as a liaison with the transit industry, State and local governments, other modal administrations, and Federal agencies on matters pertaining to data resources and performance measurement.

- viii. Prepares statutory reports to Congress on transit industry performance and asset conditions in collaboration with other offices.
- ix. Develops measurable goals and performance measures for incorporation in the FTA Biennial Performance Plan. Tracks and reports internal FTA operational performance on a quarterly and annual basis.
- x. Develops both outcome effectiveness performance measures and output efficiency performance measures for major FTA programs, as required by legislation and OMB.
- xi. Performs independent quality assurance to determine whether compliance with the measures has in any way resulted in a denigration of overall performance.
- xii. Prepares quarterly reports that track FTA performance.
- xiii. Provides FTA liaison services to coordinate all activities for GAO and OIG program audit requests.
- xiv. Responds to Inspector General hotline complaints by coordinating responses from appropriate FTA Headquarters and Regional Offices.
- xv. Directs and manages FTA's implementation of the Transit Asset Management Rule.
- xvi. Conducts the biannual FTA stakeholder survey.

d) Strategic Planning Division

- i. Coordinates FTA's inputs into DOT's Strategic Plan.
- ii. Coordinates the development of the FTA Strategic Plan and monitors its implementation, including the interfaces among the Departmental Strategic Plan, program plans, and budget justifications.
- iii. Conducts or monitors research supporting the strategic planning and other assigned functions of the office.
- iv. Conducts special projects and analyses intended to improve the effectiveness of FTA programs and promotes priorities and objectives of the Administration.
- v. Develops measurable goals and performance measures for incorporation in the FTA Biennial Performance Plan. Tracks and reports internal FTA operational performance on a quarterly and annual basis.

- vi. Develops both outcome effectiveness performance measures and output efficiency performance measures for major FTA programs, as required by legislation and OMB.
- vii. Performs independent quality assurance to determine whether compliance with the measures has in any way resulted in a denigration of overall performance.
- viii. Prepares quarterly reports that track FTA performance.
- ix. Provides FTA liaison services to coordinate all activities for GAO and OIG program audit requests.
- x. Responds to Inspector General hotline complaints by coordinating responses from appropriate FTA Headquarters and Regional Offices.

e) Analysis Division

- i. Conducts or monitors research supporting the analysis of the trends or important topics in the transit industry.
- ii. Directs the National Transit Database Uniform System of Accounts and Records and Reporting System program and related geographic and other information systems, including the collection of financial, operating, employment, infrastructure, asset condition, and safety data.
- iii. Provides the data used in the formula grant apportionments and provides analyses used for evaluation in the triennial review and other reviews.
- iv. Develops guidance and training materials to support the collection of data through the NTD, and delivers trainings both online and in person.
- v. Directs the publication of data collections to the general public.
- vi. Develops industry and operator/grantee trend data based on NTD and other external data, and supplements these trends with external data (i.e., economic, employment trends).
- vii. Maintains liaison with the transit industry, State and local governments, other modal administrations, and Federal agencies on matters pertaining to data resources and performance measurement.
- viii. Prepares statutory reports to Congress on transit industry performance and asset conditions in collaboration with other offices.
- ix. Delivers narrative, graphical, and oral presentations of the results of data collections and analyses.



- x. Directs and manages FTA's implementation of the Transit Asset Management Rule.

f) Office of Financial Systems:

- i. Designs, develops, implements, operates, and maintains controls for all FTA financial management systems.
- ii. Works with OST and other operating administrations on joint financial systems development and implementation of projects.
- iii. Administers and provides support for all existing FTA financial systems.
- iv. Ensures that users are appropriately trained on new systems and assists supervisors in the training of new employees on existing financial systems.
- v. Works with the Office of Administration and the Office of Program Management to administer the financial data of the Transportation Electronic Award and Management (TEAM).
- vi. Maintains systems documentation and user agency financial management manuals for all systems. Manages and provides technical support to formal change request processes for FTA financial systems. Acts as program sponsor for and provides for maintenance and support of hardware and software for financial systems.
- vii. Performs special studies, projects, and analyses on financial management issues.

g) Office of Financial Management: Provides accounting, reporting, and other financial management services to FTA.

- i. Develops accounting policies following the guidelines established by the Secretary of Transportation, the FTA Administrator, the Department of the Treasury, OMB, GAO, and the Federal Accounting Standards Advisory Board (FASAB).
- ii. Maintains official financial records and control accounts on all administrative and program funds.
- iii. Records and reports on FTA financial activity by utilizing the department-wide accounting system (DELPHI).
- iv. Controls FTA disbursements to ensure that administrative, statutory, and contractual ceilings are not exceeded.
- v. Prepares and ensures accuracy of financial reports based on official financial records to include regularly scheduled reports to the Department of the

Treasury and OMB; internal financial reports; material to support budget requests; and other reports on the execution of appropriations, apportionments, allocations, allotments, and obligations.

- vi. Reviews and certifies for payment by the Department of the Treasury grant requisitions, invoices and vouchers that have been presented for payment.
- vii. Maintains liaison with representatives of OST, Enterprise Services Center (ESC), OMB, Department of the Treasury, and GAO on all accounting and financial management activities that support FTA's program.
- viii. Develops and prescribes, in conjunction with the Financial Systems Office, Budget Office, and other interested parties as necessary, FTA accounting and financial reporting guidelines and business processes.
- ix. Serves as the primary liaison with FTA program offices and other external sources for providing technical advice and support on all accounting and financial reporting activities.
- x. In conjunction with the Financial Systems and Budget Offices, issues monthly reports to the Administrator, Deputy Administrator, and all operation officials on the status of budget execution.
- xi. Approves grants payments in FTA's Electronic Clearing House Operation (ECHO) System for grants payments.
- xii. Serves as a member of the DOT Financial Management Committee (FMC) and DOT CFO Council.
- xiii. Manages activities for OMB Circular A-123 Appendix A and the Federal Managers' Financial Integrity Act (FMFIA).
- xiv. Coordinates Payment Integrity Information Act of 2019 and recovery reviews.
- xv. Coordinates the annual CFO financial statements audit.
- xvi. Maintains official financial records and control accounts on all FTA grants, loans, procurement contracts, administrative expenses, disbursement assets, liabilities, and budgetary authority.

h) General Accounting, Reports and Analysis Division

- i. Develops accounting policies following the guidelines established by the Secretary of Transportation, the FTA Administrator, the Department of the Treasury, OMB, GAO, and the Chief Financial Officers (CFO) Act of 1990.

- ii. Maintains official financial records and control accounts on all administrative commitments, FTA grants, loans, procurements contracts, administrative expenses, assets, liabilities, and budget authority.
- iii. Records and reports on FTA and OST financial activity by utilizing DELPHI.
- iv. Prepares and ensures accuracy of financial reports. Reconciles financial data with the Department of Treasury and OMB. Prepares regularly scheduled reports to the Department of the Treasury and OMB; internal financial reports; and CFO Statements. Coordinates all reports with the Budget Branch pertaining to schedules supporting budget requests; and other reports on the execution of appropriations, apportionments, allocations, and allotments material to support budget requests.
- v. Develops and prescribes, in conjunction with the Financial Systems Branch, Budget Branch, and other interested parties as necessary, FTA accounting guidelines for grantees, contractors, FTA and OST offices. Guidelines are prepared and executed to ensure that FTA procedures reflect current commercial and Federal accounting practices.
- vi. Provides technical advice and support on all accounting activities including the Department's Working Capital Fund.
- vii. In conjunction with the Financial Systems Branch and Budget Branch, issues monthly reports to the Administrator, Deputy Administrator, and all operating officials on the status of budget execution.
- viii. Maintains liaison with representatives of OST, OMB, Department of the Treasury, and the GAO on accounting aspects of financial management of FTA, OST, and the Bureau of Transportation Statistics (BTS).

i) Accounts Payable Division

- i. Operates and maintains the ECHO System.
- ii. Controls FTA disbursements to ensure that administrative, statutory, or contractual ceilings are not exceeded.
- iii. Reviews and certifies for payment by the Department of the Treasury all properly executed grant requisitions, ECHO drawdown requests, invoices, and all vouchers which have been presented for payment including travel for FTA, OST, and BTS.
- iv. Administers travel policy for FTA.

- v. Collects vendor and employee information for initial inclusion in the Department of the Treasury's Direct Deposit Electronic Fund Transfer System.
- vi. Serves as the primary liaison with FTA program offices, grantees, the Department of the Treasury, and other external sources for providing technical advice and support on all ECHO activities.
- vii. Ensures grantee projects are properly reconciled before final close-out.

f. Office of Planning and Environment

- 1) Mission. The Associate Administrator for Planning and Environment administers a national program of planning assistance by managing financial and technical resources and by directing program implementation through the Regional Offices; provides procedural support for required environmental, planning and capital development processes; advances the state-of-the-art in transportation planning, environmental analysis and enhancement, and capital development; serves as a principal advisor to the Administrator and provides executive direction pertaining to planning and environmental issues and projects seeking Capital Investment Grant (CIG) funding.
- 2) Function. Provides executive direction over the following organizations:
  - a) Office of Planning
    - i. Planning Oversight and Capacity Building Division
    - ii. System Planning and Analysis Division
  - b) Office of Capital Project Development
    - i. Project Development Division
    - ii. Program Development Division
  - c) Office of Environmental Programs
- 3) Organization.
  - a) Office of Planning: Develops planning policies, regulations, and other procedures for implementing the transportation planning and clean air provisions of the requisite Federal laws and manages the overall FTA planning program. Provides technical and procedural support to the Regional Offices and grantees in administering metropolitan and statewide planning and clean air planning processes. Develops guidance and training related to technical methods for transportation planning and capital project planning and development. Provides

assistance and oversight to ensure compliance with FTA requirements for planning and capital project development. Provides technical assistance and support to other FTA offices and local and State governmental agencies on technical methods for project planning and performance evaluation.

- i. Leads administration of the metropolitan and statewide planning processes and performance based planning.
- ii. Administers the national metropolitan planning (section 5303) and statewide planning and research formula funding programs (section 5305).
- iii. Administers discretionary grant program, including the Pilot Program for Transit Oriented Development (TOD).
- iv. Compiles the Before-and-After Study Report to Congress and provides technical support to transit providers to complete Before-and-After Studies.
- v. Undertakes quinquennial updates of the Predicted versus Actual study of capital cost and ridership of Capital Investment Grant projects.
- vi. Performs oversight of travel forecasts submitted for the evaluation and rating of Capital Investment Grants New Starts, Small Starts, Core Capacity Projects, and Expedited Project Delivery.
- vii. Serves as the Geospatial Information Officer for FTA.

b) Planning Oversight and Capacity Building Division

- i. Manages FTA grant-in-aid programs for statewide and metropolitan planning and research, including budget justification, resource allocation, program monitoring, and the provision of administrative assistance to the regions.
- ii. Develops policy, regulations, and procedural guidance relating to implementation of FTA metropolitan and statewide planning and performance based planning requirements.
- iii. Assists the Regional Offices in their review of State and metropolitan plans, transportation improvement programs and provides recommendations for improvement.
- iv. Develops planning emphasis areas to guide planning work program development and review.
- v. Assists the Regional Offices in certification reviews of planning processes in Transportation Management Areas. Conducts enhanced planning reviews in select Transportation Management Areas.

- vi. Provides support for National Infrastructure Investments and similar competitive program application review processes.
- vii. Develops technical guidance, training, and planning assistance for FTA Regional Offices, metropolitan planning organizations, transit providers, and State Departments of Transportation. Technical areas include metropolitan and statewide planning, transportation system planning and programming, performance based planning, public involvement, financial analysis of long range plans and transportation improvement programs, planning and environmental linkages, and air quality conformity analysis.
- viii. Ensures consistency and compliance with planning requirements that are jointly administered with the Federal Highway Administration (FHWA) and that require coordination with other DOT modes.

c) Systems Planning and Analysis Division

- i. Maintains the Simplified Trips on Projects Software (STOPS) and provides training and technical assistance to transit providers, metropolitan planning organizations, and State Departments of Transportation.
- ii. Reviews and approves travel forecasts, warrants, and core capacity estimates submitted for the evaluation and rating of Capital Investment Grants New Starts, Small Starts, Core Capacity Projects, and Expedited Project Delivery Pilot Program.
- iii. Provides technical assistance in the development of Before-and-After Studies by project sponsors of Capital Investment Grants and Expedited Project Delivery Pilot Program projects. Compiles the Before-and-After Study summaries and the annual Before-and-After Study Report to Congress. Undertakes quinquennial updates of the Predicted versus Actual study of capital costs and ridership of capital investment grant projects.
- iv. Serves as the geographic information system (GIS) technical service center for FTA and provides GIS support for natural disaster recovery, policy analysis, and application of GIS technical methods. Serves as FTA's Geospatial Information Officer.
- v. Assists in the development of FTA policies and procedures related to travel forecast methods, transit service planning, application of technology to transportation planning, data collection and analysis and air quality conformity.
- vi. Provides oversight of technical areas in planning and project development studies to ensure compliance with FTA requirements.

- vii. Initiates and manages planning research studies and demonstrations, including data collection, aimed at advancing the state-of-the-art in planning and capital project development procedures and techniques. Evaluates, documents, and disseminates the results of such studies and findings within FTA, to grantees and other groups.
- d) Office of Capital Project Development: Manages and monitors the CIG program (New Starts, Small Starts and Core Capacity); coordinates FTA technical, policy, and other resources to address issues related to local agency compliance with CIG requirements through all phases of project development from planning through the execution of construction grant agreements; evaluates CIG proposals and rates them in accordance with statutory requirements; develops regulations, guidance, policies and procedures for the evaluation and development of CIG projects; provides technical and procedural assistance to the Regional Offices and grantees; and advises senior FTA officials on the CIG project caseload.
  - i. Manages the CIG project development caseload including review and analysis of project justification, financial plans, environmental reviews, and status throughout the phases of the process including project development and engineering and up to the signing of the construction grant agreement.
  - ii. Provides assistance to transit agencies, State departments of transportation, Metropolitan Planning Organizations, and other FTA offices contemplating projects that may seek CIG funding. This includes explaining program requirements related to the development and analysis of transportation alternatives; travel demand forecasting; estimation of operating costs; land use and site planning; financial analysis; and FTA project evaluation. Such assistance may take the form of written guidance, training courses, case studies, seminars, conferences, meetings and memoranda.
  - iii. Leads multi-office FTA teams of resource experts assigned to CIG projects to facilitate technical product review, FTA milestone approval actions, and information exchange. This will ensure that project sponsors receive timely responses to requests and that senior FTA Headquarters and Regional Office management are fully informed on the status, merit, and risks of candidate projects.
  - iv. Conducts and prepares executive level briefings to OST officials and congressional members/staff on individual projects and the overall CIG program on a routine basis in coordination with other offices as needed.
  - v. Focuses on overall CIG program development including policy guidance, technical assistance and training, program data analysis and tracking, website development and upkeep, financial reviews, quality control reviews, and development of other tools to assist project sponsors and FTA in obtaining reliable information for decision-making.

- vi. Develops regulations, guidance, policy and training on compliance with FTA CIG program requirements and good planning and project development practices.
- vii. Prepares an annual report to Congress on the CIG discretionary program and the recommended allocation of Section 5309 funds.
- viii. Responds to requests for information from FTA decision-makers, OST, OMB, Congress, GAO, OIG, and the media.

e) Project Development Division

- i. Manages the CIG project development caseload including review and analysis of project justification, cost, financial plans, and environmental reviews, throughout the phases of the process including project development and engineering up to the signing of the construction grant agreement.
- ii. Coordinates and manages FTA and project development team resources to address issues related to local agency compliance with CIG program requirements from planning through the execution of construction grant agreements. Ensures corporate consistency between Headquarters and regional staff in administering CIG program requirements.
- iii. Provides assistance to transit agencies, State departments of transportation, metropolitan planning organizations, and other FTA offices contemplating projects that may seek CIG funding. This includes explaining program requirements related to the development and analysis of transportation alternatives; planning and environmental linkages; travel demand forecasting; estimation of capital and operating costs; land use and site planning; financial analysis; and FTA project evaluation.
- iv. Leads and manages multi-office FTA teams of resource experts assigned to CIG projects to facilitate technical product review, FTA milestone approval actions, and information exchange to ensure that project sponsors receive timely responses to requests and that senior FTA Headquarters and regional management are fully informed on the status, merit, and risks of candidate projects.
- v. Conducts and prepares executive level briefings to Departmental (OST) Officials and Congressional Staff and Congressional Members on individual projects on a routine basis.

f) Program Development Division

- i. Focuses on overall CIG program development including policy guidance, technical assistance and training, program data analysis and tracking, website development and upkeep, financial reviews, quality control reviews,



and development of other tools to assist project sponsors and FTA in obtaining reliable information for decision-making.

- ii. Develops regulations, guidance, policy, and training on compliance with FTA CIG program requirements and good planning and project development practices.
  - iii. Prepares an annual report to Congress on the CIG discretionary program and the recommended allocation of Section 5309 funds.
  - iv. Responds to requests for information from FTA decision-makers, OST, OMB, Congress, GAO, OIG, and the media.
  - v. Conducts and prepares executive level briefings to OST Officials, Congressional Staff and Congressional Members on the overall program on a routine basis.
- g) Office of Environmental Programs: Develops environmental regulations, policies, programs and guidance that enhance and integrate environmental decision-making in transportation planning, programming and projects; serves as FTA's principal advocate for the improvement of the human environment and for minimizing the adverse impact of transportation on the natural environment; advocates for and implements improvements in the environmental compliance process for FTA-funded projects.
- i. Develops technical guidance, training, and other planning assistance for FTA Regional Offices and grantees that includes site planning, land use and environmental impacts, environmental justice reviews and public involvement and coordination of transportation and air quality planning. Supports other FTA offices on cross-cutting interdisciplinary topics related to planning and project development.
  - ii. Develops and provides guidance and training on the implementation of the National Environmental Policy Act (NEPA) and related legislation. Establishes Standard Operating Procedures for the efficient management of the environmental review process and effective document management.
  - iii. Evaluates human, natural environment programs and processes, and FTA's management of the NEPA process, and uses results in planning program administration.
  - iv. Provides guidance and assistance to FTA Regional Offices in support of community and public involvement. Develops training courses, publications, and other approaches to promote public involvement. Works with FTA Regional Offices to identify and avoid potential concerns or complaints.

- v. Represents FTA in Federal interagency work groups developing legislative proposals relating to the environment and transportation. Provides technical assistance on the transportation impacts of environmental legislation being considered by Congress.
- vi. Develops FTA policies, regulations, procedures and guidelines in the following areas: air quality, global climate change, water quality and Clean Water Act issues, wetlands, threatened and endangered species, fish and wildlife, hazardous waste and brownfields, coastal zones and coastal barrier protection rights of way acquisition, and others as needed.
- vii. Works towards the efficient implementation of those environmental requirements that are jointly administered with FHWA and other DOT modes. Performs interagency environmental coordination with Federal agencies including the U.S. Department of Interior, Fish and Wildlife Service; the National Park Service; Environmental Protection Agency; U.S. Army Corps of Engineers; U.S. Coast Guard; and the U.S. Department of Agriculture, Soil Conservation Service. The coordination involves specific transit projects to resolve conflicts and/or to expedite development and decision-making and on policy, regulatory and/or operational issues to unify and integrate Federal coordination and decision-making relating to funding, permits, land transfers and other Federal actions or approvals.

g. Office of Program Management

- 1) Mission. Associate Administrator for Program Management administers a national program of capital and operating assistance by managing financial and technical resources and directing program implementation through the Regional Offices. Provides major capital project management for FTA assistance programs. Coordinates the development and dissemination of program guidance and technical assistance.
- 2) Function. Provides executive direction over the following organizations:
  - a) Office of Transit Programs
    - i. Urbanized Area Division
    - ii. Rural and Targeted Programs Division
  - b) Office of Capital Project Management
    - i. Project Management Division
    - ii. Technical Services Division
  - c) Office of Grants Management and Guidance

- i. Grants Management and Guidance Division
- ii. Grants Systems Division

3) Organization.

- a) Office of Transit Programs: Provides for the effective development and administration of FTA's capital and operating assistance programs; provides for the overall management of State-administered programs; and provides program analysis and technical assistance.
  - i. Oversees financial management of the formula and discretionary federal transit programs through management of national operating budgets. Conducts financial analyses and provides reports on the availability and administration of FHWA flexible funds transferred for transit use. Manages the use of resources for the New Starts Program.
  - ii. Develops technical assistance information regarding new statutory, regulatory, policy, or procedural requirements for the annual apportionment of capital and operating funds.
  - iii. Develops, updates, disseminates, and monitors the implementation of grant program guidance for carrying out the programs of FTA.
  - iv. Manages programs for Urbanized Areas, Fixed Guideway Capital Investments, State of Good Repair, Bus and Bus Facilities, rural areas, tribes, and for the enhanced mobility of seniors and individuals with disabilities.
  - v. Manages the public transportation emergency relief grant program.
  - vi. Performs grant program analysis.
  - vii. Reviews and processes grant requests for discretionary funding under FTA's Capital Grant Programs. Provides guidance to Regional Offices regarding these programs, assesses demand for discretionary funds, and recommends projects for selection for discretionary funding.
  - viii. Develops and conducts a Rural Transit Assistance Program to make grants and enter into direct contracts for transit research, technical assistance, training, and related support services in nonurbanized areas.
  - ix. Develops and conducts Technical Assistance Programs in support of FTA's capital grant programs.
  - x. Manages the special initiatives related to coordination with other Federal agencies and DOT Operating Administrations with missions related to the implementation of the FTA grant programs.

- xi. Administers the Interagency Coordinating Council on Access and Mobility and administers programs to improve human services transportation coordination.

b) Urbanized Area Division

- i. Oversees financial management of the formula and discretionary federal transit programs through management of national operating budgets. Conducts financial analyses and provides reports on the availability and administration of FHWA flexible funds transferred for transit use. Manages the use of resources for the New Starts Program.
- ii. Develops technical assistance information regarding new statutory, regulatory, policy or procedural requirements for the annual apportionment of capital and operating funds of FTA urbanized area programs.
- iii. Develops, updates, disseminates, and monitors the implementation of grant program guidance for carrying out the urbanized area programs of FTA.
- iv. Manages programs for Urbanized Areas, Fixed Guideway Capital Investment Grants, State of Good Repair Grants, and Bus and Bus Facilities Grants.
- v. Manages the public transportation emergency relief program.
- vi. Undertakes analysis of the urbanized area programs.
- vii. Manages technical assistance programs related to administering urbanized area programs.

c) Rural and Targeted Programs Division

- i. Develops accompanying technical assistance information regarding new statutory, regulatory, policy or procedural requirements for the annual apportionment of capital and operating funds of rural area and targeted programs.
- ii. Develops, updates, disseminates, and monitors the implementation of grant program guidance for carrying out the rural and targeted programs of FTA.
- iii. Manages programs for rural areas, tribal grant programs, and grant programs for the enhanced mobility of seniors and individuals with disabilities.
- iv. Undertakes analysis of the rural and targeted area programs.
- v. Manages technical assistance programs related to administering rural area and targeted populations programs.

- vi. Administers the Interagency Coordinating Council on Access and Mobility and administers programs to improve human services transportation coordination.
- d) Office of Capital Project Management: Develops and implements a program of project management oversight for major transit infrastructure projects, including new fixed guideway core capacity and small starts investments to ensure project sponsors have the technical capacity, capability and appropriate plans to deliver the planned scope of major capital projects on schedule and within budget.
- i. Develops and implements project management oversight strategies for Fixed Guideway Capital Investment projects, State of Good Repair major capital projects, Transportation Infrastructure Finance and Innovation Act (TIFIA) projects, National Infrastructure Investments projects, and other major capital projects.
  - ii. Develops and Implements FTA's Project Management Oversight Regulation under 49 CFR part 633.
  - iii. Reviews projects in the development and construction phases, for the technical capacity and capability of project sponsors; reviews the reasonableness of proposed project scope, schedule and budget; and reviews the reasonableness of transit capacity estimates.
  - iv. Monitors progress of projects under construction against scope, schedule, budget, and project management plan.
  - v. Develops recovery plans for major capital projects, Full Funding Grant Agreement Amendments and other capital project agreements, as necessary.
  - vi. Provides overall management of the FTA Project Management Oversight contractors.
  - vii. Develops technical guidance, training, and information documenting best professional practices in construction and technologies associated with bus and rail fixed guideway systems and facilities.
  - viii. Designs, develops, and presents technical assistance workshops for grantees and other industry participants on the project management requirements of FTA's grant assistance programs.
  - ix. Reviews the soundness and methodology of real property appraisals and administers the Uniform Relocation Assistance and Real Property Acquisition Policies Act.
  - x. Develops procedures for real estate and relocation and provides advice to field staff and grantees on their applications.

- xi. Develops and updates guidance for field staff and grantees relating to project management practices, including equipment and rolling stock issues relating to fleet management plans, procurement, Buy America and the ADA equivalent facilitation.

e) Project Management Division

- i. Develops and implements project management strategies for Fixed Guideway Capital Investment projects, State of Good Repair major capital projects, TIFIA projects, National Infrastructure Investments projects, and other major capital projects.
- ii. Develops and implements FTA's Project Management Oversight program.
- iii. Reviews projects in the development and construction phases, for the technical capacity and capability of project sponsors; reviews the reasonableness of proposed project scope, schedule and budget; and reviews the reasonableness of transit capacity estimates.
- iv. Monitors progress of projects under construction against scope, schedule, budget and project management plan.
- v. Develops recovery plans for major capital projects and Full Funding Grant Agreement Amendments as necessary.

f) Technical Services Division

- i. Provides overall management of the FTA Project Management Oversight (PMO) contracts.
- ii. Develops technical guidance, training, and information documenting best professional practices in construction and technologies associated with bus and rail fixed guideway systems and facilities.
- iii. Designs, develops, and presents technical assistance for grantees and other industry participants on the project management requirements of FTA's grant assistance programs.
- iv. Reviews the soundness and methodology of real property appraisals and administers the Uniform Relocation Assistance and Real Property Acquisition Policies Act.
- v. Develops procedures for real estate, relocation, and provides advice to the field staff and grantees on their applications.
- vi. Develops and updates guidance for field staff and grantees relating to project management practices, including equipment and rolling stock issues relating to fleet management plans and Buy America.

- g) Office of Grants Management and Guidance: Provides comprehensive national guidance on capital and operating assistance grant programs; reviews, analyzes, and makes recommendations on national issues relative to grant programs; and coordinates the development and dissemination of guidance to ensure program consistency and effectiveness.
- i. Manages the development and maintenance of program aspects of FTA's electronic grant management and other related systems.
  - ii. Prepares and coordinates capital and operating assistance submissions for the annual budget process.
  - iii. Prepares annual formula apportionments for capital and operating funds for external issuance in accordance with statutory requirements.
  - iv. Provides comprehensive statistical analyses and summaries of major FTA grant assistance programs for internal and external dissemination.
  - v. Develops and provides tracking systems to provide grant related information on FHWA flexible fund transfers, deferred or waived local match, 90 percent match, or other FTA initiatives.
  - vi. Develops, updates, disseminates, and monitors the implementation of grant management guidance for carrying out the programs of FTA.
  - vii. Designs, develops, and presents technical assistance workshops for grantees on FTA grants assistance programs' administrative, technical, and financial requirements.
  - viii. Recommends statutory, regulatory, procedural, and administrative changes to simplify the grant development and management processes as well as expedite the flow of grant approvals and improve project implementation.
  - ix. Develops program guidance and implements special programs pursuant to legislative initiatives and administration mandates.

h) Grants Management and Guidance Division

- i. Develops, updates, disseminates, and monitors the implementation of grants management guidance for managing the programs of FTA to ensure consistency and effectiveness in complying with federal requirements.
- ii. Coordinates the development of advice and responses to the Regional Administrators and FTA offices in the management of more complex or controversial program issues of national significance.
- iii. Recommends statutory, regulatory, procedural, and administrative changes that would simplify the grant development and management processes as

well as expedite the flow of grant approvals and improve project implementation.

- iv. Develops program guidance and implements special programs pursuant to legislative initiatives and congressional mandates.

i) Grants Systems Division

- i. Manages the development and maintenance of program aspects of FTA's electronic grant management and other related systems.
- ii. Prepares and coordinates capital and operating assistance submissions for the annual budget process.
- iii. Prepares annual formula apportionments for capital and operating funds for external issuance in accordance with statutory requirements.
- iv. Provides comprehensive statistical analyses and summaries of major FTA grant assistance programs for internal and external dissemination.
- v. Develops and provides tracking systems to provide grant related information on FHWA flexible fund transfers, deferred or waived local match, 90 percent match, or other FTA initiatives.

h. Office of Research, Demonstration and Innovation

- 1) Mission. The Associate Administrator for Research, Demonstration and Innovation provides national leadership for the implementation of a multi-dimensional research and technical assistance program for public transportation and works to improve the transit industry's quality and competitiveness through the development, demonstration and deployment of innovative solutions.
- 2) Function. Provides executive direction over the following organizations:
  - a) Office of Mobility Innovation
  - b) Office of Infrastructure and Asset Innovation
  - c) Office of Research Management, Innovation and Outreach
- 3) Organization.
  - a) Office of Mobility Innovation: Develops, demonstrates, evaluates, and documents innovative transportation services, demand management techniques, and operations management methods that increase mobility and improve the existing transportation system network. Conducts research, operational tests, demonstrations and evaluations of innovative applications of Advanced Public



Transportation Systems (APTS) technologies as part of the DOT Intelligent Transportation Systems (ITS) research program.

- i. Provides technical assistance to FTA, state and local officials in the development, demonstration, and evaluation of innovative transportation concepts, methods, and services that enhance mobility, access, and intermodal transportation.
  - ii. Develops, implements, and evaluates research and demonstration projects leading to comprehensive mobility programs including advanced transit service concepts, market-based fare and pricing techniques, management and operations techniques, methods of public transportation service delivery and institutional arrangement for their implementation and operations.
  - iii. Provides technical assistance in the development, demonstration, and evaluation of innovative transportation demand management methods.
  - iv. Conducts seminars, workshops, and training sessions on transportation research, demonstration, and innovation issues. Disseminates information and assists transportation service providers.
  - v. Conducts research and operational tests of innovative applications of advanced navigation, information, communications, and transportation management technology to improve public transportation systems and high occupancy vehicle facilities.
  - vi. Fosters the development and adoption of APTS technologies to improve customer service, reduce costs, and increase the occupancy levels of vehicles used in work-related trips.
  - vii. Provides technical assistance and information dissemination to Federal, State and local agencies in the adoption of innovations in roadway-based vehicle communication, and control and traveler information. Collaborates with the ITS Joint Program Office in maximizing the transit component of ITS.
  - viii. Collaborates with FHWA, Federal Railroad Administration (FRA), and Federal Aviation Administration (FAA) in demonstrations of intermodal transportation systems and services.
- b) Office of Infrastructure and Asset Innovation: Administers a research program to promote safe, comfortable, convenient, economic, environmentally sound, and energy efficient public transit service for all users, and to assist in the economical introduction of such technologies into fixed guideway and bus transit system use. Fosters transit industry adaptability to changes in transportation patterns and technologies, and assists State and local governments and transit authorities with implementing methods to comply with state of good repair, asset management and clean air requirements. Increases public transportation efficiency and

effectiveness through research, development and demonstration of applications of innovative technologies, construction methods and practices related to a state of good repair for transit systems, environmentally sound transit vehicles, promotion of safety and transit bus testing.

- i. Identifies the technology, infrastructure and asset-related needs of the transit industry and conducts a program of research, development, demonstration and technology deployment to meet those needs.
  - ii. Improves transit vehicles, systems, components and facilities by developing, demonstrating, testing, and evaluating innovative technologies.
  - iii. Provides technical advice and support to Headquarters and Regional Offices regarding innovative technologies applicable to transit systems, vehicles, equipment, facilities and operating practices.
  - iv. Provides assistance to the U.S. transit supply and technical service industries to enhance the U.S. competitive position in global markets.
  - v. Manages the testing of new bus models at formally established bus testing facilities; manages other related testing programs, e.g. low-no component testing.
  - vi. Implements strategies to maximize opportunities for transit technology projects within the Technology Reinvestment Program of the Advanced Research Projects Agency, and the Advanced Technology Program of the National Institute of Standards and Technology.
  - vii. Manages FTA's standards program, to include recommending and researching standards for infrastructure and assets.
  - viii. Develops and provides research, demonstrations and deployments to the public transportation industry to improve transit system safety and to assist with the compliance of national safety requirements based on observable national trends and needs.
  - ix. Collaborates closely with the Office of Transit Safety and Oversight and other FTA offices to establish appropriate safety data collection efforts and systems.
- c) Office of Research Management, Innovation and Outreach: Enhances the effectiveness of FTA's research program by driving research strategic planning; overseeing program implementation and compliance activities to enhance project operational excellence; developing and applying research performance metrics and program evaluation efforts; managing FTA research outreach efforts; and leading transit agency workforce development programs including demonstration, technical assistance and training activities for the transit industry.

- i. Oversees the Office of Research, Demonstration and Innovation (TRI) program management operational excellence, to include financial management and program compliance.
- ii. Drives yearly strategic planning, including facilitating the development of TRI's five-year strategic plan.
- iii. Manages FTA research outreach to include FTA's publications, research reports, research and innovation web presence, driving research to practice initiatives, and marketing research results across both internal and external stakeholder groups.
- iv. Maintains FTA partnerships and relationships associated with strategic planning and outreach with several institutional research partners, such as the Transportation Research Board (TRB)—including managing the Transit Cooperative Research Program.
- v. Leads transit agency workforce development programs including demonstration projects, technical assistance and training activities for the transit industry to build capacity including the National Transit Institute Cooperative Agreement.
- vi. Leads strategic and program planning efforts for Research and Technical Assistance funding.
- vii. Manages research performance metrics and program evaluation efforts.
- viii. Supports DOT International Research Program Activities, as directed by the FTA Administrator and in coordination with OST.
- ix. Collects, disseminates, and exchanges information on FTA's research and innovation program, with a focus on promoting research to practice activities.
- x. Supports FTA coordination with the Office of the Assistant Secretary for Research and Technology (OST-R) on external reporting activities (such as reports to Congress) and provides expertise and input as required on the DOT University Transportation Center (UTC) Program.
- xi. Supports department and agency-wide efforts to evaluate FTA's collection and use of transit-related data, particularly data being collected or used for research and demonstration efforts.
- xii. Oversees and manages FTA responsibilities under the Small Business Innovative Research Program.

i. Office of Administration

- 1) Mission. The Associate Administrator for Administration serves as the principal advisor to the Administrator on administrative and management matters and provides administrative and support services to FTA Headquarters and Regional Offices. Serves as Chief Information Officer (CIO) to ensure that information technology is acquired and information resources are managed for FTA in a manner that implements the policies and procedures of the Information Technology Management Reform Act. Serves as the FTA Head of Contract Activity (HCA), Chief FTA Human Capital Official, and FTA Suspension and Debarment Official.
- 2) Function. Provides executive direction over the following organizations:
  - a) Office of Management Planning
  - b) Office of Information Technology
  - c) Office of Human Resources
    - i. Employee and Labor Relations Division
    - ii. Human Capital Division
    - iii. Staffing and Classification Division
  - d) Office of Acquisition Management
    - i. Project Management Division
    - ii. Operations Division
  - e) Office of Talent and Organizational Development
- 3) Organization.
  - a) Office of Management Planning: Administers a program of management services and activities to reflect management policies, practices, and organization and develops and administers essential administrative and logistical support services to FTA.
    - i. Analyzes and maintains annual and out-year budget estimates and expenditures for rent and security costs for FTA as well as any tax escalation projections. Manages and reviews monthly lease cost spreadsheet for accuracy.
    - ii. Provides management oversight and approval in coordination with the General Services Administration (GSA), OST, and Volpe over the acquisition of all FTA office space. This includes major office renovations

and furniture procurement/acquisition projects in consultation with GSA and private contractors.

- iii. Maintains and coordinates with GSA on the development of all FTA Headquarters and regional Leases/Occupancy Agreements.
  - iv. Administers FTA's FOIA Program in collaboration with the Office of Chief Counsel.
  - v. Administers FTA's Paperwork Reduction Act Program.
  - vi. Administers FTA's Transit Benefit Program.
  - vii. Serves as FTA's point of contact for the Departmental Sustainability Program.
  - viii. Maintains and monitors FTA's fleet vehicles.
  - ix. Manages FTA's Occupational Safety and Accident Reporting Program. Participates in the Departmental Occupational Safety and Health Committee.
  - x. Manages, reviews and approves requests for facilities related services either directly or through contracts with Building Management.
  - xi. Manages the Directives Control System for FTA. Provides guidance and recommendations in updating or drafting new orders for FTA-wide review and comments. Provides comments/recommendations on DOT-wide orders throughout various Operating Administrations.
- b) Office of Information Technology: Administers, develops, and designs office automation, corporate database, and data warehousing systems, and disseminates information to users through new and existing information and telecommunications systems, and FTA's Information Technology (IT) activities.
- i. Develops and maintains FTA's mission information systems and serves as the corporate data administrator for diverse information systems and electronic files and records.
  - ii. Promotes and facilitates the use of information technology to ensure effective support to all levels of FTA management and FTA mission, and to provide information as required by the Department, OMB, and other Federal agencies.
  - iii. Serves as the central coordinator and point of contact for all matters relating to the management of FTA mission information systems, engagement with IT shared services, FTA IT procedures and compliance, FTA mission IT risk management, and records management.

- iv. Develops and supports state-of-the-art mission information systems to provide actionable program, mission, administrative, and performance data and information to FTA's management officials and DOT leadership for use in making administrative, program, and mission recommendations and decisions.
  - v. Directs the FTA IT program and develops and maintains the strategic and operational plans for the development, oversight, and maintenance of mission information systems, and information security and privacy. Ensures FTA's compliance with Departmental and Federal policies, standards, and regulations regarding the acquisition of information technology and services. Coordinates with FTA and Departmental offices to develop projections, plans, and budget requests for future IT requirements.
- c) Office of Human Resources: Develops and administers a comprehensive human resources (HR) program designed to attract, place, manage and retain a high-quality, effective, and efficient FTA workforce. Monitors FTA's personnel ceiling utilization in coordination with other FTA offices, as appropriate. Supports the Executive Management Team (EMT) in executing broader human capital activities that facilitate accomplishment of FTA's mission.
- i. Provides strategic advice and assistance to the EMT, to managers and supervisors, and to all employees or potential staff on HR matters and activities.
  - ii. Collaborates with FTA Headquarters and regional leadership, as well as managers and supervisors to ensure policies and procedures lead to effective and efficient service and contribute to accomplishment of FTA's mission.
  - iii. In collaboration with subordinate supervisors and team leaders, plans, develops and implements comprehensive human capital programs and activities related to staffing, position classification and position management, compensation, employee-management relations, benefits, employee recognition and awards, discipline, and adverse actions.
  - iv. Serves as the FTA appointing authority for all personnel actions.
  - v. Ensures compliance with legal, regulatory and policy controls in execution of all HR programs and activities.
  - vi. Ensures development and implementation of an HR accountability program to ensure compliance and to promote effective and efficient services throughout FTA.
  - vii. Interprets external requirements and ensures development and execution of HR policies, procedures, and directives in accordance with Departmental and Office of Personnel Management regulations.

d) Employee and Labor Relations Division

- i. Manages and administers the Employee Relations Program, providing assistance and guidance to managers and employees on conduct issues. Works with the Office of Chief Counsel in responding to appeals to the Merit Systems Protection Board (MSPB), as appropriate.
- ii. Manages and administers the Labor Relations Program, providing assistance and guidance to managers, union partners, and employees on labor relations topics. Works with the Office of Chief Counsel and the Federal Labor Relations Authority (FLRA) on labor relations issues, as appropriate. Works with the Federal Mediation and Conciliation Service (FMCS), as appropriate.
- iii. Manages and administers the Reasonable Accommodation Program, providing assistance and guidance to employees and managers of employees who require workplace accommodations to ameliorate the impact of a disability.
- iv. Administers the Family and Medical Leave Act by providing assistance and guidance to employees and managers of employees who are either facing or have qualifying family members who face a major illness, which necessitates their absence from work.
- v. Manages and administers the Performance Management (PM) Program (including performance awards), providing assistance and guidance to all FTA employees in all aspects of employee performance.
- vi. Manages and administers the Suitability Adjudication Program, making recommendations on employee, appointee, and applicant suitability for federal employment.
- vii. Manages and administers the FTA Telework Program, providing assistance to all FTA employees. Ensures the Telework Data Call and other reporting requirements are met.
- viii. Manages and administers the Drug-Free Workplace Program, ensuring personnel in designated positions are tested for the presence of illegal drugs.
- ix. Develops or modifies and updates policies and procedures to implement programs in areas of team responsibilities.
- x. Implements the FTA Anti-Harassment Program by conducting intake, investigations, and drafting reports.

e) Human Capital Division

- i. Develops, manages or administers human capital programs and activities to include workforce planning initiatives, employee surveys, and accountability functions to ensure regulatory compliance and to promote efficiency of the civil service.
- ii. Provides all services for FTA Senior Executives related to recruitment, hiring, performance management, and retention.
- iii. Administers the legal, regulatory, and procedural controls established within the Federal personnel system, providing advice and assistance to FTA managers and employees, as appropriate.
- iv. Develops and administers an internal audit accountability process to ensure that all HR practices are made effective in accordance with legal and regulatory requirements. Serves as Audit Liaison for all HR audit functions.
- v. Collaborates with the Employee and Labor Relations Director to manage and administer FTA's pay and leave policies and collaborates with other HR teams to assist senior management, line officials, HR Specialists and employees on pay and leave matters.
- vi. Manages and administers FTA's interface for HR systems to include Time and Attendance (CASTLE), Security Access, and other automated personnel data and tracking systems.
- vii. Manages and administers employee benefits and retirement programs FTA-wide and provides assistance and guidance to leadership and employees on benefit and retirement matters. Responsible for reporting requirements to the Departmental Office of Human Resources/Office of Personnel Management and ensures regulatory compliance.
- viii. Collaborates with Staffing and Classification Team on outreach strategies and activities to increase marketing and improve brand.
- ix. Develops or modifies and updates policies and procedures to implement programs in areas of team responsibilities.

f) Staffing and Classification Division

- i. Plans, develops, and manages FTA comprehensive programs and activities related to staffing, classification, position sensitivity and security management, non-competitive hiring, promotions, and other staffing-related functions.
- ii. Executes position management activities to promote appropriate classification and efficient use of positions in FTA organizations.



- iii. Collaborates with Human Capital Management Team on outreach strategies and activities to increase marketing and improve brand.
  - iv. Ensures accurate application of laws and regulations regarding staffing, classification and appropriate compensation.
  - v. Administers the legal, regulatory, and procedural controls established within the Federal personnel system.
  - vi. Develops, interprets and executes HR policies, procedures, and directives in accordance with Departmental and Office of Personnel Management regulations.
  - vii. Provides advice and assistance to senior management, line officials, and employees on staffing and classification, and related matters and issues.
  - viii. Provides technical advice in the allocation of and control over human resources to meet operating needs within established employment ceilings, average salary limitations, and other departmental and OMB budget requirements.
  - ix. Develops or modifies and updates policies and procedures to implement programs in areas of team responsibilities.
- g) Office of Acquisition Management: Administers a comprehensive program to plan, monitor, control, and implement the acquisition of services, studies, material, and equipment, in support of the direct acquisition program and third party contracting of FTA.
- i. Acquires goods and services for the FTA in accordance with Federal, departmental and FTA policies using life cycle acquisition procedures.
  - ii. Provides guidance on third-party contract policies, procedures, and standards in support of FTA programs; advises regions on third party grantee contracts in support of the FTA grant program; develops, coordinates, and provides third party contract training for FTA staff, grantees and transit industry at large.
  - iii. Interprets and executes official acquisition policy as prescribed by Federal Acquisition Regulations, the DOT Acquisition Regulations, Transportation Acquisition Manual, Federal Information Resources Management Regulations, and Executive Orders and Policies on acquisition.
  - iv. Coordinates acquisition training and manages the statutory certification program for the FTA cadre of the acquisition workforce, encompassing contracting officers, contracting specialists, contracting officer's representatives, and program managers.

- v. Collaborates with DOT Office of Small and Disadvantaged Business Utilization to ensure FTA manages and meets objectives for providing opportunities for small and disadvantaged business.
- vi. Operates and maintains FTA's Purchase Card Program to ensure that all authorized purchases are in compliance with existing regulations.
- vii. Manages inputs into FTA internal and government-wide acquisition data systems for compliance with all regulatory quality assurance standards. Manages FTA acquisition system administration, including PRISM configuration, routing, user management, and integration with Departmental systems.
- viii. Represents FTA on interagency groups to promulgate federal acquisition policies and regulations, advancing FTA's interests.

h) Project Management Oversight Division

- i. Conducts market research as required for Project Management Oversight (PMO) services and assists the Office of Program Management (TPM) with the development of appropriate acquisition strategies.
- ii. Manages Small Business Reviews and Small Business Goals for the PMO Program.
- iii. Manages past performance reviews and facilitates performance reporting and management of any PMO performance issues with the regions and TPM.
- iv. Manages PMO source selection processes, including Pre-Solicitation and Pre-Proposal Conferences, Source Selection, Technical Team/Technical Evaluation source selection teams and evaluation report processes.
- v. Manages audit of cost proposals and accounting systems reviews, cost/price analysis, past performance reviews, subcontracting plan reviews.
- vi. Manages the Department of Labor EEO clearance process, negotiates contract awards, conducts post award kickoff meetings/competitor debriefings/defense of appeals and manages Congressional notification as required.
- vii. Provides post award contract administration for FTA funded oversight contracts for major transit capital projects, including the task order process, contract modifications, and contractor staff approvals process. Provides guidance to regions and TPM on PMO Contracting Officer's Technical Representative (COTR) responsibilities.

- viii. Manages the PMO contract close-out process to ensure timely and complete execution of legally required contract close-out process.
- ix. Ensures the highest standards of ethical conduct, performance, and contract management on the PMO program, protecting FTA and the U.S. taxpayer.

i) Operations Division

- i. Collaborates with DOT Office of Small and Disadvantaged Business Utilization to ensure FTA manages and meets objectives for providing opportunities for small and disadvantaged business.
- ii. Operates and maintains FTA's Purchase Card Program to ensure that all authorized purchases are in compliance with existing regulations.
- iii. Manages Interagency Agreement (IAA) processes for FTA, approving all FTA financial or service commitment agreements with other components of DOT or Government entity.
- iv. Conducts market research as required for FTA contract services. Assist the Offices of Transit and Safety Oversight, Administration, Budget and Policy, and Civil Rights, and other FTA offices with the development of appropriate acquisition strategies.
- v. Manages past performance reviews and facilitates performance reporting and management of any contractor performance issues with Headquarters customer offices.
- vi. Manages non-PMO source selection processes, including Pre-Solicitation and Pre-Proposal Conferences, Source Selection, Technical Team/Technical Evaluation source selection teams and evaluation report processes.
- vii. Manages cost proposal audits, cost/price analysis, past performance reviews, subcontracting plan reviews; negotiates contract awards; conducts post award kickoff meetings, competitor debriefings, and defense of appeals.
- viii. Provides post award contract administration, including the task order process, contract modifications, and contractor staff approvals process. Provides guidance to Headquarters offices on COTR responsibilities for specific contracts.
- ix. Manages the contract close-out process to ensure timely and complete execution of close-out processes.
- x. Ensures the highest standards of ethical conduct, performance, and contract management for FTA contracting programs, protecting FTA and the U.S. taxpayer.

- j) Office of Talent and Organizational Development: Develops and delivers multifaceted management processes, and organization-specific services through assessments and consultation support to FTA offices. Integrates knowledge management, training, and competency management to facilitate career development and leadership potential customized to meet individual, office, and FTA-specific needs.
- i. Sets the overall vision and strategy for the FTA Learning, Knowledge Management, and Organizational Development, communicates the same to all stakeholders, and establishes accountabilities for execution enterprise-wide.
  - ii. Develops policies and procedures for workforce development training; establishes control and oversight of all training related procurement and inquiries.
  - iii. Manages and approves the Enterprise Architecture and performance standards of FTA's intranet.
  - iv. Manages FTA's employee onboarding program to strengthen employee engagement experience and employee retention. Develops workforce competency models, conducts workforce competency-based needs assessments, and develops and administers evaluations for workforce development activities.
  - v. Provides consultation to improve organizational health, including facilitation, coaching, change management, collaboration, teambuilding, and other factors relevant to effective operations, developing leaders, engaging employees, and maturing as a learning organization.
  - vi. Supports the EMT by leading after action reviews, the annual Employee Viewpoint Survey and resultant action planning, and planning and coordinating EMT in-person meetings and FTA-wide Town Halls.
  - vii. Advances diversity, cultural competency and inclusion within FTA. In consultation with the Office of Civil Rights, administers FTA Special Emphasis Programs (e.g., Women's History Program, Black History Program, AAPI Heritage Month). Coordinates FTA's participation in Departmental-wide responsibility programs (e.g., Feds Feeds Families and Combined Federal Campaign, authorized charity programs).
  - viii. Develops, manages, and evaluates agency-wide training expenditures, to include the Central Training and Travel budget, in addition to exercising the authority to expend funds as delegated by the Associate Administrator for Administration.
  - ix. Manages requirements of both formal and informal development programs, including executive development, the Presidential Management Fellows

(PMF), coaching program, mentorship programs and other learning opportunities.

- x. Administers the mandatory training program and establishes governance for enterprise-wide internal learning and communication tools such as the DOT Learns Learning Management System, Microsoft SharePoint, and Adobe Connect.

j. Office of Transit Safety and Oversight

- 1) Mission. The Associate Administrator for Transit Safety and Oversight administers a national transit safety program and program compliance oversight process to advance the provision of safe, reliable, and equitable transit service through adherence with legislative, policy and regulatory requirements as established by FTA. Serves as FTA's Chief Safety Officer.
- 2) Function. Provides executive direction for the following organizations:
  - a) Office of System Safety
    - i. Safety Assurance and Risk Management Division
    - ii. Safety Policy and Promotion Division
  - b) Office of Safety Review
    - i. Program Management Division
    - ii. Program Operations Division
  - c) Office of Program Oversight
    - i. Compliance Programs Division
    - ii. Performance Analysis and Quality Assurance Division
- 3) Organization.
  - a) Office of System Safety: To foster continuous improvements in transit safety through the implementation of Safety Management System (SMS) methods and principles.
    - i. Establishes effective policies for SMS adoption in the transit industry.
    - ii. Identifies, prioritizes, and manages safety risk.
    - iii. Provides the transit industry with needs-based safety program educational and training resources.

- iv. Develops and implements a national transit safety program with clear and comprehensive requirements based on quantitative and qualitative measures.
- v. Develops and implements safety program policies, regulations, standards, and guidance grounded in an SMS approach.

b) Safety Assurance and Risk Management Division

- i. Implements FTA's SMS through the Safety Assessment Team/Executive Safety Review Board (SAT/ESRB) process.
- ii. Identifies priorities and collects safety data and research.
- iii. Conducts analysis of safety data and research to identify safety hazards and mitigate through risk-based decision-making.
- iv. Monitors effectiveness of safety solutions and makes recommendations to achieve intended safety performance.
- v. Implements the Safety Data Management Action Plan.
- vi. Develops and implements internal controls and data quality assurance methodologies to confirm the fidelity of safety program information and data.
- vii. Coordinates with the Office of Research, Demonstration and Innovation on safety-related research projects, demonstration projects, and other related activities.

c) Safety Policy and Promotion Division

- i. Develops and implements policies, regulations, standards, and guidance grounded in the SMS principles to ensure policies are effective.
- ii. Implements Public Transportation Safety Program, Public Transportation Safety Certification Training Program and Public Transportation Agency Safety Plan regulations.
- iii. Evaluates and monitors the effectiveness of safety policies, regulations, and standards for the transit industry.
- iv. Designs, develops, delivers, and evaluates effective safety promotion tools such as training, best practices, and outreach on FTA's safety policies, regulations, and guidance.
- v. Engages with internal and external transit safety stakeholders to build industry knowledge and adoption on SMS methods and principles.
- vi. Manages Transit Advisory Committee for Safety (TRACS).

- vii. Manages mitigation of transit safety recommendations from the National Transportation Safety Board (NTSB).
- d) Office of Safety Review: Provides compliance oversight and technical assistance to transit industry stakeholders regarding safety-related rules and guidance. Facilitates FTA emergency response program on a Departmental, Regional, and Federal level.
  - i. Conducts safety inspections, accident investigations, audits, and examinations of public transportation systems, in accordance with Federal Public Transportation Law.
  - ii. Identifies safety issues that may require enforcement and recommends actions such as issuing directives, requiring more frequent reporting requirements, directing grant funds be focused on addressing safety deficiencies identified, and withholding of financial assistance.
  - iii. Conducts State Safety Oversight (SSO) and Drug and Alcohol compliance reviews and ensures mitigation of non-compliance findings.
  - iv. Certifies SSO Programs' compliance with Federal SSO program requirements.
  - v. Coordinates on emergency response/relief and public safety activities with OST, U.S. Department of Homeland Security, Federal Emergency Management Agency (FEMA), Transportation Security Administration, and other Federal agencies as driven by events.
  - vi. Coordinates within FTA to ensure that all safety reviews, safety audits, and inspections are conducted in accordance with requirements.
- e) Program Management Division
  - i. Conducts SSO and Drug and Alcohol compliance reviews and ensures mitigation of non-compliance findings.
  - ii. Certifies SSO Programs' compliance with Federal SSO program requirements.
  - iii. Implements and manages the Drug and Alcohol Compliance Program.
  - iv. Identifies safety issues that may require enforcement and recommends actions such as issuing directives, requiring more frequent reporting requirements, directing grant funds be focused on addressing safety deficiencies identified, and withholding of financial assistance.
- f) Program Operations Division

- i. Conducts safety inspections, accident investigations, audits, and examinations of public transportation systems, in accordance with Federal Public Transportation Law.
  - ii. Identifies safety issues that may require enforcement and recommends actions such as issuing directives, requiring more frequent reporting requirements, directing grant funds be focused on addressing safety deficiencies identified, and withholding of financial assistance.
  - iii. Coordinates on emergency response/relief and public safety activities with OST, U.S. Department of Homeland Security, FEMA, Transportation Security Administration, and other Federal agencies as driven by events.
  - iv. Manages and coordinates FTA's departmental and agency goals for safety, security, FTA Continuity of Operations Planning (COOP), and DOT's National Response Program (NRP) for domestic emergency preparedness, response, and recovery program for disasters and crises.
  - v. Manages and coordinates FTA's engagement with OST, the U.S. Department of Homeland Security, and National Security Staff regarding cybersecurity issues relating to public transportation.
  - vi. Monitors transit event notifications and conducts investigations and risk-based inspections.
- g) Office of Program Oversight: Administers an effective and comprehensive national program for the oversight of recipient compliance with FTA assistance program requirements and strong stewardship of federal funds.
- i. Designs, develops, implements, and manages a comprehensive Program oversight system to ensure grantee compliance with FTA grant guidelines.
  - ii. Designs, develops, implements, and manages processes to ensure consistency in oversight management and application.
  - iii. Develops and maintains procedures for FTA governance of the internal planning, performance, documentation, and reporting of oversight activities.
  - iv. Administers contracts or other agreements entered into on behalf of FTA for performance of oversight services including: Triennial Reviews, State Management Reviews, Financial Management Oversight, and Procurement System Reviews Programs. Ensures appropriate control, coordination, and distribution of oversight reports.
  - v. Develops performance measures and standards for recipient compliance in Oversight Review Programs and analyzes and reports on results. Based on the analysis of recipient performance data; develops, and implements corrective action plans in coordination with the appropriate FTA offices.



- vi. Develops and manages quantitative and qualitative quality control protocols for oversight data, compliance with oversight procedural guidelines, and oversight of contractor performance on providing agreed upon deliverables.
- vii. Coordinates with the Office of Program Management and other FTA offices to develop and implement technical assistance and training tools based on recipient oversight trend analysis and recipient or Regional Office requests.
- viii. Prepares the Annual Plan for Oversight Resource Allocation, in coordination with other offices by soliciting feedback and information about grantee risk.

h) Compliance Programs Division

- i. Designs, develops, implements, and manages a comprehensive oversight system to ensure grantee compliance with FTA grant guidelines.
- ii. Administers contracts or other agreements entered into on behalf of FTA for performance of oversight services including: Triennial Reviews, State Management Reviews, Financial Management Oversight, and Procurement System Reviews Programs. Ensures appropriate control, coordination, and distribution of oversight reports.
- iii. Prepares the Annual Plan for Oversight Resource Allocation, in coordination with other offices by soliciting feedback and information about grantee risk.

i) Performance Analysis and Quality Assurance Division

- i. Designs, develops, implements, and manages processes to ensure consistency in oversight management and application.
- ii. Develops and maintains procedures for FTA governance of the internal planning, performance, documentation, and reporting of oversight activities.
- iii. Develops performance measures and standards for recipient compliance in Oversight Review Programs and analyzes and reports on activities, outcomes, and performance.
- iv. Develops and manages quality assurance and quality control processes to achieve review quality standards and provide oversight of contractor performance.
- v. Manages FTA's Oversight Tracking System (OTrak) as FTA's official repository of program oversight data.
- vi. Coordinates with the Office of Program Management and other FTA offices to develop and implement technical assistance, training tools and events

based on recipient oversight trend analysis and recipient or Regional Office requests.

- vii. Prepares the Annual Plan for Oversight Resource Allocation, in coordination with other offices by soliciting feedback and information about grantee risk.

k. Office of Regional Services

- 1) Mission. The Associate Administrator for Regional Services coordinates with and assists FTA Regional Offices with implementing FTA programs. The Associate Administrator for Regional Services also oversees the Regional team responsible for improving FTA's ability to efficiently and effectively administer the Federal transit program by ensuring program stewardship and oversight; advancing consistent corporate business practices in the areas of performance management and risk management; increasing the use of data and information for decisionmaking; and improving operational efficiency.
- 2) Function.
  - a) In coordination with FTA program offices, ensures nation-wide application of standards for advancing environmental protection and enhancement, comprehensive intermodal and multimodal planning, and fair and prudent acquisition as established by FTA.
  - b) Supports Regional Offices promoting the integrated set of oversight and technical assistance programs among grantees designed to prevent public transportation fatalities, injuries, property damage and system interruption, and the capability to respond effectively to those accidents and incidents that do occur. Ensures these programs promote continuous improvement in the transit industry through the investigation and resolution of systemic safety, security and emergency preparedness issues.
  - c) Supports Regional Offices implementing and coordinating a comprehensive financial accountability and integrity program through effective operation of budget processes, proper utilization of and accounting for FTA's resources, and by building technical capacity in transit authorities to complete projects on time and within budget.
  - d) Supports Regional Offices in advocating the benefits of public transportation providing access to opportunity, managing congestion, supporting efficient land uses, improving the environment, and reducing energy consumption.
  - e) On behalf of the Administrator, Deputy Administrator, and Executive Director, promotes partnerships among Regional Offices with the grantees, grantee associations such as the American Association of Highway and Transportation Officials (AASHTO), American Public Transportation Association (APTA), Community Transportation Association of America

(CTAA), and other surface transportation stakeholders. Promotes intermodal transportation initiatives.

#### 1. Offices of Regional Administrator

- 1) Mission. The Regional Administrators provide Federal financial and technical assistance pursuant to the Federal Transit Act, as amended, and related acts, for the planning and development of public transportation systems in urbanized and non-urbanized areas. Have authority for overall delegated responsibilities as provided by the FTA Administrator.
- 2) Function. Provide executive direction over the following organizations:
  - a) Office of Planning and Program Development<sup>1</sup>
  - b) Office of Operations and Program Management
  - c) Office of Program Management and Project Oversight (Regions 4, 5, & 9)
  - d) Office of Financial Management and Program Oversight (Regions 4, 5, & 9)
  - e) Office of Major Capital Projects and Emergency Relief (Region 2)
  - f) Los Angeles Metropolitan Office (Region 9)<sup>2</sup>
- 3) Organization.
  - a) Office of Planning and Program Development (Regions 1, 2, 3, 4, 5, 6, 7, 8, 9 & 10)
    - i. Provides an early FTA presence and becomes actively involved in the State and local transportation planning and program development process.
    - ii. Promotes the intermodal aspects of the current Federal Public Transportation Law and emphasizes the importance of innovative financing techniques.<sup>3</sup>

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<sup>1</sup>Regions 4, 5 & 9 operate under a separate Office of Planning and Program Development.

<sup>2</sup> Los Angeles Metropolitan Office consists of the Office of Planning and Program Development and the Office of Operations and Program Management.

<sup>3</sup>These functions may, at the discretion of the Regional Administrator, be assigned to the Office of Operations and Program Management instead of the Office of Planning and Program Development.

- iii. Interfaces with appropriate Headquarters offices to bring the latest FTA initiatives and innovative techniques to grantees and others in the region and to provide assistance in planning and implementation.<sup>4</sup>
- iv. Assists grantees and State and local governments in the planning and development of major investment projects, including the major investment study and development of Environmental Impact Statements.
- v. Provides technical assistance outreach by conducting conferences and training sessions and through participation in those conducted by others.<sup>4</sup>
- vi. Reviews and recommends approval of Unified Planning Work Programs (UPWP) and State Transportation Improvement Programs (TIP).
- vii. Determines the adequacy of TIPs to ensure conformance with the Joint Planning Regulations, Clean Air Act, and other applicable laws and regulations.
- viii. Provides technical assistance to Metropolitan Planning Organizations (MPO), grantees and State departments of transportation in the development of UPWPs, TIPs, STIPs, and grant applications.<sup>4</sup>
- ix. Interfaces with the appropriate Headquarters office in the process of selection and approval of projects.<sup>4</sup>
- x. Performs analyses of grantees' project justifications and applications for planning, capital and operating assistance, considering all current requirements, and documenting the rationale for approval, rejection or other action.<sup>4</sup>
- xi. Develops and recommends for approval: grants, grant amendments, letters of no prejudice, advance construction authority, and other financial assistance instruments pursuant to 49 U.S.C. §§ 5307, 5309, 5310, 5311, and 5314, and appropriate provisions of Title 23 U.S.C.<sup>4</sup>
- xii. Reserves and records commitments of and certifies funds in coordination with the appropriate Headquarters office.
- xiii. Receives and acknowledges or approves, as appropriate, designation actions from Governors for MPOs and designated recipients.

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<sup>4</sup> These functions may, at the discretion of the Regional Administrator, be assigned to the Office of Operations and Program Management instead of the Office of Planning and Program Development.

- xiv. Reviews Environmental Assessments and other environmental documentation and recommends approval or disapproval of Categorical Exclusions and Findings of No Significant Impact.
- xv. Performs periodic reviews of the planning process in urbanized areas pursuant to the Joint Planning Regulations.

b) Office of Operations and Program Management (Regions 1, 2, 3, 6, 7, 8, & 10)

- i. Provides technical assistance to grantees and State departments of transportation in the execution of project management actions on FTA-funded projects.
- ii. Performs all required project management activities, including third party contract review, review of Buy America Waiver requests, monitoring of quarterly progress reports and project closeout with respect to grants, grant amendments, letters of no prejudice, advance construction authority, and other financial assistance instruments under the purview of the Regional Office.
- iii. Monitors the execution of FTA-funded projects under the purview of the Regional Office.
- iv. Coordinates with the appropriate Headquarters offices responsible for program management and oversight in the performance of all program management and oversight activities under the purview of the Regional Office.
- v. Reviews and evaluates the performance of grantees in the implementation of projects to ensure that they are properly managed and are achieving the goals for which the grants are made.
- vi. Performs the Triennial Review process pursuant to 49 U.S.C. § 5307(f)(2) utilizing contractors and Regional Office staff as appropriate.
- vii. Manages the PMO program in the Regional Office, pursuant to 49 U.S.C. § 5327 and monitors grantees' performance of major capital projects through the use of PMO contractors.
- viii. Performs periodic 49 U.S.C. §§ 5310 and 5311 State Management Plan reviews.
- ix. Manages the Financial Management Oversight program in the Regional Office by monitoring the grantees' financial management systems through the use of Financial Management Oversight contractors.

- x. Manages the procurement review program in the Regional Office by monitoring the grantees' procurement systems and processes through the use of procurement review contractors.
- xi. Coordinates FTA responses to audits of Regional Office activities by the OIG, GAO and other outside audit agencies, and ensures that necessary actions are taken by the Regional Office and the grantees.
- xii. Ensures compliance by the grantees with the Single Audit requirements of 2 CFR Part 200.

c) Office of Program Management and Project Oversight (Regions 4, 5, & 9)

- i. Provides technical assistance to grantees and State departments of transportation in the execution of project management actions on FTA-funded projects.
- ii. Performs all required project management activities, including third party contract review, review of Buy America Waiver requests, monitoring of quarterly progress reports and project closeout with respect to grants, grant amendments, letters of no prejudice, advance construction authority, and other financial assistance instruments under the purview of the Regional Office.
- iii. Monitors the execution of FTA-funded projects under the purview of the Regional Office.
- iv. Coordinates with the appropriate Headquarters offices responsible for program management and oversight in the performance of all program management and oversight activities under the purview of the Regional Office.
- v. Reviews and evaluates the performance of grantees in the implementation of projects to ensure that they are properly managed and are achieving the goals for which the grants are made.
- vi. Under the direction of the Office of Financial Management and Program Oversight, performs technical analyses for the Triennial Review process pursuant to 49 U.S.C. § 5307(f)(2) utilizing contractors and Regional Office staff as appropriate.
- vii. Manages the PMO Program in the Regional Office, pursuant to 49 U.S.C. § 5327 and monitors grantees' performance of major capital projects through the use of PMO contractors.
- viii. Under the direction of the Office of Financial Management and Program Oversight performs technical analyses for periodic 49 U.S.C. §§ 5310 and 5311 State Management reviews.

- ix. Assists in providing FTA responses to audits of Regional Office activities by the OIG, GAO and other outside audit agencies, and ensures that necessary actions are taken by the Regional Office and the grantees with respect to project execution.
- x. Ensures compliance by the grantees with the Single Audit requirements of 2 CFR Part 200 during project execution.

d) Office of Financial Management and Program Oversight (Regions 4, 5, & 9)

- i. Reserves and records commitments of and certifies funds in coordination with the appropriate Headquarters office.
- ii. Manages the Triennial Review process pursuant to 49 U.S.C. § 5307(f)(2) utilizing contractors and Regional Office staff as appropriate.
- iii. Manages periodic 49 U.S.C. §§ 5310 and 5311 State Management reviews.
- iv. Manages the Financial Management Oversight Program in the Regional Office by monitoring the grantees' financial management systems through the use of Financial Management Oversight contractors.
- v. Manages the procurement review program in the Regional Office by monitoring the grantees' procurement systems and processes through the use of procurement review contractors.
- vi. Ensures compliance by the grantees with the Single Audit requirements of 2 CFR Part 200.
- vii. Coordinates FTA responses to audits of Regional Office activities by the OIG, GAO and other outside audit agencies, and ensures that necessary actions are taken by the Regional Office and the grantees.
- viii. Coordinates emergency response and recovery activities affecting Regional Offices.<sup>5</sup>

e) Office of Major Capital Projects and Emergency Relief (Region 2)

- i. Performs analyses of grantees' project justifications and applications to support any funding for any major capital projects as defined by FTA, emergency relief projects, and any other projects assigned to the Office of Major Capital Projects and Emergency Relief, considering all current requirements, and documenting the rationale for approval, rejection or other action.

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<sup>5</sup> This function may, at the discretion of the Regional Administrator, be assigned to the Office of Program Management and Project Oversight and/or the Office of Planning and Program Development.

- ii. Develops and recommends for approval for these projects: grants, grant amendments, letters of no prejudice, advance construction authority, Full Funding Grant Agreements, Single Year Grant Agreements, Construction Agreements, and other financial assistance instruments pursuant to projects funded under programs including but not limited to 49 U.S.C. §§ 5307, 5309, 5311, and 5324, and appropriate provisions of Title 23 of the United States Code.
- iii. Provides technical assistance to grantees in the execution of project management actions for these projects.
- iv. Performs all required project management activities for these projects, including third party contract review, review of Buy America waiver requests, monitoring of quarterly progress reports and project closeout with respect to grants, grant amendments, letters of no prejudice, advance construction authority, and other financial assistance instruments under the purview of the Regional Office.
- v. Coordinates with the appropriate Headquarters Offices in the performance of all program management and oversight activities under the purview of the Regional Office.
- vi. Reviews and evaluates the performance of grantees in the implementation of these projects to ensure that they are properly managed and are achieving the goals for which the grants are made.
- vii. Coordinates with and assists Regional Office staff and oversight contractors in assessing the need for and conducting oversight audits as part of any Comprehensive Review pursuant to 49 U.S.C. § 5307(f)(2), as well as any procurement, financial management, civil rights and safety reviews of a recipient's performance in the delivery of an assigned megaproject.
- viii. Supports FTA responses to audits of Regional Office activities regarding these projects by the OIG, GAO, and other outside audit agencies, and ensures that necessary actions are taken by the Regional Office and the recipients.
- ix. Ensures recipient compliance with the Single Audit requirements of 2 CFR Part 200 for all these projects.

f) Los Angeles Metropolitan Office (Region 9)

- i. Performs analyses of grantees' project justifications and applications to support any capital funding for any projects assigned to the Los Angeles



Metropolitan Office, considering all current requirements, and documenting the rationale for approval, rejection or other action.

- ii. Develops and recommends approval: grants, grant amendments, letters of no prejudice, advance construction authority, and other financial assistance instruments pursuant to projects funded for the Los Angeles Metropolitan Area.
- iii. Provides technical assistance to grantees in the execution of project management actions for the Los Angeles Metropolitan Area.
- iv. Performs all required project management activities for the Los Angeles Metropolitan Area, including third party contract review, review of Buy America Waiver requests, monitoring of quarterly progress reports and project closeout with respect to grants, grant amendments, letters of no prejudice, advance construction authority, and other financial assistance instruments under the purview of the Los Angeles Regional Office.
- v. Coordinates with the appropriate Headquarters Offices responsible for program management and oversight in the performance of all program management and oversight activities under the purview of the Los Angeles Regional Office.
- vi. Reviews and evaluates the performance of grantees in the Los Angeles Metropolitan Area, and ensuring that they are properly managed and are achieving the goals for which the grants are made.
- vii. Coordinates with oversight contractors in assessing the need for and conducting oversight audits as part of any Triennial Review pursuant to 49 U.S.C. § 5307(f)(2), as well as any procurement, financial management, civil rights and safety reviews of a grantee's performance in the project delivery for the Los Angeles Metropolitan Area.
- viii. Coordinates FTA responses to audits of Los Angeles Metropolitan Area activities regarding the projects by the OIG, GAO and other outside audit agencies, and ensures that necessary actions are taken by the Regional Office and the grantees.
- ix. Ensures grantee compliance with the Single Audit requirements of 2 CFR Part 200 for the Los Angeles Metropolitan Area.

*(Original signed by)*

K. Jane Williams

Deputy Administrator, Federal Transit Administration