

# NHDOT Transit Grants Workshop:

## FTA Section 5310 Programs: Seniors & Individuals with Disabilities

January 12, 2015



# Introductions

- Bureau of Rail & Transit Staff
  - Shelley Winters — Bureau Administrator
  - Fred Butler — Public Transportation Administrator
  - Karen Jennison — Transit Grants Coordinator
  - Mike Pouliot — Transportation Specialist
  - Carol Spottiswood — Transportation Coordinator

# Agenda

- Overview of Federal Transit Administration (FTA) Grant Programs
  - 5310 RCC Formula
  - 5310 Purchase of Service
  - 5310 Capital
- NHDOT Grant Application Process
- Compliance
- Q&A

# FTA Section 5310 Purpose

- Provides formula funding to states and designated recipients (recipients) to improve mobility for seniors and individuals with disabilities



# Section 5310 Eligible Sub-Recipients

- Private non-profits
- Approved government authorities that:
  - (1) are approved by a state to coordinate services for seniors and individuals with disabilities; or
  - (2) certify that there are no nonprofit organizations readily available in the area to provide the service.
- For “Other” projects, can include operators of public transportation that receive a 5310 grant indirectly through a recipient.

# Eligible Sub-Recipients: Taxis

- Considered “private operators of public transportation”
- Nature of service must be “shared-ride”
  - Two or more passengers in same vehicle who are otherwise not traveling together
  - Exclusive ride companies may receive funding to purchase accessible taxi under contract
  - See Circular [C9070.1G](#) for details

# Section 5310 Eligible Projects

- “Traditional” Projects (pre MAP-21):
  - To provide safe, efficient and coordinated transportation services for seniors and individuals with disabilities for whom public transportation is otherwise unavailable, insufficient, or inappropriate.



# 5310 Eligible Projects (cont'd)

- “Other” Projects (since MAP-21)
  - Public transportation projects that exceed the requirements of the Americans with Disabilities Act (formerly 5317 New Freedom)
  - Public transportation projects that improve access to fixed-route service and decrease reliance on complementary paratransit; and
  - Alternatives to public transportation projects that assist seniors and individuals with disabilities with transportation.

# Project Requirements

- It is not sufficient that seniors and individuals with disabilities are merely included (or assumed to be included) among the people who will benefit from the projects.
- Projects must be included in area's coordinated public transit-human service transportation plan

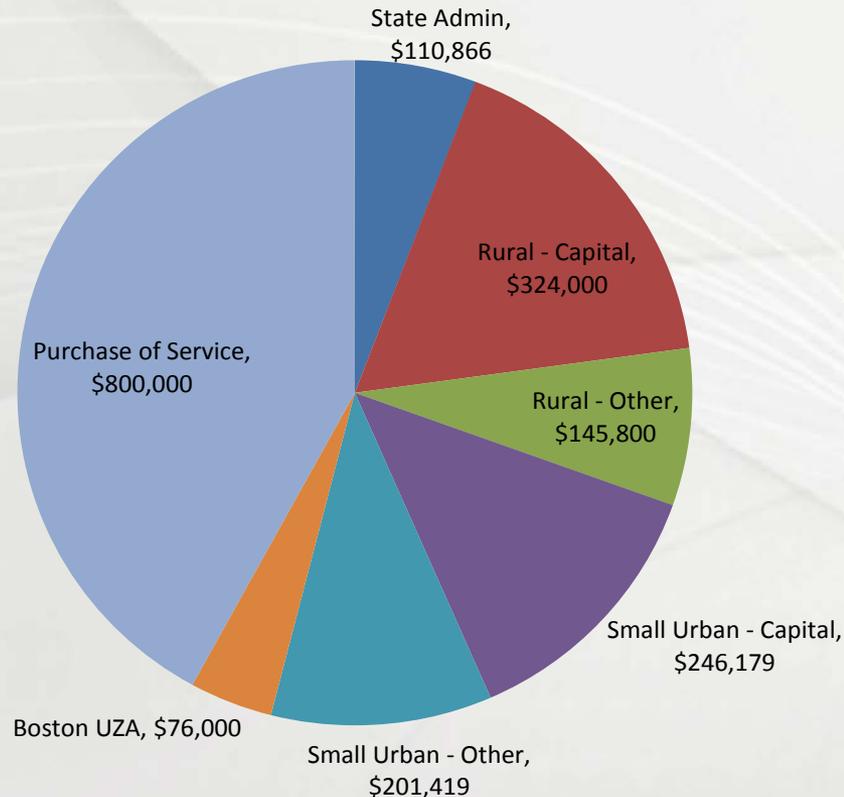
# Eligible Capital Project Examples

- Accessible buses or vans, radios & communication equipment, hardware & software, transit-related ITS and purchase of service by regional transportation coordinators.
- Accessible buses for senior centers, mental health centers and public transit providers.
- Purchase-of-Service
- Mobility Management...

# Mobility Management

- Short-range planning and mgmt activities
- Intended to build coordination among existing public transportation providers and other transportation service providers to expand availability of service
  - Does not include operating public transportation services
- Circular [C9070.1G](#) has list of MM activities

# 5310 FTA Apportionment Breakdown



Note: Above figures represent approximate FFY15/SFY16 amounts; POS Funds are “flexed” from FHWA

# Available Funding: Formula

<b>5310 RCC FORMULA FUNDS</b>		Available SFY 2016	Available SFY 2017	<b>TOTAL</b> SFY 16&17
Region 1	Grafton-Coos	\$ 72,382	\$ 72,382	\$ 144,763
Region 2	Carroll County	\$ 28,739	\$ 28,739	\$ 57,477
Region 3	Mid-State	\$ 110,094	\$ 110,094	\$ 220,187
Region 4	Sullivan County	\$ 28,072	\$ 28,072	\$ 56,143
Region 5	Southwest/Monadnock Region	\$ 52,395	\$ 52,395	\$ 104,789
Region 6				
Region 7	Nashua Region	\$ 9,996	\$ 9,996	\$ 19,992
Region 8	Southern NH (Manchester) Region	\$ 91,625	\$ 91,625	\$ 183,250
Region 9	Salem-Derry Region	\$ 30,112	\$ 30,112	\$ 60,225
Region 10	ACT (Seacoast) Region	\$ 132,913	\$ 132,913	\$ 265,825
<b>Total</b>		<b>\$ 556,326</b>	<b>\$ 556,326</b>	<b>\$ 1,112,653</b>

Note: Only SFY2016 projects are being solicited at this time

# Available Funding: POS

	SFY 2016 (7/1/15-6/30/16)	SFY 2017 (7/1/16-6/30/17)	TOTAL SFY16/17 (7/1/15-6/30/17)
Region 1	\$ 97,744	\$ 97,744	\$ 195,488
Region 2	\$ 50,897	\$ 50,897	\$ 101,794
Region 3	\$ 138,184	\$ 138,184	\$ 276,368
Region 4	\$ 50,126	\$ 50,126	\$ 100,251
Region 5/6	\$ 96,291	\$ 96,291	\$ 192,582
Region 7	\$ 119,676	\$ 119,676	\$ 239,351
Region 8	\$ 120,260	\$ 120,260	\$ 240,520
Region 9	\$ 81,376	\$ 81,376	\$ 162,752
Region 10	\$ 162,728	\$ 162,728	\$ 325,456
<b>Total</b>	<b>\$ 917,282</b>	<b>\$ 917,282</b>	<b>\$ 1,834,563</b>

# Available Funding: Capital

- Approximately \$550,000
- Solicitation planned for May 2015
- Providers apply directly to NHDOT; NHDOT purchases vehicles and enters into vehicle use agreement

# Match Required

<u>Grant type</u>	<u>FTA funds</u>	<u>Local funds</u>
Capital	80%	20%
Operating	50%	50%

- ***Exceptions:***
  - ***ADA-accessible/CAA vehicles are 85%***
  - ***ADA-required equip/CAA equip & facilities 90%***

# 5310 Purchase of Service Highlights

- Statewide Annual Budget: \$800K FHWA transfer + carryover funds
- Funds distributed from NHDOT to RCCs through census-based formula distribution
  - \$20K base per region + census based allocation = RCC allocation
- POS funds are awarded in two-year increments
  - RCCs “lay claim” to funds for a two-year window
  - All unrequested or unexpended funds after the two-year period are then placed back into the statewide pot as available carryover funds
- RCCs solicit, review, rank & select projects
- RCC, through 1 Lead Agency, submits a Regional 5310 POS application to NHDOT
- NHDOT reviews Regional application for 5310 program eligibility
- NHDOT contracts with 1 Lead Agency for entirety of Region’s POS funds
  - Lead Agency will subcontract with providers
  - Lead Agency can not purchase service from itself
  - Lead Agency may use up to 5% of their regional allocation for mobility mgt (administration)
- Matching funds
  - Cash (is always king & allows federal funds to “go” further)
  - In-kind
    - Volunteer driver time valued at \$15/hour, must be tracked in accordance with Federal rules
      - Region can “pool” their in-kind match, if they choose to
    - NHDOT Director Herlihy’s time can be requested as match only on Region’s Mobility Mgt/Admin funds
- Eligible activities: purchase trips (per ride, hourly, etc)

# 5310 RCC-distributed Formula Fund Highlights

- Statewide Annual Budget: \$556K FTA Section 5310 formula funds (rural, small urban, Boston UZA)
- Funds distributed from NHDOT to RCCs through census-based formula distribution
- RCC formula funds are published for a two-year period, but solicited one year at a time
  - RCCs “lay claim” to funds for a two-year window
  - All unrequested or unexpended funds after the two-year period are then placed back into the statewide pot as available carryover funds
- RCCs solicit, review, rank & select projects
- RCC, through 1 Lead Agency, submits a Regional Formula-funded application to NHDOT
- NHDOT reviews Regional application for 5310 program eligibility
- NHDOT contracts with 1 Lead Agency for entirety of Region’s Formula funds
  - Lead Agency will subcontract with providers
  - Lead Agency can not purchase service from itself, but may have Operating project or mobility management projects
- Matching funds
  - Cash (is always king & allows federal funds to “go” further)
  - In-kind
    - Volunteer driver time valued at \$15/hour, must be tracked in accordance with Federal rules
    - RCC meeting participation, if germane to the project, at \$35/hour (for meeting time only)
      - Region can “pool” their in-kind match, if they choose to (see FAQ for details)
- Eligible activities: Any & everything eligible under 5310 circular, including:
  - Mobility Mgt (recommended)      Operating expenses
  - Capital (vehicles)                      Purchase trips (per ride, hourly, etc)

# 5310 Statewide Capital (Vehicle) Fund Highlights

- Statewide Annual Budget: \$550K FTA Section 5310 formula funds (combination of rural, small urban, Boston UZA)
- NHDOT will conduct a statewide solicitation (Timeframe: TBD)
- Individual agencies apply directly for vehicles & capital projects
  - Agencies need letter of support from the Region or Regions in which the asset will be primarily used
- NHDOT contracts directly with Applicant (individual agency) for the selected capital projects (vehicles)
  - Vehicle recipients will enter into a Vehicle Use Agreement covering the vehicle (for the life of the vehicle)
- NHDOT will purchase the vehicles through State Purchase & Property (out to bid)
  - NHDOT will invoice vehicle recipient for their match once vehicle is ordered
- Match requirements
  - ADA-Accessible vehicles 85% Federal & 15% non-Federal match
    - State Capital Budget funds may be available for up to ½ of the required local match—subject to budget process
      - Example funding for ADA-vehicle: 85% Federal, 7.5% State match, 7.5% Local (agency) match
  - Other capital equipment: 80% Federal & 20% non-Federal match
    - State Capital Budget funds may be available for up to ½ of the required local match—subject to budget
- Eligible projects:
  - Accessible vehicles
  - Computers, hardware & software
  - Donation boxes (fare boxes)
  - Miscellaneous capital equipment

# Capital Project Evaluation

		Weight
-	Confirmed that proposed service/projects is eligible for 5310 funding - cite Circular 9070.1G reference if new project.	Y/N
-	Seniors and persons with disabilities have full access to the applicant's services.	Y/N
1	The proposed service effectively addresses a demonstrated community need, and/or the proposed service is a continuation or expansion of existing services.	15%
2	The applicant has the fiscal and technical capacity and adequate budget to operate its service.	15%
3	The applicant has successful experience in providing transportation services.	15%
4	The application shows coordination with other transportation providers in the service area: public, nonprofit, and for-profit.	10%
5	The applicant demonstrates involvement in and support for the project, financial and otherwise, on the part of citizens and local government.	10%
6	The applicant demonstrates effort to involve the private sector in the delivery of transportation services.	10%
7	The applicant successfully demonstrates service efficiency and effectiveness, measured in ridership, service miles and hours, costs, and fare recovery. New applicants must demonstrate the ability to measure performance and achieve goals.	15%
8	The applicant complies with relevant Federal and state regulations, and has a history of compliance with regulations and reporting requirements.	10%

100%

# Basic Formula/POS Procedures

NHDOT's Transit Grants are a Reimbursement Program

- Reimbursement procedures:
  - Submit monthly invoice on agency letterhead referencing the Grant, State project number and the time period covered
    - Submit electronically
    - Invoice needs to be signed by an agency official
  - Break out allowable Administration, Capital and Operating expenses following the Federal Chart of Accounts
  - Document the specific sources of local revenue

# Basic Procedures (cont'd)

- Reimbursement procedures (cont'd):
  - Retain adequate reimbursement documentation - payroll detail register, monthly invoices, receipts or invoices. (i.e., monthly telephone bill, invoice for office supplies, receipt for fuel, etc)
  - After invoice is processed, approximately three-week time frame before payment is received.
  - NHDOT will likely update its reimbursement forms to increase efficiencies.

# Grant Application Milestones

<b>APPLICATIONS RELEASED</b>	1/7/2015
<b>APPLICATIONS DUE</b>	2/17/2015
<b>APPLICATION DECISIONS</b>	3/5/2015
<b>CONTRACT TO AGENCY</b>	3/26/2015
<b>CONTRACT RETURNED TO DOT</b>	4/9/2015
<b>GOVERNOR &amp; COUNCIL MEETING</b>	6/10/2015
<b>FUNDS AVAILABLE</b>	7/1/2015

*All estimates; actual dates may vary*

# Grant Application Process: Operating



## FTA SECTION 5310 RCC-ALLOCATED FORMULA GRANT APPLICATION SFY 2016-2017 (JULY 1, 2015 – JUNE 30, 2017)

Region (RCC): \_\_\_\_\_

Federal Funds Requested: \_\_\_\_\_

Federal Funds Awarded: \_\_\_\_\_ (completed by NHDOT)

### 1. AGENCY INFORMATION

a. Legal Name of Applicant Agency

b. Address

- Call/email if you have any questions!

# “Attachment A” Operating Budget

NHDOT -- Attachment A -- Operating Assistance Budget						
SFY 2016-2017 (July 1, 2015 - June 30, 2017)						
AGENCY:						
FTA PROGRAM/PROJECT DETAILS:						
A. <u>ADMINISTRATION</u>						
Obj. Code	Description	Total Funds				REMARKS
		Actual SFY 2014	Budgeted SFY 2015	Projected SFY 2016	Projected SFY 2017	
501	Labor					
501.02	Other Salaries & Wages					
501.04	Administrative Salaries & Wages					
501.99	Other Salaries & Wages					
502	Fringe Benefits					
502.01	FICA					
502.02	Pension Plans					
502.03	Hospital, Medical, and Surgical Plans					

# Grant Application Process: Capital

## NHDOT SFY2016-2017 FTA Capital Grants Application

Agency:						Total Fed Request:	\$	
Date:							-	

### STEP 1: SUMMARY OF PROJECTS (prioritized list)

Note: Each vehicle must be listed on a separate line unless they're to be used for the identical purpose, e.g., two vehicles are used on the same route. Other less expensive equipment, such as bus shelters or computer equipment, may be in larger quantities if used on same project/route as well.

Prioritized	Item	Description (Seating capacity, model, etc)	Replacement or Expansion Replacement	Quantity	Total Cost	Fed Request	Local Match	Source of Match*
Requests						80%	20%	(assume no state \$ available)
ex.	Small Cutaway Bus	16X2 Gasoline		2	\$65,000	\$ 52,000	\$ 13,000	Agency & town funds
1						\$ -	\$ -	

# Compliance Items

- Reporting
  - DOT Quarterly Vehicle Monitoring
    - Ridership, vehicle hours, vehicle miles, operating costs
  - Annual DOT inventory report
- FTA Master Agreement & Contract Clauses
- Third Party Procurement
- Civil Rights
  - Title VI                      EEO                      ADA
- Disadvantaged Business Enterprise (DBE) Program
- Drug & Alcohol Program
- Equipment Management & Disposition
- DOT site visits and/or vehicle inspections
- FTA Certification & Assurances
- School Bus Rule

# Asset Management

- Repeat finding in last State Management Review
- Agencies **MUST** adhere to own Maintenance Plans
  - Plans must adhere to OEM guidelines
  - 10% leeway given
- Non-compliance opens NHDOT and ALL agencies to comprehensive review by FTA



U.S. Department  
of Transportation

**Federal Transit  
Administration**

# Q&A

## FTA Section 5310 Grant Application Questions & Answers RCC Formula & Purchase-of-Service (POS) Programs

**Q:** *Who can the grant applicant be in my region?*

**A:** **RCC FORMULA:** That decision is left for the RCC to decide and formally approve, with a few limitations. Under the FTA 5310 Program, eligible applicants can be private non-profit organizations, Governmental authorities approved by the State to coordinate services for the seniors or individuals with disabilities, or governmental authorities that certify that no non-profit corporation or association is available in an area to provide service. Therefore the RCC should formally approve a 5310 Formula-funded Regional Transportation Coordinator (RTC) or Lead Agency. The Department's preference is that regions consider selecting RTCs that will begin coordinating and providing regionally-coordinated transportation services.

# Want more Info?

## Contact:

- Bureau of Rail & Transit

603-271-2468

[www.nh.gov/dot/org/aerorailtransit/railandtransit/index.htm](http://www.nh.gov/dot/org/aerorailtransit/railandtransit/index.htm)

- Federal Transit Administration (FTA)  
Circulars

[www.fta.dot.gov/laws/leg\\_reg\\_circulars\\_guidance.html](http://www.fta.dot.gov/laws/leg_reg_circulars_guidance.html)

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