

NHDOT Transit Grants Workshop:

FTA Section 5310 Programs: Seniors & Individuals with Disabilities

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Introductions

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Agenda

- Overview of Federal Transit Administration (FTA) Grant Programs
 - 5310 Regional Coordinating Councils (RCC) Formula-funded Program
 - 5310 Purchase of Service (POS)
 - 5310 Capital Program
- 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

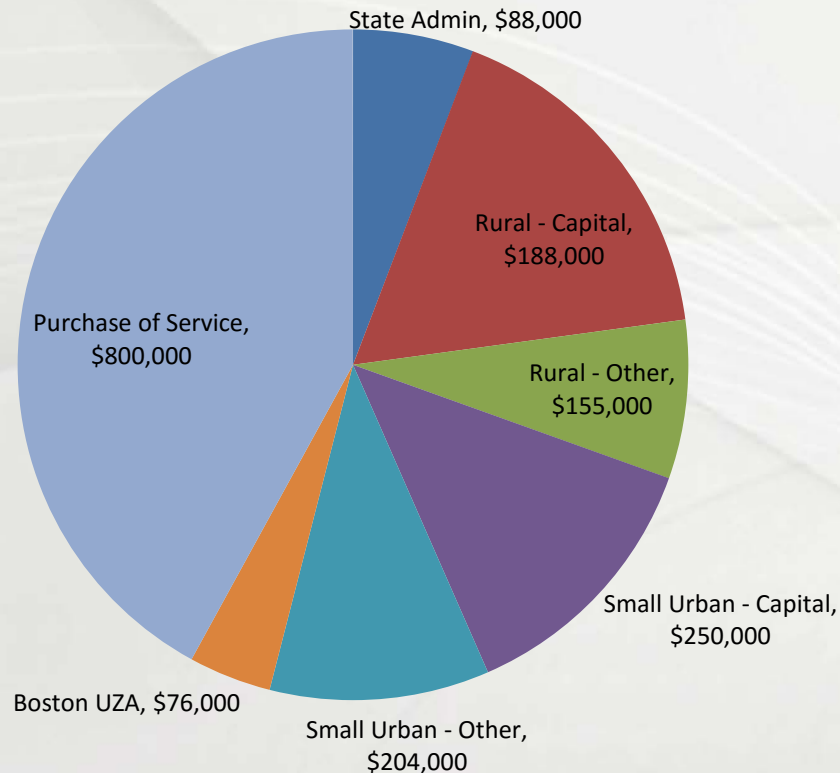
Eligible Capital Project Examples

- 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 & management 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 eligible activities

5310 Apportionment Breakdown



Note: Above figures represent approximate FFY16 amounts;
POS Funds are “flexed” from FHWA

Regional Coordinating Council (RCC) Formula-Funded Program

5310 RCC FORMULA FUNDS		Available FTA Funds – SFY2018
Region 1	Grafton-Coos	\$ 70,893
Region 2	Carroll County	\$ 32,385
Region 3	Mid-State	\$ 110,685
Region 4	Sullivan County	\$ 26,086
Region 5	Southwest/Monadnock Region	\$ 51,631
Region 6		
Region 7	Nashua Region	\$ 15,443
Region 8	Southern NH (Manchester) Region	\$ 94,241
Region 9	Salem-Derry Region	\$ 30,112
Region 10	ACT (Seacoast) Region	\$ 132,808
Total		\$ 564,284

Note: Only SFY2018 projects are being solicited at this time

Purchase of Service (POS)

	SFY 2018	SFY 2019	TOTAL SFY18/19
	(7/1/17-6/30/18)	(7/1/18-6/30/19)	(7/1/17-6/30/19)
Region 1	\$ 107,712	\$ 107,712	\$ 215,424
Region 2	\$ 60,123	\$ 60,123	\$ 120,246
Region 3	\$ 156,847	\$ 156,847	\$ 313,694
Region 4	\$ 52,256	\$ 52,256	\$ 104,513
Region 5/6	\$ 103,924	\$ 103,924	\$ 207,848
Region 7	\$ 129,348	\$ 129,348	\$ 258,697
Region 8	\$ 133,995	\$ 133,995	\$ 267,991
Region 9	\$ 88,760	\$ 88,760	\$ 177,521
Region 10	\$ 177,081	\$ 177,081	\$ 354,163
Est Total	\$ 1,010,048	\$ 1,010,048	\$ 2,020,095

Capital Program (Vehicles & equipment)

- Approximately \$500,000
- Solicitation planned for April 2017
- Providers apply directly to NHDOT; NHDOT purchases vehicles and enters into vehicle use agreement
 - RCC support required

Match Required

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

*includes purchase of service

- *Federal Exceptions (permitted at discretion of State DOT):*
 - *ADA-accessible/CAA vehicles: 85% Federal*
 - *ADA-required equip/CAA equip & facilities: 90% Federal*

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

5310 POS Highlights (cont'd)

- 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 management (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) at fully allocated cost (profit is not eligible)

5310 RCC Formula-Funded Program Highlights

- Statewide Annual Budget: Approximately \$560K FTA Section 5310 formula funds (rural, small urban, Boston UZA)
- Funds distributed from NHDOT to RCCs through census-based formula distribution
- All unrequested or unexpended funds after the contract 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

5310 RCC Formula Fund Highlights (cont'd)

- 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: ~\$500K FTA Section 5310 formula funds (combination of rural, small urban, Boston UZA)
- NHDOT will conduct a statewide solicitation (Timeframe: April 2017)
- 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

5310 Statewide Capital Fund Highlights (cont'd)

- 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 project examples:
 - Accessible vehicles
 - Donation boxes (fare boxes)
 - Computers, hardware & software 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 RCC Formula/POS Procedures

NHDOT's Transit Grants are a Reimbursement Program

- Reimbursement procedures:
 - POS: Submit request monthly/quarterly using template provided by NHDOT
 - RCC Formula: Submit monthly/quarterly on agency letterhead referencing the grant, state project number and the time period covered
 - Submit electronically
 - Operating reimbursement requests must utilize "Attachment A"
 - Request/Invoice needs to be signed by an agency official

Basic Procedures (cont'd)

- Reimbursement procedures (cont'd):
 - Break out allowable Administration, Capital and Operating expenses following the Federal Chart of Accounts
 - Document the specific sources of local revenue
 - RCC Formula: 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.
 - Feedback is always welcome regarding the reimbursement forms and processes.

Grant Application Milestones: RCC

APPLICATIONS RELEASED	1/9/2017
APPLICATIONS DUE	3/3/2017
APPLICATION DECISIONS	3/13/2017
CONTRACT TO AGENCY	3/27/2017
CONTRACT RETURNED TO DOT	4/10/2017
GOVERNOR & COUNCIL MEETING	6/7/2017
FUNDS AVAILABLE	7/1/2017

All estimates; actual dates may vary

Grant Application Milestones: POS

APPLICATIONS RELEASED	12/29/16
APPLICATIONS DUE	2/25/2017
APPLICATION DECISIONS	3/13/2017
CONTRACT TO AGENCY	3/27/2017
CONTRACT RETURNED TO DOT	4/10/2017
GOVERNOR & COUNCIL MEETING	6/7/2017
FUNDS AVAILABLE	7/1/2017

All estimates; actual dates may vary

Grant Application Process: Operating



**FTA SECTION 5310 RCC-ALLOCATED FORMULA GRANT APPLICATION
SFY 2018 (JULY 1, 2017 – JUNE 30, 2018)**

RCC Region #: _____ RCC Region Name: _____

Federal Funds Requested: _____

Federal Funds Awarded: _____ (completed by NHDOT)

1. AGENCY INFORMATION

a. Legal Name of Applicant Agency

- Call/email if you have any questions!

“Attachment A” Operating Budget

	A	B	C	D	E	F
1	NHDOT -- Attachment A -- Operating Assistance Budget					
2	SFY 2018 (July 1, 2017 - June 30, 2018)					Rev: 1/9/17
3						
4	AGENCY:					
5						
6	FTA PROGRAM/PROJECT DETAILS:			5310 Formula -- RCC #		
7						
8	A. ADMINISTRATION					
9						
10			Total Funds			
11	Obj. Code	Description	Actual	Budgeted	Projected	REMARKS
12			SFY 2016	SFY 2017	SFY 2018	
13	501	Labor				
14	501.04	Administrative Salaries & Wages				
15	501.99	Other Salaries & Wages				
16	502	Fringe Benefits				
17	502.01	FICA				
18	502.02	Pension Plans				
19	502.03	Hospital, Medical, and Surgical Plans				
20	502.04	Dental Plans				
21	502.05	Life Insurance Plans				
22	502.06	Short-Term Disability Insurance Plans				
23	502.07	Unemployment Insurance				
24	502.08	Worker's Compensation				
25	502.09	Sick Leave				
26	502.10	Holiday				
27	502.11	Vacation				
28	502.12	Other Paid Absence				
29	502.13	Other Paid Absence				

Grant Application Process: Capital

Will be Excel spreadsheet similar to 2016/17

NHDOT SFY2018-2019 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**

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Tip: use <CTRL> + <F> to search for a specific word within the document (e.g., “in-kind”)

NOTE: If this document does not provide an answer to your question, please consult FTA [Circular C9070.1G](#) for additional information related to the 5310 program.

Want more Info?

Contact:

- Bureau of Rail & Transit

603-271-2468

www.nh.gov/dot/org/aerorailtransit/railandtransit/index.htm

- Federal Transit Administration (FTA)
Circulars

www.fta.dot.gov/laws/leg_reg_circulars_guidance.html

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