

# NHDOT Transit Grants Workshop:

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

January 7, 2019



# Introductions

- Bureau of Rail & Transit Staff
  - Shelley Winters — Bureau Administrator
  - Fred Butler — Public Transportation Administrator
  - Paula Bennett — Transit Grants Coordinator
  - Mike Pouliot — Transportation Specialist
  - Carol Spottiswood — Transportation Coordinator
  - Danielle Goodman – Transit Compliance Specialist
  - And introducing Patrick Herlihy, Director of DART

# Agenda

- Overview of Federal Transit Administration (FTA) 5310 Regional Coordinating Council (RCC) Program
  - Formerly 5310 Purchase of Service (POS) and RCC Formula programs
- NHDOT Grant Application Process
- Compliance
- Q&A
- 5310 Capital Program questions

# FTA Section 5310 Purpose

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



# What is a Senior?

- Fed definition is 65+
- Each region may include lesser ages, such as 60+



# Section 5310 Eligible Subrecipients

- 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 Subrecipients: 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
  - Uber, Lyft, other TNC? Contact NHDOT

# Section 5310 Eligible Projects



- Mobility Management
  - Lead Agency or Contractor
- Operating
  - Lead Agency
  - Contracted/Purchased Services
- Capital



# Section 5310 Eligible Projects (cont'd)

- “Traditional” Capital Projects
  - 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.
  - Must be updated every 5 years!

# 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 MM activities; also on NHDOT website

# Federal Participation

- All eligible at 80% Federal
  - NHDOT is in effect purchasing service from each region
- ADA vehicle exception
  - ADA vehicles may be purchased at 85% Federal w/ 7.5% State match

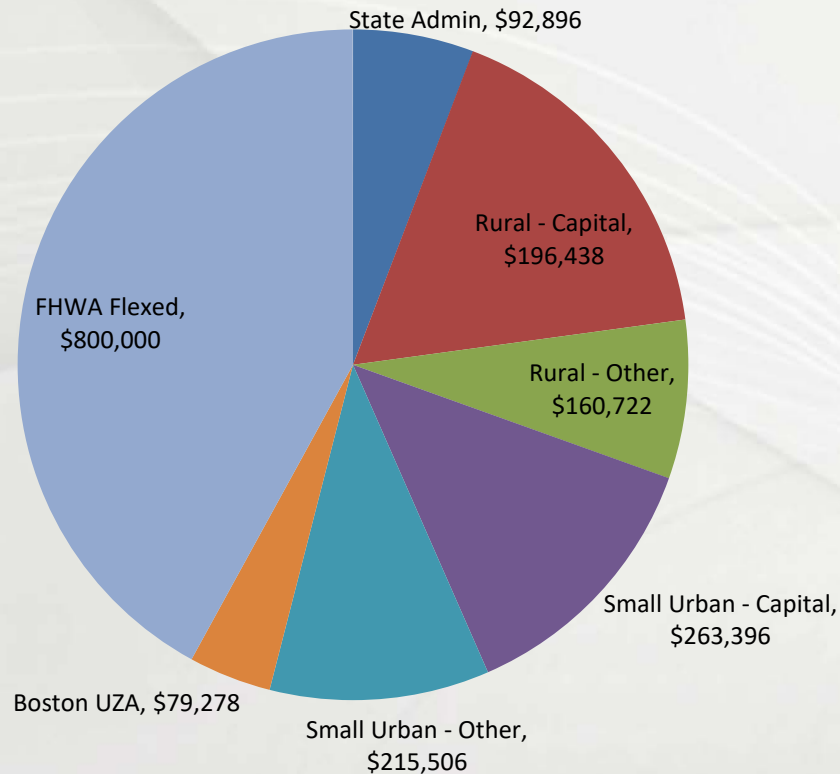


# A Note on Operating Expenses

- Can be per trip/per hour/per mile or combination
  - E.g., loading fee plus per mile
- Each RCC should vet the rates to ensure they reflect fully allocated costs
  - Profit is not eligible



# 5310 Apportionment Breakdown



Note: Above figures represent approximate FFY19 amounts plus funds “flexed” from FHWA

# SFY2020 5310 Regional Coordinating Council (RCC) Program

5310 RCC PROGRAM FUNDS		Available FTA Funds – SFY2020
Region 1	Grafton-Coos	\$187,535
Region 2	Carroll County	\$97,134
Region 3	Mid-State	\$261,746
Region 4	Sullivan County	\$82,260
Region 5	Southwest/Monadnock Region	\$163,333
Region 7	Nashua Region	\$152,031
Region 8	Southern NH (Manchester) Region	\$239,648
Region 9	Salem-Derry Region	\$124,816
Region 10	ACT (Seacoast) Region	\$325,384
<b>Total</b>		<b>\$1,633,886</b>



# 5310 RCC Program Highlights

- Funds distributed from NHDOT to RCCs
  - 5% increase for all regions from SFY2019 contracts
- Contracts will be for one year only
  - July 1, 2019-June 30, 2020
- Each RCC solicits, reviews, ranks & selects its projects
- Each RCC votes for/approves a single lead agency within the region
- Each lead agency submits a regional 5310 RCC Program application to NHDOT
- NHDOT reviews each regional application for 5310 program eligibility

# 5310 RCC Program Highlights (cont'd)

- NHDOT contracts with 1 Lead Agency for entirety of region's funds
  - Lead Agency will subcontract with (other) providers
- Matching funds
  - Cash – preferred as it allows federal funds to go further
  - In-kind
    - Volunteer driver time valued at max \$15/hour, must be tracked in accordance with Federal rules
      - Driver time can only be used to match operating expenses, not mobility management expenses
      - Regions can “pool” their in-kind match if they choose to (see FAQ)

# Pooled Match Example

					POOLED IN-KIND MATCH			
CASH EXPENSE TOTAL		IN-KIND MATCH VALUE			TOTAL PROJECT	FUNDS	LOCAL CASH	
Trips	Total Cost	Hours	Rate	Value	COSTS	REQUESTED	MATCH NEEDED	
Provider 1	143	\$2,843.75		\$0.00	\$0.00	\$2,843.75	\$2,275.00	\$568.75
Provider 2	113	\$2,341.35	0	\$15.00	\$0.00	\$2,341.35	\$1,873.08	\$468.27
Provider 3	374	\$3,252.11	439.5	\$15.00	\$6,592.50	\$9,844.61	\$3,252.11	\$0.00
Provider 4	2	\$66.00		\$0.00	\$0.00	\$66.00	\$52.80	\$13.20
Provider 5	0	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Provider 6	0	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	<b>632</b>	\$8,503.21	439.5		\$6,592.50	\$15,095.71	<b>\$8,503.21</b>	<b>\$0.00</b>

- Volunteer hours enough for all RCC agencies!
- Individual agencies would otherwise need to supply match
- Must be approved by NHDOT in advance

# RCC Reimbursement Procedures

## NHDOT's Transit Grants are a Reimbursement Program

- Reimbursement procedures:
  - Submit request monthly/quarterly using templates provided by NHDOT
    - “Operating” template for operating & contracted services (POS)
    - “Attachment A” needed for MM
      - One for each agency that provides MM services
      - National Transit Database (NTD) and Disadvantaged Business Enterprise (DBE) purposes
  - Document the specific sources of local revenue
  - NHDOT will customize each region's invoice templates once projects are approved

# Basic Procedures (cont'd)

- Reimbursement procedures (cont'd):
  - Submit electronically
  - Request/Invoice needs to be signed by an agency official
  - Retain adequate reimbursement documentation - payroll detail register, monthly invoices, receipts or invoices (i.e., monthly utility bills, invoices for office supplies, receipt for fuel, etc.)
    - Must submit to NHDOT/FTA upon request
  - 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

<b>APPLICATIONS RELEASED</b>	<b>12/24/2018</b>
<b>APPLICATIONS DUE</b>	<b>02/27/2019</b>
<b>APPLICATION DECISIONS</b>	<b>3/15/2019</b>
<b>CONTRACT TO AGENCY</b>	<b>3/25/2019</b>
<b>CONTRACT RETURNED TO DOT</b>	<b>4/8/2019</b>
<b>GOVERNOR &amp; COUNCIL MEETING</b>	<b>6/5/2019</b>
<b>FUNDS AVAILABLE</b>	<b>7/1/2019</b>

*All estimates; actual dates may vary*

# Grant Application Process



SFY 2020

Revised 12/28/2018

## FTA SECTION 5310 (COMBINED) RCC GRANT APPLICATION SFY 2020 (JULY 1, 2019 – JUNE 30, 2020)

REGIONAL COORDINATING COUNCIL INFORMATION		
RCC Region #: Choose an item.		
RCC Region Name: Choose an item.		
Federal Funds Requested: Click here to enter text.		
Federal Funds Awarded: Click here to enter text.		
SECTION I - AGENCY INFORMATION		
I. CONTACT INFORMATION		
Legal Name of Applicant Agency: Click here to enter text		
Address: Click here to enter text.		
Click here to enter text.		
Click here to enter text.		
Name: Click here to enter text.		Title: Click here to enter text
Phone #: Click here to enter text.	Email: Click here to enter text.	Agency Type: Choose an item.

- Call/email if you have any questions
- And...you will have questions!

# APPLICATION DOCUMENTATION

- ❖ **RCC Meeting Minutes** – *(showing lead agency designation)*
- ❖ **RCC Meeting Minutes** – *(showing project/budget approval)*
- ❖ **RCC Program Operating Invoice** – *(formerly the POS template)*
- ❖ **Budget/Attachment A-** *(Completed for each agency providing MM services)*
- ❖ **Matching Funds Source Verification**
- ❖ **Public Notice of Grant Application**
- ❖ **Coordinated Public Transit-Human Services Transportation Plan**
- ❖ **Title VI Plan**
- ❖ **Indirect Cost Allocation Plan** *(if applicable)*
- ❖ **Marketing Materials**
- ❖ **Most Recent Financial Audit** *(URL if online)*
- ❖ **List of Board of Directors**
- ❖ **List of Key Personnel & Salaries**
- ❖ **Resumes of Project Staff**
- ❖ **2019 Certificate of Good Standing** *(dated prior to April 1<sup>st</sup> of each year)*
- ❖ **Certificate of Insurance**
- ❖ **Workers' Compensation**
- ❖ **501 (c) – Proof of Non-profit status**



# CONTRACT DOCUMENTATION

- ❖ **P-37** – *(signed and notarized)*
- ❖ **Exhibit A – scope of services** – *(dated and initialed)*
- ❖ **Exhibit B – payment terms** – *(dated and initialed)*
- ❖ **Exhibit C – special provisions** – *(dated and initialed)*
- ❖ **Certificate of Vote/Authority** *(dated & signed the same day as the P-37)*
- ❖ **Federal Clauses**

# “Attachment A” Budget

NHDOT -- Attachment A -- 5310 RCC Budget Details					Rev: 01/03/2019
SFY 2020 (July 1, 2019 - June 30, 2020)					
<b>AGENCY:</b>					
<b>FTA PROGRAM/PROJECT DETAILS:</b> 5310 RCC - Region ____					
<b>A. ADMINISTRATION</b>					
Obj. Code	Description	Total Funds			REMARKS
		Actual SFY 2018	Budgeted SFY 2019	Projected SFY 2020	
<b>501</b>	<b>Labor</b>				
501.04	Administrative Salaries & Wages				
501.99	Other Salaries & Wages				
<b>502</b>	<b>Fringe Benefits</b>				
502.01	FICA				
502.02	Pension Plans				
502.03	Hospital, Medical, and Surgical Plans				
502.04	Dental Plans				
502.05	Life Insurance Plans				

- Will be basis for monthly reimbursement requests
- “Mobility Management” line item should only be used for contracted MM services

# Monthly/Quarterly Reimbursement

- Lead agency submits request to NHDOT on behalf of region's providers
- "Attachment A" budgets needed for MM for each agency
- Single 5310 RCC Operating invoice (former POS) required for contracted services
- Additional backup only necessary upon NHDOT request
  - Periodic audits, anomalies, etc.

# FTA Compliance

- RCC compliance is lead agency's responsibility
- NHDOT has a new Transit Compliance Specialist that will be working with each lead agency to ensure FTA compliance
- While NHDOT will provide ongoing assistance, the lead agency must provide oversight of all sub-recipients within the region.
- We realize this will be a new process for us all!
- Patience is requested and will in turn be granted.



# Compliance Items

- Reporting (as applicable)
  - DOT Quarterly Vehicle Monitoring
    - Ridership, vehicle hours, vehicle miles, operating costs
  - Annual DOT inventory report
- FTA Master Agreement/Certification & Assurances
- Financial Management
- 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
- School Bus Rule

# Training

- Driver training available starting in spring
  - Emergency Evac/PAT/DD
- RTAP scholarship funding is available for all subrecipients & contractors
- \$500 per agency at 100%;
- Requires pre-approval from NHDOT or its RTAP contractor

# Q&A

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

### **Contents**

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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.**

- We'll be sure to update this...

# 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)

**Please complete the Workshop Feedback  
Form**



# 5310 CAPITAL QUESTIONS?

# 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.
- 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%

# 5310 Statewide Capital/Vehicle Program Highlights

- NHDOT conducted a statewide solicitation
- Due January 17<sup>th</sup>!
- 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 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
  - *ADA-required equip/CAA equip & facilities: 90% Federal*



# 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**

# Commitment to Coordination

- Applicants must be willing to coordinate service
- Regional Coordinating Council (RCC) support is documentation of your “Commitment to Coordination”
- Example: While vehicle may be used exclusively by the receiving agency to start, the Region could decide the vehicle should be deployed to supplement services elsewhere in the future on a contracted basis should the vehicle not be utilized full-time for 5310 program purposes

# Grant Application Process: Capital

Excel spreadsheet similar to 2018

## NHDOT SFY2019 FTA Section 5310 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 for the same purpose. Other less expensive equipment, such as computer equipment, may be in larger quantities if used on same project/route as well.

ADA Accessible vehicles = 85% FTA funds w/ 7.5% State match; all other equipment is 80% FTA funds w/ no State match

Prioritized Requests	Item	Description (Seating capacity, model, etc)	Replacement or Expansion	Quantity	Cost Per Unit**	80% or 85%?	Fed Request (80% or 85%)	State Match 7.5% of vehicles	Local Match (7.5% or 20%)	Source of Match*
ex.	Small Cutaway Bus (8, 12, or 16 pax)	16X2 Gasoline	Replacement	2	\$73,000	85%	\$ 124,100	\$ 10,950	\$ 10,950	\$10,000 Agency & \$950 town "x" funds
1							\$ -	\$ -	\$ -	
2							\$ -	\$ -	\$ -	
3							\$ -	\$ -	\$ -	