

# FTA Section 5339

## Bus and Bus Facility Program



### Program Guidance

### State Fiscal Year (SFY) 2021

(FFY20 apportionment + prior year carryover funds)



NH Department of Transportation

Bureau of Rail & Transit

8/27/2020

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# I. FTA Section 5339 Application Deadline

October 12, 2020

# II. Submittal/Contact Information

## Submittal Information:

Submit electronic copies of all required plans and documents with application via email to Fred Butler, Public Transportation Administrator, at: [frederick.butler@dot.nh.gov](mailto:frederick.butler@dot.nh.gov)

## Contact Information:

Fred Butler  
Public Transportation Administrator, Bureau of Rail & Transit  
NH Department of Transportation  
7 Hazen Dr.  
Concord, NH 03302  
Phone: 603-271-2565

## NHDOT's FTA Grant Information Website:

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

### III. Introduction

The Federal Transit Administration (FTA) Section 5339 (Bus and Bus Facilities Program) is a formula program that provides funding for capital projects to replace, rehabilitate, and purchase buses and bus-related equipment, and to construct bus-related facilities. This program was established under Moving Ahead for Progress in the 21st Century (MAP-21), replacing the previous Section 5309 discretionary program established under the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). Please refer to FTA [Circular C5100.1](#) for additional program guidance.

### IV. Eligible Subrecipients

Eligible subrecipients include public transit providers (either public or private non-profit), including those providing services open to a segment of the general public, as defined by age, disability, or low income.

### V. Eligible Projects

Eligible capital projects include projects to replace, rehabilitate, and purchase buses and related equipment and bus-related facilities. The following is a list of typical projects that are eligible for Section 5339 funding, with a full list available in Section III of Circular [C5100.1](#):

- Acquisition of buses for fleet and service expansion
- Acquisition of replacement vehicles
- Bus overhauls and bus rebuilds (for bus rebuild and rehabilitation projects, only over-the-road, large buses are eligible)
- Passenger amenities such as passenger shelters, bus stop signs, and schedule racks/holders
- Facilities including bus maintenance, administrative, and transportation centers
- Bicycle facilities, bicycle racks (on buses & at passenger shelters/stop locations)
- Accessory and miscellaneous equipment such as:
  - mobile radio units
  - supervisory vehicles
  - fare boxes
  - computers
  - shop and garage equipment
- Introduction of new technology, such as Intelligent Transportation Systems (ITS), e.g., real-time info, advanced fare payment methods, passenger counters
- Environmental compliance engineering and design

Please contact [Fred Butler](#) prior to submitting an application if a desired capital project is not on the list.

## VI. Funding

Estimated Available FTA Section 5339 Funding for SFY 2021 Project Solicitation			
	FFY2020	Carryover	Total
Statewide*	\$3,500,000	\$4,790,101	\$8,290,101
Small Urban areas	\$527,709	\$0	\$527,709
Boston Urban area	\$198,849	\$239,719	\$438,568
<b>Total</b>	<b>\$4,226,558</b>	<b>\$5,029,820</b>	<b>\$9,256,378</b>

\*NOTE: Statewide funds are primarily for rural areas not covered by Small & Large Urban area apportionments & therefore NHDOT reserves the right to prioritize rural projects with these funds and/or exclusively use & reserve these funds for rural projects. NHDOT may use discretion in such matters where rural and urban projects are competing for statewide funding.

Per FTA requirements, Urbanized Area funds must be used in the respective areas. Funding availability is approximate and is subject to change. NHDOT may decide to withhold a portion of the funding in order to ensure projected demand in future years can be accommodated.

**THE MOST SIGNIFICANT CHANGE** for this SFY2021 project solicitation is the uncertainty with regard to the availability of State Capital Matching funds due to a statewide “pause” related to the COVID-19 pandemic. As such, **APPLICANTS MUST ASSUME THEY WILL NEED TO PROVIDE THE ENTIRE NON-FEDERAL MATCH** per this table:

PROJECT FUNDING/MATCHING REQUIREMENTS			
Project Type	Max Federal %	State Capital Match	Local (Applicant) Match
ADA-accessible vehicles**	85%	0%	15%
Bicycle facilities	90%	0%	10%
Capital (non-vehicle) equipment requested to NHDOT in FY22-23 biennium budget	80%	0%	20%
Other equipment	80%	0%	20%

**\*\*NOTE:** At its discretion, NHDOT may fund ADA-accessible vehicles at less than 85% Federal in order to maximize the number of projects able to be funded. The most likely result would be funding at 80% Fed/20% local.

There is the potential that agencies will submit applications based on this scenario of no available state capital match, only to have a solution present itself (via the “unpausing” of state match or some other equivalent funding source) prior to project implementation. While that is remotely plausible, and would undoubtedly be most welcomed, it is far from a safe assumption and thus must not be factored into funding calculations.

## VII. Project Selection

Projects will be evaluated by no less than three evaluators as selected by NHDOT’s Public Transportation Administrator. Emphasis will be placed on replacement vs. expansion in accordance with NHDOT’s State Management Plan. Further, State of Good Repair (SGR), as calculated by NHDOT’s Transit Asset Management (TAM) plan, or the appropriate TAM plan if not included in NHDOT’s plan, will be factored into final project selection for replacement vehicles & equipment in the TAM. SGR is based on an asset’s age, mileage (for vehicles), and condition. Applicants should contact Fred Butler for further information regarding SGRs, as final funding decisions may be impacted by SGRs. Applicants should ensure that their applications adequately address each criterion to ensure each project is given its due consideration. Criteria are as follows:

*	The applicant & proposed service/projects are eligible for FTA Section 5339 funding. (Disqualified if no.)	Y/N
*	Seniors and individuals with disabilities have full access to the applicant's services. (Disqualified if no.)	Y/N
1	The applicant has the fiscal and technical capacity and adequate budget to operate service and conduct ongoing maintenance associated with this capital request.	20%
2	The applicant complies with relevant Federal and state regulations, and has a history of compliance with regulations and reporting requirements. New applicants must demonstrate sufficient resources for compliance.	20%
3	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.	20%
4	The applicant conveys how this addresses a critical public transportation need. Applicants need to adequately illustrate how the project will benefit the agency’s transportation program/services, including how it is necessary for continued and/or improved operations. (As replacement vehicles/equipment are prioritized, detailed information is especially important for expansion projects.)	25%

5	The applicant demonstrates involvement in and support for the project, financial and otherwise, on the part of citizens and local government (e.g., letters of support, willing to provide local match above minimum required, etc.).	<b>15%</b>
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**100%**

Only projects that receive an average score of 70% or higher will be deemed eligible for grant award. NHDOT will then award the funds according to average score, from highest to lowest, until funding is exhausted or until all projects deemed eligible (70% or higher) are funded. As stated above, States of Good Repair (SGR) per NHDOT’s TAM plan will also be considered for existing assets. For direct recipients (5307 agencies) or other new applicants with their own TAM plans, NHDOT will refer to those plans.

NHDOT recognizes that the scoring criteria may not sufficiently enable NHDOT to discern between the merits of every potential project, or to account for mitigating circumstances such as the need to one higher-scoring project’s award in order to accommodate a critical component of a lower-scoring project. As such, NHDOT reserves the right to use its discretion when making final funding decisions provided that any deviation from the score-based outcome is documented.

As noted in the Funding section, Statewide funds are primarily for rural areas not covered by Small & Large Urban area apportionments & therefore NHDOT reserves the right to prioritize rural projects with these funds and/or exclusively use & reserve these funds for rural projects. NHDOT may use discretion in such matters where rural and urban projects are competing for statewide funding.

## VIII. Requirements

**Direct FTA Recipients:** For direct recipients of FTA funding, NHDOT will submit a request to FTA that the funds be transferred in order for the awarded projects to be directly administered by the successful applicant. In such cases, the direct recipients will be solely responsible for adherence to all FTA requirements.

**Others:** Once approved by FTA, successful applicants will be required to enter into a contractual agreement with NHDOT. (Existing FTA Section 5311 subrecipients generally have the contractual authority to operate vehicles inherent within their existing contracts.) The agreement remains in effect until the project’s useful life is met. Applicants are responsible for the proper use, operating costs, and maintenance of all project equipment (notwithstanding other sources of grant funding). Applicants must demonstrate to NHDOT that they meet all federal, state, and local requirements prior to contract approval.

Given the extensive nature of the Federal requirements, new applicants are strongly recommended to contact the Department prior to submitting an application to ensure that they have the technical capacity to manage FTA-funded projects. For a project to be successful, it is important to adequately budget for time and resources necessary to maintain Federal compliance. Compliance issues include, but are not limited to, the following:

## 1. Required Reporting/Documents Submission

- a. Quarterly milestone progress reports
- b. Disadvantaged Business Enterprise (DBE) reports twice per year (if applicable)
- c. EEO plan (if applicable)
- d. Title VI plan
- e. FTA Annual Certifications and Assurances
- f. Maintenance plan
- g. Force account plan (if applicable)
- h. Quarterly vehicle monitoring/performance reports
- i. Annual National Transit Database (NTD) reports

## 2. Procurement

While NHDOT procures most vehicles directly, **procurement review and approval by NHDOT must occur prior to all capital purchases**. All procurements utilizing Federal funds, including local procurement of supplies, equipment, construction, and services, must be conducted in accordance with [2 CFR 200](#) "Uniform Guidance" and FTA Circular [4220.1F](#), "Third-Party Contracting Guidance" and Best Practices Procurement Manual, or as amended.

## 3. Disadvantage Business Enterprise

Subrecipients must comply with [49 CFR Part 26](#) to ensure nondiscrimination in the award and administration of DOT-assisted contracts on the basis of race, color, and national origin. In addition, subrecipients must create a level playing field on which disadvantage business enterprise (DBEs) can compete fairly for DOT-assisted contracts.

## 4. Buy America

Procurements of over \$150,000 must comply with Buy America provisions set forth in [49 CFR 661](#) and [49 CFR 663](#).

## 5. Lobbying



Subrecipients must certify compliance with the Federal Restrictions on Lobbying when signing their Agreement with NHDOT. This generally applies to grants in excess of \$100,000.

## 6. Debarment and Suspension

Subrecipients must certify compliance with the federal debarment and suspension provisions by signing a separate certification when executing their Agreement with NHDOT. In addition, language contained within the Agreement requires compliance with the debarment and suspension provisions.

## 7. Vehicle Certification

Subrecipients are the registered owner of vehicles purchased with Section 5339 funds. However, NHDOT is the lien holder and retains the Certificate of Title until the property is disposed. With very limited exceptions permitted under Federal guidelines, disposition cannot occur until the property meets the useful life standard and the federal interest requirement.

## 8. Useful Life Standards

Subrecipients are required to maintain all Section 5339 funded equipment per manufacturers' suggested requirements until the useful life standard has been met. NHDOT's current useful life for equipment, as defined in its [State Management Plan](#), is as follows:

Vehicle or Equipment	Useful Life
Minivan, Van, Sedan	4 years / 100,000 miles
Small bus, minibus, small body on chassis (cutaways)	6 years / 150,000 miles
Transit bus less than 30 feet, medium bus, trolley	7 years / 200,000 miles
Transit bus 30-34 feet	10 years / 350,000 miles
Transit bus 35 feet and over	12 years / 500,000 miles
Over-the-road coach	12 years / 600,000 miles
Bus shelter	15 years
Other	NHDOT will review per <a href="#">FTA Circular 5010.1E</a> and advise

## 9. ITS Architecture

Subrecipients who are applying for ITS projects must receive formal approval by NHDOT to ensure compliance with the State's long-range ITS architecture plan. Subrecipients should notify NHDOT in advance of project submission to ensure this is satisfactorily addressed.

#### **10. Request for Reimbursement**

All grant awards made under Section 5339 are to be paid on a reimbursement basis only for expenditures against a grant award for a specific project. Reimbursements are paid only after execution of the Agreement and completion of purchase and/service or delivery of equipment and consumption of materials as specified in the project. **Expenditures prior to contract execution are prohibited.** Reimbursement for allowable expenses in accordance with [2 CFR Part 200](#) is submitted by the subrecipient and reviewed by NHDOT to ensure compliance with project scope and the terms and conditions of the Standard Agreement. NHDOT reimburses expenditures directly to subrecipients per the Standard Agreement.

#### **11. Matching funds**

Vehicles or equipment that NHDOT will procure through State Purchasing will require that match be provided to the State upon issuance of a purchase order.

Note: If the requested project has not previously been put forth to NHDOT for inclusion in the biennium budget for State Capital Budget matching funds consideration, agencies must identify 20% local match (15% for ADA-accessible vehicles). If the project had been included in NHDOT's request, the State will provide up to 10% (7.5% for ADA-accessible vehicles) of the non-federal match, through State Capital Budget matching funds, for each project.

#### **12. Other**

In addition to all statutory requirements, recipients of vehicles intended for use at a State-owned park & ride or bus terminal will be required to adhere to provisions set forth by the Department of Transportation and/or the contracted terminal facility operator with regards to access to the premises and established traffic patterns within the premises. Refer to FTA [Circular C5100.1](#) for additional program guidance.

## **IX. Additional Information**

- Based on current apportionments, subsequent solicitations will be approximately \$3,500,000 per year for Statewide/Rural use, \$500,000 for Small Urbanized areas, and \$120,000 for Boston UZA, plus unencumbered carryover

balances. Additional competitive grants may be made available as authorized by the FAST Act as well.

- The FAST Act, however, expires 9/30/2020, after which a subsequent transportation bill may dramatically change the apportionments. The 2020 Census will eventually impact the apportionments as well.
- The next planned solicitation for projects will be no sooner than spring 2021.
- All USDOT-funded transportation projects must be listed in NH's Statewide Transportation Improvement Program ([STIP](#)). For State-administered programs/projects, the DOT includes a single statewide listing for each program, which fulfills this requirement. Therefore, for such projects, it is not necessary to request separate regional inclusion of proposed projects in the STIP.
  - \*\*However, Direct Recipients of FTA funding are responsible for ensuring their projects are included in the STIP. (In many cases, NHDOT's statewide "FTA5339" project within the STIP satisfies this requirement. Contact NHDOT if uncertain.)
- All successful applicants will be required to sign Federal Transit Administration (FTA) Certifications and Assurances prior to contract/vehicle award and annually to verify compliance with all Federal requirements.
- Vehicles are normally purchased by the State and titled to the receiving agency, with the State retaining a lien to protect the Federal and State interest. Agencies capable of adhering to FTA procurement guidelines may request permission to purchase vehicles themselves if it can be shown to be cost-effective to do so.
- This project will be administered according to the requirements of Title VI of the Civil Rights Act of 1964 and related statutes to ensure nondiscrimination.