

**FTA**

FEDERAL TRANSIT ADMINISTRATION

**ADOT**

ARIZONA DEPARTMENT OF TRANSPORTATION

# AzTA ADOT Transit Conference

November 2021

The logo for the Federal Transit Administration (FTA) features the letters 'FTA' in a large, bold, blue, sans-serif font.

FEDERAL TRANSIT ADMINISTRATION

The logo for the Arizona Department of Transportation (ADOT) features the letters 'ADOT' in a bold, white, sans-serif font with a stylized 'A'.

ARIZONA DEPARTMENT OF TRANSPORTATION

# How FTA & ADOT work together to provide funding to subrecipients

Presenters :

Arianna Valle, FTA Region 9; Jill Dusenberry, ADOT

# Agenda

- FTA background
- Section 5310 & 5311 – national perspective
- FTA Requirements (program & overall)
- FTA Funding Availability
- ADOT Subrecipient Application Process
- ADOT Application Review and Preliminary Award
- ADOT Application to FTA
- FTA Review/Funding – ADOT Application
- ADOT Final Award - Subrecipients

# Who is FTA?

- Federal Transit Administration
- Modal administration within U.S. Department of Transportation
- Congress establishes the funding for FTA programs through authorizing legislation that amends Chapter 53 of Title 49 of the U.S. Code.
- Surface Transportation bill
  - Bipartisan Infrastructure Deal
  - Authorizes FTA programs
  - Continuing resolution (12/03/2021)

# FTA Formula Programs

- FTA funding is divided into several programs which serve a variety of purposes.
- Each program has its own Statute (U.S. Code), Code of Federal Regulations and guidance (Circular).
- A Federal Register Notice is published annually that includes apportionments, allocations, and program information by funding type.



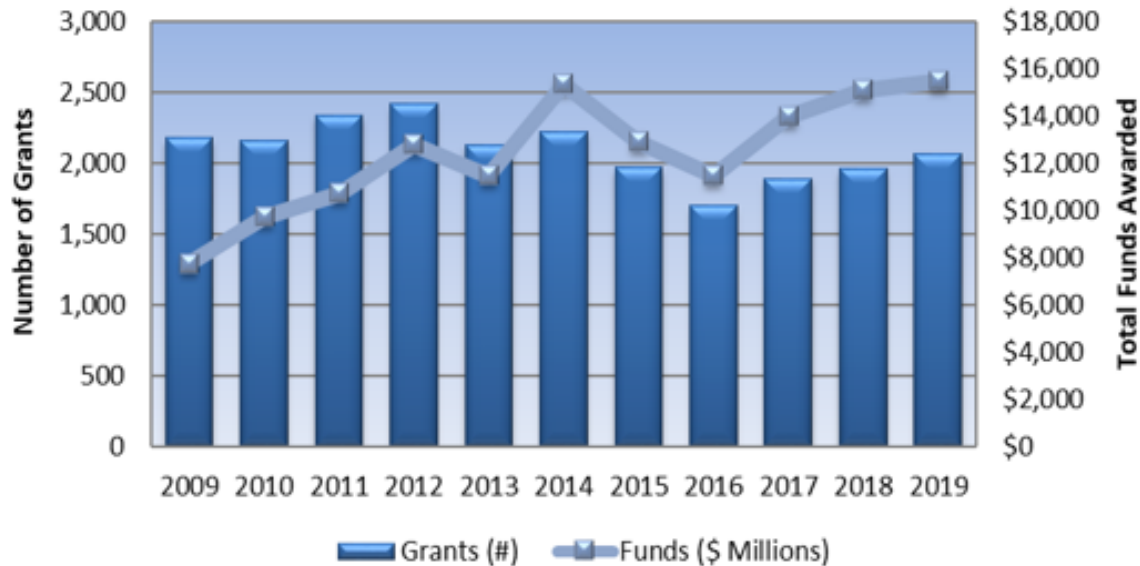
# Types of FTA Funds

- Formula Funds (5307, 5310, 5311, 5337, 5339, etc.)
- Discretionary/Competitive Funds (i.e. NOFOs)
- Special Funds (CARES, CRRSAA, etc.)
- FHWA Flexible Fund Transfers (STBG, CMAQ)
- Capital Investment Grant (CIG) Program
- US DOT Funds (TIFIA, Public-Private Partnerships, etc.)

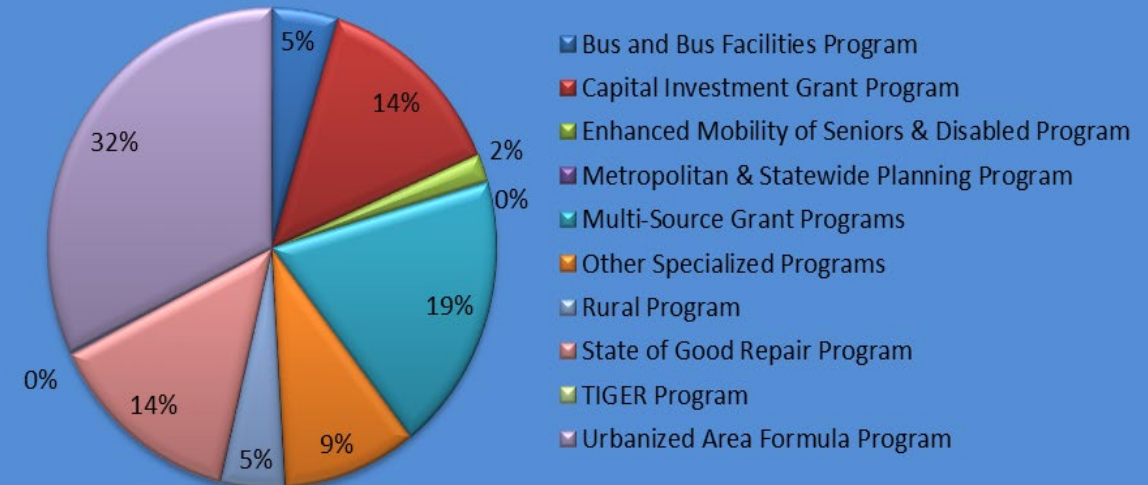
# FTA Funding Snapshot (2019)

[www.transit.dot.gov/funding/grants/summary-grants-data-and-transit-trends](http://www.transit.dot.gov/funding/grants/summary-grants-data-and-transit-trends)

**FTA Program 10-Year Funding Trend**  
(Fiscal Years 2009-2019)



**FY2019 Total Funds Awarded by Program**

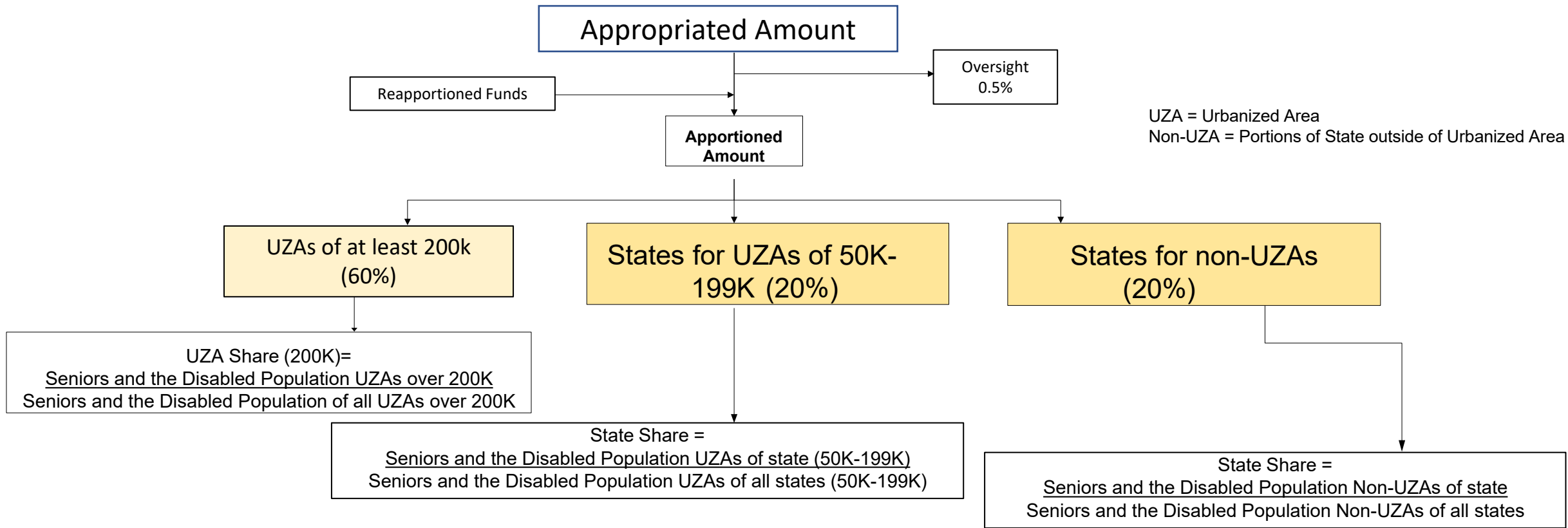


# 5310/5311 Statute History

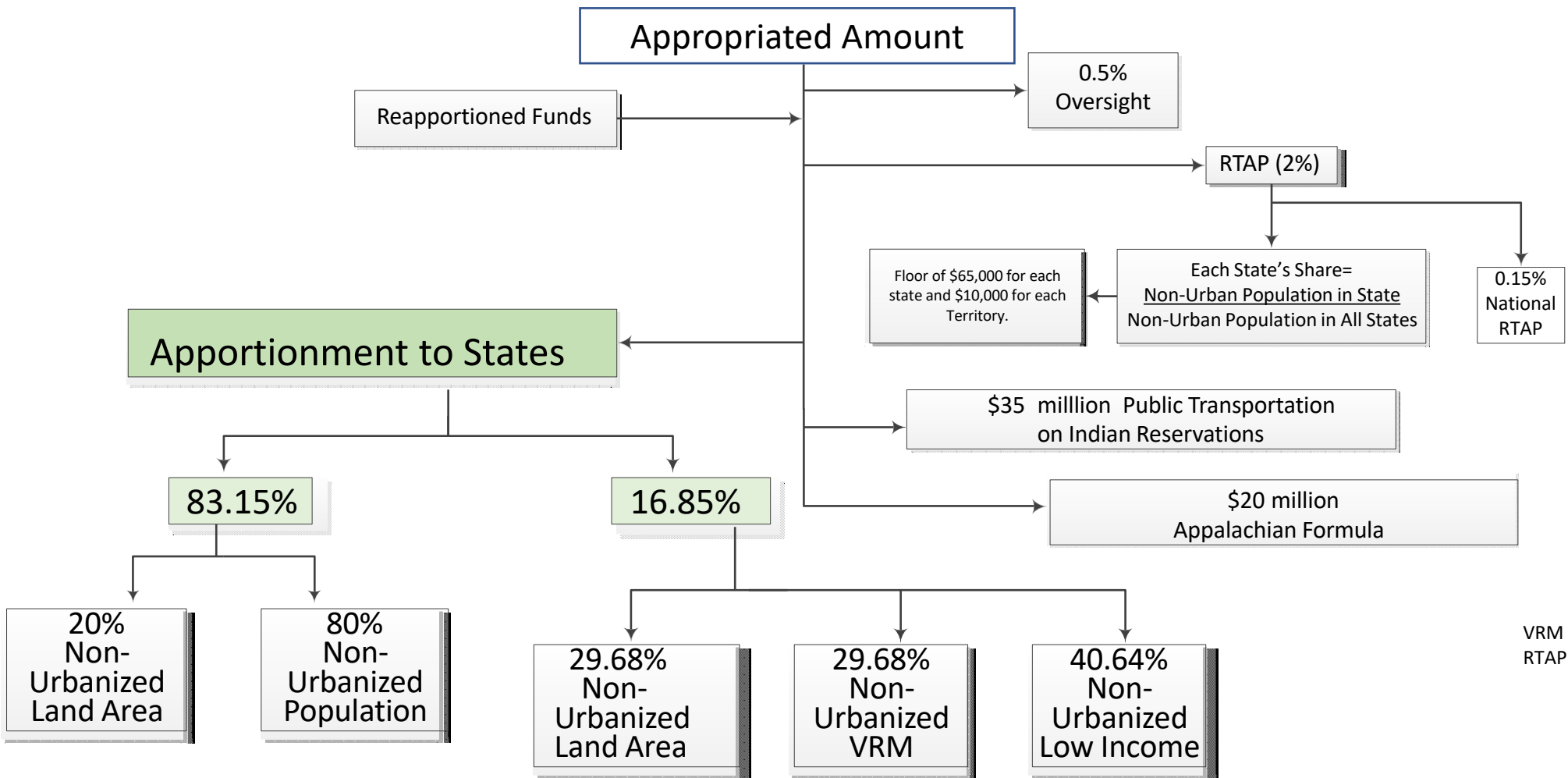
Section 5310 Formula	Section 5311 Rural Formula
<p>The Surface Transportation Assistance Act (STAA) of 1982 (1982) created the Section 5310 program and funds were allocated via a formula based on the population of older adults and people with disabilities established by FTA.</p>	<p>The STAA of 1982 (1982) created the Section 5311 program and funds were allocated to states on the basis of non-urbanized population in each state.</p>
<p>ISTEA (1991) codified this formula and it was unchanged in subsequent surface transportation authorizations up until MAP-21 (2012), when Congress changed the formula to a three-tiered formula.</p>	<p>Under MAP-21 (2012), Congress expanded the formula to include a second tier level and set aside for states in the Appalachian Region.</p>
<p>Under FAST Act (2015) Congress included a new area (Lake Tahoe Region). No other changes were made to this formula.</p>	<p>FAST Act (2015) did not include any changes to this formula.</p>
<p>To be updated with Infrastructure Investment and Jobs Act</p>	



# 5310 Formula Flowchart



# 5311 Formula Flowchart



VRM = Vehicle Revenue Miles  
 RTAP = Rural Transportation Assistance Program

# How are 5310/5311 Formula amounts determined?

Section 5310 Formula	Section 5311 Rural Formula		
Census (Older Adults and People with Disabilities)	Census (Rural)	NTD	Census (Low Income)

[www.transit.dot.gov/funding/apportionments/formula-apportionments-data](http://www.transit.dot.gov/funding/apportionments/formula-apportionments-data)

# Specific Program Requirements - 5310

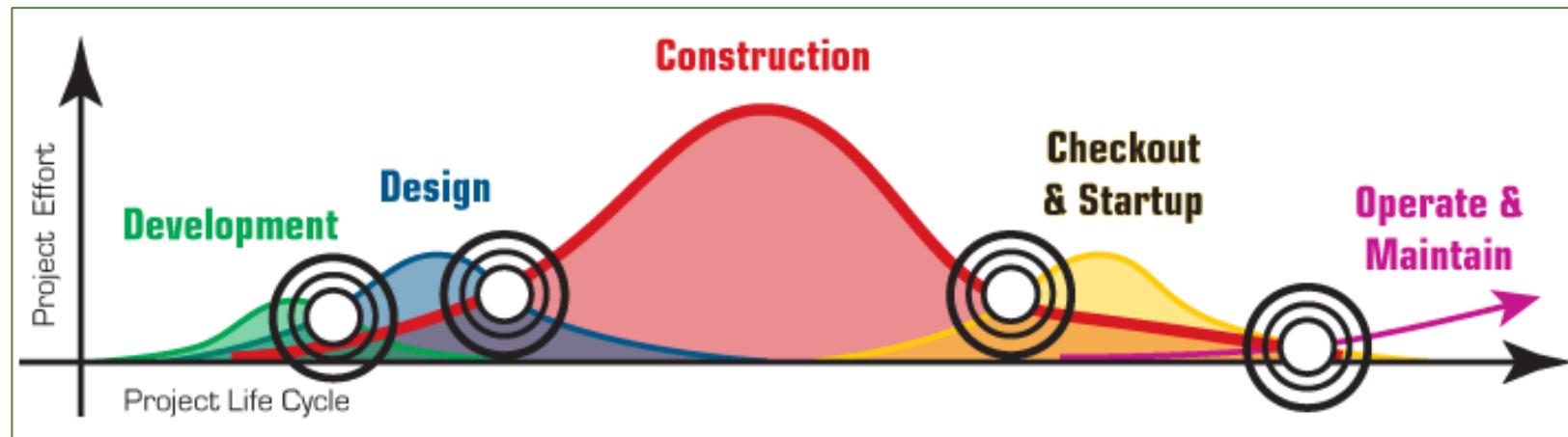
- Goal
  - This program provides funding to states for the purpose of meeting transportation needs of seniors and persons with disabilities.
- Eligible Activities
  - At least 55 percent of program funds must be used on capital or “traditional” 5310 projects
- Human services transportation coordination plan
- Availability
  - Funds are available to the states during the fiscal year of apportionment plus two additional years (total of three years).

# Specific Program Requirements - 5311

- Goal
  - This program provides capital, planning, and operating assistance to states to support public transportation in rural areas with populations less than 50,000.
- InterCity Bus Program
  - Each state must spend no less than 15% of its annual apportionment for the development and support of intercity bus transportation.
  - Unless it can certify, after consultation with intercity bus service providers, that the intercity bus needs of the state are being adequately met.
- Availability
  - Funds are available during the fiscal year of apportionment plus two additional years (total of three years).

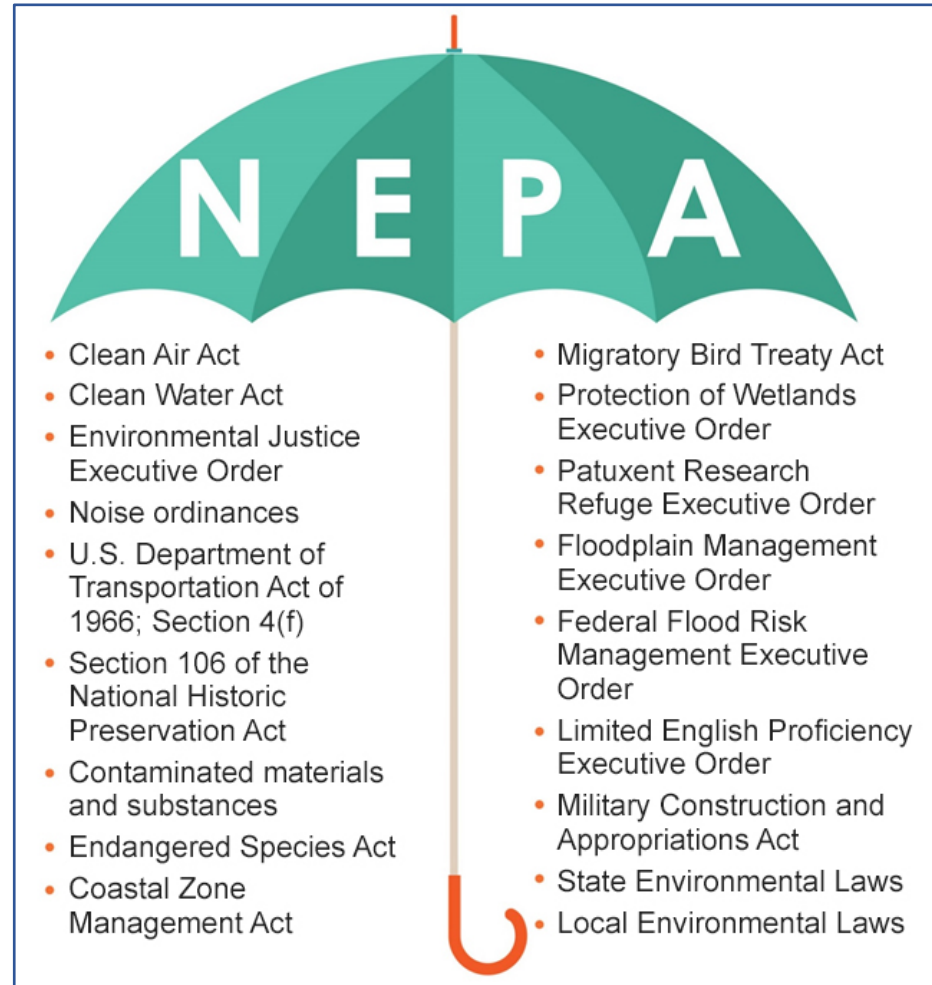
# Overall Program Requirements

- Project Management
  - Planning,
  - NEPA,
  - Uniform Act (real estate),
  - Procurement (preliminary/ final design, construction),
  - Etc. & many more...
- Grant Management
  - Eligible activities
  - Funding identified
    - % and Match
  - Etc. & many more...



# Environmental Requirement

- All projects (activities) have to be evaluated to determine their impact on the environment (23 C.F.R. § 771.115)
  - Environmental Impact Statement (EIS) – Class I
  - Environmental Assessment (EA) – Class III
  - Categorical Exclusion (CE) – Class II (23 C.F.R. §771.118)
- Category II (c)
  - Grant activity falls within a category that will inherently have no significant impacts
- Category II (d)
  - FTA evaluates info. from grantee and determines that there are no significant impacts. Written approval required.



# Planning Requirement

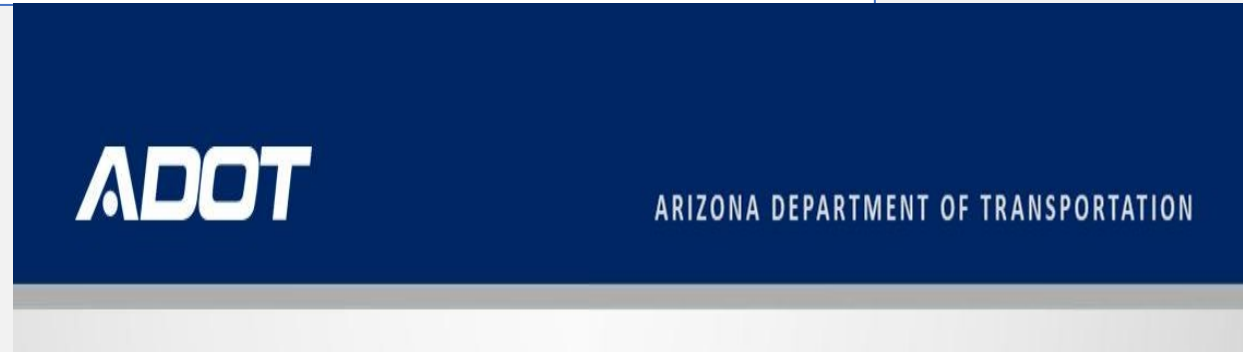
- TIP Conformity & MPO Concurrence
  - Project(s) must be included in Transportation Improvement Program (TIP)
- Overall Work Program/Unified Planning Work Program (UPWP)
  - TIP equivalent for planning projects only



# FTA Funding Availability



- 5310 & 5311 Formula funds → 1 Year of Apportionment + 2 Years
- Example: FFY2019 →
  - FY2019 = Oct. 2018 to Sept. 2019 \*
  - Plus 2 Yrs. = Oct. 2019 to Sept. 2021
  - If ADOT does not program in an FTA grant before June-Aug. 2021 the funds are **LOST**



# ADOT Subrecipient Application Process

# ADOT Process

## Process Flow



# ADOT Subrecipient Application Process

- 5310 and 5311 2 Year Cycle
  - 5310 - Odd Years
  - 5311 and RMM - Even Years
- NOFA - Dec/January
- Due February/March

# ADOT - Application Review

- Threshold and Eligibility
- Evaluation Criteria - Guidebooks/NOFA
- Evaluation Panel - per Arizona Revised Statutes - Scored

# ADOT - Application Review (continued)

- Requested funding - justified and eligible.
- Capital projects
  - Site Plan
  - NEPA
  - Procurement

# ADOT - Preliminary Award

- April / May
- Appeals
- Maintain compliance
  - SAM.gov
  - Title VI Plan

# ADOT Application to FTA

- Preliminary Awards – used to develop application
- Funding allocated into pools of funding
  - Project Admin, Operating, Preventive Maintenance, Bus size, Vans, etc.



# ADOT Application to FTA

- All Activities Meet:
  - Program Criteria
  - Match Identified
    - Including In-Kind
  - NEPA documentation
  - Procurement

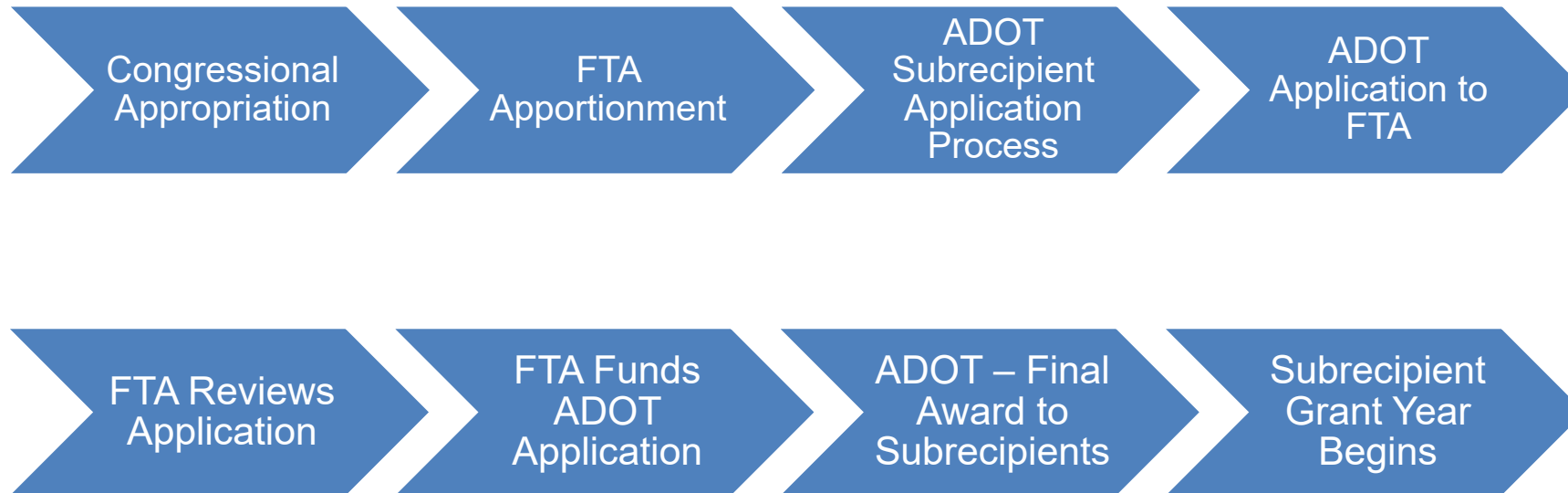
# FTA Reviews and Funds ADOT Application

- FTA Application Review
  - Region 9
- Funded = Grant Agreement
  - Between FTA and ADOT.

# ADOT Final Award Notice

- Final Award Notice = Exhibit A
- Issued after FTA funds ADOT Grant
- Typically - August/September
- Funding award begins October 1st!

# Summary Process Flow



Thank you!

**Questions?**

# Contact Information

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