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**Multimodal Planning**

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5307/ 5339 New Process: Effective June 14, 2013

* ADOT is the **Designated Recipient** for all 5307 and 5339 grant funds.
* Governor assigns **Direct Recipient** status for the 5307 program as outlined in the table below:

|  |  |
| --- | --- |
| **Eligible Direct Recipient’s** | **UZA** |
| Northern Arizona Intergovernmental Public Transportation Authority (NAIPTA) | Flagstaff |
| Yuma County Intergovernmental Public Transportation Authority (YCIPTA) | Yuma |
| City of Phoenix | Avondale-Goodyear |
| City of Sierra Vista | Sierra Vista |
| Lake Havasu City | Lake Havasu |

* Direct Recipients, for the 5307 program, apply for grants directly through TEAM. The competitive funding pool process will begin as soon as apportionments are published, beginning in FFY2014, enabling Direct Recipients to apply in TEAM only once for competitive funds (from the 5307 program) as well as their basic apportionment. However, if a Direct Recipient wants to make application for their basic apportionment prior to completion of the competitive process, they may do so then submit an amendment to the application for any competitive funding awarded.
* For the 5339 program, if awarded competitive funding, applicants will become sub-recipients with the funds and reimbursement flowing through ADOT.
* Direct Recipients must attach the ADOT/Direct Recipient “Supplemental Agreement” to TEAM application and check the “Supplemental Agreement” box in their TEAM application.
* Direct Recipient notifies ADOT that an application is pending in TEAM.
* ADOT maintains financial oversight by PINning the Supplemental Agreement in each grant application prior to FTA award.

BASIC FUNDING ALLOCATION

* Do not compete for basic funding (that apportioned for specific UZA through Federal Register).
* The Federal Register disbursement remains in place for that recipient for two years (apportionment year plus one year).
* Direct Recipients apply to FTA through TEAM.
* Direct Recipients submit their application in TEAM, attach the Supplemental Agreement and check the “Supplemental Agreement” box.
* Direct Recipient notifies ADOT that an application is pending in TEAM.
* ADOT then PINs the application in TEAM, as entered by Direct Recipients, before FTA will award the grant.
* ADOT provides FTA with a split letter denoting basic funding plus competitive funding 5307 award for each applicant.
* Award and reimbursement occur between Direct Recipient and FTA.
* All Direct Recipients will report to ADOT by November of each year the amount of any unobligated funds from previous year and the reason they are unobligated.
* Following 2nd year, funds that have not been obligated will be reallocated for distribution by ADOT through a competitive process\*\*

\*\*If the funds are not obligated, after apportionment year plus one year, the money will be reallocated into a competitive pool.  A competitive process will be used to distribute the funding from this pool.  If the Short Range Transit Plan identified the expenditure and the reason funds are not obligated, and is discussed with ADOT along with an Action Plan including corrective action, and is agreed upon – the funds will not be moved to the competitive pool.

COMPETITIVE PROCESS FOR 5307 UNOBLIGATED & 5339 FUNDS

* ADOT will notify all eligible entities of amount available in competitive pool with a call for applications each December or when full year’s apportionments are announced.
* All Direct Recipients will submit to ADOT, at least every five years, a Short Range Transit Plan demonstrating entities plan for using 5307 / 5339 funds.
* ADOT consultation process with any entity that has unobligated funds for transfer into competitive funding pool.
* These funds, if awarded, are one-time capital or operating project funds, priority will be given to capital projects that show they have demonstrated readiness to procure or construct.
* Direct Recipients will apply for this funding pool (limit 3 projects) via the submittal of an application to ADOT demonstrating the following evaluation criterion:
  + State of Good Repair (20%)
    - Need related to maintaining the systems state of good repair, including rehabilitation and replacement of vehicles that are past useful life in accordance with FTA guidelines.
    - Description of components that contribute to improving safety and security of system.
  + Project Readiness (20%)
    - TIP Project Number or documented project need based on local planning efforts
    - Commitment to submit application in TEAM within 180 days of award
    - % Design Completion
    - NEPA Process Completion Status
  + Financial Readiness: (20%)
    - Documented commitment to provide local match: letter from CFO stating amount and source of local match funds committed to the proposed project
    - Benefit/ Cost or economic analysis demonstrating how the proposed project would help your agency achieve its stated performance goals or maintain the agency’s State of Good Repair?
  + Agency performance measures (20%)
    - Average cost per passenger boarding
    - Average cost per revenue mile
    - Average passenger boarding per revenue mile
  + Demonstrated good standing with FTA (10%)
  + Stakeholder support/ involvement (10%)
    - Letters of support: elected officials, human services, education, environmental or land use partners
* Following ADOT determination of allocation, notice to Direct Recipient and split letter to FTA sent.
* Direct Recipient applies for any competitive funds awarded by ADOT (5307) through TEAM in conjunction with application for basic funding allocation. 5339 competitive funds will flow through ADOT separately than the 5307 funds.