

2023 5307\_5339 Application Frequently Asked Questions

Application due date July 19, 2023 4:00 PM

**Frequently Asked Questions (FAQ)**

**5339\_5307 Application Webinar - Monday, June 19, 2023 at 1PM - 2PM**

**Webinar Recording: <https://vimeo.com/838058720/97393ae6f2>**

QUESTIONS and COMMENTS	RESPONSES
With the 5339 Grant are we able to apply for new camera systems for our fleet?	Yes, new camera systems for your existing fleet would be eligible for 5339 funding.
Our Transit Advisory Council is inquiring whether 5339 funds can be used to develop pullouts on one of the State Routes if we obtain the required ADOT and City permits. The pullouts would be built in accordance to ADOT standards. Would this type of project meet the facility construction requirements of 5339?	Bus pullouts would be eligible for 5339 funding. You will need concurrence from the ADOT District Engineer since it is along a State Highway. However there are additional documentation that must be provided in order to determine if it meets the facility construction requirements. You will need to provide a site map identifying the exact location(s) of the project and how it relates to the current routes operated by your agency. You will also need to document environmental factors such as the project in a right of way, was the ground previously disturbed, Historical Preservation, and Parks or Wetlands impact. ADOT will need to be able to determine that the bus pullouts are in compliance with the National Environmental Policy Act (NEPA) in order to apply to FTA for funding for this project. Until documentation is provided and reviewed ADOT would be unable to confirm if this meets the facility construction requirement or award funding.
When does ADOT anticipate 5339 funding awarded during this process being available to applicants?	ADOT anticipates issuing preliminary awards in late September 2023 with funding being available to awardees in late January 2024.
Does the review panel consider agencies who guarantee a local match above 20% more favorable?	No, As long as the applicant is able to guarantee they will have the 20% required local match nothing more is required. Exceeding 20% local match does not increase favorability.
Is a google map ok or design layout map acceptable?	The map you provide must clearly show the exact location of the proposed site. If there are any known challenges with the site selected those should be addressed in the application question.
Does a bus shelter trigger facility requirements including NEPA?	Yes, All FTA activities trigger NEPA.

Does ADOT have a form applicants can fill out for verification of local match funds?	No, Written documentation on agency letterhead signed by your designated signatory is acceptable.
Can Tribal entities leave 5339 funding with ADOT?	Yes, however only if they have an active grant agreement with ADOT and are a current ADOT subrecipient.
Where is the link to the NEPA training?	<a href="https://ce-catalog.rutgers.edu/courseDisplay.cfm?schID=80073">https://ce-catalog.rutgers.edu/courseDisplay.cfm?schID=80073</a>
Can 5311 subrecipients use 5339 funding to purchase route scheduling software?	Yes, however 5339 funding is for one time capital purchases, software purchases may require annual maintenance fees and updates which would not be covered by the 5339 funding.
Can software for dispatching be included in the capital request?	Yes. Each software project is required to have a project level ITS architecture, when using federal funds towards software, which must be attached to the application. Additionally, you must ensure the software is included in the Arizona Statewide Intelligent Transportation System (ITS) Architecture Plan.
It was my understanding that NEPA is not required for replacement bus shelters because they are being installed at a current shelter location on an existing concrete pad and no ground disturbance or environmental impact will be sustained?	NEPA compliance is required on all projects funded with Federal dollars. NEPA is the primary law governing the environmental review process for all federal agencies. NEPA establishes a decision making process that agencies must follow to study the environmental impacts of the proposed projects, both large and small. An environmental determination is required for all projects funded by FTA. Before ADOT can apply to FTA for funding we must complete an environmental review for the project following NEPA and identify in our application the environmental designation of the project. Applicants for ADOT funding must provide sufficient information in the application for ADOT to determine the environmental impacts of the project or the application must provide completed and approved NEPA documents. Please see guidance from FTA on the ADOT webpage.: <a href="https://azdot.gov/sites/default/files/media/2022/07/nepa-one-pager-v-3.pdf">https://azdot.gov/sites/default/files/media/2022/07/nepa-one-pager-v-3.pdf</a>
Last year, you mentioned projects such as a	Yes, bus shelters, concrete pads, and

<p>sidewalk project within 1/4 mile of a bus stop. Is that still a viable project? Does it fall under ADA Facility? Does a project such as a bus shelter and concrete pad to make improvements meet ADA eligible?</p>	<p>sidewalks would meet ADA eligibility as long as it meets the federal accessibility standards and requirements. The ADA feature should be documented in the application.</p>
<p>What if we can't get our Board Resolutions in with the application because they are not meeting in time?</p>	<p>The financial readiness section requires documentation of local match commitment. It should follow the agency's local process which may require a board resolution. If a resolution is required and your board will meet after the application due date, submit documentation of local match/ proposed resolution and a date your board will meet in that upload box. Then you can submit the adopted resolution via email to an ADOT Transit program manager. This should still be submitted as quickly as possible as the resolution must be adopted and received prior to the panel review or the financial readiness portion will be impacted in your application ranking.</p>
<p>Do we need an RFP to purchase vehicles with 5307/5339 funding?</p>	<p>No, you would provide in your application a copy of the vehicle build sheet. Once notified by ADOT you will then submit a local match and ADOT will proceed with procuring the vehicle. For ADOT 5311 Subrecipients, ADOT will procure all vehicles awarded with 5339 funding. For FTA 5307 Direct Recipients, you may be eligible to purchase your vehicles under the ADOT contract. If you decide to procure on your own you will need to follow all FTA requirements for procurement.</p>
<p>Does the "state of good repair only apply to vehicles?</p>	<p>State of Good Repair is a requirement for all FTA assets. The application focuses on vehicles but we would appreciate information as to how your project will maintain a state of good repair for all assets.</p>
<p>Since we intend to request vehicles in this application that would be procured off of the state contract, would we only need to supply the local match component like we do when purchasing a vehicle with 5311 funds or would we need to be prepared to pay for the entire amount for the vehicle and seek reimbursement?</p>	<p>Your agency would pay the required local match of 20%. If your agency was given permission by ADOT to purchase the vehicle yourself then you would pay the full amount and seek reimbursement through the E-grants system.</p>
<p>Which year do we use for performance data?</p>	<p>You would use the most recent year of information you have available.</p>

<p>Can we put five cutaways for our fixed route and the ADA vehicle together or do those have to be two projects?</p>	<p>You can combine up to three vehicles that are the same make, model, and size into one project. If they are not the same make model and size they would be considered a separate project.</p>
<p>Do we need a map for the vehicle project?</p>	<p>No, for vehicles you need to provide a recent build sheet showing the features of the vehicle and cost.</p>
<p>On the program information page, who should be listed as the Direct Recipient Contact information?</p>	<p>Your agency and your designated transit official's information should be listed here.</p>
<p>Do you know the last triennial review or state site visit date? Any outstanding findings?</p>	<p>Triennial Reviews are conducted by FTA for 5307 Direct Recipients. ADOT does not participate in 5307 agencies' triennial reviews. If you are a 5311 Subrecipient you should be able to locate the date and final reports in your agency files. Many times the state site visits are labeled "monitoring visits". If you cannot locate the date or final report in your files, your program manager should be able to provide this information. All 5307 and 5311 agencies should know the date of your last review and your agency's status.</p>
<p>We are applying for the 5339 grant application for a security fence, and a metal parking structure (enclosed on 3 sides) –The project is taking place in a previously developed space, so we may not need any NEPA studies. In attending your 5339 Grant Presentation I had a note that the NEPA studies must be completed on facility projects before we could proceed.</p> <p>Are there certain capital items that a NEPA study wouldn't apply to?</p>	<p>No, NEPA applies to all projects using federal funding, including previously developed areas.</p>
<p>Program information - who should be listed at Direct Recipient Contact Information?</p>	<p>This should be your Agency information and the Transit Managers information.</p>
<p>Are we able to request up to 7 buses?</p>	<p>Each project can include up to three vehicles, if you are purchasing vehicles of exact same make, model and size three can be combined for one project.</p>
<p>Does the application include planning like 5311 does?</p>	<p>Small Urban Areas can include planning projects for 5307 funding. The 5339 Bus and Bus facilities funding cannot be used for planning projects. Rural areas need to apply through the 5311 application or in partnership with the MPO / COG for route and general transit planning separate from this application process.</p>

Do we apply for the 5307 or 5339?	The 5307 portion is reserved for the small urban areas that are designated as direct recipients of FTA. The 5339 Statewide Bus and Bus Facilities grant is available for both small urban and rural transit recipients. The application covers both and will be awarded as the recipient is eligible.
We are applying for new buses to replace old buses, do the new buses have to be the same size as the old buses?	Yes, The new buses should have the same seating capacity as the old buses.
Where can I find Categorical Exclusions?	We are including a page that discusses Categorical excursions underneath this FAQ on the ADOT page titled -Guidance for Implementation of FTA's Categorical Exclusions (23 CFR 771.118).
Can I combine a replacement and expansion vehicles into one project?	Yes, if you are using the same make, model, and size vehicle build sheet.
Our bus we want to apply for replacement doesn't meet useful life now, can we still apply for the replacement bus?	If your bus is forecast to meet the useful life when it will be purchased and delivered, then it would be eligible for replacement. Most buses take approximately 2 years from the time of application. The application requests you to provide information about this, so plan ahead for when delivery would occur to see if you will meet useful life. If not, then this project should wait until next year's application. ADOT and FTA reserve the right to deny funding if the useful life of the vehicle has not been met.
On the Supporting Documents page of the application question 1 requires a date for a triennial review or state visit, however I haven't had one yet, what do I put here?	A date is required for this field, please put the future date you anticipate this review or visit occurring if you are a new Subrecipient/Direct Recipient. Otherwise use the date of your most recent triennial or ADOT Monitoring Visit.
In the "Supporting Documentation" section, the first question is in regards to our most recent triennial review or state site visit; would our recent MPD audit be applicable here? Or should we refer to the 2019 triennial review?	Yes, your most recent MPD Audit would be your most recent "State Site visit".
On the project readiness page What date do we use for RFP issued,contract awarded and project completion date?	Milestones are required to be identified in the application regardless of the type of procurement used. When procurements do not require an RFP, the RFP date in the milestone section could be the same as the contract award or the quote date. If using the state vehicle contract, please let us know in the application. A new state vehicle contract is being issued with the RFP date of

	<p>February 1, 2021 and a contract award date of May 1, 2021. The contract completion date should align to the date of your anticipated vehicle delivery.</p>
<p>If a 5311 Applicant is awarded funding under this grant, however, purchases the equipment after the date of the award and before the funds are made available to the Grantee, will the FTA still reimburse the Grantee the Federal share of that procurement?</p>	<p>No, 5311 subrecipients awarded 5339 funding are provided a preliminary award notice from ADOT. No funding commitment is actually made until ADOT writes a grant to FTA and issues the final award (update the Exhibit A of your grant agreement) and the subrecipient signs committing the additional local match.</p> <p>A 5339 Preliminary award is just a reservation of funds. No funds are available until ADOT adds the funding into the subrecipient's grant agreement. Additionally subrecipients are not granted pre-award authority which means any action they take before the funding is finalized and included in their Exhibit A is not eligible for reimbursement.</p> <p>Finally we do not allow subrecipients who are not FTA direct recipients to purchase transit buses (revenue vehicles) directly. While the state contract helps on the front end by issuing a compliant Request for Proposal (RFP) and award process, FTA has numerous oversight requirements that are very tricky to remember when placing an order for a vehicle and then documenting compliance when the vehicle is delivered. Unless the subrecipient has experience in the procurement of buses (aka rolling stock or revenue vehicles) ADOT will not allow them to procure on their own.</p>
<p>When reviewing the material, I noticed that there isn't any material related to public interaction, is a public hearing for the grant application required? We are leaning toward doing one, but may not do so if it isn't required.</p>	<p>Yes, the public should be made aware of transit plans, actions etc. The application does not require any documentation to be submitted; however, you should have documentation in your files identifying how you made the public aware of this funding request and any feedback you received. You do not have to follow the requirements as outlined in the 5311 Guidebook.</p>
<p>Who should letters of support be addressed to?</p>	<p>Address letters of support to yourself, and</p>

	agency representative, or your ADOT Program Manager.
Is there a minimum grant request?	Yes, when applying for the funding ADOT will not consider awards of less than \$5,000 as that is generally the FTA threshold for capital purchases.
We are going to request funds for facility design/engineering and also for an ITS system replacement. I know the ITS system will fall into the Other Capital request category that is reimbursed at 80%, but I was not sure about the category for the facility design/engineering. Would it be in the general facility category that reimburses at 80% or would it be considered under the ADA facility category that would be reimbursed at 90%. While we are really early in the process, we expected our purpose-built facility to be completely ADA accessible with all necessary accommodations. Any guidance you could give would be greatly appreciated.	The federal share for project costs for acquiring vehicle-related equipment or facilities (including clean fuel or alternative fuel vehicle-related equipment or facilities) for purposes of complying or maintaining compliance with the CAA, or for meeting the requirements of the ADA, is 90 percent. FTA considers vehicle-related equipment to be equipment on and attached to the vehicle. The grant recipient may itemize the cost of specific, discrete, vehicle-related equipment being purchased to be in compliance with the ADA or CAA. The federal share is 90 percent of the cost for these itemized elements.
Will there be a cure period with changes allowed after the application due date or can we delay submitting the application?	The application is due July 19, 2023 at 4 PM and there are no delays allowed. There is also no cure period or changes allowed after the application submission with the exception of a board resolution that can be submitted via email. Please be thorough in your application preparation and timely in your submission. If for some reason the application does not submit, please contact ADOT prior to the deadline as we can address technical issues.