

FFY 2022 FTA SECTION 5307 SMALL URBAN AND 5339 BUS AND BUS FACILITY  
NOTICE OF FUNDING AVAILABILITY

This notice is to announce the availability of Federal Transit Administration (FTA) grant funding financial assistance for the 5307 Small Urban funding pool and the 5339 Bus and Bus Facilities Grant awarded by the Arizona Department of Transportation (ADOT).

**PROGRAM DESCRIPTION**

ADOT's Multimodal Planning Division (MPD) administers the application for the Urbanized Area Formula Funding program (49 U.S.C. 5307) which makes Federal resources available to urbanized areas and to states for transit capital, and operating assistance in urbanized areas (UZAs) and for transportation related planning, engineering, design, and evaluation of transit projects. **FTA Section 5307** is allocated to all small urban communities. Allocated funding which will not be obligated is available through ADOT's competitive pool process to fund operating and capital project(s).

ADOT MPD also administers the Bus and Bus Facilities program (49 U.S.C. 5339) to provide capital funding to replace, rehabilitate and purchase buses and related equipment such as transit facilities and bus shelters, including technological changes or innovations to modify low or no emission vehicles or facilities. **FTA Section 5339** is apportioned to the state of Arizona and is divided into Small Urban and Statewide funding. This funding is available through the ADOT competitive pool process to fund capital project(s) (e.g., vehicles, facility construction, etc.).

The Catalog of Federal Domestic Assistance (CFDA) is now referred to as the Federal Assistance Listing and for Urbanized Area Formula Program section 5307 is 20.507, and for Bus and Bus Facilities is 20.526.

Eligibility for **Section 5307** and **Section 5339 Small Urban** competitive funding pool is limited to existing small urban designated UZAs, and should be applied for via the Direct Recipient.

**Section 5339 Statewide Funding** is open to small urban and 5311 rural transit providers. There is a limit of one application and three (3) projects per recipient.

**FEDERAL AWARD INFORMATION** For this competitive application available funding includes 5307 and 5339 Formula funds.

5307 / 5339 Available Funding 2022	
Funding source	Available Funds
5307 Small Urban	\$10,086,994.00
5339 Small Urban	\$3,596,149.00
5339 Statewide	\$11,000,000.00
Total	\$24,683,143.00

ADOT MPD anticipates awarding the maximum amount of funding possible to all eligible projects.

Awards will only be made to projects that are ready to proceed and all required project information and environmental documents have been provided/completed.

ADOT anticipates awarding funding to 3 direct subrecipients and 12 rural subrecipients via the grant application process in amounts ranging from \$5,000 to \$3,000,000 depending on project types. In FY 2020, the competitive funding pool 5307 had two direct recipients apply for funding who were awarded funding ranging from \$2,000,000 to approximately \$7,000,000 and five rural applicants received funding running from \$30,000 to over \$1,000,000. In FY 2021 two direct recipients applied for funding and awards were made of just over \$2,700,000 while five rural subrecipients were awarded funding ranging from \$ 30,000 to \$350,000.

The anticipated period of performance for this funding will be November 2022 through December 2026. For applicants to be eligible for an award of 5307 and 5339 funding they must demonstrate the following:

- o State of Good Repair (20%)
- o Project Readiness (20%)
- o Financial Readiness (20%)
- o Agency performance measures (20%)
- o Demonstrated good standing (10%)
- o Stakeholder support/ involvement (10%)

For direct recipients awarded funds, ADOT will issue an award letter and the Direct Recipient will be required to apply to FTA for this funding.

For awards to ADOT 5311 subrecipients, ADOT will issue a preliminary award letter and then ADOT will apply to FTA for this funding. Once FTA funds the ADOT 5339 grant application this funding will be added to the 5311 subrecipients grant agreement by amendment to the exhibit A. No activities should occur before the inclusion of the funding in the ADOT Grant Agreement.

## **ELIGIBILITY INFORMATION**

Eligibility for **Section 5307** and **Section 5339 Small Urban** competitive funding pool is limited to existing small urban designated UZAs identified by ADOT as Direct Recipients.

**Section 5339 Statewide Funding** is open to small urban and 5311 rural transit providers who are subrecipients of ADOT.

Capital projects funded with 5307 and 5339 funding typically have a federal match rate of 80% and the applicant is required to provide 20% from local funding. There is a limit of one application and three projects per applicant. For example if you are requesting multiple vehicles of the exact same make, model, and size they would all be classified as one project.

## **Application and Submission Information**

Applications and all related materials are to be completed and submitted electronically through <https://Egrants.azdot.gov> by Monday August 8th 2022 by 4PM. Any applicants that do not have access to the E-grants system can contact Aubree Perry via email at [Aperry2@azdot.gov](mailto:Aperry2@azdot.gov) or by phone at 602-712-8947 or Shatawn Reed via email at [sreed2@azdot.gov](mailto:sreed2@azdot.gov) or by phone at 602-712-7318 for assistance in gaining access to the online application system, technical questions regarding navigating the application or printed materials if needed.

## **Content and Form of Application Submission**

Applications submitted should be submitted electronically through the E grants system <https://Egrants.azdot.gov> and be completed entirely by answering all questions and providing all necessary backup documentation. For applications requesting new bus stops or facilities, maps must be provided showing the proposed location of these new capital projects. For construction projects documentation of site selection and environmental justice studies along with NEPA documentation must be included in the application. ADOT and FTA strongly suggest that coordination meetings have been held with your funding agency prior to applying for funds. For 5307 Small Urban applications, coordination meetings should be held with FTA. For 5311 Rural Public Transit subrecipients of ADOT, coordination meetings should be held with ADOT and FTA. Applicants should also include letters of support, and documentation of the source of local match funding.

## **Unique entity identifier and System for Award Management (SAM)**

Each applicant is required to register in the System for Award Management (SAM.GOV) prior to submitting an application and maintain an active registration in SAM registration with current information at all times during which it has an active award or an application or plan under consideration. All applicants are required to provide their SAM.gov unique entity identifier number on the organizational page in E-grants for their agency. ADOT may not make a federal award until the applicant has obtained all required unique entity identifier and SAM requirements. If an applicant has not fully complied with the requirements by the time ADOT is ready to make a federal award, ADOT may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

## **Submission Dates and Times**

The due date for this application is August 08, 2022 no later than 4:00 pm

## **Funding Restrictions -**

For this grant each applicant is restricted to applying for a total of three projects. A project can include things such as; funding for a facility or vehicle purchases. For example if your agency needs to purchase two buses with the exact same make, model and size this would be considered one project.

Funds awarded in this competitive grant application are one-time operating or capital project funds, priority will be given to capital projects that show they have demonstrated readiness to procure or construct.

## **Other Submission Requirements**

ADOT uses the E-grants system [egrants.azdot.gov](http://egrants.azdot.gov) to accept applications, please reach out to either of the 5311 Program managers listed in this document if you need access to E-grants. In addition to the Program Managers ADOT offers Egrants technical assistance at:

EGrants Help Desk

Hours: Monday thru Friday 8am to 5pm MST

Phone: 1-866-449-1425

Email: [azhelpdesk@agatesoftware.com](mailto:azhelpdesk@agatesoftware.com)

## **Application Review Information Criteria-**

When reviewing applications ADOT will confirm the timeliness of the application submission.

Egrants will not allow submissions after the time due. Should these occur, applications submitted after the due date and time will not be considered for funding. ADOT will evaluate if the applicant submitted all necessary supporting documents to justify the requested funding, for example:

- Construction projects. Was a Site Selection and Environmental Justice analysis provided, did the applicant discuss the project requirements with ADOT and/or FTA? Has the applicant ensured that if Design occurred during NEPA that it did not proceed beyond 30% design until NEPA is completed and approved. Has NEPA been completed for the approved site selected, with subsequent ADOT & FTA approval? Was documentation provided explaining any negative socio economic impacts on the community surrounding the construction site?
- For capital purchases of vehicles, ADOT verifies that a build sheet is provided including the anticipated cost of the vehicle(s) being requested. For bus shelters, confirmation that maps were provided to reflect where any new structures are proposed must be included.

## **Review and Selection Process**

Pursuant to A.R.S. §41-2702(F) Applications shall be evaluated by at least three panelists who are peers or other qualified individuals Each panelist will review applications individually and will determine a score for each applicant. All scores will be calculated and used to determine

recommendations for funding. This process includes evaluation criteria for 5307 Small Urban, 5339 Small Urban, and 5339 Statewide funding. Eligible applicants of the 5307 Small Urban Funding will be public bodies with legal authority to receive and disperse federal funds. Panelists will rate applicants based on completeness of application including if all supporting documentation needed is provided, clarity of project objectives, and feasibility. Panelists will also look at the geographical location of the applicants to ensure the proper dispersion to ensure program balance and diversity. This includes ensuring services are provided in locations with large populations of elders, low income, and limited English proficiency households.

5307/5339 Evaluation Criterion:

State of Good Repair (20%)

Project Readiness (20%)

Financial Readiness (20%)

Agency performance measures (20%)

Demonstrated good standing (10%)

Stakeholder support/ involvement (10%)

For any federal award under a notice of funding opportunity, if ADOT anticipates that the federal share will be greater than the simplified acquisition threshold over the period of performance the following applies:

- a. That ADOT, prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM.
- b. An applicant may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.
- c. That the awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant.

The threshold for micro purchases under federal financial assistance awards is \$10,000 and the threshold for simplified acquisitions is \$250,000 for all recipients.

### **Anticipated Announcement and Award Dates**

ADOT anticipates announcing preliminary awards for this funding by late September 2022. Once preliminary awards are issued subrecipients will have 10 business days to review and appeal decisions if they choose to.

## Federal Award Administration Information Award Notices

Those who are awarded FTA funds:

- 5307 Direct Recipients will be given a preliminary award transfer letter to include with their TRAMS application and will apply for funds awarded by ADOT through TRAMS within 6 months of notice of award.
- Awardees which are not direct recipients of FTA, will be provided a preliminary award letter and will have the award added to their existing ADOT contract once FTA funds ADOT's 5339 grant. ADOT will submit an application to FTA requesting the funding for these applicants. Funding will be paid through the Egrants reimbursement process.
- If an applicant is denied funding they will be notified via letter emailed to the applicant from ADOT. The letter will advise the reason funding was not awarded, and the steps the applicant needs to take to apply and be approved for funding in the future. All awardees will have the option to appeal preliminary awards/denials within 10 business days of notification. Awardees must provide a local match which is generally 20% of capital projects. All awardees are required to comply with all Federal program requirements and ADOT's contract where applicable.

### Administrative and National Policy Requirements

Successful applicants must comply with all ADOT and FTA requirements regarding the specific FTA funding awarded. Applicants can reference the following materials:

5307 Small Urban

<https://www.transit.dot.gov/funding/grants/urbanized-area-formula-grants-5307>

5339 Bus and Bus Facilities funding

[https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Final\\_FTA\\_C\\_5100\\_4-16-15.pdf](https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Final_FTA_C_5100_4-16-15.pdf)

FTA circular 5010

<https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/award-management-requirements-circular-50101e>

ADOT's State management plan

<https://azdot.gov/sites/default/files/2019/05/2018-adot-state-management-plan.pdf>

ADOT 5311 subrecipients also need to comply with the ADOT grant agreement for the 5311 program which can be found in E-grants for the current award year.

If the federal share of any award may include more than \$500,000 over the period of performance, post award reporting is required. Please see 2 CFR Part 200 Appendix XII.

### Awarding Agency Contact(s)

All application materials are to be completed and submitted electronically through

<https://Egrants.azdot.gov> by **Monday August 8, 2022 by 4PM.**

**Application Webinar** ADOT will host a webinar with information about applying for this grant.

Wednesday, July 13, 2022

9:00 am to 11:00 am

Join with Google Meet

[meet.google.com/siz-hvtj-ekp](https://meet.google.com/siz-hvtj-ekp)

Join by phone

(US) [+1 513-536-8150](tel:+15135368150) (PIN: 713194791)

If you have questions about the Section 5307 / 5339 competitive funding pool program or to register for the webinar, please contact Sara Allred, ADOT Assistant Transit Manager via email at [SAllred@azdot.gov](mailto:SAllred@azdot.gov) or by phone at 602-712-4498 or Aubree Perry, via email at [APerry2@azdot.gov](mailto:APerry2@azdot.gov) or by phone at 602-712-8947 or Shatawn Reed via email at [Sreed2@azdot.gov](mailto:Sreed2@azdot.gov) or by phone at 602-712-7318. Should you experience technical challenges related to the E-grants system please contact the above listed program managers or the Egrants Help Desk. We look forward to receiving your application. Thank you for your interest in FTA funding.