

NHDOT Transit Grants Workshop












FTA Section 5310 RCC Program: Seniors & Individuals with Disabilities

February 1, 2023



Introductions

- Bureau of Rail & Transit Staff
 - Shelley Winters — Director of Aeronautics, Rail & Transit

Name	Title	Telephone	E-mail
Vacant	Bureau Administrator	(603) 271-2468	Bureau66@dot.nh.gov 
Sarah Colon	Clerk IV	(603) 271-2468	Sarah.M.Colon@dot.nh.gov 
Rail			
Chuck Corliss, P.E.	Railroad Operations Engineer	(603) 271-3465	Charles.A.Corliss@dot.nh.gov 
Lou Barker	Railroad Planner / Property Manager	(603) 271-2425	Louis.A.Barker@dot.nh.gov 
Anthony Murphy	Railroad Inspector/Investigator	(603) 271-2448	Anthony.M.Murphy@dot.nh.gov 
Josh Prescott	Railroad Coordinator	(603) 271-3631	Joshua.S.Prescott@dot.nh.gov 
Transit			
Fred Butler	Public Transportation Administrator	(603) 271-2565	Frederick.J.Butler@dot.nh.gov 
Mike Pouliot	Transportation Specialist	(603) 271-4043	Michael.G.Pouliot@dot.nh.gov 
Paula Devens	Transit Grants Coordinator	(603) 271-6769	Paula.M.Devens@dot.nh.gov 
Cathy Cormier	Transit Compliance Specialist	(603) 271-4860	Catherine.A.Cormier2@dot.nh.gov 
Travis Toner	Transit Financial Coordinator	(603)-271-2439	Travis.J.Toner@dot.nh.gov 

Introductions

NHDOT Office of Federal Compliance (OFC)

Name	Title	Phone Number	Email Address
Larisa Djuvelek-Ruggiero	Chief of Federal Compliance	(603) 271-6612	larisa.djuvelek-ruggiero@dot.nh.gov 
Vacant	Title VI Coordinator	(603) 271-2467	larisa.djuvelek-ruggiero@dot.nh.gov 
Merideth Wilson	External EEO Coordinator (DBE & OJT)	(603) 271-8252	merideth.a.wilson@dot.nh.gov 
Sandt Michener	Federal Programs Specialist (ADA Title II)	(603) 271-3736	sandt.d.michener@dot.nh.gov 
Cody Oliphant	Compliance Review Officer	(603) 271-6752 Cell (603) 717-6437	cody.j.oliphant@dot.nh.gov 
Dawn Munson	Compliance Review Officer	(603) 271-8249 Cell (603) 491-9836	dawn.b.munson@dot.nh.gov 
Janet Leavitt	Internal EEO Coordinator	(603) 271-3735	janet.l.leavitt@dot.nh.gov 
Wendy Webb	Federal Compliance Specialist	(603) 271- 8222	wendy.c.webb@dot.nh.gov 

Agenda

- Overview of Federal Transit Administration (FTA) 5310 Regional Coordinating Council (RCC) Program
- NHDOT grant application process
- Intro to compliance considerations
- RLS & Associates Overview
- Q&A

SFY2024-25 5310 Regional Coordinating Council (RCC) Program

5310 RCC FUNDS		Available FTA Funds SFY 2024 (July 1, 2023 – June 30, 2024)	Available FTA Funds SFY 2025 (July 1, 2024 – June 30, 2025)
Region 1	Grafton-Coos	\$273,100	\$273,100
Region 2	Carroll County	\$169,200	\$169,200
Region 3	Mid-State	\$358,500	\$358,500
Region 4	Sullivan County	\$152,100	\$152,100
Region 5	Southwest/Monadnock Region	\$245,300	\$245,300
Region 7	Nashua Region	\$232,300	\$232,300
Region 8	Southern NH Region	\$528,300	\$528,300
Region 10	ACT (Seacoast) Region	\$449,000	\$449,000
Total		\$2,407,800	\$2,407,800

15% increases as compared to original 2022-2023 contracts!

FTA Section 5310 Purpose

- Provides formula funding to states and designated recipients to improve mobility for seniors and individuals with disabilities



What is a Senior?

- FTA definition is 65+
- Each region may include lesser ages, such as 60+



Section 5310 Eligible Subrecipients

- Private non-profits
- Approved government authorities that:
 - (1) are approved by a state to coordinate services for seniors and individuals with disabilities; or
 - (2) certify that there are no nonprofit organizations readily available in the area to provide the service.
- For “Other” projects (operating), can include operators of public transportation that receive a 5310 grant indirectly through a recipient.

Eligible Subrecipients: Taxis

- Considered “private operators of public transportation”
- Nature of service must be “shared-ride”
 - Two or more passengers in same vehicle who are otherwise not traveling together
 - Exclusive ride companies may receive funding to purchase accessible taxi under contract
 - See Circular [C9070.1G](#) for details
 - Uber, Lyft, other TNC? Contact NHDOT

Section 5310 RCC Eligible Projects



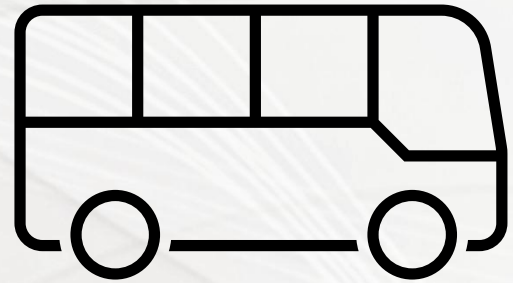
- Mobility Management
 - Lead Agency, Subrecipient, or Contractor
- Contracted Services
 - NHDOT contracts services with lead agency
 - Think “Operating”
- Note: Capital via separate 5310 Capital solicitation
 - Summer/fall annual solicitation

Project Requirements

- It is not sufficient that seniors and individuals with disabilities are merely included (or assumed to be included) among the people who will benefit from the projects.
- Projects must be included in area's Coordinated Public Transit-Human Service Transportation plan.
 - Must be updated every 5 years!

Tabula Rasa

- New Project?
- Revised Priorities?
- NOW'S THE TIME TO SHAKE THINGS UP!
 - Providers should/need to make their case to RCC
 - Again, projects need to be in coordinated plans



Mobility Management

- Short-range planning & management activities
- Intended to build coordination among existing public transportation providers and other transportation service providers to expand availability of service
 - Does not include operating public transportation services

Mobility Management (cont'd)

- A couple other MM examples:
 - The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, seniors, and low-income individuals
 - The operation of transportation brokerages to coordinate providers, funding agencies, and passengers;

Mobility Management (cont'd again)

- MM funds are NOT intended for administrative efforts that strictly benefit a single agency
- Circular [C9070.1G](#) has full list of eligible MM activities; also on NHDOT website

Federal Participation

- RCC projects eligible at 80% Federal
 - Mobility Management:
Considered capital expense
 - NHDOT is in effect
contracting/purchasing service
from each region
- Regional MM effectively
100% pending Toll Credit
approval



A Note on “Operating” Expenses

- Can be per trip/per hour/per mile or combination
 - E.g., loading fee plus per mile
- Each RCC must vet the rates to ensure they reflect fully allocated costs
 - Profit is not eligible



5310 RCC Program Highlights

- Funds distributed from NHDOT to RCCs
- Contracts will be for two years
 - SFY2024-2025 (July 1, 2023 - June 30, 2025)
- Each RCC solicits, reviews, ranks & selects its projects
- Each RCC votes for/approves a single lead agency within the region
- Each lead agency submits a regional 5310 RCC Program application to NHDOT
- NHDOT reviews each regional application for 5310 program eligibility

5310 RCC Program Highlights (cont'd)

- NHDOT contracts with 1 Lead Agency for entirety of region's funds
 - Lead Agency will subcontract with (other) providers
- Matching funds
 - Cash – preferred as it allows federal funds to go further
 - In-kind
 - Volunteer driver time valued at max \$21/hour, must be tracked in accordance with Federal rules
 - Driver time MAY BE ALSO BE USED as in-kind match for mobility management activities
 - Regions can “pool” their in-kind match if they choose to (see FAQ)

RCC Invoice

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
Template Revised 1/23/23																			
5310 RCC Reporting Budget Worksheet/Invoice Template																			
State FY 2024 (Non-Pooled In-Kind Match)																			
Complete the appropriate shaded sections that represent the services provided in this billing period:																			
LEAD AGENCY NAME: Lead Agency										RCC #:		INVOICE #:		(REQUESTED) SFY24 CONTRACT AMOUNTS SUMMARY Operating \$0.00 80% MM \$0.00 100% RMM \$0.00 TOTAL \$0.00					
												INV DATE:							
Enclosed is an accounting for all eligible expenses for the period 07/01/23 through 06/30/24																			
Non-POOLED IN-KIND MATCH																			
PER TRIP BILLING			PER MILE BILLING				PER HOUR BILLING				CASH EXPENSE TOTAL		IN-KIND MATCH VALUE			TOTAL PROJECT COSTS	FUNDS REQUESTED	LOCAL CASH MATCH NEEDED	
Trips	Rate	Total Cost	Trips	Miles	Rate	Total Cost	Trips	Hours	Rate	Total Cost	Trips	Total Cost	Hours	Rate	Value				
<i>Insert Provider 1</i>	\$0.00	\$0.00			\$0.655	\$0.00			\$0.00	\$0.00	0	\$0.00		\$21.00	\$0.00	\$0.00	\$0.00	\$0.00	
<i>Insert Provider 2</i>	\$0.00	\$0.00			\$0.655	\$0.00			\$0.00	\$0.00	0	\$0.00		\$21.00	\$0.00	\$0.00	\$0.00	\$0.00	

- Will be basis for monthly reimbursement requests
- Requested MM funds should match Budget tab

Pooled In-Kind Match Example

					POOLED IN-KIND MATCH			
	CASH EXPENSE TOTAL		IN-KIND MATCH VALUE			TOTAL PROJECT	FUNDS	LOCAL CASH
	Trips	Total Cost	Hours	Rate	Value	COSTS	REQUESTED	MATCH NEEDED
Provider 1	143	\$2,843.75		\$0.00	\$0.00	\$2,843.75	\$2,275.00	\$568.75
Provider 2	113	\$2,341.35	0	\$15.00	\$0.00	\$2,341.35	\$1,873.08	\$468.27
Provider 3	374	\$3,252.11	439.5	\$15.00	\$6,592.50	\$9,844.61	\$3,252.11	\$0.00
Provider 4	2	\$66.00		\$0.00	\$0.00	\$66.00	\$52.80	\$13.20
Provider 5	0	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Provider 6	0	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	632	\$8,503.21	439.5		\$6,592.50	\$15,095.71	\$8,503.21	\$0.00

- Volunteer hours enough for all RCC agencies!
- Individual agencies would otherwise need to supply match
- Must be approved by NHDOT in advance

Excess In-Kind Match

100% Regional Mobility Manager Reimbursement Requested:							\$0.00
OTHER (80%) Mobility Management Cash Expenses for the Period (Total Dollars)							
Excess in-kind match from volunteer drivers (from table above)							\$0.00
In-kind MM contributions	(insert source of in-kind match)						
Total OTHER (80%) MM Project costs							\$0.00
OTHER (80%) MM Funds Requested							\$0.00
Local Cash Match needed	(insert source of cash match)						\$0.00
Total Federal Reimbursement Requested this Period:							\$0.00

- New: Excess in-kind will be applied to MM
- NHDOT requires the sources of in-kind & cash match

Potential for Volunteer Mileage

For Application Purposes Only		
In Kind Mileage value		
Total Miles (Estimated)	Per Mile Rate	Total Cost
	\$0.655	\$0.00

- For application: Provide miles for which volunteers declined reimbursement
- Theoretically eligible as in-kind
- Pending review before general acceptance:
 - Must consider administrative burden vs \$ reward
 - Also requires FTA approval

Detailed Budget Tab

A	B	C	D	E	F	G
1	NHDOT -- Attachment A -- 5310 RCC Budget Details					
2	SFY 2022 & 2023 (July 1, 2021 - June 30, 2023)					Rev: 01/14/2021
3						
4	AGENCY:					
5	REGION:					
6						
7	**potential DBE tracking					
8	A. ADMINISTRATION					
9						
10			Total Funds			REMARKS
11	Obj. Code	Description	Actual	Budgeted	Projected	
12			SFY 2020	SFY 2021	SFY 2022	SFY 2023
13	501	Labor				
14	501.04	Administrative Salaries & Wages				
15	501.99	Other Salaries & Wages				
16	502	Fringe Benefits				
17	502.01	FICA				
18	502.02	Pension Plans				
19	502.03	Hospital, Medical, and Surgical Plans				
20	502.04	Dental Plans				
21	502.05	Life Insurance Plans				
22	502.06	Short-Term Disability Insurance Plans				
23	502.07	Unemployment Insurance				
24	502.08	Worker's Compensation				
25	502.09	Sick Leave				
26	502.10	Holiday				
27	502.11	Vacation				

- Provides backup documentation for review/DBE purposes
- “Mobility Management” line item should only be used for contracted (i.e., competitively procured) MM services

RCC Reimbursement Procedures

NHDOT's Transit Grants are a Reimbursement Program

- Reimbursement procedures:
 - Submit request monthly/quarterly using templates provided by NHDOT
 - “Operating” template for all contracted services
 - Separate budget tab(s) for MM activities
 - One MM tab for each agency needs to be completed
 - Document the specific sources of local revenue
 - NHDOT will customize each region's invoice templates once projects are approved

Basic Procedures (cont'd)

- Reimbursement procedures (cont'd):
 - Submit Excel spreadsheet(s) electronically
 - Request/Invoice needs to be signed by an agency official (digital signature preferred)
 - Retain adequate reimbursement documentation - payroll detail register, monthly invoices, receipts or invoices (i.e., monthly utility bills, invoices for office supplies, receipt for fuel, etc.)
 - Must submit to NHDOT/FTA upon request
 - After invoice is processed, approximately three-week time frame before payment is received

Grant Application Milestones: RCC

APPLICATIONS RELEASED	1/23/2023
APPLICATIONS DUE	3/7/2023
APPLICATION DECISIONS	3/22/2023
CONTRACT TO AGENCY	4/1/2023
CONTRACT RETURNED TO DOT	4/11/2023
GOVERNOR & COUNCIL MEETING	6/6/2023
FUNDS AVAILABLE	7/1/2023

All estimates; actual dates may vary

Grant Application Process

FTA SECTION 5310 (COMBINED) RCC GRANT APPLICATION
SFY 2024-2025
(JULY 1, 2023 – JUNE 30, 2025)

SECTION I – REGIONAL COORDINATING COUNCIL INFORMATION

RCC Region:	
RCC Chair Name & Agency:	
RCC Website URL:	
Regional Mobility Manager Name & Agency:	
Federal Funds Requested:	
Federal Funds Awarded (NHDOT to complete):	

SECTION II – LEAD AGENCY INFORMATION

1. CONTACT INFORMATION

- Call/email if you have any questions
- And...you will have questions!

APPLICATION DOCUMENTATION

- ❖ **RCC Meeting Minutes** – (*showing lead agency designation*)
- ❖ **RCC Meeting Minutes** – (*showing project/budget approval*)
- ❖ **RCC Program Invoice** – (*including budget tabs*)
- ❖ **Matching Funds Source Verification**
- ❖ **Public Notice of Grant Application** – (*email to regional “directory” OK*)
- ❖ **Coordinated Public Transit-Human Services Transportation Plan(s)**
- ❖ **Title VI Plan**
- ❖ **Indirect Cost Allocation Plan** (*if applicable*)
- ❖ **Marketing Materials**
- ❖ **Most Recent Financial Audit** (*URL if online*)*
- ❖ **List of Board of Directors***
- ❖ **List of Key Personnel & Salaries***
- ❖ **Resumes of Project Staff***
- ❖ **Certificate of Insurance***
- ❖ **Workers’ Compensation***
- ❖ **501 (c) – Proof of Non-profit status***
- ❖ **Verify your SAM.GOV registration has not expired***

- *Items marked with asterisks (*) are only required from lead agencies for application purposes. However, items must be made available by all participating agencies upon request.

CONTRACT DOCUMENTATION

- ❖ **P-37** – *(signed and notarized)*
- ❖ **Exhibit A – Special Provisions** – *(dated and initialed)*
- ❖ **Exhibit B – Scope of Services**
- ❖ **Exhibit C – Payment Terms** – *(dated and initialed)*
- ❖ **2023 Certificate of Good Standing** *(plan on requesting after April 1st)*
- ❖ **Certificate of Vote/Authority** *(dated & signed the same day as the P-37/G-1 state form OR within 30 days – special wording needed; contact Paula Devens for details)*
- ❖ **Federal Clauses**
- ❖ **FTA Certifications and Assurances and Master Agreement**
(due February 2023)
 - ❖ **Note** – you are no longer required to have an attorney sign the forms

Monthly/Quarterly Reimbursement

- Lead agency submits request to NHDOT on behalf of region's providers
 - Single 5310 RCC invoice required
- MM/RMM budgets needed for MM for each agency
- Additional backup only necessary upon NHDOT request
 - Periodic audits, anomalies, etc.

FTA Compliance

- RCC compliance is lead agency's responsibility
- NHDOT's Transit Compliance Specialist works with each lead agency to ensure FTA compliance
- While NHDOT provides ongoing assistance, the lead agency must provide oversight of all subrecipients within the region.



Compliance 101

- Financial Management
- Third Party Procurement
- Drug & Alcohol Program
- Equipment Management & Disposition
- DOT site visits and/or vehicle inspections
- School Bus Rule
- Civil Rights – FTA Requirements
 - Title VI
 - ADA
 - Disadvantaged Business Enterprise (DBE) Program
 - EEO

Title VI

- Why: “...no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity receiving Federal financial assistance from the Department of Transportation.” 49 CFR 21
- Update Plans every three years; Due in 2023
- RLS & Associates will assist with update/review for Board and NHDOT OFC approvals.
- Required by all lower-tier subrecipients as well
- Not just a paper plan; outreach is required!
- FTA Circular C4702.1B Guidance
- Now: Review your agency’s website for Title VI Notice; Complaint Procedures, and Complaint Form

Americans with Disabilities Act

- **Why:** “to carry out the intent of section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) as amended, to the end that no otherwise qualified individual with a disability in the United States shall, solely by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.” 49 CFR 27.1
- **Who:** RCC lead agency and RCC’s subrecipients
- **FTA Circular C4710.1 Guidance**
- **Now:** Review your agency’s website for an ADA Notice; Complaint Procedures, and Complaint Form

DBE and EEO

- DBE semi-annual reports
 - Continue to report as required
 - Must account for every third-party procurement
 - Submitted to OFC's Merideth Wilson in April and October
 - Reach out to RLS/Matt Bussey as needed for technical assistance as well as NHDOT OFC
 - Check NHDOT DBE registry when purchasing services/goods
- EEO
 - FTA requires EEO plans when a transit system has 50 or more employees and receives at least \$1 million in federal dollars
 - When RCC lead agency is a 5307 direct recipient of federal dollars, FTA would review EEO plan during Triennial Review

Reporting Requirements

- DOT Quarterly Vehicle Monitoring
 - As applicable
 - Ridership, vehicle hours, vehicle miles, operating costs
- Annual DOT inventory report
 - FTA Master Agreement/Certification & Assurances

Training

- Driver training available starting in spring
 - Emergency Evac/PAT/DD
 - www.newhampshirertap.com
- RTAP scholarship funding is available for all rural subrecipients
 - \$500 per agency at 100%;
 - Requires pre-approval from NHDOT or its RTAP contractor (RLS & Associates)

Q&A on grant webpage

NHDOT – FTA Section 5310 Frequently Asked Questions

Revised 1/19/21

FTA Section 5310 RCC Program Grant Questions & Answers

This document has been updated to include information related to NHDOT's SFY2021 RCC Program funding, whereby the Purchase of Service (POS) and RCC Formula programs were effectively combined into one regional grant program.

Contents

FTA Section 5310 Grant Application Questions & Answers.....	1
RCC Program	1
5310 Applicant/Application Questions	1
General Service Delivery Questions.....	7
Driver-Related Questions	11
5310 Matching Funds (Including In-Kind) Information	13

- Please be sure to refer to this! We will continue to amend it.

Want more Info?

Contact:

- Bureau of Rail & Transit

603-271-2468

www.nh.gov/dot/org/aerorailtransit/railandtransit/index.htm

- Federal Transit Administration (FTA)
Circulars

www.fta.dot.gov/laws/leg_reg_circulars_guidance.html



Moving Public Transportation
Into the Future

RCC Grant Meeting

JULIE SCHAFFER

FEBRUARY 1, 2023



RCC Financial Reviews

- ◆ Overall the RCC Lead Organizations are meeting all financial management and technical capacity requirements
- ◆ Items for discussion
 - Solicitation of providers
 - Rate setting
 - Provider oversight



Provider Solicitation

- ◆ Solicitation requires:
 - Development, advertisement, public notice, evaluation, and etc. to comply with FTA open competition requirements



Open Market Unit Rate

- ◆ Open market with a pre-determined unit rate requires:
 - Acceptance of all providers who meet the specified requirements
 - Can require participation with the RCC



Provider Oversight

- ◆ Oversight Requirements
 - Oversight of some financial requirements
 - Oversight of ADA requirements
 - Oversight of Title VI requirements
 - Consideration of DBE provider inclusion



Oversight Considerations

- ◆ The RCC oversight role in financial management oversight of the subrecipient will be dependent on the purchase of service agreement with the provider.
 - Open market pre-determined unit rate
 - Solicitation with negotiated unit rate
 - Cost reimbursement
 - » 2CFR 200.331-332



Provider Oversight

- ◆ Evaluation of subrecipients includes a periodic mini review or periodic assessments
 - Provides an opportunity to provide technical assistance on requirements
 - Review of monthly invoices and supporting documentation
 - Provides assurance the subrecipient service meets the intent of the program/contract



Provider Oversight

- ◆ The RCC is standing in the shoes of NHDOT and the contracted provider is standing in the shoes of the RCC.
 - Subrecipient is under contract with NHDOT
 - Provider is under contract with the RCC
 - FTA certifications and assurances apply to both
 - RCC and the contracted provider must have the financial and technical capacity to manage the Federal program



Provider Oversight

- ◆ Share the excel form – it is not readable as a picture.



Provider Oversight

- ◆ Subrecipient Oversight of Providers:
 - Monthly Invoice Review
 - Verification of Service Hours Billed for Unit Rates
 - Review of Invoice and Supporting Financial Reports for Cost Reimbursement
 - Random expense audits



Subrecipient Oversight

- Periodic Visits to the Provider
 - Ensure Service Meets Contract Requirements and 5310 Program Objectives
 - Follow up on Audit and Other Compliance Findings
 - Verify Registration and Eligibility in System of Award Management (SAM)



Questions

Julie Schafer

jschafer@rlsandassoc.com

(937) 299-5007