

# Florida Department of Transportation



## 49 U.S.C. Section 5339 Instruction Manual for Capital Assistance Applications – SFY 2020

Formula Grants for the  
BUS AND BUS FACILITIES FORMULA PROGRAM  
FOR RURAL AREAS  
CFDA 20.526

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# 1. Introduction

This application manual includes program information, application forms, exhibits, certifications and assurances, and instructions to enable an applicant to apply for Federal rural capital assistance under 49 U.S.C. 5339, Bus and Bus Facilities Program, as administered by the Florida Department of Transportation (FDOT).

The Section 5339 Bus and Bus Facilities Program provides Federal capital assistance to eligible recipients (see next page) who operate/contract public transportation services in rural areas. To be considered rural, an area will have population under 50,000.

Several types of activities are eligible for federal assistance under this program including projects to replace, rehabilitate, and purchase buses and related equipment, and projects to construct bus-related facilities. This includes the acquisition of buses for fleet and service expansion, bus maintenance and administrative facilities, transfer facilities, bus malls, transportation centers, intermodal terminals, park and ride stations, acquisition of replacement vehicles, bus rebuilds, passenger amenities such as passenger shelters and bus stop signs, accessory and miscellaneous equipment such as mobile radio units, supervisory vehicles and fare boxes, computers, and shop and garage equipment. Capital equipment purchased must be necessary and reasonable to the provision of public transportation services in rural areas.

Interested applicants may also obtain other application manuals from the FDOT District Office in their service area (see Appendix), including the: Section 5310, Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program; and Section 5311, Rural Formula Program.

# 2. General Program Information

## Program Administration

The Federal government allocates funds by formula to the State of Florida each fiscal year for the Section 5339 Program. FDOT has been designated by the Governor of Florida to administer the program. As the program administrator, FDOT is responsible for the following services. At its discretion, FDOT may contract with a service provider to perform these services.

1. Announcement of funding availability
2. Selection of projects for funding according to approved selection criteria
3. Development and processing of agreements
4. Oversight of recipient procurement actions
5. Oversight of recipient compliance with state and federal requirements
6. Processing of recipient invoices for reimbursement
7. Provision of technical assistance regarding the section 5339 program

Authorizing legislation for the program is shown in the Glossary of this manual under “authorizing Federal and State Legislation.”

The Federal goal of the program is to replace aging equipment and infrastructure. In Florida, program funds

shall be used to support local transportation services that act to maximize the passenger carrying capacity of surface transportation facilities. Services for the transportation disadvantaged should play a significant part under this program. All recipients of funds shall provide their non-prioritization service plan (see glossary in Appendix for definition) to the District to ensure access to the general public. Recurring applicants must re-submit their non-prioritization plan only if changes to the plan have been made since previous application cycle.

## **Eligibility Criteria**

Eligibility criteria are the minimum legal eligibility requirements. Applicants must also ensure compliance with a number of other conditions placed on grant recipients including, but not limited to, coordination of transit services, civil rights preservation, compliance with safety and drug free workplace regulations, drug and alcohol testing of safety-sensitive employees, competitive procurement of goods and services bought with grant funds, and references to the [Federal Transit Administration’s Master Agreement](#).

## **Legal Authority and Fiscal & Managerial Capability**

Section 5339 applicants must have the legal authority and fiscal/managerial capability to apply for and manage Section 5339 Grants. Grant recipients are required to maintain adequate financial, maintenance, and operating records and be able to comply with FTA reporting requirements. Failure to properly manage, maintain, and operate vehicles/equipment and/or facilities could jeopardize existing and future grants and may result in the removal of vehicles/equipment and/or access to facilities.

## **Eligible Recipients**

Eligible recipients of Section 5339 Grants include:

- Political subdivisions of the State of Florida and agencies thereof
- Indian Tribes
- Private non-profit agencies designated as Community Transportation Coordinators (CTC) in accordance with Chapter 427, Florida Statutes
- Private for-profit agencies may receive funds through contractual arrangements with eligible sub-recipients. The sub-recipient will be responsible for ensuring that the third-party applicant meets all federal and state program requirements

All recipients who are not CTCs must enter into coordination or transportation operator contracts with the appropriate CTC for the purpose of coordinating services. Local governments providing fixed route/fixed schedule service are not required to have an agreement with the CTC.

## **Eligible Expenses for Section 5339 Capital Assistance**

Section 5339 funds may be used for the capital expense of transportation services to the general public in rural areas. Eligible expenses are limited to:

- Buses, vans or other vehicles (including sedans and station wagons)
- Radios and communications equipment
- Wheelchair lifts and restraints

- Vehicle rehabilitation
- Microcomputer hardware/software (including initial installation costs)
- Vehicle procurement, inspection and acceptance costs
- Construction or rehabilitation of transit facilities including design, engineering, and land acquisition
- Other durable goods such as spare components with unit cost over \$300 and a useful life of more than one (1) year
- Accessory and miscellaneous equipment such as fare boxes, computers, shop and garage equipment
- Passenger amenities such as passenger shelters and bus stop signs

### **Ineligible Expenses**

- Expenses for charter service
- Expenses for school bus service
- Expenses for service not open to the general public (prioritized serve)
- Expenses for service exclusively within an urbanized area
- Depreciation expense
- Expenses incurred prior to federal and state approval of a grant application
- Expenses incurred prior to the execution of a Public Transportation Grant Agreement (PTGA)
- Expenses incurred prior to FDOT's approval of plans, specifications, and third-party contracts

### **Application Deadlines**

Application deadlines vary from district to district but usually fall between December and February each year. Your local District Office will notify applicants of their annual application deadline. When received, FDOT District Offices evaluate applications within their respective districts and, thereafter, submit a Program of Projects (POP) to the FDOT Central Office.

The Central Office compiles POPs from the districts and submits a statewide grant application for Federal assistance to the Federal Transit Administration (FTA) by April 1 of each year. FDOT anticipates FTA's approval of the statewide grant application (including district POP's) no earlier than July 1. The Florida Legislature also approves the general appropriation for the State's current year budget by July 1. Once Federal approval is received and the State budget finalized, District Offices may make grant awards (See "Grant Award Process," Section 4).

## 3. Section 5339 Compliance Requirements

### Matching funds for Section 5339 Capital Assistance

FDOT will provide the state required match of 20%. The federal share of eligible capital costs shall not exceed 80%.

### Use of Section 5339 vehicles/equipment

Section 5339 vehicles/equipment may be used for general public transportation services provided in rural areas only on a regular and continuing basis. They may also be used for service provided to non-sponsored transportation disadvantaged persons and to social service clients in rural areas provided there is no restriction on public use of the service. Service may not be designed exclusively to serve the transportation requirements of social service agencies without regard for the mobility needs of the community as a whole. The need and planned use of the requested vehicles must be detailed in the Proposed Project Description (Form B).

### Services Across Urbanized/Rural Area Boundaries

Applicants providing service across urbanized/rural area boundaries must develop a method of segregating or itemizing the costs of services to demonstrate that Section 5339 funds are used primarily for rural area service. Examples of methods that may be used to allocate costs include:

- where all passenger addresses are known, assume the percentage of those addresses located in rural areas equals the level of service in rural areas;
- segregate urbanized and rural service miles based on route maps, and allocate system-wide costs accordingly; and
- utilize driver logs to segregate service mileage or hours inside and outside the urbanized area, and allocate costs accordingly.

### Procurement

Applicants must have a procurement policy that outlines the procurement process when using federal, state and local funds. The guidebook, [Procurement Guidance for Transit Agencies](#), should be referenced in the procurement policy and utilized when entering into third-party procurements/contracts that utilize federal funds.

### Americans with Disabilities Act (ADA)

Applicants must comply with the Americans with Disabilities Act, (ADA) of 1990, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; U.S. DOT regulations at 49 CFR Parts 27, 37, 38, 39; and FTA regulations at 49 CFR Part 609.

### Civil Rights Submissions

Civil rights submissions that are required include a Title VI Program, Equal Employment Opportunity (EEO) Program, Disadvantaged Business Enterprise (DBE) Program and annual goals, and an ADA Transition Plan.

All applicants must submit a copy of their Title VI Program Plan with the grant application, unless the agency's current Title VI plan is already on file with FDOT. At the applicant's request, the FDOT District Office will provide technical assistance to the applicant in the development of their Title VI Program.

## **Davis-Bacon Act**

In the event that a project involves construction, applicants shall comply with the David Bacon Act 49 U.S.C. Section 5333(a) prevailing wage requirements.

## **Environmental Determination**

The impact that a proposed FTA assisted project will have on the environment shall be evaluated and documented in accordance with the National Environmental Policy Act (NEPA) of 1969 (42 U.S.C. 4321 et seq.), before grant application.

## **Administrative Requirements (Only if the Grant is for Facilities)**

Applicants shall supply the appropriate Regional Planning Council (RPC)/local clearinghouse agency (see Appendix) a copy of its application for Federal Assistance. Each applicant shall request the RPC/Clearinghouse, Intergovernmental Coordination and review (IC&R) process to provide a letter of support of the application to the appropriate FDOT District Office. Copies of correspondence to the RPC/Clearinghouse agency should be contained in the grant application.

Section 5339 projects awarded to an agency located in an urbanized area must be included in the Metropolitan Transportation Plan (MTP) prepared and approved by the Metropolitan Planning Organization (MPO), the Transportation Improvement Program (TIP) approved jointly by the MPO and the governor, and the Statewide Transportation Improvement Program (STIP) developed by a state and jointly approved by FTA and FHWA. Projects outside UZAs must be included in, or be consistent with the statewide long-range transportation plan, as developed by the state, and must be included in the STIP.

Although applications for such projects may be accepted by the FDOT District Office prior to their listing in a TIP/STIP, a grant award will not be final for such projects until all administrative requirements are completed, including being listed in the appropriate TIP/STIP.

## **Planning Requirements**

To remain eligible for Section 5339 awards, recurring applicants must submit the TDSP or TDP for their service area to FDOT in a timely manner. The entire TDSP or TDP does not need to be submitted with the application, only date of adoption and page which reference the project numbers are needed.

## **Audit Requirements**

Part I Federally Funded: If the Agency is a state, local government, or non-profit organization as defined in OMB Circular A-133 and a recipient of federal funds, the following annual audit criteria will apply:

1. In the event that the recipient expends \$750,000 or more in Federal awards in its fiscal year, the recipient must have a single or program-specific audit conducted in accordance with the provisions of OMB Circular A-133, as revised. Exhibit "I" to this agreement indicates Federal resources

awarded through the Department by this agreement. In determining the Federal awards expended in its fiscal year, the recipient shall consider all sources of Federal awards, including Federal resources received from the Department. The determination of amounts of Federal awards expended should be in accordance with the guidelines established by OMB Circular A-133, as revised. An audit of the recipient conducted by the Auditor General in accordance with the provisions OMB Circular A-133, as revised, will meet the requirements of this part.

2. In connection with the audit requirements addressed in Part I, Paragraph 1, the recipient shall fulfill the requirements relative to auditee responsibilities as provided in Subpart C of OMB Circular A-133.

3. If the recipient expends less than the amount in Part I, Paragraph 1, an audit conducted in accordance with the provisions of OMB Circular A-133, is not required. If the recipient elects to conduct such an audit, the cost of the audit must be paid from resources obtained from other than Federal entities.

4. Federal awards are to be identified using the Catalog of Federal Domestic Assistance (CFDA) title and number, award number and year, and name of the awarding federal agency.

**Part II State Funded:** If the Agency is a non-state entity as defined by Section 215.97(2) (m), Florida Statutes, and a recipient of state funds, the following annual audit criteria will apply:

1. In the event that the recipient expends a total amount of state financial assistance equal to or in excess of \$750,000 in any fiscal year, the recipient must have a State single or project-specific audit for such fiscal year in accordance with Section 215.97, Florida Statutes; applicable rules of the Department of Financial Services and the CFO; and Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General. Exhibit "I" to this agreement indicates state financial assistance awarded through the Department by this agreement. In determining the state financial assistance expended in its fiscal year, the recipient shall consider all sources of state financial assistance, including state financial assistance received from the Department, other state agencies, and other non-state entities. State financial assistance does not include Federal direct or pass-through awards and resources received by a non-state entity for Federal program matching requirements.

2. In connection with the audit requirements addressed in Part II, Paragraph 1, the recipient shall ensure that the audit complies with the requirements of Section 215.97(8), Florida Statutes. This includes submission of a financial reporting package as defined by Section 215.97(2) (e), Florida Statutes, and Chapter 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General.

3. If the recipient expends less than the amount in Part II, Paragraph 1, such audit is not required. If the recipient elects to conduct such an audit, the cost of the audit must be paid from the recipient's resources obtained from non-state entities.

4. State awards are to be identified using the Catalog of State Financial Assistance (CSFA) title and number, award number and year, and name of the state agency awarding it.

### Part III Other Audit Requirements

1. The Agency shall follow-up and take corrective action on audit findings. Preparation of a summary schedule of prior year audit findings, including corrective action and current status of the audit findings is required. Current year audit findings require corrective action and status of findings.
2. Records related to unresolved audit findings, appeals, or litigation shall be retained until the action is completed or the dispute is resolved. Access to project records and audit work papers shall be given to the Department, the Department Comptroller, and the Auditor General. This section does not limit the authority of the Department to conduct or arrange for the conduct of additional audits or evaluations of state financial assistance or limit the authority of any other state official.

### Part IV Report Submission

1. Copies of reporting packages for audits conducted in accordance with OMB Circular A-133 as revised, and required by Section 7.62 Part I of this agreement shall be submitted, when required by Section .320 (d), OMB Circular A-133 as revised, by or on behalf of the recipient directly to each of the following:

- A. The Department at the following address:

Florida Department of Transportation  
Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0405

Email: [FDOTSingleAudit@dot.state.fl.us](mailto:FDOTSingleAudit@dot.state.fl.us)

- B. The number of copies required by Sections .320 (d)(1) and (2), OMB Circular A-133 as revised, submitted to the following address:

Federal Audit Clearinghouse  
Bureau of the Census  
1201 East 10th Street  
Jeffersonville, IN 47132

- C. Other Federal agencies and pass-through entities in accordance with Sections .320 (e) and (f), OMB Circular A-133 as revised.

2. In the event that a copy of the reporting package for an audit required by Section 7.62 Part I of this Agreement and conducted in accordance with OMB Circular A-133 as revised is not required to be submitted to the Department for reasons pursuant to section .320 (e)(2), OMB Circular A-133 as revised, the recipient shall submit the required written notification pursuant to Section .320 (e)(2) and a copy of the recipient's audited schedule of expenditures of Federal awards directly to each of the following:

Florida Department of Transportation  
Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0405  
Email: FDOTSingleAudit@dot.state.fl.us

In addition, pursuant to Section .320 (f), OMB Circular A-133 as revised, the recipient shall submit a copy of the reporting package described in Section .320 (c), OMB Circular A-133 as revised, and any management letters issued by the auditor, to the Department at the following address:

Florida Department of Transportation  
Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0405  
Email: FDOTSingleAudit@dot.state.fl.us

3. Copies of financial reporting packages required by Section 7.62 Part II of this Agreement shall be submitted by or on behalf of the recipient directly to each of the following:

1. The Department at the following address:

Florida Department of Transportation  
Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0405  
Email: FDOTSingleAudit@dot.state.fl.us

2. The Auditor General's Office at the following address:

Auditor General's Office  
Room 401, Pepper Building  
111 West Madison Street  
Tallahassee, Florida 32399-1450

4. Copies of reports or the management letter required by Section 7.62 Part III of this Agreement shall be submitted by or on behalf of the recipient directly to:

The Department at the following address:  
Florida Department of Transportation  
Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0405  
Email: FDOTSingleAudit@dot.state.fl.us

5. Any reports, management letter, or other information required to be submitted to the Department pursuant to this Agreement shall be submitted timely in accordance with OMB Circular A-133 as revised, Section 215.97, Florida Statutes, and Chapter 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General, as applicable.

6. Recipients, when submitting financial reporting packages to the Department for audits done in accordance with OMB Circular A-133 as revised or Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General, should indicate the date that the reporting package was delivered to the Agency in correspondence accompanying the reporting package.

### **Certifications and Assurances**

Applicants must agree to comply with certain Federal requirements by signing the certification and assurances form covered by Exhibits G, J, D, M and F of this manual, as appropriate. Compliance items in Exhibit G include (but are not limited to) regulations pertaining to charter service and school bus service when using FTA-funded vehicles, equipment, and facilities; and FTA drug and alcohol testing regulations. Exhibit J applies to applicants for capital assistance to purchase non-accessible vehicles. Exhibit D, the certifications and assurances to FDOT, applies to applicants for capital assistance. Exhibit M pertains to Protection of the Environment and applies to applicants seeking grants for facilities. Exhibit F assures compliance with Section 5333(b) of the Federal Transit Act regarding compliance with labor protection provisions, and applies to all applicants.

## **4. Grant Award Process**

Awards will be made by the respective FDOT District Office to agencies submitting applications approved by FDOT for an award, either by 1) issuing a Public Transportation Grant Agreement (PTGA) to the recipient; or 2) issuing a Notice of Grant Award (NOGA), or 3) arranging for vehicle/equipment purchases through a contractor.

## **5. General Instructions on Forms and Exhibits**

Each form and exhibit provides FDOT with information it must have to make required assurances to the Federal government and to make project selections. It is important that each required form and exhibit be complete and correct. Applicants should be aware that there are criminal sanctions for furnishing false information in order to obtain federal grants (18 U.S.C. 1001).

The original application should be prepared on white, 8.5 X 11" paper, one-sided and uploaded into the Department's grant management system. All application forms and exhibits must be arranged in the order listed in the "Application Checklist" to ensure that the application is complete. All application components must be submitted in the sequence identified in the associated checklist of each step.

The original application must be accompanied by the required cover letter and a fully-executed Resolution from the applicant's governing board (see Application for sample). The Resolution should authorize 1) submission of the application; 2) signing of the application and certifications/assurances by a designated individual; and 3) acceptance of the grant award by the designated individual or and 4) be printed on company letterhead.

All signatures should be written in blue ink by the individual designated by the governing board of the applicant agency. Only original signature resolutions, applications, and acceptance of grant awards are acceptable. Any additional copies of the original application may be photocopies, but should not be color copies.

Questions regarding the Section 5339 application process should be directed to the FDOT District Office in the applicant's service area, as shown in the Appendix of this manual.

# 6. Grant Application Instructions

## Part I: Applicant Eligibility

### Capital Assistance Application Instructions

The capital assistance application instructions should be used to guide the applicant through each required section of the application. These instructions follow the order of the capital assistance application checklist in the grant application document. All application components must be submitted in this sequence.

### Capital Assistance Application Checklist

The application checklist must be completed prior to submission. If a requirement is not applicable, please indicate with "N/A."

### Exhibit A: Applicant's Cover Letter

A sample cover letter is included in the grant application for completion.

### Exhibit B: Governing Board's Resolution Form

A sample resolution form is included in the grant application for completion.

### Exhibit C: Public Hearing

An opportunity for a public hearing is required ONLY for public agencies requesting Section 5339 Capital Assistance. An application for Section 5339 Capital Assistance submitted by a public agency should contain a copy of the notice of public hearing (identified as Exhibit C) and an affidavit of publication. If Exhibit C is not applicable, this should be stated in the application.

A sample public notice is located in the Capital Assistance Application. A public notice should contain all pertinent information relating to the project (such as number and types of vehicles as well as the estimated cost of the vehicles) and should run at least one time in a newspaper of general circulation in the applicant's service area, no less than 15 or more than 30 days prior to the submission of an application. The notice should state that persons requesting a hearing must notify the applicant of the request, in writing, and send a copy of the request for a hearing to the FDOT District Office.

The deadline for hearing requests must be prior to the date applications are due at the District Office. If a hearing is requested:

1. A hearing must be conducted
2. The FDOT District Office must be notified of the date, time, and location of the hearing
3. A copy of the minutes of the hearing (to include a discussion of issues raised and resolution of issues) must be submitted to the FDOT District Office, before a Section 5339 Award can be made.

**Exhibit D: FDOT Certification and Assurances**

To be completed and signed by an individual authorized by the governing board of the applicant agency and submitted with the grant application.

**Exhibit E: Standard Lobbying Certification Form**

All grant awards issued to a recipient in the amount of \$100,000 or more must include a signed standard lobbying form.

**Exhibit F: FTA Section 5333 (b) Assurance**

All applicants must include a signed FTA Section 5333 (B) Assurance form, available in the 5339 Grant Application.

**FTA Section 5333(B) Assurance – Sample**

<b>(1) Recipient</b>	<b>(2) Project Description</b>	<b>(3) Other Eligible Transportation Providers</b>	<b>(4) Labor Organization Representing Employees of Providers, if any</b>
Identify Recipients of Transportation Assistance under this grant.	Cite Project by Name, Description, and Provider (e.g. Recipient, other Agency, or Contractor)	Identify Other Eligible Surface Transportation Providers (Type of Service)	Identify Unions (and providers) Representing Employees of Providers in Column 1, 2, and 3
A) ABC County Transit	Application for Section 5311 funds for Operating Assistance for FY 02 for ABC County Transit to provide public transportation service to residents of rural areas of the county traveling within the rural area and/or to the adjacent urban area and return to rural domicile.	A) XYZ Transit, Inc. (intercity service)  B) MNOP Transit, Inc. (urban transit service)	A) No union (ABC County Transit)  B) ATU L.U. #000 (XYZ Transit, Inc.) C) MNOP Transit Drivers Association (MNOP Transit, Inc.)

## **Exhibit G: Federal Certifications and Assurances**

The last page (Appendix A) of the annual Federal Register Notice that applies to Federal Certifications and Assurances provides applicants with a single signature page on which an applicant and its attorney must certify compliance with the requirements of the various Federal Transit Administration grants or cooperative agreements. The Federal Register Notice is revised annually and is usually available around January 1 of each year. Applicants may obtain a copy of the current year document through the internet at the FTA web site. If unable to access the form, applicants may contact their FDOT District Office for assistance. The appropriate signed Federal certification/assurance form must be included in the application when it is submitted to the FDOT District Office.

**Submissions in the Transit Award Management System (TrAMS):** An applicant submitting certifications and assurances for their agency in TrAMS can attach a screenshot of their PIN as replacement of the signature page.

**GRANT WRITING TIP:** All applicants must use the current year form and it must be the actual form from the Federal Transit Administration (FTA). This form cannot be an edited version of a prior year's forms or a recreation of the form. DO NOT copy this form onto agency letterhead for signature, it will be returned to you and delay processing your grant request.

**The signature page for Federal Certifications and Assurances should be signed by an individual authorized by the applicant's governing board to sign and submit applications, and its attorney. Blue ink is required as it distinguishes an original signature from a photocopied signature.**

### **Federal Certifications and Assurances Required of Each Applicant:**

- Authority of applicant and its representative
- Standard Assurances
- Debarment and Suspension, and other Responsibility Matters
- Drug Free Workplace Certification
- Intergovernmental Review Assurance
- Federal Transit Administration Master Agreement
- Nondiscrimination Assurance
- Assurance of Nondiscrimination on the Basis of Disability Procurement Compliance

Applicants for Federal Assistance may signify compliance with the above certifications and assurances by placing an "X" at the top of Appendix A next to the statement that reads: "The Applicant agrees to comply with applicable requirements of Categories 01-24". If an applicant chooses to do this, no additional notation is necessary, except for the signature on the reverse.

A description of the certifications required for the Section 5339 Bus and Bus Facilities for Rural Areas Program is provided in the annual Federal Register Notice.

## **Exhibit H: CTC Agreement or Certification**

If the applicant is a CTC, this information should be shown in Exhibit H of the application. A copy of the CTC's certification must be attached to Exhibit H.

## **Part II: Funding Request**

### **Form A-1: Current System Description**

Applicants must submit Form A-1 as part of their application. Form A-1 provides space for a short description of who the applicant is and what services they provide. The form is in a question and answer format with designated text boxes (the applicant's response to the question must not exceed the space provided or word counts where indicated).

If the applicant is a Community Transportation Coordinator (CTC), relevant pages of a Transportation Disadvantaged Service Plan (TDSP) and Annual Operating Report (AOR) containing the above information may be provided. Please do not attach entire documents.

Evaluators will rely heavily on an applicant's narrative in determining the amount of funds/vehicles/equipment awarded.

### **Form A-2: Fact sheet**

The Form A-2 Fact sheet is used to determine and report the anticipated quantitative impacts of the proposed project on your agency's transportation program. All calculations must be shown, as shown in the table below. A calculation column has been provided to calculate the necessary data for both the current transportation program and if awarded.

### **Form B: Proposed Project Description**

Applicants must submit Form B as part of their application. It is required that all applicants provide the Project Summary in a question/answer format. Where a text box or word count is included, the length of the applicant's response to the question must not exceed the space or word count provided. The project description should not repeat the current system description shown in Form A-1.

### **Form C: Financial Capacity- Proposed Budget for Transportation Program**

Information regarding the applicant's transit-related operating and administrative expenses and revenues must be provided with the application.

Applicants must submit this form as part of their application. This form will provide reviewers an overview of the applicant's financial capacity to finance proposed projects. The applicant will have to provide the expenses and revenues for its entire transportation program as projected for the year the Section 5339 grant award is to be used. The FDOT district staff will review the information provided and determine the revenue that can be used as FTA match for the Section 5339 program and the eligible expenses for the Section 5339 program. The applicant will also have to provide proof of local match.

The budget line items shown on the forms were originally defined in the Transportation Accounting

Consortium's Model Uniform Accounting System for Rural and Specialized Transportation Providers (TAC Manual). The account numbers in parentheses are the object code numbers for these line items in the TAC manual and in FTA National Transit Data Reports (NTD). Definitions for expense and revenue line items are included below.

**Definitions**

Source: [National Transit Data Report - NTD](#)

**Operating and Administrative Expenses**

<b>(501) labor</b> - The pay and allowances due employees in exchange for the labor services they render on behalf of the transit system	<b>(506) insurance</b> - Cost elements covering protection of the transit system from loss through insurance programs; compensation of others for their losses due to acts for which the transit system is liable; and recognition of the cost of a miscellaneous category of corporate losses
<b>(502) fringe and benefits</b> - Payments or accruals to others (insurance companies, governments, etc.) on behalf of an employee and payments or accruals direct to an employee arising from something other than his performance of a piece of work	<b>(507) license and taxes</b> - Taxes and fees levied against the transit system by Federal, state, and local governments
<b>(503) services</b> - Labor and other work provided by outside organizations for fees and related expenses	<b>(508) purchased transit service</b> - The payment or accrual to other transit systems for providing transportation service
<b>(504) materials and supplies</b> - Tangible products obtained from outside suppliers or manufactured internally	<b>(509) miscellaneous</b> - Those expenses which cannot be attributed to any of the other major expense categories
<b>(504.01) vehicle maintenance</b> - Cost of fuel and lubricants, tires and tubes, vehicle maintenance parts	<b>(512) leases and rentals</b> - Payments for the use of capital assets not owned by the transit system
<b>(505) utilities</b> - Payments made to various utilities for utilization of their resources (e.g., electric, gas, water, telephone, etc.)	<b>(513) depreciation</b> - Charges that reflect the loss in service value of the transit system's assets

**Operating and Administrative Revenues**

<p><b>(401) passenger fares for transit services -</b> Revenue earned from carrying passengers along regularly scheduled routes</p>	<p><b>(410) local special fare assistance -</b> Funds obtained from local government units to help cover the difference between full adult fares and special reduced fares (includes local social service contract funds)</p>
<p><b>(402) special transit fares -</b> Revenues earned for rides given in regular transit service, but paid for by some organization rather than by the rider, and for rides given along special routes for which revenue may be guaranteed by a beneficiary of the service</p>	<p><b>(411) state cash grants and reimbursements -</b> Funds obtained from state government to assist in paying the cost of operating transit services (includes Commission for the Transportation Disadvantaged grant funds)</p>
<p><b>(403) school bus service revenues -</b> Revenues earned from operating vehicles under school bus contracts</p>	<p><b>(412) state special fare assistance -</b> Funds obtained from state government to help cover the difference between full adult fares and special reduced fares (includes state social service contract funds)</p>
<p><b>(404) freight tariffs -</b> Revenues earned from carrying freight on runs whose primary purpose is passenger operations</p>	<p><b>(413) federal cash grants and reimbursements -</b> Funds obtained from the Federal government to assist in paying the cost of operating transit services. Include and identify the source of unrestricted Federal Funds used as match</p>
<p><b>(405) charter service revenues -</b> Revenues earned from operating vehicles under charter contracts</p>	<p><b>(414) interest income -</b> Revenues earned from the lending or deposit of funds</p>
<p><b>(406) auxiliary transportation revenues -</b> Revenues earned from operations closely associated with the transportation operations (e.g., concessions, advertising, automobile ferriage, etc.)</p>	<p><b>(430) contributed services -</b> The receipt of services (not cash) from another entity where such services benefit transit operations and the transit operator is under no obligation to pay for the services</p>
<p><b>(407) non-transportation revenues -</b> Revenues earned from activities not associated with the provision of the transit system's transit service (e.g., sale of maintenance services, rental of revenue vehicles, rental of buildings and other property, investment income, parking lot revenue, etc.)</p>	<p><b>(431) contributed cash -</b> The receipt of funds from another entity where such funds benefit transit operations and the transit operator is under no obligation to repay the funds</p>
<p><b>(408) taxes levied directly by transit system -</b> Tax revenues to transit systems that are organized as independent political subdivision with their own taxation authority</p>	<p><b>(440) subsidy from other sectors of operations -</b> Funds obtained from other sectors of a transit company's operations to help cover the cost of providing transit service</p>
<p><b>(409) local cash grants and reimbursements -</b> Funds obtained from local government units to assist in paying the cost of operating transit services</p>	

### **Form D-1: Capital Request**

Applicants must complete the “Capital Request”, Form D-1, provided in the application. The upper part of the form (vehicle requests) covers vehicles; the lower (equipment requests), covers other capital equipment such as radios, computer software, computer hardware, etc.

**NOTE: In the case of vehicles, applicants should be sure to indicate whether the new vehicle is to replace (R) an older vehicle or expand (E) the fleet by adding a new vehicle. The length of the vehicle, the number of passenger seats & wheelchair positions, lift or ramp, and the type of fuel is also important because this affects the cost. The make of the vehicle should not be shown on the form.**

Applicants should refer to “What’s on the Market”, located in the Appendix, the vehicle types available, but should also reference the TRIPS website to access the contracts for the vehicle(s) they are interested in to estimate the cost to fulfill their agency’s specific needs and the amount of their request. The appropriate FDOT District Office or the Center for Urban Transportation Research (see “What’s on the Market”) may be contacted for assistance.

### **Form 424: Application for Federal Assistance**

The standard Application for Federal Assistance (Form 424) must be filled out in its entirety for Section 5339 applications, and for the local clearinghouse submission (only if the grant is for facilities). A sample of the standard form is located on the next page of this manual. Applicants that are not using TransCIP to submit their application should print a copy of the completed Form 424, and include it with this application. This form must be used for ALL applications.

No pre-application process is used in this program; therefore, all submissions are applications.

The code assigned to the Section 5339 Program in the Catalog of Federal Domestic Assistance is 20.526. This code should be shown in Section 10 of the form followed by the title: “Bus and Bus Facilities for Rural Areas Program.” **Congressional Districts** and **DUNS Numbers** can be obtained from the respective linked documents.

**Form 424 Instructions**

Item	Entry
1.	Type of Submission should be "Application"
2.	Type of Application should be "New"
3.	"Not Applicable"
4.	"Not Applicable"
5. A	"Not Applicable"
5 B	Federal Award Identifier (FTA Grant Number) is not needed at this time. This number will be assigned after submission of State POP.
6.	State use only (if applicable)
7.	State Application Identifier is "1001"
8.a, b, c, d e, f	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter employer/taxpayer identification number (EIN/TIN) as assigned by Internal Revenue Service, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.
9.	Type of Applicant 1: Select Applicant Type
10.	Name of Federal Agency should be "Federal Transit Administration"
11.	Catalog of Federal Domestic Assistance Number is: 20.526 CFDA Title should be: Bus and Bus Facilities Formula Program
12.	"Not Applicable"
13.	"Not Applicable"
14.	List the areas affected by project (cities, counties, states etc.). Can be submitted on a separate piece of paper.

- 
15. Enter a brief descriptive title of the project. If appropriate (e.g., construction or real property projects), attach a map showing project location. This is where the applicant should define if the project is for capital or operating, e.g. capital purchase of vehicle(s) or operating assistance for transit services.
- 
16. List the applicant's Congressional District and any District(s) affected by the program or project.
- 
17. Enter the proposed start date and end date of the project (dates must be within the same 12-month period/calendar year).
- 
18. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item.
- 
19. Check the applicable box
- 
20. Check the applicable box. If "yes", provide explanation in attachment.
- 
21. Must be signed by the governing board representative that was authorized to sign this particular application.
-

Application for Federal Assistance SF-424		
<b>* 1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<b>* 2. Type of Application:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
<b>* 3. Date Received:</b> <input type="text"/>	<b>4. Applicant Identifier:</b> <input type="text"/>	
<b>5a. Federal Entity Identifier:</b> <input type="text"/>	<b>5b. Federal Award Identifier:</b> <input type="text"/>	
<b>State Use Only:</b>		
<b>6. Date Received by State:</b> <input type="text"/>	<b>7. State Application Identifier:</b> <input type="text"/>	
<b>8. APPLICANT INFORMATION:</b>		
<b>* a. Legal Name:</b> <input type="text"/>		
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> <input type="text"/>	<b>* c. Organizational DUNS:</b> <input type="text"/>	
<b>d. Address:</b>		
<b>* Street1:</b> <input type="text"/>	<input type="text"/>	
<b>Street2:</b> <input type="text"/>	<input type="text"/>	
<b>* City:</b> <input type="text"/>	<input type="text"/>	
<b>County/Parish:</b> <input type="text"/>	<input type="text"/>	
<b>* State:</b> <input type="text"/>	<input type="text"/>	
<b>Province:</b> <input type="text"/>	<input type="text"/>	
<b>* Country:</b> <input type="text"/>	<input type="text" value="USA: UNITED STATES"/>	
<b>* Zip / Postal Code:</b> <input type="text"/>	<input type="text"/>	
<b>e. Organizational Unit:</b>		
<b>Department Name:</b> <input type="text"/>	<b>Division Name:</b> <input type="text"/>	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
<b>Prefix:</b> <input type="text"/>	<b>* First Name:</b> <input type="text"/>	
<b>Middle Name:</b> <input type="text"/>	<input type="text"/>	
<b>* Last Name:</b> <input type="text"/>	<input type="text"/>	
<b>Suffix:</b> <input type="text"/>	<input type="text"/>	
<b>Title:</b> <input type="text"/>		
<b>Organizational Affiliation:</b> <input type="text"/>		
<b>* Telephone Number:</b> <input type="text"/>	<b>Fax Number:</b> <input type="text"/>	
<b>* Email:</b> <input type="text"/>		

<b>Application for Federal Assistance SF-424</b>		
<b>* 9. Type of Applicant 1: Select Applicant Type:</b> <input type="text"/>		
Type of Applicant 2: Select Applicant Type: <input type="text"/>		
Type of Applicant 3: Select Applicant Type: <input type="text"/>		
* Other (specify): <input type="text"/>		
<b>* 10. Name of Federal Agency:</b> <input type="text"/>		
<b>11. Catalog of Federal Domestic Assistance Number:</b> <input type="text"/>		
CFDA Title: <input type="text"/>		
<b>* 12. Funding Opportunity Number:</b> <input type="text"/>		
* Title: <input type="text"/>		
<b>13. Competition Identification Number:</b> <input type="text"/>		
Title: <input type="text"/>		
<b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b> <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>		
<b>* 15. Descriptive Title of Applicant's Project:</b> <input type="text"/>		
Attach supporting documents as specified in agency instructions. <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>		

<b>Application for Federal Assistance SF-424</b>	
<b>16. Congressional Districts Of:</b>	
* a. Applicant <input style="width: 100px;" type="text"/>	* b. Program/Project <input style="width: 100px;" type="text"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input style="width: 200px;" type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>17. Proposed Project:</b>	
* a. Start Date: <input style="width: 100px;" type="text"/>	* b. End Date: <input style="width: 100px;" type="text"/>
<b>18. Estimated Funding (\$):</b>	
* a. Federal	<input style="width: 150px;" type="text"/>
* b. Applicant	<input style="width: 150px;" type="text"/>
* c. State	<input style="width: 150px;" type="text"/>
* d. Local	<input style="width: 150px;" type="text"/>
* e. Other	<input style="width: 150px;" type="text"/>
* f. Program Income	<input style="width: 150px;" type="text"/>
* g. TOTAL	<input style="width: 150px;" type="text"/>
<b>* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?</b>	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input style="width: 50px;" type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input type="checkbox"/> c. Program is not covered by E.O. 12372.	
<b>* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
If "Yes", provide explanation and attach	
<input style="width: 200px;" type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)</b>	
<input checked="" type="checkbox"/> <b>** I AGREE</b>	
<small>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small>	
<b>Authorized Representative:</b>	
Prefix: <input style="width: 100px;" type="text"/>	* First Name: <input style="width: 250px;" type="text"/>
Middle Name: <input style="width: 250px;" type="text"/>	
* Last Name: <input style="width: 450px;" type="text"/>	
Suffix: <input style="width: 100px;" type="text"/>	
* Title: <input style="width: 350px;" type="text"/>	
* Telephone Number: <input style="width: 200px;" type="text"/>	Fax Number: <input style="width: 250px;" type="text"/>
* Email: <input style="width: 550px;" type="text"/>	
* Signature of Authorized Representative: <input style="width: 300px;" type="text"/>	* Date Signed: <input style="width: 100px;" type="text"/>

## **Form D-2: Current Vehicle and Transportation Equipment Inventory Form**

Applicants must complete the “Current Vehicle and Transportation Equipment Inventory”. All columns of the form must be completed. The form must include:

- A current list of all vehicles and equipment used by the applicant to transport individuals, including those bought in previous years with Federal funds
- Those vehicles bought with other than Federal funds
- Those vehicles now on order
- Those vehicles to be ordered with grant awards made in previous years
- An asterisk (\*) should be placed next to the model year of vehicles to be replaced with the grant being applied for with this application
- Vehicles can only be listed as “replacement” once. If a replacement award was previously given for a vehicle, that vehicle cannot be listed for replacement again
- Vehicles operated by the applicant’s contractor or lessee should also be identified, and the name of the contractor/lessee shown in Form B of the application

## Part III: Managerial Capability

### **Exhibit I: Leasing**

Exhibit I must be completed by all applicants.

### **Exhibit J: Certification of Equivalent Service**

If the applicant wants to purchase non-accessible vehicles (does not have wheel chair lifts or ramp) for demand response service, the "Certification of Equivalent Service" must be completed and included in the application.

### **Exhibit K: Title VI Program**

If an applicant has not previously submitted their Title VI plan to the Department, a copy must be included.

### **Exhibit L: Local Clearinghouse Agency/RPC**

If the grant application is for facilities, please include a copy of the cover letter submitted to the local clearinghouse agency or RPC.

Executive Order 12372 requires a review of all Federal grants to ensure compliance with the local and state planning process. Therefore, prior to submission of an application to the FDOT District Office, copies of the application must be submitted to the appropriate Local Clearinghouse/Regional Planning Council (see Appendix). The appropriate clearinghouse agency should be contacted to determine the number of copies required for local review. The date the application was submitted to the local clearinghouse for review must be listed under 19 on the Standard Form 424.

- Support letters from the local clearinghouse must be submitted to the District Office before a Section 5339 Award can be made.
- Applicants should send their applications to the LOCAL Clearinghouse/Regional Planning Council; NOT TO THE STATE CLEARINGHOUSE

### **Exhibit M: Protection of the Environment**

Most transit projects funded under Section 5339 will be classified by FTA as categorical exclusions. Examples of categorical exclusions include purchase of transit vehicles, and purchase of office equipment. If the proposed project is for construction or acquisition of facilities or other buildings, further evaluation may be required before a determination can be made that the project is a categorical exclusion. A Categorical Exclusion (CE) is described in 40 Code of Federal Regulations (CFR) 1508.4 and 23 CFR 771, as a project which, based upon past experience with similar actions, does not individually or cumulatively have a significant environmental effect, and is excluded from the requirement to prepare an Environmental Assessment (EA) or an Environmental Impact Statement (EIS). Therefore, a project that qualifies as a CE generally requires a lower level of documentation. These projects do not bring significant impacts to planned growth or land use for the area; do not require the relocation of significant numbers of people; do not have a significant impact on any natural, cultural, recreational, historic, or other resources; do not involve significant air, noise, or

water quality impacts; do not have significant impacts on travel patterns; and do not otherwise individually or cumulatively have any significant environmental impacts.

Types of projects that have been determined by FTA to qualify as CEs, and normally do not require any further National Environmental Policy Act (NEPA) approvals by FTA, are listed in 23 CFR 771.118(c). Additional actions which meet the criteria for a CE but may be designated as CEs only after FTA approval are listed in 23 CFR 771.118 (d). In these cases, the applicant must submit documentation which demonstrates that the specific conditions or criteria for these CEs are satisfied and that significant environmental effects will not result.

To meet the requirements of a CE determination, a proposed project may not be impermissibly segmented from a larger project. This means that a project may be proposed to be implemented in phases or as part of a larger undertaking, but must still demonstrate independent utility, connect logical termini, and should not restrict consideration of alternatives. In order to meet a CE designation, a proposed project cannot have substantial controversy on environmental grounds, or significant impact to properties protected by Section 4(f) of the US DOT Act (public park and recreation lands, wildlife and waterfowl refuges, and historic sites) or Section 106 of the National Historic Preservation Act (cultural resources including historic and archaeological sites). The presence of features such as wetlands and floodplains within the project area would likely also require additional documentation.

The applicant should contact the Florida Department of Transportation (FDOT) District Office for assistance with determining the level of documentation required. The FDOT will use a description of the proposed project, along with any maps or figures to assist with determining if a proposed project is likely to meet FTA criteria for a CE.

# Appendix

## What’s on the Market

Visit [FDOT TRIPS website](#) for all active contracts. *The Florida Department of Management Services Contract can be found at [Florida Department of Management DMS](#)*

### Useful Life Requirements

ASSET	USEFUL LIFE	SOURCE
<b>BUSES/LIGHT VEHICLES</b>		
Large heavy-duty transit buses 35'-40'	12 years/500,000 miles	FTA Circular 5010.1D
Small heavy-duty transit buses 30'	10 years/350,000 miles	<a href="#">TRIPS Florida</a>
Medium medium-duty transit buses 25'-35'; Sprinter bus	7 years/250,000 miles	<a href="#">TRIPS Florida</a>
Medium light-duty transit buses, cutaway, MV-1, Minivan	5 years/200,000 miles	<a href="#">TRIPS Florida</a>
Minibus	4 years/100,000 miles	<a href="#">TRIPS Florida</a>
<b>TROLLEYS</b>		
Fixed guideway steel-wheeled	25 years	FTA Circular 5010.1D
Fixed guideway electric, rubber tires	15 years	FTA Circular 5010.1D
Simulated trolleys (rubber tires, internal combustion engine)	Refer to bus useful life	FTA Circular 5010.1D
Rail Vehicles	25 years, see circular	FTA Circular 5010.1D
<b>FERRIES</b>		
Passenger ferries	25 years	FTA Circular 5010.1D
Other ferries (w/o refurbishment)	30 years	FTA Circular 5010.1D
Other ferries (w/refurbishment)	60 years	FTA Circular 5010.1D
<b>FACILITIES</b>		
Buildings- concrete, steel and frame construction	40 years	FTA Circular 5010.1D
ASSET	USEFUL LIFE	SOURCE

OTHER CAPITAL EQUIPMENT		
Fare boxes	10 years	Manufacturer /Industry Standards
Computer hardware	4 years	GAAP Guidelines/Industry Standards
Computer hardware- Domain controllers	4 years	Industry Standards
Mobile data computers (real-time dispatching)	7 years	Manufacturer
Computer software	4 years	GAAP Guidelines/Industry Standards
Computer software- HASTUS	4 years	Manufacturer
Computer software- ADP	4 years	Industry Standards
Scheduling/fleet management software	4 years	GAAP Guidelines/Industry Standards
Communications equipment, mobile radios, base stations	10 years	GAAP Guidelines/Industry Standards
Security/Surveillance equipment, cameras for vehicles	Same as useful life of vehicle	
Security/Surveillance equipment, cameras for buildings	10 years	Industry Standards
Shop equipment- Alignment machines, bus washing, tire changers	10 years	Manufacturer
Bus lift	20 years	Manufacturer
Wheelchair lift	Same as useful life of vehicle	
Bus shelters	15 years	Industry Standards
Bus shelter/stop benches	10 years	Manufacturer
Office furniture	10 years	Manufacturer
Carpeting	5 years	Manufacturer
Repeater tower	25 years	Manufacturer
Engine for bus/trolley	4 years	Industry Standards
Bus stop signage	10 years	Industry Standards
HVAC parts	5 years	Grantee experience
Asphalt parking lot	15 years	GASB
Thermal diesel particle filter cleaner	10 years	Manufacturer
Commercial roofing	15 years	Industry Standards

## Recipient Risk Assessment Tool

***For Department use only. Included here for informational purposes.***

Prior to awarding FTA funds, the Department is required to conduct a risk assessment of the potential grantee/sub-recipient. The terms grantee and sub-recipient are interchangeable for the purposes of this tool.

The requirements for the risk assessment are outlined in 2 CFR 200 and FTA Circular 5010.E. The Department will consider the following items in order to evaluate the risk posed by each applicant:

- Financial stability, including the applicant’s financial condition and financial capability;
- Quality of the applicant’s management systems;
- History of performance, particularly previous experience of the applicant in managing federal awards provided by the Department;
- Audit reports and any associated findings;
- [SAM.gov](http://SAM.gov) check for applicant’s prior performance.

To complete the risk assessment, the following questions must be answered in regards to the applicant. If the District decides to award to the applicant, then the risk assessment documentation becomes part of the project file. Should the District decide not to award to the applicant, then the risk assessment remains as part of the grantee selection process.

1. There are two basic aspects to financial capacity/stability: the general financial condition of the grantee and the financial capability of the grantee. Satisfactory financial condition means that the grantee can pay its current costs from existing revenues. Satisfactory financial capability means the grantee’s ability to meet its expansion costs in addition to its existing operations from projected revenues. *Does the applicant meet the criteria for satisfactory financial capability and condition? Provide supporting documentation or explanation.*

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2. Describe the applicant’s management systems. Does the organization’s structure clearly define, assign, and delegate appropriate authority for all duties? Are responsibilities segregated within the organization to ensure that adequate internal checks and balances exist? Does the applicant have written operating procedures that are simply stated, yet meet the applicant’s operating, legal, and regulatory requirements?

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3. Document the applicant’s history of performance. Has local match been readily available? Are invoices submitted in a timely manner?

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4. Review previous audit reports. Does the applicant have any unresolved audit findings? Are there reoccurring findings in the annual audit reports?

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5. Attach the screen shot of the [SAM.gov](https://sam.gov) check of the applicant.

Notice of Grant Award FFY2019/YR44–Sample

Date, Year

NOTICE OF GRANT AWARD FFY2019/YR44

SECTION 5339 BUS AND BUS FACILITIES CAPITAL ASSISTANCE PROGRAM

Congratulations, based on your application for Federal Assistance under the Federal Transit Administration’s Section 5339 Program, the Florida Department of Transportation (Department) hereby makes the following Federal grant award to:

Name of Entity:	
Address:	
FEIN:	
DUNS:	
Entity’s Fiscal Period (Start/End Date):	
FM#:	
Federal Award Identification Number (FAIN):	
Vendor number: (as registered in <a href="#">My Florida Marketplace</a> )	
Federal Award Date:	

Below are the *estimated*, not actual, project costs of your Federal award:

Capital Item Description	Estimated Total Cost	Estimated Federal Share 80%	Estimated State Share 10%	Estimated Local Share 10%
_____	\$_____	\$_____	\$_____	\$_____

**Florida Department of Transportation**

Award Approved by: \_\_\_\_\_

Date: \_\_\_\_\_

Name and Title: \_\_\_\_\_

FDOT will purchase all vehicles awarded to successful applicants per FDOT’s *Guidelines for Acquiring Vehicles*.

The agency is responsible for purchasing awarded equipment in accordance with the Procurement Guidance for Transit Agencies Handbook (overview in Exhibit 3). If the procurement procedures in this handbook are not followed, the agency will not be eligible for reimbursement.

**Initial Here to Acknowledge:** \_\_\_\_\_

The agency will be responsible to provide a 10% local match towards the total project cost. If actual costs are greater than the estimated total cost, it will be the responsibility of your agency to provide the difference. If actual costs are less than the estimated total cost, the difference will remain in the Department’s general program fund and will be used to advance any remaining grant requests.

**Initial Here to Acknowledge:** \_\_\_\_\_

**Please contact the FDOT Contractor, Lazara Stinnette,  
at 813-974-0695 or [lstinnette@ctr.usf.edu](mailto:lstinnette@ctr.usf.edu) to arrange purchase of the above items**

The value of this Federal award for a passenger vehicle(s) and/or equipment should be considered noncash assistance. As a sub-recipient of this Federal award your Agency may be subject to the single audit requirements established by OMB Circular A-133, for fiscal years beginning before December 26, 2014, and the requirements of 2 CFR Part 200, Subpart F – Audit Requirements, for fiscal years beginning on or after December 26, 2014.

Exhibit 1 and Exhibit 2 to this Notice of Grant Award provide the required Federal award identification and information needed to comply with the single audit requirements. When determining amounts of Federal awards expended in a fiscal year your Agency must consider all sources of Federal awards, including noncash contributions.

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## **ACCEPTANCE OF GRANT AWARD**

(To be completed and signed by the person authorized to accept Grant Awards.  
Please return to FDOT District Office Project Manager)

**The undersigned accepts the above described award and:**

\_\_\_\_\_ a. Reaffirms its assurances to FTA and FDOT as stated in Exhibits G, D, M and I of its application.

\_\_\_\_\_ b. Requests purchase of the vehicles/equipment in \_\_\_\_\_ month / \_\_\_\_\_ year.

Agency: \_\_\_\_\_

Accepted by: \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name and Title: \_\_\_\_\_

Agency vendor number as registered in [My Florida Marketplace](#)::

\_\_\_\_\_

**EXHIBIT 1**

**Federal Financial Assistance (Single Audit Act)**

**FEDERAL RESOURCES AWARDED PURSUANT TO THIS AGREEMENT ARE AS FOLLOWS:**

<b>CFDA No.:</b>	20.526
<b>CFDA Title:</b>	BUS AND BUS FACILITIES FORMULA PROGRAM FOR RURAL AREAS
<b>Award Amount:</b>	Refer to the Vehicle/Equipment delivery notice package for actual purchase price
<b>Awarding Agency:</b>	Florida Department of Transportation
<b>Indirect Cost Rate:</b>	Not Applicable
<b>**Award is for R&amp;D:</b>	Not Applicable

\*\*Research and Development as defined at §200.87, 2 CFR Part 200

**FEDERAL RESOURCES AWARDED PURSUANT TO THIS AGREEMENT ARE SUBJECT TO THE FOLLOWING AUDIT REQUIREMENTS:**

2 CFR Part 200 – Uniform Administrative Requirements, Cost Principles & Audit Requirements for Federal Awards

[www.ecfr.gov](http://www.ecfr.gov)

OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations

[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)

OMB Circular A-133 Compliance Supplement

[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)

**FEDERAL RESOURCES AWARDED PURSUANT TO THIS AGREEMENT MAY ALSO BE SUBJECT TO THE FOLLOWING:**

OMB Circular A-87, *Cost Principles for State, Local and Indian Tribal Governments*

[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)

OMB Circular A-110, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations*

[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)

49 USC 5310: Formula Grants for the Enhanced Mobility of Seniors and Individuals With Disabilities

<http://uscode.house.gov/browse.xhtml>

FTA Circular 9070.1G: Enhanced Mobility of Seniors and Individuals With Disabilities Program Guidance and Application Instructions

[FTA Circular 9070.1G](http://www.fta.gov/9070.1G)

Federal Funding Accountability and Transparency Act (FFATA) Sub-award Reporting System (FSRS)

[www.fsr.gov](http://www.fsr.gov)

## EXHIBIT 2

### Single Audit Requirements

The administration of resources awarded through the Department to the <<insert entity>> by this Agreement may be subject to audits and/or monitoring by the Department. The following requirements do not limit the authority of the Department to conduct or arrange for the conduct of additional audits or evaluations of Federal awards or limit the authority of any State agency inspector general, the State of Florida Auditor General or any other State official. The <<insert entity>> shall comply with all audit and audit reporting requirements as specified below.

- a. In addition to reviews of audits conducted in accordance with 2 CFR Part 200, Subpart F – Audit Requirements, monitoring procedures may include but not be limited to on-site visits by Department staff and/or other procedures including, reviewing any required performance and financial reports, following up, ensuring corrective action, and issuing management decisions on weaknesses found through audits when those findings pertain to Federal awards provided through the Department by this Agreement. By entering into this Agreement, the <<insert entity>> agrees to comply and cooperate fully with any monitoring procedures/processes deemed appropriate by the Department. The <<insert entity>> further agrees to comply and cooperate with any inspections, reviews, investigations or audits deemed necessary by the Department, State of Florida Chief Financial Officer (CFO) or State of Florida Auditor General.
- b. The <<insert entity>>, a non-Federal entity as defined by 2 CFR Part 200, Subpart F – Audit Requirements, as a subrecipient of a Federal award awarded by the Department through this Agreement is subject to the following requirements:
  - i. In the event the <<insert entity>> expends a total amount of Federal awards equal to or in excess of the threshold established by 2 CFR Part 200, Subpart F – Audit Requirements, the <<insert entity>> must have a Federal single or program-specific audit for such fiscal year conducted in accordance with the provisions of 2 CFR Part 200, Subpart F – Audit Requirements. **Exhibit \_\_** to this Agreement provides the required Federal award identification information needed by the <<insert entity>> to further comply with the requirements of 2 CFR Part 200, Subpart F – Audit Requirements. In determining Federal awards expended in a fiscal year, the <<insert entity>> must consider all sources of Federal awards based on when the activity related to the Federal award occurs, including the Federal award provided through the Department by this Agreement. The determination of amounts of Federal awards expended should be in accordance with the guidelines established by 2 CFR Part 200, Subpart F – Audit Requirements. An audit conducted by the State of Florida Auditor General in accordance with the provisions of 2 CFR Part 200, Subpart F – Audit Requirements, will meet the requirements of this part.
  - ii. In connection with the audit requirements, the <<insert entity>> shall fulfill the requirements relative to the auditee responsibilities as provided in 2 CFR Part 200, Subpart F – Audit Requirements.
  - iii. In the event the <<insert entity>> expends less than the threshold established by 2 CFR Part 200, Subpart F – Audit Requirements, in Federal awards, the <<insert entity>> is exempt from Federal audit requirements for that fiscal year. However, the <<insert entity>> must provide a single audit exemption statement to the Department at [FDOTSingleAudit@dot.state.fl.us](mailto:FDOTSingleAudit@dot.state.fl.us) no later than nine months after the end of the <<insert entity>>'s audit period for each applicable audit year. In the event the <<insert entity>> expends less than the threshold established by 2

CFR Part 200, Subpart F – Audit Requirements, in Federal awards in a fiscal year and elects to have an audit conducted in accordance with the provisions of 2 CFR Part 200, Subpart F – Audit Requirements, the cost of the audit must be paid from non-Federal resources (i.e., the cost of such an audit must be paid from the <<insert entity>>'s resources obtained from other than Federal entities).

- iv. The <<insert entity>> must electronically submit to the Federal Audit Clearinghouse (FAC) at <https://harvester.census.gov/facweb/> the audit reporting package as required by 2 CFR Part 200, Subpart F – Audit Requirements, within the earlier of 30 calendar days after receipt of the auditor's report(s) or nine months after the end of the audit period. The FAC is the repository of record for audits required by 2 CFR Part 200, Subpart F – Audit Requirements, and this Agreement. However, the Department requires a copy of the audit reporting package also be submitted to [FDOTSingleAudit@dot.state.fl.us](mailto:FDOTSingleAudit@dot.state.fl.us) within the earlier of 30 calendar days after receipt of the auditor's report(s) or nine months after the end of the audit period as required by 2 CFR Part 200, Subpart F – Audit Requirements.
- v. Within six months of acceptance of the audit report by the FAC, the Department will review the <<insert entity>>'s audit reporting package, including corrective action plans and management letters, to the extent necessary to determine whether timely and appropriate action on all deficiencies has been taken pertaining to the Federal award provided through the Department by this Agreement. If the <<insert entity>> fails to have an audit conducted in accordance with 2 CFR Part 200, Subpart F – Audit Requirements, the Department may impose additional conditions to remedy noncompliance. If the Department determines that noncompliance cannot be remedied by imposing additional conditions, the Department may take appropriate actions to enforce compliance, which actions may include but not be limited to the following:
  - 1. Temporarily withhold cash payments pending correction of the deficiency by the Agency or more severe enforcement action by the Department;
  - 2. Disallow (deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance;
  - 3. Wholly or partly suspend or terminate the Federal award;
  - 4. Initiate suspension or debarment proceedings as authorized under 2 C.F.R. Part 180 and Federal awarding agency regulations (or in the case of the Department, recommend such a proceeding be initiated by the Federal awarding agency);
  - 5. Withhold further Federal awards for the Project or program;
  - 6. Take other remedies that may be legally available.
- vi. As a condition of receiving this Federal award, the <<insert entity>> shall permit the Department, or its designee, the CFO or State of Florida Auditor General access to the <<insert entity>>'s records including financial statements, the independent auditor's working papers and project records as necessary. Records related to unresolved audit findings, appeals or litigation shall be retained until the action is complete or the dispute is resolved.
- vii. The Department's contact information for requirements under this part is as follows:

Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0450  
[FDOTSingleAudit@dot.state.fl.us](mailto:FDOTSingleAudit@dot.state.fl.us)

- c. The <<insert entity>> shall retain sufficient records demonstrating its compliance with the terms of this Agreement for a period of five years from the date the audit report is issued and shall allow the Department, or its designee, the CFO or State of Florida Auditor General access to such records upon request. The <<insert entity>> shall ensure that the audit working papers are made available to the Department, or its designee, the CFO, or State of Florida Auditor General upon request for a period of five years from the date the audit report is issued unless extended in writing by the Department.

### Exhibit 3: Procurement Process Overview

This information is intended to provide guidance on the processes for procurements when using state and federal dollars. Procurements should be in accordance with Chapter 287, Florida Statutes (F.S.), Chapter 60A, Florida Administrative Code (F.A.C.) and the Federal Transit Administration (FTA) Best Practices Procurement Manual. Additionally, geographic preferences are prohibited when procurements involve federal funds [reference: 49 CFR 18.36 (c)(1)(2) and FTA C 4220.1F, Ch. VI, Section 2.a(4)(g)].

Third Party Contracts refer to a recipient’s contract with a vendor or contractor, including procurement by purchase order or purchase by credit card, which is financed with Federal assistance awarded by FTA.

An agency should submit their procurement request to the District Representative for approval prior to completing the purchase. To complete the procurement request, the agency should follow these steps:

1. Determine the Funding Source (i.e. – federal, state, or local funds)
2. Determine type of procurement being requested (Examples are located in the Procurement Guidance for Transit Agencies Handbook)
  - Professional Services/Architectural Engineering Services
  - Operations/Management/Sub-recipients
  - Rolling Stock
  - Construction
  - Materials and Supplies
3. Determine level of procurement method
  - Micro Purchase–Procurements less than \$2,500
  - Small Purchases–Procurements greater than \$2,500 but less than \$35,000
  - Competitive Procurements–Procurements greater than \$35,000
  - Other methods listed in the Procurement Guidance for Transit Agencies Manual
4. Ensure that all potential vendors/contractors will accept the applicable federal clauses that relate to the procurement.
5. Complete the sub-recipient Procurement Checklist
6. Complete the appropriate third-party checklist from the Procurement Guidance for Transit Agencies Handbook. The checklist should notate where the applicable clause can be found in the supporting documentation.

For procurements that are categorized as a “Small Purchase”, a sample Vendor Small Purchase letter is in the Procurement Guidance for Transit Agencies Handbook. Agencies may utilize this letter as a template when third party agreements/contracts are necessary. This will ensure that the third party (vendor or contractor) accepts the applicable federal clauses.

## Local Clearinghouses / Regional Planning Councils (RPC)

Clearinghouse/RPC	Contact Information	Counties Covered
West Florida RPC 4081-A East Olive Rd. Pensacola, FL 32514	Austin Mount <a href="mailto:austin.mount@wfrpc.org">austin.mount@wfrpc.org</a> (850) 332-7976 (800) 226-8914	Bay, Escambia, Holmes, Okaloosa, Santa Rosa, Walton, & Washington
Apalachee RPC 2507 Callaway Rd. Suite 200 Tallahassee, FL 32303	Keith McCarron <a href="mailto:keith.mccarron@thearpc.com">keith.mccarron@thearpc.com</a> (850) 488-6211	Calhoun, Franklin, Gadsden, Gulf, Jackson, Jefferson, Leon, Liberty, Wakulla
North Central Florida RPC 2009 NW 67 <sup>th</sup> Place Gainesville, FL 32653-1603	Scott Koons <a href="mailto:skoons@ncfrpc.org">skoons@ncfrpc.org</a> (352) 955-2200 ext. 103	Alachua, Bradford, Columbia, Dixie, Gilchrist, Hamilton, Lafayette, Levy, Madison, Marion, Suwannee, Taylor, Union
Northeast Florida RPC 6850 Belfort Oaks Place Jacksonville, FL 32216	Eric Anderson <a href="mailto:eamderspm@nefrpc.org">eamderspm@nefrpc.org</a> (904) 279-0880 ext. 178	Baker, Clay, Duval, Flagler, Nassau, Putnam, St. Johns
East Central Florida RPC 309 Cranes Roost Blvd. Suite 2000 Altamonte Springs, FL 32701	Hugh W. Harling, Jr. <a href="mailto:harling@ecfrpc.org">harling@ecfrpc.org</a> (407) 262-7772	Brevard, Lake, Orange, Osceola, Seminole, Sumter, Volusia
Central Florida RPC Post Office Drawer 2089 Bartow, FL 33830	Ken Harley <a href="mailto:kharley@cfrpc.org">kharley@cfrpc.org</a> (863) 534-7130 ext. 103	DeSoto, Hardee, Highlands, Okeechobee, Polk
Tampa Bay RPC 4000 Gateway Center Blvd. Suite 100 Pinellas Park, FL 33782-6141	John Meyer <a href="mailto:johnm@tbrpc.org">johnm@tbrpc.org</a> (727) 570-5151 ext. 10	Citrus, Hernando, Hillsborough, Manatee, Pasco, Pinellas
Southwest Florida RPC 1926 Victoria Ave Fort Myers, FL 33901	Nicole Gwinnett <a href="mailto:ngwinnett@swfrpc.org">ngwinnett@swfrpc.org</a> (239) 338-2550 ext. 232	Charlotte, Collier, Glades, Hendry, Lee, Sarasota
Treasure Coast RPC 421 Southwest Camden Ave Stuart, FL 34994	Stephanie Heidt <a href="mailto:sheidt@tcrpc.org">sheidt@tcrpc.org</a> (772) 221-4060	Indian River, Martin, Palm Beach, St. Lucie
South Florida RPC 3440 Hollywood Blvd. Suite 140 Hollywood, FL 33021	Kathe Lerch <a href="mailto:klerch@sfrpc.com">klerch@sfrpc.com</a> (954) 985-4416	Broward, Miami-Dade, Monroe

## FDOT District Office Contacts

<b>District 1</b>		P.O. Box 1249 801 North Broadway Bartow, FL 33830-1249
Paul A. Simmons	(863) 519-2388 <a href="mailto:Paul.Simmons@dot.state.fl.us">Paul.Simmons@dot.state.fl.us</a>	Modal Development Administrator
Michelle Peronto	(863) 519-2551 <a href="mailto:Michelle.Peronto@dot.state.fl.us">Michelle.Peronto@dot.state.fl.us</a>	Transit Projects Administrator
Steven Felter	(239) 225-1972 <a href="mailto:Steven.Felter@dot.state.fl.us">Steven.Felter@dot.state.fl.us</a>	Transit Projects Coordinator Counties: Collier, Manatee & Sarasota
Kelley Fernandez	(239) 225-1982 <a href="mailto:Kelley.Fernandez@dot.state.fl.us">Kelley.Fernandez@dot.state.fl.us</a>	Transit Projects Coordinator Counties: Charlotte, Glades, Hendry & Lee
Charlene Ross	(863) 519-2390 <a href="mailto:Charlene.Ross@dot.state.fl.us">Charlene.Ross@dot.state.fl.us</a>	Transit Projects Coordinator Counties: DeSoto, Hardee, Highlands, Okeechobee & Polk
<b>District 2</b>		2198 Edison Ave, MS 2806 Jacksonville, FL 32204
Doreen Joyner-Howard	(904) 360-5650 <a href="mailto:Doreen.Joyner-Howard@dot.state.fl.us">Doreen.Joyner-Howard@dot.state.fl.us</a>	Manager
Janell Damato	(904) 360-5687 <a href="mailto:Janell.Damato@dot.state.fl.us">Janell.Damato@dot.state.fl.us</a>	Alachua, Baker, Clay, Nassau, Putnam, St. Johns
Sandra Collins	(386) 961-7870 <a href="mailto:Sandra.Collins@dot.state.fl.us">Sandra.Collins@dot.state.fl.us</a>	Bradford, Columbia, Dixie, Gilchrist, Hamilton, Lafayette, Levy, Madison, Suwannee, Taylor, Union
Theodis Perry	(904) 360-5414 <a href="mailto:Theodis.Perry@dot.state.fl.us">Theodis.Perry@dot.state.fl.us</a>	Duval
<b>District 3</b>		P.O. Box 607 Chipley, FL 32428-9990
Scott Walters	(850) 330-1553 <a href="mailto:Scott.Walters@dot.state.fl.us">Scott.Walters@dot.state.fl.us</a>	Manager
Debbie "Toni" Prough	(850) 330-1558 <a href="mailto:Debbie.Prough@dot.state.fl.us">Debbie.Prough@dot.state.fl.us</a>	

<b>District 4</b>		3400 W Commercial Blvd. Ft. Lauderdale, FL 33309
Larry Merritt	(954) 777-4683 <a href="mailto:Larry.Merritt@dot.state.fl.us">Larry.Merritt@dot.state.fl.us</a>	Manager
Jayne Pietrowski	(954) 777-4661 <a href="mailto:Jayne.Pietrowski@dot.state.fl.us">Jayne.Pietrowski@dot.state.fl.us</a>	Transportation Projects Specialist
Marie Dorismond	(954) 777-4605 <a href="mailto:Marie.Dorismond@dot.state.fl.us">Marie.Dorismond@dot.state.fl.us</a>	5339 Program Manager
<b>District 5</b>		133 S Semoran Blvd. Orlando, FL 32807
Brenda Young	(407) 482-7852 <a href="mailto:Brenda.Young@dot.state.fl.us">Brenda.Young@dot.state.fl.us</a>	Manager
Diane Poitras	(407) 482-7860 <a href="mailto:Diane.Poitras@dot.state.fl.us">Diane.Poitras@dot.state.fl.us</a>	Transit Programs Administrator
Jo Santiago	(407) 482-7875 <a href="mailto:Jo.Santiago@dot.state.fl.us">Jo.Santiago@dot.state.fl.us</a>	Transit Project Coordinator
Carlos Colon	(407) 482-7856 <a href="mailto:Carlos.Colon@dot.state.fl.us">Carlos.Colon@dot.state.fl.us</a>	Transit Project Coordinator
<b>District 6</b>		1000 N.W. 111 Avenue Miami, Florida 33172
Raymond Freeman	(305) 470-5255 <a href="mailto:Raymond.Freeman@dot.state.fl.us">Raymond.Freeman@dot.state.fl.us</a>	Transit Programs Administrator
<b>District 7</b>		11201 N McKinley Dr. MS-7500 Tampa, FL 33612
Ming Gao	(813) 975-6923 <a href="mailto:Ming.Gao@dot.state.fl.us">Ming.Gao@dot.state.fl.us</a>	Manager
Elba Lopez	(813) 975-6403 <a href="mailto:Elba.Lopez@dot.state.fl.us">Elba.Lopez@dot.state.fl.us</a>	
Dave Newell	(813) 975-6195 <a href="mailto:Dave.Newell@dot.state.fl.us">Dave.Newell@dot.state.fl.us</a>	5339 Program Manager

## Glossary

**Ambulatory** - A person who is able to walk and move about freely without being confined to a bed or wheelchair.

**Annual Operating Report (AOR)** - A report outlining the expenses and revenues incurred during the preceding 12 months.

**Applicant** - An agency applying for Section 5339 Federal Assistance. See also “new applicant” and “recurring applicant.”

**Authorizing Federal and State Legislation** - Legislation authorizing the Section 5339 program are: Fixing America’s Surface Transportation Act (FAST Act) Section 3006; 49 U.S.C. Section 5339; FTA Circular 9070.1G; Section 341.051, Florida Statutes; and Chapter 14-73, Florida Administrative Code. [Section 5339 FTA Circular](#).

**Corrective Action Plan (CAP)** – A required plan to address any deficiency and /or area of concern identified after FDOT completes a triennial review and inspection. For more information see FDOT’s Triennial Review Process as part of the [State Management Plan](#).

**Community transportation coordinator (CTC)** - A transportation entity recommended by an MPO, or by the appropriate designated official planning agency, as provided for in Sections 427.015(1), Florida Statutes, in an area outside the purview of an MPO, to ensure that coordinated transportation services are provided to the transportation disadvantaged population in a designated service area.

**Contractor** - The administering entity of the Florida Vehicle Procurement Program (FVPP) who is under contract to the Florida Department of Transportation to establish statewide vehicle contracts for the purpose of procuring vehicles at the lowest cost possible while ensuring that the best product is available for the program. The Contractor is also responsible to coordinate, assist as needed, and report in all procurement activities under the Section 5339 Program.

**Designated official planning agency** - A planning entity so designated by the Florida Commission for the Transportation Disadvantaged to conduct planning and support functions for the transportation disadvantaged services.

**Disabled person** - See elderly individual and persons with disabilities.

**Disadvantaged Business Enterprise (DBE)** - DBEs are for-profit small business concerns where socially and economically disadvantaged individuals own at least a 51% interest and also control management and daily business operations.

**District office** - Florida Department of Transportation District Public Transportation Office or District Office of Modal Development and/or staff.

**District program of projects (POP)** - A district listing of each applicant agency for which a grant award is proposed, a description of the equipment to be awarded, and the proposed Federal, state and local share of the project cost. The district program of project includes certification by the District Office that all applicants and projects so proposed either meet all program requirements or will meet all program requirements

before a Notice of Grant Award is executed.

**Eligible expenses** - Section 5339 funds may be used for the capital and/or operating expense of transportation services to seniors and/or individuals with disabilities. Eligible expenses are limited to buses, vans or other paratransit vehicles (including sedans and station wagons), radios and communications equipment, wheelchair lifts and restraints, vehicle rehabilitation, vehicle overhaul, data processing hardware/software, other durable goods such as spare components with a useful life of more than one (1) year and a per unit cost over \$300, initial installation costs, vehicle procurement/testing, vehicle inspection and vehicle preventative maintenance, passenger facilities related to Section 5339-funded vehicles, support facilities and equipment for Section 5339-funded vehicles, operating costs associated with providing transit service, costs associated with transit service that exceeds the requirements of the Americans with Disabilities Act of 1990, projects that improve access to fixed route service and decrease reliance by individuals with disabilities on complementary paratransit, and alternative to public transportation that assist seniors and individuals with disabilities with transportation. An applicant applying for preventative maintenance costs must have a District approved maintenance plan and a cost allocation if activities are performed in house. The Federal share for eligible capital expenses may not exceed eighty percent (80%).

**Eligible expenses, operating** - For the Section 5339 program, eligible operating expenses include the total administrative, management, and operation costs directly incident to the provision of public transportation services less operating revenues. The federal share for net eligible operating costs may not exceed fifty percent 50%.

**Eligible recipient, 5339** - For the Section 5339 Program, funds may be awarded to public agency Community Transportation Coordinators (CTCs), private-non-profit CTCs, and to private non-profit organizations providing transportation to seniors and/or persons with disabilities under a coordination agreement with a CTC. When the CTC is a private for-profit agency, the designated official planning agency responsible for designating the CTC may apply for Section 5339 funds, then sub-contract with the CTC for provision of service. Recipients must be either a CTC or providing service under the terms of a written agreement with a CTC. Agencies must keep their CTC Agreements current and valid at all times when receiving an award under the Section 5339 Program. Private taxi companies that provide shared-ride taxi service to the general public on a regular basis are eligible sub-recipients. "Shared-ride" means two or more passengers in the same vehicle who are otherwise not traveling together.

**Expanded service** - Adding a new service to an already existing system.

**FDOT control number** - Is assigned by the District once the vehicle has been purchased, received and titled to the recipient with the Department of Transportation as the first lienholder.

**Human service transportation** - Transportation services provided by or on behalf of a human service agency to provide access to agency services and/or to meet the basic, day-to-day mobility needs of transportation-disadvantaged populations, especially individuals with disabilities, older adults, and people with low incomes.

**Incurred** - Commitment or obligation to spend funds for goods to be received or services to be rendered.

**Individual with a disability** - An individual who, because of illness, injury, age, congenital malfunction, or

other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use effectively, without special facilities, planning or design, public transportation service or a public transportation facility.

**Job Access and Reverse Commute Program (JARC)** - The Federal Transit Administration formula grant program for projects relating to the development and maintenance of transportation services designed to transport welfare recipients and eligible low-income individuals to and from jobs and activities related to their employment, and for public transportation projects designed to transport residents of urbanized areas and rural areas to suburban employment opportunities.

**Large Urbanized Area** - An urbanized area (UZA) with a population of 200,000 or more individuals, as determined by the Bureau of Census.

**Limited English Proficiency (LEP)** - Individuals who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English can be limited English proficient, or "LEP." These individuals may be entitled to language assistance with respect to a particular type of service, benefit, or encounter. DOT recipients are required to take reasonable steps to ensure meaningful access to their programs and activities by LEP persons.

**Locally developed, coordinated public transit-human services transportation plan** - means a plan that identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes, provide strategies for meeting those local needs, and prioritizes transportation services for funding and implementation. Projects considered for Section 5339 funding must serve identified needs of the disabled population. A locally developed Transportation Disadvantaged Service Plan (TDSP) will qualify in most instances. All stakeholders identified in the circular must be included in the development of the TDSP.

**Metropolitan Planning Organization (MPO)** - MPOs are the policy and planning bodies, designated by the Governor, responsible for transportation planning in urbanized areas.

**New applicant** - An applicant for Section 5339 assistance that has not received an award in the last two fiscal years.

**New service** - A first time applicant starting a new service.

**Non-ambulatory** - A person who has a mobility impairment that prevents them from being able to walk or move about freely.

**Nonprofit organization** - A corporation or association determined by the U. S. Secretary of the Treasury to be an organization described by 26 U.S.C. Section 501(c) which is exempt from taxation under 26 U.S.C. Section 501(a) or one incorporated within Florida which is certified as not for profit by the Secretary of State.

**Notice of Grant Award (NOGA)** - A form used to notify a successful Section 5339 applicant that they have been selected to receive a grant award and for the applicant to accept the grant being offered as a Section 5339 grant recipient.

**One-way passenger trips** - A person who rides a transportation vehicle in one direction between two points for a specific purpose.

**Operating revenue** - For Section 5339, operating revenue includes the sum of all fares paid by passengers, whether such fares are paid at the time service is provided or via a prepaid arrangement such as passes or tokens. Operating revenue excludes revenues from contracts with social service agencies that pay for transportation of social service clients.

**Private organization** - Non-public organizations, bodies which are not municipalities or other political subdivisions of the State of Florida; are not public agencies or instrumentalities of one or more states; are not Indian Tribes (except private nonprofit corporations formed by Indian Tribes); are not public corporations, boards or commissions established under the law of any state; or are not subject to direct control by public authority, Federal, State, county, or municipal.

**Program of Projects (POP)** - A list of projects to be funded in a grant application submitted to the Federal Transit Administration (FTA) by the Florida Department of Transportation. The program of projects (POP) lists the sub-recipients and indicates whether they are private non-profit agencies or local governmental authorities, designates the areas served (including rural areas), and identifies any tribal entities. In addition, the POP includes a brief description of the projects, total project cost and Federal share for each project, and the amount of funds used for program administration from the ten percent (10%) allowed.

**Public agency**- An authority, commission, committee, council, department, division, bureau, board, section or any other unit or entity of the state or of a town, city, municipality, county or other local governing body.

**Public transit** - The transporting of people by conveyances or systems of conveyances, traveling on land or water, local or regional in nature, and available for use by the general public. Public transit specifically includes those forms of transportation commonly known as "paratransit" characterized by their non-scheduled, non-fixed route nature.

**Public Transportation Grant Agreement (PTGA)** - A contract between FDOT and a local sponsor of a transportation project, defining a project and FDOT's participation.

**Recipient** - The Florida Department of Transportation, a State Agency designated by the Governor to receive funds apportioned by formula to the States under Section 5339(b)(1), or a local government authority when Federal Highway Administration (FHWA) funds are flexed to Section 5339 to support services for individuals with disabilities.

**Recurring applicant** - An applicant for Section 5339 Federal Assistance who applies every year.

**Rural areas** - An area encompassing a population of fewer than 50,000 people that has not been designated in the most recent decennial census as an urbanized area by the Secretary of Commerce.

**Seniors** - An individual who is 65 years of age or older.

**Small Urbanized Area (UZA)** - A UZA with a population of at least 50,000 but less than 200,000, as determined by the Bureau of the Census.

**Sub-recipient** - A private non-profit organization, if the public transportation service provided is unavailable, insufficient, or inappropriate; or a governmental authority that is approved by the State to coordinate services for elderly individuals and individuals with disabilities or certifies that there are not any non-profit

organizations readily available in the area to provide the services.

**TransCIP** – FDOT’s Transit Grant Management System <https://fdot.transcip.com/>

**Transit Development Plan (TDP)** - A locally adopted document, addressing a minimum five-year time frame. It is prepared by the public transit provider, in cooperation with the appropriate Metropolitan Planning Organization. It is consistent with the applicable approved local government comprehensive plan. The TDP includes an assessment of the need for transit services in the local area, identifies the local transit policies, existing services and proposed service improvements, capital and operating costs of the proposed services, existing and proposed sources of funding and a staged implementation plan. A TDP is updated annually.

**Transportation disadvantaged** - Those persons who because of physical or mental disability, income status, or age, or who for other reasons, are unable to transport themselves or to purchase transportation and are, therefore, dependent upon others to obtain access to health care, employment, education, shopping, social activities, or other life-sustaining activities, or children who are handicapped or high-risk as defined in Chapter 411.202 F.S.

**Transportation Disadvantaged Service Plan (TDSP)** - A plan developed by the CTC and approved by the Local Coordinating Board that identifies service gaps and provides recommended strategies to provide service in areas of need. The TDSP may serve as the Local Coordinated Human Services Transportation Plan. The TDSP is updated annually but includes a five-year planning window.

**Transportation Improvement Program (TIP)** - A continuing, cooperative and comprehensive planning process that delineates transportation improvements recommended for Federal and state funding during the program period. The MPO submits the TIP to the Florida Department of Transportation as required by Chapter 339, Florida Statutes.

**Transportation operator contract** - A written contract between the CTC and the transportation operator prepared at the local level that outlines the terms and conditions for any services to be performed.

**Urbanized area** - An area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an urbanized area by the Secretary of Commerce

# Resources and Links

- [Congressional Districts](#)
- [Department of Management Services \(DMS\)](#)
- [Disclosure of Lobbying Activities](#)
- [DUNS Numbers](#)
- [Federal Audit Clearinghouse](#)
- [FTA Certifications & Assurances](#)
- [My Florida Marketplace](#)
- [National Transit Database \(NTD\) Glossary](#)
- [OMB Circular A-133](#)
- [Programs Requiring Executive Order 12372 Review](#)
- [Section 5339 FTA Circular](#)
- [Standard Form 424](#)
- [State Management Plan](#)
- [Sunbiz](#)
- [TRIPS Florida](#)

# End of Instruction Manual

5339 Grant Application Instruction Manual Revised on 20 August 2018

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