

STATE MANAGEMENT PLAN

FDOT Transit Office

December 2023





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List of Acronyms

- ADA Americans with Disabilities Act
- BRT Bus Rapid Transit
- CAP Corrective Action Plan
- CDL Commercial Driver's License
- CE Categorical Exclusions
- CFR Code of Federal Regulations
- CFRTA-LYNX Central Florida Regional Transportation Authority
- CO Central Office
- CTC Community Transportation Coordinator
- CTD Commission for Transportation Disadvantaged
- DBE Disadvantaged Business Enterprise
- DTPW Department of Transportation Public Works
- EA Environmental Assessment
- ECHO Electronic Clearinghouse Operation
- EEOC Economic Employee Opportunity Commission
- EEO Equal Employment Opportunity
- EIS Environmental Impact Statement
- F.A.C. Florida Administrative Code
- FAST Fixing America's Surface Transportation
- FDOT Florida Department of Transportation
- FFR Federal Financial Reports
- FFATA Federal Funding Accountability and Transparency Act
- FHWA Federal Highway Administration
- FMCSA Federal Motor Carrier Safety Administration
- F.S. Florida Statutes
- FSRS FFATA Subaward Reporting System
- FTA Federal Transit Administration
- IIJA Infrastructure Investments and Job Act
- LCB Local Coordinating Board
- MPO Metropolitan Planning Organization
- MPR Milestone Progress Report
- NEPA National Environmental Policy Act
- NTD National Transit Database
- NSTP New Starts Transit Program
- OIG Office of Inspector General
- POP Program of Projects
- PTASP Public Transit Agency Safety Plan
- PTGA Public Transportation Grant Agreement
- RTAP Rural Technical Assistance Program
- SOP Standard Operating Procedure
- SMP State Management Plan



- SSO State Safety Oversight
- SSPP System Safety Program Plan
- STIP Statewide Transportation Improvement Program
- TAM Transit Asset Management
- TD Transportation Disadvantaged
- TDC Transportation Development Credits
- TDM Transportation Demand Management
- TDSP Transportation Disadvantaged Service Plan
- TIP Transportation Improvement Program
- TOP Transportation Operating Procedures
- TrAMS Transit Access Management System
- TRIPS Transit Research Inspection Procurement Services
- U.S.C. United States Code
- USOA Uniform System of Accounts
- UZA Urbanized Area
- VIN Vehicle Identification Number



1. Introduction

1.1 Background and Purpose

The Fixing America’s Surface Transportation (FAST) Act of 2015, as amended, includes formula grants for *Title 49 U.S.C.* programs. The act was reauthorized under the Infrastructure Investments and Jobs Act (IIJA) by Congress in 2021. The legislation includes formula grants for public transportation programs to be administered through the Federal Transit Administration (FTA) for fiscal years 2022-2026. These funds are provided as financial assistance to states through programs designed to develop new transit systems and improve, maintain, and operate existing systems.

The Florida Department of Transportation (FDOT) is designated under Chapters 20.05(1)(a) & (b), 20.23(1)(a), and 341.051(1)(a), Florida Statutes (F.S.), to receive and administer Federal Transit Administration (FTA) funds through the § 5305(d), § 5305(e), § 5310, § 5311 and § 5339 programs. The State of Florida also has established public transit funding programs that FDOT is responsible for managing and administering to eligible recipients. In this role, FDOT is required to manage the fiscal elements of these programs in accordance with its existing procedures, FTA guidelines, and other applicable state and federal regulations. The FDOT administered federal and state transit funding programs are listed in Table 1.

Table 1 FDOT-Administered FTA and State Transit Funding Programs

FTA Funding Programs	Type of Grant
Section 5305(e): Statewide Transportation Planning Program	Formula
Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Program	Formula
Section 5311: Formula Grants for Rural Areas Program	Formula
Section 5329: Public Transportation Safety Program	Formula
Section 5339(a): Buses and Bus Facilities Formula Program	Formula
Section 5339(b): Buses and Bus Facilities Competitive Program	Competitive
Section 5339(c): Low or No Emission Vehicle Program	Competitive
State Funding Programs	Type of Grant
Public Transit Block Grant	Formula
Commuter Assistance Program	Competitive
Park and Ride Program	Competitive
Service Development Program	Competitive
Transit Corridor Program	Competitive
Intermodal Funding	Competitive

FTA requires that each state develop and submit written policies and procedures that are used in administering FTA grant programs, referred to as the State Management Plan (SMP). This document serves as the SMP for the State of Florida.



The purpose of the SMP is to provide a comprehensive framework for the governing policies and procedures used to meet federal requirements for implementing the federal- and state-funded grants administered by Florida Department of Transportation (FDOT). It also serves as a guidance and training resource for FDOT program staff and its subrecipients. The SMP is supported by guidance documents, including program guidelines and Standard Operating Procedures (SOPs), describing FDOT's program management activities, processes, and subrecipient requirements in more detail. All SOPs related to the SMP can be found at the [FDOT Public Transit Office](#).

1.1.1 Other Companion Resources

As the designated recipient to receive and administer certain FTA funds and, as the agency responsible for administering state public transit grants, FDOT must comply with all applicable federal and state rules and regulations.

Title 49 U.S.C. - The United States Code (U.S.C.) is a compilation of most public laws currently in force, organized by subject matter. Title 49 of the U.S.C. governs the collection of laws addressing transportation, including all federal public transit funding programs referenced in this Manual.

2 CFR 200 - The United States Code of Federal Regulations (CFR) is the collection of regulations adopted by various federal agencies. Title 2 CFR Part 200 establishes uniform administrative requirements, cost principles, and audit requirements that must be followed by any non-federal entity receiving federal funds or grants.

FTA Circulars - As the main federal entity providing public transportation funding assistance, the FTA regularly publishes circulars to provide grantees with direction on program specific issues and statutory requirements. The primary applicable FTA Circulars include:

- Circular 9070.1G (July 7, 2014): Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions [§ 5310 Program]
- Circular 9040.1G (November 24, 2014): Formula Grants for Rural Areas Program Guidance and Application Instructions [§ 5311 Program]
- Circular 5100.1 (May 15, 2015): Bus and Bus Facilities Program Guidance and Application Instructions [§ 5339 Program]
- Circular 5010.1E (July 16, 2028): Award Management Requirements [Post-Award Administration and Management Activities]

FDOT Procedures and Forms - Official FDOT Forms and Procedures can be obtained from the FDOT Procedural Document Library: [Procedural Document Library \(fdot.gov\)](#). In the case of any content conflicts, the applicable FDOT Procedure or Form shall prevail.

FDOT Public Transportation Grant Agreement - A Public Transportation Grant Agreement (PTGA) is the agreement between FDOT and a Subrecipient that establishes a public transportation project and responsibilities related to the project. The PTGA defines the scope, budget, funding source, and any legal provision necessary for the project.

Refer to the applicable FDOT Procedure and Forms for more detail on the use of a PTGA and related exhibits for public transportation projects.



1.2 FDOT Mission and Vision

1.2.1 Mission Statement

The Department will provide a safe transportation system that ensures the mobility of people and goods, enhances economic prosperity, and preserves the quality of our environment and communities.

1.2.2 Vision Statement

As one FDOT team, we serve the people of Florida by providing a transportation network that is well planned, supports economic growth, and has the goal of being congestion and fatality free.

1.3 Roles and Responsibilities

The Governor has designated FDOT to administer FTA-funded programs in Florida under Chapters 20.05(1)(a) & (b), 20.23(1)(a), and 341.051(1)(a), F.S. The specific federal programs detailed in this document are summarized in Table 2. FDOT’s Public Transit Office administers all but the § 5305 program; which is administered by FDOT’s Office of Policy Planning. Each urbanized area in Florida applies for §5307 program funds directly with FTA; the exception being that FDOT’s Public Transit Office applies for these funds to FTA on behalf of SunRail.

As the designated recipient of these program funds, FDOT is responsible for monitoring a Subrecipient’s compliance with all federal applicable terms, conditions, and requirements for the grant.

Table 2 | FDOT-Administered Federal Transit Funding Programs

Federal Funding Program (Title 49 U.S.C.)	Capital	Operating	Other
§ 5305 Statewide Transportation Planning Program			✓
§ 5307 Formula Grants for Urbanized Areas	✓	✓	
§ 5310 Enhanced Mobility of Seniors and Individuals with Disabilities	✓	✓	
§ 5311 Formula Grants for Rural Areas	✓	✓	
§ 5311(f) Formula Grants for Rural Areas – Intercity Bus	✓	✓	
§ 5329 State Safety Oversight (SSO) Program			✓
§ 5339 Bus and Bus Facilities Program	✓		

FDOT operates a decentralized program structure that consists of a central Transit Office (Central Office) in Tallahassee and seven District Offices located throughout the state.



The *Award Management Process* delineates the specific roles and responsibilities throughout the life cycle of projects for the FTA Section 5310, 5311 and 5339 programs.

Figure 1 | FDOT District Map



The Central Office is responsible for the development of policies affecting public transportation, which is provided to the District Offices to be implemented. The Central Office consists of the following three sections – Grant Programs Administration Section, Transit Operations and Safety Oversight Section, and Transit Planning Section – that are responsible for developing policies for administering the federal and state transit programs, financial management activities, and all Transit Award Management System (TrAMS) functions.

- The **Grant Programs Administration Section** (commonly referred to as “CO Grants Team”) coordinates the FTA programs, completes applications and reports for FTA, monitors staff members in the District Offices, oversees procurement and financial management activities, and provides statewide training and technical assistance.
- The **Transit Operations and Safety Oversight Section** directs statewide vehicle procurements, manages the drug and alcohol program, oversees the safety oversight



program, manages the Rural Transportation Assistance Program (RTAP), oversees the Transit Asset Management (TAM) Plan, and facilitates statewide training and technical assistance.

- The **Transit Planning Section** manages planning and research programs including all activities associated with Metropolitan Planning Organizations (MPO), commuter assistance programs, National Transit Database (NTD) reporting, and provides statewide training and technical assistance.

In addition to managing FTA grant programs, the Central Office is also responsible for managing state grant programs (Table 3). Detailed descriptions of these programs are provided in Section 3 of this document.

Table 3 | FDOT-Administered State Transit Funding Programs

State Funding Program	FDOT Procedure	Capital	Operating
Florida Public Transit Block Grant Program	725-030-030	✓	✓
Public Transit Service Development Program	725-030-005	✓	✓
Transit Corridor Program	725-030-003	✓	✓
Park-and-Ride Program	725-030-002	✓	
Commuter Assistance Program	725-030-008	✓	
Intermodal Development Funding	--	✓	
State New Starts Funding	725-030-050	✓	

Staff members in the seven FDOT District Offices monitor the subrecipients of FTA and state program funds; issue call for projects; evaluate and award grant applications; provide on-site subrecipient oversight; and provide technical assistance to subrecipients as needed.

1.4 Coordination

Chapter 427, Florida Statutes mandates that funding for transportation disadvantaged individuals be coordinated through the Commission for Transportation Disadvantaged (CTD). The CTD allocates funding to the designated Community Transportation Coordinators (CTCs) providing transportation services to these riders. CTCs are required to develop Transportation Disadvantaged Service Plans (TDSPs) with local stakeholder groups in their respective areas. TDSPs are approved by local coordinating boards (LCBs) for each area.

For all FTA Section 5310 projects, the District Offices coordinate with the CTD to ensure that all locally developed TDSPs meet the requirements of the locally developed Coordinated Public Transit Human Services Transportation Plan. Subrecipients must have a valid CTC/CTD



Memorandum of Agreement and their updated TDSP on file with the District Office. Subrecipients are required to follow the provisions in the CTC agreement, including reporting and insurance requirements. Central Office and District Office staff also coordinate with CTCs on rural transportation planning issues.

The Transit Planning Section in the Central Office coordinates with the FDOT Office of Policy Planning and the Florida MPO Advisory Council on transit issues that affect Florida's MPOs. The Transit Planning Section also administers a robust statewide research and planning agenda, while participating in the University Research Centers program with several of Florida's state universities.

2. Program Management

This section details the program management activities on behalf of FDOT and applicable to all federal and state public transportation grant programs. The financial management oversight requirements in this section apply to both federal and state funding programs, unless specifically noted.

2.1 Legal

As a recipient of federal funds, FDOT is required to promptly notify the FTA of legal matters and to notify the U.S. DOT Office of Inspector General (OIG) of any instances relating to fraud or false claims under the False Claims Act.

FDOT requires subrecipients to provide anti-lobbying certifications in accordance with *49 CFR part 20*. These certifications ensure that no federally appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress, in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

If any funds other than federally appropriated funds have been used in the manner above, the proper Disclosure Form to Report Lobbying is submitted to FDOT Central Office. Subrecipient compliance with legal/lobbying requirements are verified by the District Office during the *Triennial Review Process*.

2.2 Financial Management and Capacity

2.2.1 Financial Policies, Procedures, and Organizational Structure

FDOT has an extensive financial management organizational structure to ensure federal grants are properly administered on the state and district level. FDOT's organizational structure clearly defines, assigns, and delegates fiduciary authority for all financial duties. FDOT requires that these duties be carried out by properly qualified personnel, are segregated within the organization, and are subject to review to ensure that adequate internal checks and balances



exist in accordance with *FTA Circular 5010.1E Award Management Requirements Chapter VI(2)(f)*.

- The individual FDOT District Financial Offices provide an audit review and forward subrecipient invoices to the Florida Department of Financial Services for payment.
- The FDOT Comptroller's Office processes Electronic Clearinghouse Operation (ECHO) drawdowns.
- The FDOT Office of Administration is responsible for monitoring the Department's overall compliance with Title VI requirements.
- The Grant Programs Administration Section, in cooperation with the FDOT Civil Rights Office, monitors and administers the Disadvantaged Business Enterprise and subrecipient Title VI programs.

In its role as the FTA designated recipient of grant program funds, FDOT must demonstrate the ability to match and manage FTA grant funds, cover cost increases, as appropriate, and conduct and respond to applicable audits. FDOT must also ensure that eligible subrecipients have the financial capacity to appropriately manage the funds received in accordance with all applicable award responsibilities and reporting requirements under *FTA Circular 5010.1E "Grant Management Requirements"* and *2 CFR part 200*. FDOT has developed a comprehensive assessment process to determine if a subrecipient has the appropriate financial procedures and policies to meet all federal and state requirements. A summary of the major components of a compliant financial management system are listed below, additional information can be found in the *Financial Management Oversight Manual*:

General Accounting Principals

- Follow generally accepted accounting principles (GAAP) and accrual-based accounting that recognizes transit cost center transactions for revenue when earned and expenses when incurred.
- Establish the "transit program" as a separate cost center within the financial system and ensure all expenses and revenues are accurately and identified therein.
- Reflect accurate, current, and complete disclosure of the financial results of each federal and state award or program supported by transparent sources.
- Demonstrate effective control and accountability for all funds, property, and other assets to adequately safeguard federal assets and ensure they are used solely for authorized purposes.

Financial Capacity

- Ensure personnel have the necessary technical capacity, are properly qualified for their assigned responsibilities, and are held fully accountable for the same.
- Submit expenses to FDOT for reimbursement consistent with the schedule established in Exhibit B of the PTGA (monthly, quarterly, or other). Invoices should be submitted to FDOT no later than 30 days following the end of each invoice period.

**Expense and Revenue Tracking**

- ☑ Match all revenues derived from the federal or state program with related expenses for the same period.
- ☑ Submit expenses based on the approved budget and scope for each federal or state project award as outlined in the PTGA.
- ☑ Trace and track direct expenditures associated with the federal or state program back to source documentation that is supported by cancelled checks, paid invoices, payroll, etc.
- ☑ Ensure consistent treatment of costs charged to the transit program. For example, if a cost is assigned as a direct cost, it cannot also be treated as an indirect cost. An indirect cost under one federal or state grant is considered an indirect cost under all federal or state grant programs for which funding is received by the recipient. Refer to Section 4 for more information on direct vs indirect costs.
- ☑ Monitor and compare actual expenditures to project budget to ensure no cost overruns.
- ☑ Ensure expenses charged to the federal or state funding program include only eligible costs. Refer to Section 4 for more types of eligible expenses.
- ☑ Ensure expenses are consistent with the approved project PTGA and are necessary and reasonable for proper and efficient performance or administration of the transit program.
- ☑ Request reimbursement for expenses incurred within the FDOT award periods, as stated in the PTGA. Expenses incurred outside of the award periods are not eligible.
- ☑ Ensure eligibility of local match source as defined by FTA requirements.
- ☑ Ensure no expenses are duplicated and charged to more than one grant source. Direct shared expenses must be allocated appropriately across grant programs. Refer to Section 4 for more information on allocating direct shared costs.
- ☑ Ensure availability of local match funding. Recipients should have adequate funds available to maintain transportation operations for a minimum of ninety (90) days given the cost reimbursement nature of federal and state grant programs.

Invoicing and Reporting

- ☑ Submit requests for reimbursements with clear, convincing, and reliable documentation that clearly pertains to the expenses entered on the invoice reimbursement form. Examples of supporting documentation includes, but is not limited to general ledger reports, payroll records, timesheet records, purchase orders, supporting service/trip data, invoices for goods/services purchased, and executed subcontracts with third party operators.
- ☑ Make prompt payment to third-party operators/contractors within 30 days of receipt of payment by FDOT, in accordance with the federal regulations. Exceptions may be made if FDOT reasonably believes the request for reimbursement to be improper, or for extenuating circumstances.
- ☑ Provide timely reports of all financially assisted activities in accordance with the financial reporting requirements and the PTGA.



Third-Party Contractor Monitoring

- ☑ Provide oversight of third-party operators to ensure financial information and requests for reimbursement conforms to the established third-party contracted rate performance and productivity data, other terms of third-party contract, and is supported with source documentation of data and expenses.

District Offices are responsible for processing invoices submitted by subrecipients for eligible expenses associated with each federal grant program in accordance with the schedules outlined in the subrecipient's Public Transportation Grant Agreement (PTGA). District Offices are responsible for verifying the information submitted on the invoice, including descriptions of project expenses and in-kind match (local share) sources. Invoice payments are processed and distributed through each District Office's Financial Services/Disbursements Office. The *Financial Management Oversight Manual* was developed to supplement the SMP by expanding on recipient activities necessary to support FDOT's ability to manage the fiscal elements of these programs in accordance with its existing procedures, FTA guidelines, and other applicable state and federal regulations. FDOT is also responsible for conducting oversight activities to ensure subrecipients receiving FTA funds utilize the funds in a manner consistent with the intended purpose and in compliance with regulatory and statutory requirements. Additional information about these activities can be found in the *Triennial Review Process*.

2.2.2 Single Audit Act

FDOT maintains financial oversight of subrecipients through single audit requirements. Subrecipients expending \$750,000 or more in federal funds during the federal fiscal year are required to undergo an annual single audit in accordance with *2 CFR part 200*. The annual single audit must be performed by an independent auditor who is required to determine and report on whether the subrecipient organization has internal control systems that reasonably assure it is managing federal assistance programs in compliance with applicable laws and regulations. The audit should include:

- A report of federal financial assistance
- The auditor's report on the study and evaluation of internal control system
- Compliance with applicable laws and regulations
- Reported findings or questioned costs

Any issues identified during the single audit are addressed and resolved before they are submitted to the Federal Audit Clearinghouse and FTA.

Subrecipients who expend less than \$750,000 in federal funds are exempt from federal audit requirements for that fiscal year. However, the subrecipient must provide a single audit exemption statement to the Department at FDOTSingleAudit@dot.state.fl.us no later than nine months after the end of their audit period for each applicable audit year. Additional guidance can be found in the *Single Audit Compliance Process*.



2.3 Award Management

FDOT Central Office is responsible for developing funding allocations for Section's 5310, 5311, and 5339 (Rural), as well as the Governor's Apportionment for Section's 5339 and 5307 Small Urban Areas. Once funding allocations are determined, the Central Office (CO) Grants Team notifies the District Offices of the allocation amounts for their respective regions. In addition to determining funding allocations, the CO Grants Team is also responsible for the following award management tasks:

- FTA Grant Application Submittal, Award and Execution
- Amendments/Budget Revisions
- Submitting Plans and Reports
- ECHO Draws
- Closeout of Grants

The CO Grants Team develops and submits FTA grant applications based on the approved Program of Projects (POP) provided by the District Offices. Upon execution of FTA grant awards, the CO Grants Team notifies the District Offices, the Comptroller's Office, and the Work Program Office. Within 60 days of execution, the CO Grants Team completes the reporting required by the Federal Funding Accountability and Transparency Act (FFATA) in the FFATA Subaward Reporting System (FSRS) for applicable grants.

The following plans and reports are submitted by the CO Grants Team in TrAMS for FTA review and approval:

- Annual Certifications and Assurances
- Quarterly and Annual Federal Financial Reports (FFRs) and Milestone Progress Reports (MPRs)
- Semiannual Disadvantaged Business Enterprise (DBE) report
- Quarterly Charter Reports
- FDOT Title VI, DBE, and Equal Employment Opportunity (EEO) program plans

The FDOT Comptroller's Office Accounts Receivable Section enters information about the executed grant awards in ECHO, a web application that allows FTA grant recipients to request payments from their grant awards (ECHO drawdowns). Prior to making ECHO drawdowns, the Accounts Receivable Section provides a spreadsheet of all expenditures to the CO Grants Team. The CO Grants Team verifies the federal award number, UZA, and scope code for each expenditure before approving the draw.

When an FTA grant is completed and all funds have been drawn down and/or all eligible activities have been performed, the CO Grants Team coordinates with the Accounts Receivable Section to confirm that all funds have been drawn.

Once confirmation is received that all funds have been drawn down, the CO Grants Team submits a final FFR and MPR before submitting a Closeout Amendment to FTA in TrAMS.



Further guidance on Central Office roles and responsibilities related to award management is outlined in the *Award Management Process*.

2.3.1 Transfer of Funds

FDOT allows for the limited transfer of funds between eligible Rural, Small Urban, and Large Urban areas in the Section 5310 program. FDOT's process of competitive solicitation for Section 5310 funding acts as the mechanism for consultation with local officials, publicly owned operators of public transportation, and nonprofit providers. The solicitation process includes public grant workshops and coordination with the MPOs within the geographic apportionment area. If insufficient applications are received to utilize the full apportionment in either population category, unused funds may be transferred to the eligible population category with unmet need.

If the need arises, FDOT prepares or updates the program of projects reflecting transfers between small urban and rural areas. Funds are not transferred between the actual programs.

2.3.2 Flexible Funds Transfer

Flexible funds are legislatively specified funds that can be used either for transit or highway purposes. Local planning organizations or the FDOT may elect to transfer Surface Transportation Program funds, Congestion Mitigation and Air Quality funds, and certain other flexible funds from Federal Highway Administration (FHWA) to FTA to use for transit projects. FTA's Section 5305(d) planning funds are merged with FHWA funding under a Consolidated Planning Grant. FDOT processes Surface Transportation Program fund transfers to the Section 5311 program at the request of the District Office.

2.4 Program Management and Oversight

FDOT has a comprehensive approach in managing FTA grant programs and subrecipient oversight.

2.4.1 State Management Plan Development

FDOT develops and submits the SMP to FTA for approval. The SMP outlines the requirements as well as the roles and responsibilities related to how FDOT manages FTA's grant programs. The Central Office seeks input from stakeholders by distributing draft versions of the SMP and allowing for comment. The Central Office then addresses and responds to comments where needed prior to submitting to FTA.

2.4.2 Public Involvement

FDOT incorporates public involvement in the development of the State Transportation Improvement Program (STIP) and Work Program planning process as codified in federal and state law (23 CFR 450.210 and 339.135, F.S.). The Work Program is a list of all planned transportation system improvements funded through FDOT for a five-year period, including transit projects funded with FTA funds. The STIP is a required federal planning document that covers a four-year period. Projects in the STIP and Work Program are drawn from the same database of projects. As a result, the STIP is a 4-year subset of the projects from FDOT's Five-Year Work Program.



Federal law (*23 CFR 450.210*) requires that each State include the opportunity for public review and comment during the development of the STIP. The law emphasizes early and continuous public involvement opportunities, reasonable public access to technical and policy information, and adequate public notice of activities. State law (*339.135, F.S.*) specifies that each FDOT District must hold at least one public hearing and requires coordination with each MPO. The law also requires that the Florida Transportation Commission (FTC) conducts a statewide public hearing for the Work Program.

The public involvement process begins at the District level (and Florida's Turnpike Enterprise). Each fall, the District Offices coordinate with MPOs and counties outside of MPO areas to develop a draft Tentative Five-Year Work Program. The public can participate and comment during this process during MPO and county commission board meetings. Each District Office then conducts a public hearing in at least one urbanized area where the public can participate. To enhance the public participation experience, FDOT developed a statewide web-based platform where the public can review the draft Tentative Five-Year Work Program, review projects through a GIS mapping application, learn about the scheduled public hearings, and submit comments. This Work Program Public Hearing website supports FDOT's process of encouraging participation by providing virtual options for participation in addition to the in-person public hearings.

After the public hearings, the District Office presents the draft Tentative Five-Year Work Program to each MPO board for final review where the public can participate and comment. All District Offices then submit their draft Tentative Five-Year Work Program to FDOT Central Office where it is compiled into a statewide Tentative Work Program and submitted to the Governor, legislature, FTC, and Department of Economic Opportunity (DEO). The FTC then conducts its own statewide public hearing in accordance with state law. This provides yet another opportunity for the public to comment and share their input. The draft Tentative Five-Year Work Program is then submitted to the Governor and legislature for budget approval. The FDOT Secretary adopts the Work Program by July 1st and then the STIP is submitted to FHWA for approval prior to September 30th. See [*FDOT Work Program/STIP Public Involvement Flow Chart*](#).

FDOT Central Office's public involvement activities are handled by the Office of Policy Planning and outlined in the [*FDOT Public Involvement Handbook*](#). Additional public involvement activities may be carried out by FDOT, subrecipients, and/or other partners. These activities include, but are not limited to:

- Public outreach for the Florida Transportation Plan
- Development of long-range statewide transportation plans and the STIP
- MPO development of Long-Range Transportation Plans (LRTP) and Transportation Improvement Plans (TIP)
- Facilitating workshops and public listening sessions
- Planning and corridor studies
- NEPA studies
- Construction and design public meetings



Chapter 6 of the *FDOT MPO Program Management Handbook* documents Federal and State public involvement requirements for MPOs in Florida. The chapter includes specific guidance related to Federal (*Section 6.3*) and State (*Section 6.4*) requirements for public involvement.

Section 6.3 Federal Requirements for Public Involvement describe the requirements for MPOs in conducting public involvement activities during the transportation planning process. In addition, other Federal regulations and executive orders affect how an MPO's public involvement activities are planned and conducted. These requirements are described in the sections:

- 6.3.1 Development of a Public Participation Plan (PPP)
- 6.3.2 Federal Public Involvement Requirements Specific to the LRT
- 6.3.3 Federal LRTP Requirements Specific to Florida
- 6.3.4 Federal Public Involvement Requirements Specific to the TIP
- 6.3.5 Public Involvement for the Federal Certification Review
- 6.3.6 Americans with Disabilities Act
- 6.3.7 Title VI of the Civil Rights Act
- 6.3.8 Executive Order 12898, Environmental Justice
- 6.3.9 Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency

2.4.3 Subrecipient Grant Awards

FDOT utilizes BlackCat Software (referred to as TransCIP), for grant management and data collection purposes. The TransCIP system assists FDOT with tracking and monitoring subrecipient grants throughout their lifecycle, including developing grant applications, implementing contracts and amendments, managing vehicle inventory, facilitating compliance monitoring activities, and documenting project closeout. The system allows the Central Office, District Offices, and subrecipients to exchange information through direct data entry and document uploads. The system also gives Central Office real-time access to consistent transit data across the seven districts.

District Offices are responsible for the selection and distribution of FTA grant applications and awards. This process includes the following steps:

- Subrecipient Grant Application Development
- Solicitation
- Evaluation
- Program Of Projects (POP) Development
- Grant Agreements

When District Offices are notified of their formula grant allocations, they begin the solicitation process. Notification of program availability is provided to the public and grant application packages are distributed to interested parties. These packages contain a full description of all state and federal program requirements as well as required application forms.



Grant applications are submitted through the TransCIP system. The application package is evaluated by the District Office in accordance with approved selection criteria. In some circumstances, the Central Office may elect to oversee project selection on behalf of the District Office.

Once projects are selected for award, the District Offices are responsible for developing and submitting their POPs to the CO Grants Team. The CO Grants Team then develops a statewide POP that is submitted to FTA. District Offices provide the CO Grants Team with the information required to maintain current and accurate POPs between the state and the federal government. The CO Grants Team also transmits a copy of the statewide POP to the Accounts Receivable Section in the Comptroller's Office each time it is amended.

When projects are selected for award, the District Office develops and executes a PTGA with the grant subrecipients. The PTGA states the terms and conditions of assistance by which the project will be undertaken and completed by the subrecipient. The PTGA provides a mechanism for the state to pass along applicable federal and state requirements to the subrecipient. All federally required clauses are included in the PTGA exhibits.

FDOT Central Office and District Offices are responsible for the following tasks related to PTGAs:

- Developing any required amendments to PTGAs
- Providing oversight of subrecipient procurement actions, and
- District Offices are responsible for monitoring subrecipient compliance with the state and federal requirements outlined in the PTGA.

Additional guidance related to grant application development, project evaluation, project selection, development of POPs, and initiating PTGAs is provided in the *Program Management Process*.

2.4.4 Subrecipient Oversight

Subrecipient oversight is conducted throughout the grant program lifecycle through a combination of desk reviews, virtual reviews, and site visits.

FDOT requires subrecipients to perform operations and maintenance activities in accordance with *Rule 14-90, Florida Administrative Code*. However, subrecipients who receive only Section 5310 grant funds (and not 5307, 5311, or 5339 funds) are exempt from *Rule 14-90, Florida Administrative Code*. FDOT requires these subrecipients to perform operations and maintenance activities in accordance with *Requirements for 5310-Only Subrecipients*.

District Offices perform comprehensive reviews every three years (Triennial Reviews) of subrecipients receiving FTA program funds. Triennial Reviews are performed to determine a subrecipient's compliance with applicable federal and state requirements.

Following each Triennial Review, FDOT outlines the areas reviewed; identifies compliance deficiencies, areas of concern, and observations; and provides recommendations or suggestions



for how deficiencies can be remedied. This information is documented in the TransCIP system for subrecipients to review.

After reviewing this information, subrecipients develop and submit Corrective Action Plans (CAPs) in the TransCIP system. The CAPs document how deficiencies are being remedied and provide a tentative timeframe for implementing these corrective actions. CAPs are submitted for District Office review and approval.

Corrective action status is monitored through communication with the District Office and information uploaded to TransCIP. FDOT provides technical assistance, training, or additional resources to subrecipients as needed during this process to assist them in meeting each compliance requirement. When all deficiencies have been addressed and corrective action approved by the District Office, the Triennial Review is considered complete and is closed out in the TransCIP system.

Further guidance on Triennial Reviews is provided in the *Triennial Review Process*.

2.5 Project Management

FDOT maintains a financial management system of financial reporting, accounting records, internal controls, and budget controls subject to standards specified in the grant award application, FTA Master Agreement, and other state laws enforced by the State Auditor and the Florida Department of Financial Services to ensure sound project management practices. All systems and procedures for financial management are in compliance with *2 CFR part 200*. Additionally, FDOT ensures that Force Account Plans are developed and implemented when applicable in accordance with *2 CFR part 1201*.

2.6 Transit Asset Management (TAM)

Per *49 CFR part 625*, TAM plans are required and include an asset inventory, condition assessment of inventoried assets, and a prioritized list of investments to improve the state of good repair of their capital assets.

The asset inventory should include, but is not limited to, the following information:

- Description of asset
- Identification or serial number
- The entity that holds the title to the asset
- Source of funding
- Date of acquisition
- Cost of asset
- Percentage of federal participation in the cost
- Physical location
- Use and condition
- Useful life of the asset



- Any disposition information, such as date of disposal and sale price, or where applicable, method used to determine its fair market value

Tier I participants who receive Section 5307 funds are responsible for developing and implementing TAM plans unique to their agency's internal processes. FDOT coordinated with Tier II participants who receive Section 5311 funds (but not 5307 funds) to establish a group TAM plan. The plan can be accessed at the [FDOT Public Transit Office](#). Subrecipients who receive only Section 5310 grant funds are exempt from developing a TAM plan.

2.7 Satisfactory Continuing Control

The FDOT Central Office has established procedures for the management of the rolling stock, equipment and real property funded projects using FTA pass-through funding. The purpose of these procedures is to ensure that assets remain available to be used for their originally authorized purpose throughout their useful life until disposition. FDOT has classified property management into three focus areas: rolling stock, equipment, and real property.

Rolling Stock

- Acquisition Requirements
- Insurance Requirements
- Inventory Content Requirements
- Inventory Inspection Processes
- Loss Prevention / Warranty
- Incidental Use
- Inactive Vehicles and
- Disposition

Equipment

- Inventory Content Requirements
- Loss Prevention
- Incidental Use and
- Disposition

Real Property

- Flood Plain Verification
- Insurance Requirements
- Inventory Content Requirements
- Inventory Inspection Processes
- Loss Prevention
- Incidental Use
- Inactive Vehicles



For further guidance on Central Office and District Office responsibilities and other procedures related to rolling stock, equipment, and real property, please reference the *Satisfactory Continuing Control for FTA Funded Assets Process*.

2.8 Maintenance

FDOT requires subrecipients to implement maintenance practices that ensure all vehicles, equipment, and facilities purchased with federal funds are maintained in safe operating condition.

Subrecipients who receive 5310 and 5311 funds are required to develop written preventative maintenance policies and procedures describing how their vehicles are maintained to meet or exceed useful life benchmarks. District Offices monitor subrecipient compliance with vehicle maintenance requirements during the *Triennial Review Process*. To aid in development of an approved vehicle maintenance plan, FDOT has developed the *Preventive Maintenance Guide* manual which is available on the [FDOT Public Transit Office](#). The *FDOT PM Maintenance Guide* is a resource to assist with developing comprehensive PM programs that emphasize passenger safety and useful life of the vehicle by featuring a combination of basic guidelines, industry standards, and technical support in public transit vehicle maintenance.

Additionally, subrecipients who have utilized 5311 funds to acquire facilities, such as buildings, shelters, and/or transfer stations, are required by FDOT to develop and maintain a facilities and equipment preventative maintenance plan that outlines procedures and practices for ensuring these facilities and equipment are properly maintained.

The Central Office provides extensive technical assistance resources in maintenance management for its subrecipients. Tools, templates, and guidance are provided at the [FDOT Public Transit Office](#).

2.9 Procurement

FDOT has a robust program for procurement compliance that includes plan templates, clause checklists, and sample procurement tools that are provided to subrecipients of Sections 5310, 5311, and 5339 funds.

Subrecipients are required to have procurement policies that meet state and federal requirements and thresholds for the use of state and federal monies. Procurements made by subrecipients must be in accordance with the PTGA, *Chapter 287, Florida Statutes; Chapter 60A Florida Administrative Code*; and the FTA Best Practices Manual. These procurements must be approved by FDOT prior to purchase.

FDOT complies with *2 CFR part 200.322* and ensures that each grant agreement or contract includes any clauses required by *Section 2 CFR part 200.326*. All other non-federal entities, including subrecipients of Sections 5310, 5311, and 5339 awards, follow the standards and provisions in *2 CFR part 200.318* through *326*.

Vehicle and equipment purchases are conducted directly by the subrecipients with FDOT oversight. There are several options for procuring vehicles:



- Procurements may be completed through an existing contract with another governmental agency, if eligible
- Procurements may be completed through grantee participation in a statewide procurement process; or
- Procurements may be made by subrecipients completing their own procurement process through a third-party vendor.

Buy America provisions for vehicle purchases, including pre-award and post-delivery, are monitored and completed by the Transit Research Inspection Procurement Services (TRIPS) Program Manager. FDOT established the TRIPS Program to solicit a statewide, multi-vendor, multi-vehicle contract for transit vehicles and associated vehicle equipment that contains all federal and state procurement rules and regulations. These vehicle contracts are available to all eligible grantees supported by federal capital grants. Participants of this procurement contract are provided complete procurement documentation to verify compliance with federal and state requirements.

Ensuring subrecipient compliance with Build America, Buy America requirements in the IJA for construction projects, and third-party procurements is the responsibility of the District Offices.

Additional roles, responsibilities, and guidance are further described in the [Procurement Guidance for Transit Agencies](#).

2.10 Disadvantaged Business Enterprise

FDOT ensures compliance with DBE requirements in accordance with *49 CFR part 26*. FDOT ensures a level playing field on which DBEs can compete fairly for federally funded contracts. FDOT ensures it will not discriminate on the basis of race, color, national origin, or sex in the award and performance of its contracts. This policy is passed along to subrecipients through their PTGA.

Subrecipients may adopt FDOT's DBE goal, and if they fail to meet their goal consistency, they must complete a shortfall analysis.

FDOT is responsible for federal reporting related to compliance with DBE requirements. Subrecipients are required to provide data to FDOT to assist with this reporting when necessary. Further guidance is provided in the *Transit Office Disadvantaged Business Enterprise Process*.

2.11 Title VI

FDOT ensures that no person shall, on the grounds of race, color, national origin, sex, religion, familial, age, income status, or disability be excluded from participating in, or be denied the benefits of, or be subject to discrimination under any program or activity receiving federal financial assistance without regard to whether specific projects or services are federally funded. The subrecipient ensures that all transit services and related benefits are distributed in an equitable manner. FDOT requires subrecipients to demonstrate their compliance with Title VI requirements.



District Offices receive a copy of the subrecipient's Title VI Plan prior to the execution of the PTGA for operating and capital projects. At the subrecipient's request, District Offices may provide technical assistance to the subrecipient in the development of their Title VI Plan. District Offices may also request technical assistance from the Central Office Transit Grants Team in assisting their subrecipients in meeting the Title VI requirements. FDOT concurs the Title VI Plan for subrecipients receiving Section 5310 and/or 5311 funds. This concurrence is valid for three years from Board adoption date.

FDOT's Equal Opportunity Office provides all Title VI, EEO, and DBE planning and goal setting functions. The CO Grants Team completes the required reporting. Further guidance is available in the ***Title VI Subrecipient Compliance Process***, the FDOT [Title VI Policy](#), and the [FDOT Title VI Program for Transit Programs](#).

2.12 Americans with Disabilities Act and Complementary Paratransit

FDOT requires subrecipients to comply with the *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*. Subrecipients are expected to have and follow a comprehensive ADA policy that includes but is not limited to:

- Regular staff training on accessibility and sensitivity topics
- Reasonable modification policy
- A service animal policy
- Proper use and maintenance of lifts and securement systems
- Personal care attendant policy
- Accommodations for visually and/or hearing disabled individuals (example: website or document accommodations)
- Paratransit service policy (if applicable)
- Complaint processes and policies and procedures
- Agency websites accommodate the visually impaired
- Other accessibility policies

FDOT requires subrecipients of federal funds to assure there is no discrimination against individuals with disabilities relative to provision of transportation service and facility accessibility in accordance with *Titles II and III of the ADA of 1990*. FDOT further requires each public entity subrecipient operating a fixed-route system provide complementary paratransit or other special service to individuals with disabilities that is comparable to the level of service provided to individuals without disabilities who use the fixed route system in accordance with *49 CFR part 37.121(a)*.

District Offices monitor and evaluate the subrecipient's compliance with *Section 504* and ADA requirements through the ***Triennial Review Process***.



ADA compliance responsibilities fall under several different program areas. Technical assistance with ADA issues can be requested by contacting the Transit Office. *References: Titles II and III of the Americans with Disabilities Act of 1990; 49 CFR part 27; 49 CFR part 37; 49 CFR part 38(b); FTA C 9040.1F; FTA C 9070.1G; FTA C 9050.1; and FTA C 9045.1*

2.13 Equal Employment Opportunity

FDOT ensures that subrecipients do not discriminate in their hiring practices on the basis of race, color, sex (including pregnancy), national origin, creed, or religion. All subrecipients are also required to take affirmative action to ensure that applicants are employed, and that during employment employees are given due consideration without regard to race, color, creed, national origin, sex, or age. Such action must include, but not be limited to: hiring, promotion or upgrading, demotion, transfer, recruitment or recruitment advertising, layoff or termination, disciplinary actions, rates of pay or other forms of compensation, and selection for training, including apprenticeship.

Subrecipients are required to submit a full or abbreviated EEO program based on the number of its transit-related employees and whether it reaches a monetary threshold. These programs are reviewed during the *Triennial Review Process*.

- A full EEO program is required of any subrecipient that both employs 100 or more transit-related employees (including temporary, full-time, or part-time employees) and either:
 - a) requests or receives in excess of \$1 million in capital and/or operating assistance in the previous Federal fiscal year; or
 - b) requests or receives in excess of \$250,000 in planning assistance in the previous Federal fiscal year.

Transit-related employees do not include subcontracted employees. However, if a subrecipient contracts with a contractor who has more than 100 transit-related employees, and that contractor receives grant monies that pass through the subrecipient, the contractor will need to develop and retain an EEO/Affirmative Action Plan that the subrecipient will provide oversight of.

The program requirements detail what must be included, such as designation of personnel responsibilities, a workforce analysis (including an identification of areas of underutilization), goals, and timetables, an assessment of past employment practices, proposed remedies for problem areas, and a monitoring and reporting system. Program updates are required every four years.

Formal communication mechanisms should be established to publicize and disseminate appropriate elements of the program, such as the EEO policy statement. The policy statement should be posted in areas easily accessed by employees. These policies must include procedures for filing complaints of discrimination, both internally as well as externally with the Federal Economic Employment Opportunity Commission (EEOC), a local or state human rights commission, and/or FTA.

- An abbreviated EEO program is required of any subrecipient that employs between 50-99 transit-related employees and either:



- a) requests or receives capital or operating assistance in excess of \$1 million in the previous Federal fiscal year, or
- b) requests or receives planning assistance in excess of \$250,000 in the previous Federal fiscal year.

Subrecipients that must prepare an abbreviated program are not required to conduct a utilization analysis with goals and timetables or to submit the EEO program to FTA every four years. Instead, these programs are reviewed during FTA's oversight reviews.

No EEO programs are required for subrecipients that fall below the transit-related employee or Federal assistance thresholds stated above. However, these subrecipients must have an approved EEO policy statement.

2.14 Charter Bus and School Bus

FDOT ensures that subrecipients agree to comply with *49 U.S.C. 5323(d)* and *49 CFR part 604*, which provides that recipients and subrecipients of FTA assistance are prohibited from providing charter service using federally funded equipment or facilities if there is at least one private charter operator willing and able to provide the service, except under one of the exceptions at *49 CFR part 604.9*. Any charter service provided under one of the exceptions must be "incidental," i.e., it must not interfere with or detract from the provision of mass transportation. Additional guidance on charter bus service can be found in the *Charter Service Technical Assistance, Monitoring and Reporting Process*.

Additionally, subrecipients are prohibited from providing school bus service in competition with private school bus operators unless the service qualifies and is approved by the FTA Administrator under an allowable exemption. Subrecipients who provide school bus service must also provide a policy for approval by FDOT District Offices. Federally funded equipment or facilities cannot be used to provide exclusive school bus service.

2.15 Drug Free Workplace Act

FDOT annually certifies its compliance with the federal drug-free workplace requirements to FTA. FDOT also includes reference to the Drug-Free Workplace Act in subrecipient contracts and certifies compliance by subrecipients during site visits by reviewing agency policies for inclusion of a drug-free workplace statement.

2.16 Drug and Alcohol Program

FDOT requires all subrecipients to maintain a drug free workplace for all award-related employees, report any convictions occurring in the workplace in a timely manner, and have an ongoing drug free awareness program. Policies related to the Drug Free Workplace Act are documented in the subrecipients' Public Transportation Agency Safety Plan (PTASP) for those receiving Section 5307 funds, System Safety Program Plan (SSPP) for those receiving Section 5311 funds, or a Transportation Operating Procedure (TOP) for those receiving Section 5310 funds. Compliance with this requirement is verified by FDOT District Offices during the *Triennial Review Process*.



All subrecipients receiving Section 5307 and/or 5311 funds are required to implement a federal drug and alcohol testing program.

If the subrecipient receives only Section 5310 funds and operates vehicles that require a Commercial Driver's License (CDL), they are also required to have a federal drug and alcohol testing program. These subrecipients should adhere to the Federal Motor Carrier Safety Administration (FMCSA) Policy and not the FTA Policy on drug and alcohol testing. Vehicles requiring a CDL include those designed to transport more than 15 passengers (including the driver) or those having a gross vehicle weight rating of 10,001 pounds or more. However, if a subrecipient receives only Section 5310 funds, and does not operate vehicles that require a CDL, then they are exempt from federal drug and alcohol testing requirements. In these cases, the subrecipient is required to adopt a zero-tolerance drug and alcohol policy. Additional information can be found in the *Substance Abuse Management Process*.

3. State Grant Programs

3.1 Florida Public Transit Block Grant Program

The Public Transit Block Grant Program was established by the Florida Legislature to provide a stable source of funding for public transit. The specific program authority is provided in § 341.052, F.S. Funds are awarded by FDOT to public transit providers eligible to receive funding from the FTA § 5307 and § 5311 programs and to CTCs. To receive Block Grant funds, eligible transit providers must provide a 10-year plan, a major update of which is due every five years (refer to Rule 14-73.001, F.A.C.).

Eligible Expenses for Capital Assistance

Eligible expenses include traditional capital expenses as defined by Title 49 U.S.C. § 5302(3), which include the vehicles, equipment, and/or facilities necessary to carry out the public transportation service.

State participation is limited to 50% of the non-federal share of the costs, not to exceed the local share, of any eligible public transit capital project or commuter assistance project. State participation in the final design, right-of-way acquisition, and construction phases of an individual fixed-guideway project that is not approved for federal funding cannot exceed an amount equal to 12.5% of the total cost of each phase.

State participation can be increased to 100% of the cost of any eligible transit capital project, intercity bus service project, or commuter assistance project that is statewide in scope or involves more than one county where no other governmental entity or appropriate jurisdiction exists. State participation can also be increased to 100% of the capital costs of statewide transit service development projects or transit corridor projects.

Eligible Expenses for Operating Assistance



Eligible expenses include administrative, management, and operations costs directly related to providing public transportation services. State participation in eligible public transit operating costs may not exceed 50% net of farebox, charter, and advertising revenue and federal funds received by the provider for operating costs, whichever amount is less. State participation can be increased to 100% of the operating costs of statewide transit service development projects or transit corridor projects.

3.2 Public Transit Service Development Program

The Public Transit Service Development Program was enacted by the Florida Legislature to provide initial funding for special projects and is authorized in Chapter 341, F.S. The program is selectively applied to determine whether a new or innovative technique or measure can be used to improve or expand public transit services.

Eligible projects include operating and capital, specifically include those involving the use of new technologies; services, routes, or vehicle frequencies; the purchase of special transportation services; and other such techniques for increasing service to the riding public.

Projects involving the application of new technologies or methods for improving operations, maintenance, and marketing in public transit systems are also eligible for Service Development Program funding. State funding for eligible projects under this program is limited to three (3) years.

3.3 Transit Corridor Program

The Transit Corridor Program is authorized in Chapter 341, F.S., and provides funding to CTCs or transit agencies to support new services within specific corridors when the services are designed and expected to help reduce or alleviate congestion or other mobility issues. Transit Corridor funds are discretionary and are distributed based on documented need. Program funds may be used for capital or operating expenses as described under the Block Grant Program. Eligible projects must be identified in a Transit Development Plan, Congestion Management System Plan, or other formal study undertaken by a public agency. Projects are funded at 50% of the non-federal share; projects that alleviate congestion in a region may receive funding at up to 100%.

3.4 Park-and-Ride Program

The Park-and-Ride Program was initiated in 1982 and provides for the statewide purchase and/or leasing of private land for the construction of park-and-ride lots, promotion of these lots, and monitoring their use. This program is an integral part of FDOT's Commuter Assistance Program to encourage the use of transit, carpools, vanpools, and other high-occupancy modes and reduce single-occupant vehicle travel. FDOT will fund up to 50% of the non-federal share of park-and-ride capital projects. If a local project is in the best interest of FDOT, the local share may be provided in cash, donated land value, or in-kind services.

3.5 Commuter Assistance Program

The Commuter Assistance Program was established by Chapters 187 and 341, F.S. to identify effective employer-based transportation demand management (TDM) strategies, foster



development of public/private partnerships, and fund appropriate eligible recipients to carry out commuter assistance program projects on behalf of FDOT.

Eligible commuter assistance expenses include:

- Program administration and operational costs.
- Computer hardware and software necessary to establish trip-matching services, where not redundant or sharing could be a more efficient use of equipment.
- Specialized demonstration projects of statewide or regional impact designed to show innovative approaches to commuter assistance.
- Other capital purchases for the accomplishment of program objectives.
- Other operating expenses for the accomplishment of program objectives, such as a “Guaranteed Ride Home” project or vanpool administration.
- Eligible recipients of matching grant funds include local governments or their designee such as the Metropolitan Planning Organization, Regional Planning Council, Transportation Authority, or CTCs.
- FDOT will fund up to 100% of the eligible costs of commuter assistance projects determined by FDOT to be regional in scope and application or statewide in nature.

3.6 Intermodal Development

The Intermodal Development program is a discretionary grant program to provide funding to local governments/agencies for capital activities that increased access to intermodal or multimodal transportation. Award decisions are based on Section 341.053, F.S. and statewide priorities. Priority is given to projects that demonstrate increased access to intermodal or multimodal transportation facilities and the construction of multimodal terminals.

Projects submitted must fall under one of the following categories:

- Amenity or facility design/construction (bike/ped connectivity to transit terminals).
- Match to direct federal funding for eligible project.
- Intermodal studies/project development (feasibility, preliminary design, and engineering).
- Land acquisition for eligible facility.
- Capital equipment for eligible project.

FDOT will fund up to 50% of the eligible costs of the capital project under this program.

3.7 New Starts Transit Program

The New Starts Transit Program (NSTP) was enacted by the Florida Legislature to assist local agencies in funding the non-federal share of capital projects that meet the eligibility requirements of FTA’s Capital Investment Grant (CIG) Program. Eligible projects may include rail transit systems or extensions and bus rapid transit (BRT) systems or extensions either with dedicated right of way or preferential bus treatments, referred to as “corridor-based BRT.” Eligible activities



include project development activities (including engineering and design), right-of-way acquisition, construction, vehicles and equipment for fixed-guideway and BRT projects.

Funds are awarded for capital projects on a discretionary, competitive basis up to 50% of the non-federal share of the costs, not to exceed the local share amount. For projects not approved for federal funding under FTA's CIG program, FDOT's participation towards the final design, right-of-way acquisition, and construction phases of an individual fixed-guideway project shall not exceed 12.5% of the total cost of each phase.

3.8 Transportation Development Credits

Transportation Development Credits (TDCs), previously referred to as Toll Revenue Credits, are earned when the State DOT or toll authority funds a capital transportation investment with revenues earned on existing toll facilities (excluding revenue needed for debt service, returns to investors, or the operation and maintenance of toll facilities). It is FDOT's policy to make available the option to use TRCs for Florida transit systems for use as "soft match" on eligible capital transit projects. Toll Revenue Credits may not be used to match for operating assistance projects. Eligible capital projects requesting use of TRCs must appear in the Metropolitan Planning Organization's Transportation Improvement Program (TIP) and FDOT's State Transportation Improvement Program (STIP).

FDOT Procedure/Form Reference:
Toll Revenue Credits for Public Transit
Capital Projects: 000-725-025

3.9 Florida Transportation Disadvantaged Program Funds

The Florida Transportation Disadvantaged (TD) Trust Fund was established under Chapter 427.0159, F.S. Funds deposited in the TD Trust Fund may be used by the Florida Commission for the Transportation Disadvantaged (CTD) to subsidize a portion of a TD person's transportation costs that is not sponsored by an agency only if a cash or in-kind match is required. Funds for non-sponsored TD services are distributed based upon the needs of the recipient and according to criteria developed by the CTD. In addition to TD operating funds, there are other reoccurring grant programs offered through the Florida CTD.

4. FTA Grant Program Requirements

The following Grant Program Requirements section outlines the specific eligibility and program requirements for each FTA grant program that is administered by FDOT.

4.1 Section 5305(e) Program Requirements

4.1.1 Goals and Objectives

Provides funding and procedural requirements for multimodal transportation planning in metropolitan areas and states. Planning needs to be cooperative, continuous, and comprehensive, resulting in long-range plans and short-range programs reflecting transportation investment priorities.



4.1.2 Eligible Subrecipients

Eligible subrecipients are state DOTs and MPOs. Federal planning funds are first apportioned to state DOTs. State DOTs then allocate planning funding to MPOs.

4.1.3 Eligible Expenses

Funds are available for planning activities, such as supporting the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency.

- Increasing the safety and security of the transportation system for motorized and nonmotorized users
- Increasing the accessibility and mobility of people and for freight
- Protecting and enhancing the environment, promoting energy conservation, improving the quality of life, and promoting consistency between transportation improvements and state and local planned growth and economic development patterns
- Enhancing the integration and connectivity of the transportation system, across and between modes, for people and freight
- Promoting efficient system management and operation
- Emphasizing the preservation of the existing transportation system

Major new fixed guideway projects, or extensions to existing systems financed with New Starts funds, typically receive these funds through a full funding grant agreement that defines the scope of the project and specifies the total multi-year federal commitment to the project.

4.2 Section 5307 Program Requirements

FDOT is not the direct recipient of FTA Section 5307 program funds. For recipients in as urbanized areas (UZA) with a population between 50,000-199,999 (classified as Small Urban systems), FTA allocates funding to each UZA based on population, low-income population, and population density. The Central Office coordinates with each District Office to determine 1) whether the UZA accepts the funding; and 2) if the allocated amount should be split between multiple recipients who provide service within the UZA. The District Offices make these determinations with the assistance of transit providers in the UZA. Allocation splits are often based on financial and service data provided to the NTD, as well as preference of the transit provider and the MPO. Unused funds are re-distributed between any recipients requesting funds in excess of their allocations. FDOT Central Office is responsible for issuing split letters that detail any allocation splits. These letters are submitted to District Offices, subrecipients, and filed with FTA. District Offices coordinate for the inclusion of the Section 5307 allocations into the STIP to allow transit agencies to include TIP pages within the program application in TrAMS.

Each UZA then applies for their allocated funds directly with FTA, with the exception of the SunRail project in District 5.

Central Florida Regional Transportation Authority (CFRTA - LYNX) receives the Section 5307 funding apportionment for the greater Orlando area. CFRTA-LYNX allocates a portion of their Section 5307 funds to SunRail through split letter. The Central Office applies for these allocated



funds to FTA on behalf of SunRail, who operates rail fixed guideway public transportation services.

4.3 Section 5310 Program Requirements

4.3.1 Goals and Objectives

Title 49 U.S.C. 5310 authorizes the FTA's formula assistance for the Enhanced Mobility of Seniors and Individuals with Disabilities Program. This program provides formula funding to states and designated subrecipients to improve mobility for seniors and individuals with disabilities where public transit services are unavailable, insufficient, or inappropriate. In Florida, most program funds are used to support subrecipients providing service in small urban and rural areas under the terms of a coordination or transportation operator agreement. These agencies coordinate and maximize passenger carrying capacity and provide significant services for the transportation disadvantaged.

4.3.2 Eligible Subrecipients

Projects selected for funding under the Section 5310 program must be included in a locally developed, coordinated public transit-human services transportation plan that is kept on file. As such, FTA Section 5310 program funds may be awarded only to non-profit organizations providing transportation to seniors and individuals with disabilities and to public bodies approved by the state to coordinate services for seniors and individuals with disabilities such as a CTC. Non-CTC local governments can receive funding directly if they certify that there are no eligible, non-profit organizations readily available to provide the service.

Subrecipients who receive 5310 grant funds as a CTC, or under contract to a CTC, must keep their CTC Agreements current and in force at all times when in possession of a vehicle purchased through the Section 5310 program.

4.3.3 Eligible Services and Service Areas

Subrecipients of Section 5310 funds are required to expend funds only on eligible projects that meet the specific needs of seniors and individuals with disabilities. Eligible capital expenses are listed in the following sections.



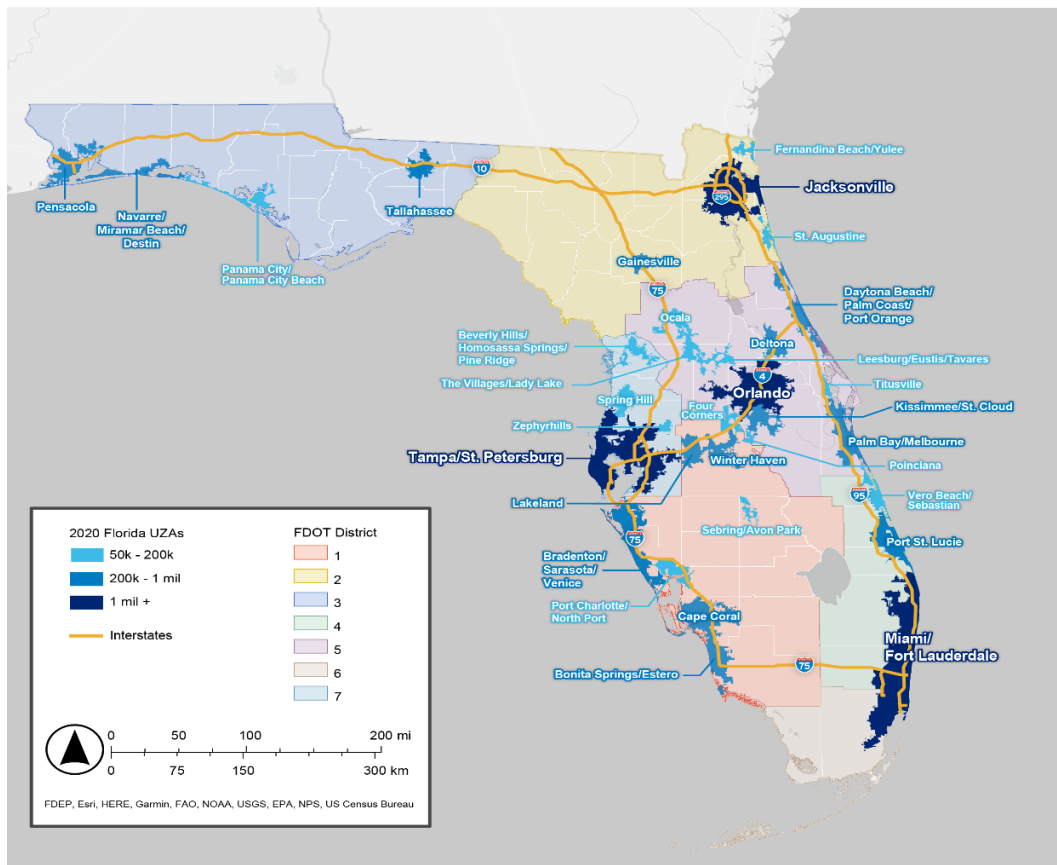
FDOT has been designated by the Governor to administer Section 5310 funds to eligible subrecipients in the following urbanized areas:

Table 4 | UZAs by District

UZA	District
Bradenton/ Sarasota/ Venice	1
Bonita Springs/ Estero	1
Cape Coral	1
Lakeland	1
North Port/ Port Charlotte	1
Sebring/ Avon Park	1
Winter Haven	1
Gainesville	2
Fernandina Beach/ Yulee	2
Jacksonville	2
St. Augustine	2
Navarre/ Miramar Beach/ Destin	3
Panama City/ Panama City Beach	3
Pensacola, Fl/ Alabama	3
Tallahassee	3
Port St. Lucie	4
Vero Beach/ Sebastian	4
Daytona Beach/ Palm Coast/ Port Orange	5
Deltona	5
Four Corners	5
Kissimmee/ St. Cloud	5
Lady Lake/ The Villages	5
Leesburg/ Eustis/ Tavares	5
Ocala	5
Orlando	5
Palm Bay/ Melbourne	5
Poinciana	5
Titusville	5
Miami/ Ft. Lauderdale	6 & 4
Beverly Hills/ Homosassa Springs/ Pine Ridge	7
Spring Hill	7
Tampa/ St. Petersburg	7
Zephyrhills	7



Figure 2 | FDOT UZA Map



The Central Office Grants Team is also responsible for administering Section 5310 grant funds to District Offices, where they are distributed among large urban, small urban, and rural area subrecipients.

The Kissimmee, Orlando, and Tallahassee urbanized areas receive and administer Section 5310 grant funds directly from FTA.

4.3.4 Eligible Assistance Categories

At least 55% of apportioned program funds must be used on capital projects to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable.

Some examples include, but are not limited to:

- Buses and vans
- Wheelchair lifts, ramps, and securement devices
- Transit-related information technology systems, including scheduling/routing/one-call systems
- Mobility management programs



- Acquisition of transportation services under a contract, lease, or other arrangement

Both capital and operating costs associated with contracted service are eligible capital expenses. User-side subsidies are considered one form of eligible arrangement. The capital eligibility of acquisition of services as authorized in *49 U.S.C. 5310(b)(4)* is limited to the Section 5310 program.

The remaining 45% of program funds may be used for projects described above or for projects that exceed the requirements of the ADA, improve access to fixed route service, and decrease reliance by individuals with disabilities on complementary transit, or alternatives to public transportation to assist seniors and individuals with disabilities. Some examples include, but are not limited to:

- Travel training
- Volunteer driver programs
- Building an accessible path to a bus stop, including curb-cuts, sidewalks, accessible pedestrian signals or other accessible features
- Improving signage, or way-finding technology
- Incremental cost of providing same day service or door-to-door service
- Purchasing vehicles to support new accessible taxi, rides sharing, and/or vanpooling programs
- Mobility management programs

FDOT must approve all leases of Section 5310-funded vehicles and ensures the leases include FTA-required terms and conditions. FDOT requires that vehicle titles are held by either FDOT or the subrecipient of Section 5310 funds.

4.3.5 Program Measures

Subrecipients of Section 5310 funds are required to provide annual Performance Measures Reports on program performance measures to FDOT District Offices. This data will be used across program years to understand the resource investment levels needed to sustain the State's coordinated transportation system, in which Section 5310 projects play an essential role.

Goal 1: Collect and understand the service levels, deliverables, and outcomes associated with the Section 5310 Program.

Goal 2: Collect data that enables FDOT to fully understand and evaluate the impact of services provided with FTA Section 5310 funding.

The reporting year is the previous year of the services' calendar year (January 1 – December 31). All data provided in the report should be consistent with the service provided in the previous year.



4.3.6 Performance Measures

Service Outputs and Capacity

- Number of unduplicated seniors and individuals with disabilities that were served
- Total ridership (unlinked passenger trips) for seniors and individuals with disabilities
- Total number of requests for transit service for seniors and individuals with disabilities (whether trips were provided or not)

Service Improvements

- Total vehicle service miles traveled to provide service for seniors or individuals with disabilities
- Total vehicle service hours to provide service for seniors or individuals with disabilities
- Increases or enhancements to programs that were funded by Section 5310 during the reporting period

Physical Improvements

- Physical infrastructure improvements undertaken using Section 5310 funding that provides improved access to fixed route service and decreased reliance by seniors and individuals with disabilities on complementary paratransit

Other Improvements

- Impacts to the quality of transportation options provided to seniors or individuals with disabilities that were not previously captured
- Mobility Management Only – Total number of rides facilitated to seniors and individuals with disabilities
- Mobility Management Only – Total number of individuals that received travel training

Annual Performance Measures Reports must reflect, at a minimum, the performance measure data outlined above. However, subrecipients are encouraged to establish and implement their own additional performance measures.

4.4 Section 5311 Program Requirements

4.4.1 Goals and Objectives

Title 49 U.S.C. 5311 authorizes FTA's Formula Grants for Rural Areas program. This program provides financial assistance to states for capital, administrative, and operating expenses to rural areas with populations less than 50,000, where many residents often rely on public transportation to reach their destinations. The federal goal of the program is to enhance the access of people in rural areas to health care, shopping, education, employment, public services and recreation; to assist in the maintenance, development, improvement and use of public transportation systems in rural and small urban areas; to encourage and facilitate the most efficient use of all federal funds used to provide passenger transportation in rural areas through the coordination of programs and services; and to provide for the participation of private transportation providers in non-urbanized transportation to the maximum extent feasible.



4.4.2 Eligible Subrecipients

Political subdivisions of the State of Florida and agencies thereof, Indian Tribes and private non-profit agencies designated as CTCs, per *Chapter 427, Florida Statutes*, are eligible subrecipients for Section 5311 program funding. Private for-profit agencies may receive funds through contractual arrangements with eligible subrecipients. All subrecipients who are not CTCs, with the exception of local governments providing fixed route/fixed service schedule service, must enter into coordination or transportation operator agreements with the appropriate CTC for the purpose of coordinating services.

4.4.3 Eligible Services and Service Areas

FDOT ensures that Section 5311 funds are only expended on eligible projects that support rural public transportation services and intercity bus transportation. Public transit service provided in non-urbanized areas on a regular and continuing basis are eligible. Service provided to non-sponsored transportation disadvantaged persons and to social service clients are eligible. Services will be designed to maximize use by transportation disadvantaged persons in general as long as public use of the service is not restricted. Services 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.

FDOT encourages agencies who receive funding through both the Section 5311 program (who requires non-prioritization of funds for transportation disadvantaged riders) and the CTD (who requires prioritization of services for transportation disadvantaged riders) to develop and implement a non-prioritization plan. The non-prioritization service plan stipulates that services are designed to maximize usage by transportation disadvantaged individuals in general but are open to the public during all operating hours (listed on the form). The non-prioritization plan should be submitted to and filed at the District Office. A non-prioritization plan template can be found at the [FDOT Public Transit Office website](#).

Charter, sightseeing, and exclusive school bus services are not eligible services. The goal of the Section 5311 program is to enhance access to activities for people living in non-urbanized areas; therefore, projects may include the transportation of non-urbanized area residents to and from urbanized areas.

4.4.4 Eligible Assistance Categories

Eligible project expenses may include, but are not limited to:

- Planning projects
- Capital purchases (buses, vans, etc.)
- Operating expenses
- Job access and reverse commute projects
- Acquisition of public transportation services

To ensure that subrecipients who receive FTA Section 5311 and Section 5307 funding are properly allocating cost to their services, the State requires that subrecipients submit a funding cost methodology for review and approval.



4.4.5 Section 5311(f) Intercity Bus

Chapter 341.031, Florida Statutes, defines Intercity Bus Service as regularly scheduled service for the general public which operates with limited stops over fixed routes connecting two or more urban areas not in close proximity, which has the capacity for transporting baggage carried by passengers, and which makes meaningful connection with scheduled service to more distant points, if such service is available. Package express service may also be included if incidental to passenger transportation. A minimum of 15 percent of Florida's Section 5311 apportionment must be spent for these purposes, unless the Governor certifies that the intercity bus needs of the state are currently being met.

FDOT releases a 5311(f) grant application package annually to all interested parties. A notice is also posted of funding availability on the State of Florida Vendor Bid System. Projects are selected in consultation with the District Offices and managed by the CO Grants Team because of the regional nature of the projects.

The objectives of this program are to support the connection between non-urbanized areas and the larger regional or national system of intercity bus service; to support services to meet the intercity travel needs of residents in non-urbanized areas; and to support the infrastructure of the intercity bus network through planning and marketing assistance and capital investment in facilities.

4.4.6 Eligible 5311(f) Expenses

In Florida, eligible Section 5311(f) projects must support intercity bus service in rural and small urban areas. Eligible activities include, but are not limited to:

- Planning and marketing for intercity bus transportation
- Capital grants for intercity bus shelters
- Joint-use stops and depots
- Operating grants through purchase-of-service agreements
- User-side subsidies and demonstration projects
- Coordination of rural connections between small transit operations and intercity bus carriers

4.4.7 Rural Transportation Assistance Program

FDOT delivers RTAP services through a Master University Agreement using a percentage of State Administration funds. The program objectives are to promote the safe and effective delivery of public transportation in rural areas and to make more efficient use of public and private resources; to foster the development of state and local capacity for addressing the training and technical assistance needs of the rural transportation community; to improve the quality of information and technical assistance available through the development of training, technology, and technical assistance resource materials; to facilitate peer-to-peer self-help through the development of local networks of transit professionals; and to support the coordination of public, private, specialized, and human service transportation services. FDOT allows all subrecipients to use RTAP resources whenever possible.



4.4.8 National Transit Database (NTD) Reporting

The Central Office Transit Planning Team follows the federal timeline for NTD reporting. Central Office initiates contact with Section 5311 subrecipients in September of each year to begin data collection. The subrecipients submit their NTD data to FDOT by October of each year. The data is transcribed to the online forms and entered into the system. After the initial review and comments are completed by the FTA, the Central Office Transit Planning Team addresses the comments and submits the NTD report no later than mid-March. Additional guidance is available in the ***Rural National Transit Data Collection Process***.

4.5 Section 5329 Program Requirements

4.5.1 Goals and Objectives

The objective of the State Safety Oversight (SSO) program is to oversee safety at rail transit systems consistent with *49 CFR part 674*. The SSO program is administered by eligible states with rail transit systems in their jurisdiction. FTA provides federal funds through the SSO Formula Grant Program for states to develop or carry out their SSO programs.

4.5.2 Funds Utilization

FDOT uses Section 5329 funds to implement a state safety oversight program for the following fixed guideway rail transit systems:

- Miami-Dade Department of Transportation and Public Works (DTPW) Metrorail and Metromover
- Hillsborough Area Regional Transit's TECO Line Streetcar System
- Jacksonville Transportation Authority's Skyway

FDOT has developed a comprehensive oversight program that ensures public safety while using these systems that is in accordance with *49 CFR parts 670, 672, 673, and 674; Section 341.061(1), Florida Statutes; Rule 14-15.017, Florida Administrative Code; SSO Manual and Implementation Guidelines; and other federal and state requirements that comply with U.S.C. 49 Section 5329(e)*. These requirements require robust training for FDOT personnel and rail transit agency personnel, the development and implementation of Safety Management Systems at the rail transit agencies, and the development and implementation of PTASP. FDOT conducts regular site visits and inspections to ensure the systems are operating safely and performs comprehensive safety audits of these systems every three years.

4.6 Section 5339 Program Requirements

4.6.1 Goals and Objectives

Title 49 U.S.C. 5339 authorizes the FTA's Bus and Bus Facilities Infrastructure Investment formula grant program. This program assists eligible subrecipients in financing capital projects to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities. The funds are distributed as follows:

- FTA allocates Section 5339 funds directly to urbanized areas



- FDOT allocates Section 5339 funds for small urban areas using a formula methodology; FDOT generates split letters that are sent to each small urban subrecipient detailing the amount allocated to them; the small urban areas then apply directly to FTA for their designated funds
- FDOT allocates Section 5339 for rural areas by District using a formula methodology; the rural areas then apply directly to the District Office to access funds

4.6.2 Eligible Subrecipients

Eligible recipients are designated recipients of FTA funds and/or states that allocate funds to fixed route bus operators or state/local government agencies that operate fixed route bus service. A designated recipient that receives a grant under this section may allocate amounts of the grant to subrecipients that are public agencies or private nonprofit organizations engaged in public transportation, including those providing services open to a segment of the general public, as defined by age, disability, or low income. Please note: Eligible projects as authorized in *Section 5339(a)(1) and (2)* are not limited to projects that support fixed route only. For the complete list of eligible capital projects, please see *Chapter III of the 5339 FTA Circular*.

4.6.3 Eligible Assistance Categories

Eligible project expenses include, but are not limited to:

- Capital projects to replace, rehabilitate, and purchase buses, vans, and related equipment; and
- Construction of bus-related facilities, including technological changes or innovations to modify low or no emission vehicles or facilities.

4.7 Local Share and Local Funding Requirements

The following section outlines funding assistance and match requirements by project type. The State Transportation Trust Fund is the source of state matching dollars. Applicants may not borrow funds to use as match nor may they place liens on funded vehicles or equipment. All funding is subject to availability.

Table 5 | Match Requirements

Funding Type	Federal Share	State Share	Local Share
Projects Requesting Capital Expenses (Section 5307 and 5311)	80%	0%	20%
Projects Requesting Capital Expenses (Section 5310)	80%	10%	10%
Projects Requesting Operating Expenses (Section 5307, 5310 and 5311)	50%	0%	50%
Projects Requesting 5311(f) Capital or Operating Expenses	50%	50%	0%
Section 5305(e) Projects	80%	20%	0%
Section 5339 Projects	80%	20%*	0%
*Toll Revenue Credits are used as match			



4.7.1 In-Kind and Other Match Requirements

The local operating share can be a cash match, human services transportation contract, or in-kind services. Income from contracts to provide human service transportation may be used either to reduce the net project cost or to provide local match. The cost of providing the contract service is included in the total project cost. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service. In-kind services must be approved, prior to invoicing, by FDOT's Comptroller's Office and be an eligible source listed in the FTA Master Agreement. The Transit Financial Management Oversight Manual provides the process for District Offices to issue approval of in-kind match.

4.8 Public Transportation Agency Safety Plans

Direct recipients of FTA Section 5307 Urbanized Area Formula Grants are required to develop and maintain a PTASP that outlines safety performance targets in accordance with *49 CFR part 673*. FDOT requires recipients to make the safety performance targets available to FDOT consistent with *49 U.S.C. Part 673.15*.

4.9 Cybersecurity

FDOT ensures that FTA subrecipients that operate rail fixed guideway public transportation systems certify compliance with the requirements for establishing a cybersecurity process in accordance with *49 U.S.C. 5323(v)*.

4.10 Other Provisions

4.10.1 State Administration, Planning, and Technical Assistance

FDOT does not use any State Administration funds for FDOT employee salaries. All salaried employee costs are covered by annual Florida Legislative appropriation.

FDOT uses a small percentage of State Administration funds on special projects to provide resources and assistance to FDOT in managing Section 5310 and 5311 grant programs, and to subrecipients in the development of tools and training opportunities.

4.10.2 Records Retention

FDOT requires subrecipients to retain copies of all executed contracts, financial records, legal documents, audits, and all supporting documents for five years from the date of the final reimbursement submitted in accordance with *Chapter 119, Florida Statutes* (public record) and *Chapter 257, Florida Statutes* (archive records). Each record is retained in accordance with the *State of Florida General Records Schedule GS1-SL for State and Local Government Agencies*.

4.10.3 Environmental Review Requirements

The National Environmental Policy Act (NEPA) requires agencies using federal funds to integrate environmental values into their decision-making processes by considering the environmental impacts of their proposed actions and reasonable alternatives to those actions. This includes an environmental justice assessment that examines the impact that a project will have on minority



and low-income populations. FDOT agrees to comply with NEPA requirements through the annual FTA Certifications and Assurances.

NEPA establishes an umbrella process for coordinating compliance with the federal and state environmental laws through the preparation of an Environmental Impact Statement (EIS), Environmental Assessment (EA), or Categorical Exclusions (CE) under the guidance of both FTA and the project sponsor or FDOT's subrecipients. FDOT supports subrecipients during the NEPA process and offers technical assistance resources through the District Office or Central Office upon request.

The process for complying with NEPA and federal surface transportation statutes is defined in the Joint Federal Highway Administration/Federal Transit Administration's Environmental Impact and Related Procedures (*23 CFR 771*).



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