



# NORTH CAROLINA

Department of Transportation



# Urban Transit Systems Call

October 19, 2021

# AGENDA

- 5307 transition updates and next steps
- Funding updates
- Vaccine transportation
- Transit workforce challenges
- Transit technology RFP
- Questions and discussion

# 5307 Transition Overview and Next Steps

# New Directions/Empowering Local Agencies

- FTA Circular 9030.1E specifies the Governor (or his designee) to be the “Designated Recipient” in small UZAs
  - NCDOT will authorize a public entity in each small UZA to be a “Direct Recipient”
    - Direct Recipients must be a public agency legally eligible to apply for and receive grants from FTA
    - Small UZAs will have principal authority and responsibility for administering Urbanized Area Formula Program funds within a UZA

# Agreement with NCDOT

- A written agreement will be executed to transfer responsibility for the Urban Formula Program to the Direct Recipient

6. SAMPLE SUPPLEMENTAL AGREEMENT.

**UNITED STATES OF AMERICA  
DEPARTMENT OF TRANSPORTATION  
FEDERAL TRANSIT ADMINISTRATION  
SUPPLEMENTAL AGREEMENT  
(Attachment to FTA G-15, October 1, 2008)**

It is the practice of the Federal Transit Administration to enter into a formal agreement with the designated recipient for projects that the designated recipient does not carry out directly. Under this Grant Agreement, the grant recipient is not the designated recipient. Therefore, the designated recipient hereby agrees to permit the grant recipient under this Grant Agreement to receive and dispense the federal assistance funds described in this Grant Agreement. The designated recipient further agrees that the grant recipient shall assume all responsibilities set forth in this Grant Agreement.

The federal government and the grant recipient under this Grant Agreement hereby agree that the designated recipient is not in any manner subject to or responsible for the terms and conditions of this Grant Agreement and is a party to this Grant Agreement only to assign the right to receive and dispense federal funds to the grant recipient as described above.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Name (Print/Type): \_\_\_\_\_  
Authorized Official  
Federal Transit Administration

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Name (Print/Type): \_\_\_\_\_  
Authorized Official  
Designated Recipient

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Name (Print/Type): \_\_\_\_\_  
Authorized Official  
Grant Recipient

# Other Key Issues

- Funding & Suballocations
- New Application Process
- Claims & Reimbursements
- Audits & Oversight
- Roles & Responsibilities
- Additional Support

# Funding & Suballocations

- The Governor, by law, remains the Designated Recipient and is responsible for suballocation of Section 5307 funds to small UZAs
- Split letter issued to FTA indicating allocation amounts in each apportionment year
  - Will be done in cooperation and with the coordination of the respective MPOs
  - NCDOT will respect past funding allocations
- Direct recipients will apply funding, consistent with the split letter

# Funding & Suballocations

- In some instances, there may be multiple Direct Recipients and “pass-through” recipients in an urbanized area
  - In UZAs served by more than one public transit provider, it is possible to have multiple Direct Recipients in the UZA
    - NCDOT will coordinate with the respective MPOs in situations where multiple entities should be named as Direct Recipients
  - Lower-tier contractual relationships are also permissible
    - “Pass-through” arrangements with another eligible recipient
    - Contractual relationships arising from competitive procurements



# Application Process

- After the effective date of the transition, Direct Recipients will apply for funds directly to FTA
- Direct Recipients will use the TrAMS web platform to submit applications
  - TrAMS requires authorization and credentials for each entity
  - FTA has produced signification guidance on the use of the TrAMS platform

# Application Process

- NCDOT will work with FTA to provide supporting documentation to demonstrate an applicant's:
  - Technical capacity
  - Managerial capacity
  - Financial capacity
  - Compliance with required elements
    - Title VI
    - ADA
    - Procurement systems

# Claims & Reimbursements

- All requests for reimbursement will be made directly to FTA using the Electronic Clearing House Operation (ECHO) system
  - Use of the ECHO system will expedite receipt of grant funding and lessen dependence on local funds to support transit between reimbursement requests
  - ECHO payment turnaround typically 24 – 48 hours
- Key considerations in use of the ECHO system
  - Must represent actual, eligible costs
  - Must be performed only by authorized individuals
  - If advances of funds are used, disbursements must be made within three business days after drawdown
  - Improper use of ECHO system may result in suspension of ECHO privileges or repayments with interest

# Periodic Reporting

- Two Key Documents Must be Submitted for Each Active Grant from FTA
  - MPRs
    - Organized based on projects undertaken in each grant (as developed in the grant application)
    - Must address progress in achieving project milestones, by Activity Line Items (ALIs)
  - FFRs
    - These two reports are they key elements of communication between a recipient and FTA regarding use of FTA funds
    - Typically, small UZAs report to FTA annually on each grant
- Reports are due 30 days following the close of the reporting period (e.g., reports are due on October 30 for annual reporters)

# Audit and Oversight

- Single audit requirements under 2 CFR § 200.500 *et. seq.* remain unchanged
- Indirect Costs
  - If any entity intends to claim indirect costs under the Section 5307 program, the requirements of 2 CFR § 200 remain unchanged
- As a Direct Recipient, the entity will be subject to Triennial Reviews
- If a Direct Recipient receives both Section 5307 and Section 5311 funding, NCDOT will still have an oversight role in evaluating the entity's compliance with Section 5311 program funding requirements
  - NCDOT will develop new oversight procedures to reduce duplication of oversight activities from federal and state authorities

# Transition Assistance

- NCDOT
  - On-going program of technical assistance (monthly video conference)
  - One-on-one assistance will be provided by Subject Matter Experts (SME) with schedule help desk times
  - NCDOT will be posting Frequently Asked Questions (FAQs) concerning the transition on its website
  - FAQs will be updated weekly throughout the transition period
  - A resource page will be established with key training, regulatory, and resource documents will be available for download
    - Governing directives (regulatory material)
    - TrAMS documentation
    - ECHO system documentation
    - FTA reporting requirements (MPRs/FFRs)
    - Triennial Review process
    - NTD reporting

# Roles & Responsibilities

- FTA
  - Review and approve grant applications for designated and direct recipients
  - Obligate funds for approved grant applications
  - Work with recipients to implement the annual program
  - Provide technical assistance
  - Receive recipient certifications and amendments to the program of projects
  - Monitor and close grants
  - Conduct triennial reviews and state management reviews every three years or as circumstances warrant, and other reviews as necessary

# Roles & Responsibilities

- NCDOT
  - Providing technical assistance throughout the transition period
  - Allocating FTA's annual apportionment of Section 5307 funds to small UZAs
  - Serving as the Designated Recipient of Section 5307
  - Transferring funds between small urbanized areas after consultation with responsible local officials and transit agencies
  - Transferring potentially lapsing funds at least 90 days before expiration



# Roles & Responsibilities

- Direct Recipient
  - Submitting requisite documentation to FTA
  - Demonstrating legal and technical capacity
  - Demonstrating procurement capacity
  - Submitting timely MPRs/FFRs on a schedule established by FTA
  - Complying with all Civil Rights requirements
  - Conducting single audits
  - Reporting under NTD

# Roles & Responsibilities

- MPOs
  - Offer recommendation and concur on the selection of the entity that will serve as the Direct Recipient within the UZA
  - Coordinate with NCDOT in formulating the recommended allocations of Section 5307 funds to small UZAs
  - Identify projects (capital, operating, etc.) that will be included in the short-range transit plan, TIP, and/or unified planning work program (UPWP)
  - Adopt UPWPs that include a list of planning projects, scopes, and related costs.
  - Ensure any NTI training funds are included in the TIP

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Questions?

# Funding Updates

## ROAP & SMAP Reminder

- IMD was given approval to proceed with disbursing funds.
- Traditional formula will be used to determine amounts.
- Remaining unspent funds will be deducted from amounts.
- Applications are open and guidance has been provided.
- Applications will due October 31.
- Funds will be disbursed in November.



# FY 2023 Call for Projects

Applications w/ Supporting Docs were due in EBS October 8, 2021

5311 Admin/Operating	Combined Capital
5310 Operating	Mobility Manager
5310 Capital – Purchase of Service	ConCPT
Rural State Operating*	Traveler's Aid
STI – Capital – Rural	STI – Capital –Urban
Non-STI Rural Expansion Vehicle	

\*5303, TDM, to be posted later in 2021.

\*5307 FY 2022 applications previously submitted are in review process

# Second Call for Projects

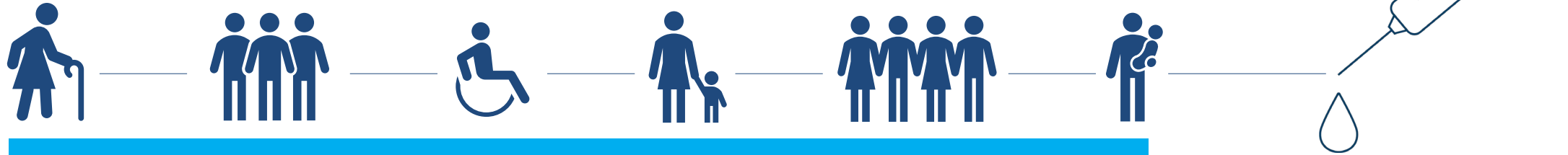
- IMD will be issuing a second call for projects on November 1 (due Feb. 1)
- Focus on committing state and federal funds not already included in existing grants or the current FY 23 call for projects.
- Will include ARPA funds, CRRSAA funds, and state funds.
- Draft program guidance underway.
  - Advanced Technology for Large Urbans; Rural Capital; Technology Operating (SaaS); additional rural operating Assistance.



# Vaccine Transportation

# NC Transit to Vaccinations

## Connecting citizens to COVID-19 vaccinations



- Anticipate surge of requests as boosters are authorized.
- DHHS funding spend down by transit agencies continues
- RFI technology solutions tools still available
- IMD is available to provide technical assistance with any new or emerging vaccine related needs
- Please continue reporting trips and claims.



Integrated Mobility Division

N.C. DEPARTMENT OF TRANSPORTATION

# DHHS CARES Act Vaccine Trip Claims (as of October 18, 2021)

## **REMINDER:**

Please use  
Expanded DHHS  
Claim form with  
Trip Tiers



726 Submitted



\$1,199,427 in claims submitted



\$1,100,334 reviewed and  
approved

# Expanded Trip Expenses by Trip Type Since August 12, 2021

## **REMINDER:**

Please use Expanded DHHS Claim form with Trip Tiers



Tier 1 Trips (Vaccine)

\$22,125



Tier 2 Trips (Covid-19 tests or health care, logistical support)



\$253



Tier 3 (ROAP-eligible Trips)

\$849,293

# DHHS Cares Funding Amounts Dashboard

 DHHS Cares Funding Amounts Dashboard 

## DHHS CARES Funding Amounts per Transit System

### Color Legend

Grey = All Funds Spent

Blue = Percentage of Funds Remaining at less than 20%

Orange = Percentage of Funds Remaining between 90%-100%

Red = No Funds Spent Yet

### DHHS Cares Report

Transit System	Disbursement Amounts	Amount Spent	Running Balance	Percentage Remaining	Number of Claims
Choanoke Public Transportation Authority (CPTA)	\$68,473.00	\$68,473.00	\$0.00	0%	6
City of Wilson	\$23,592.00	\$23,592.00	\$0.00	0%	1
Graham County	\$13,967.00	\$13,967.00	\$0.00	0%	12
Johnston County Council on Aging, Inc.	\$31,641.00	\$31,641.00	\$0.00	0%	2
Rockingham (ADTS)	\$26,647.00	\$26,647.00	\$0.00	0%	2
Sampson County	\$21,096.00	\$21,096.00	\$0.00	0%	27
Stanly County	\$21,309.00	\$21,309.00	\$0.00	0%	1
Wilson County	\$0.00	\$0.00	\$0.00	0%	0
Buncombe County	\$50,681.00	\$50,680.98	\$0.02	0%	23
Onslow United Transit System, Inc.	\$26,696.00	\$21,321.87	\$5,374.13	20%	23

# Other Updates & Reminders

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# Transit Communication Hub

IMD Calendar (Website) (View Only) :
smartsheet Report Abuse Help

Calendar View Filter

October - November 2021 1 Month

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday
October 10	11	12	13	14	15
Audit Report, Financial Statement, A-133 Single Audit					
FY2021 Grants for Buses and Bus Facilities Survey for Interest Window					
			Transit System		Charter Repor    Training Repo    Program Incor
17	18	19	20	21	22
Audit Report, Financial Statement, A-133 Single Audit					
24	25	26	27	28	29
Audit Report, Financial Statement, A-133 Single Audit					
					Monthly Claim    OpStats Due
31	November 1	2	3	4	5
Audit Report, Financial Statement, A-133 Single Audit					
Second Call for Projects Application Window					
	Second Call fo				
7	8	9	10	11	12
Audit Report, Financial Statement, A-133 Single Audit					
Second Call for Projects Application Window					
			Transit System       Mandatory FT#		

### View Detail

**Primary Column**  
Transit System Meeting

**Start Date**  
10/13/21

**End Date**

**Time**  
1pm

**Link**  
<https://global.gotomeeting.com/join/20...>

**Description**

### View Detail

**Time**

**Link**  
<https://app.smartsheet.com/b/form/e4bbb7196b8a4a9ba6>

















**Description**  
IMD is exploring opportunities to apply for federal funding under the FY 21 Buses and Bus Facilities program (5339(b)). The program allows for agencies to apply for funding for the following types of projects:

- o Capital projects to replace, rehabilitate or purchase buses, vans, or related equipment.
- o Rehabilitate, purchase or construct bus-related facilities.

FTA will give priority consideration to applications that are expected to create significant community benefits relating to the environment, including those projects that incorporate low or no emission technology or specific

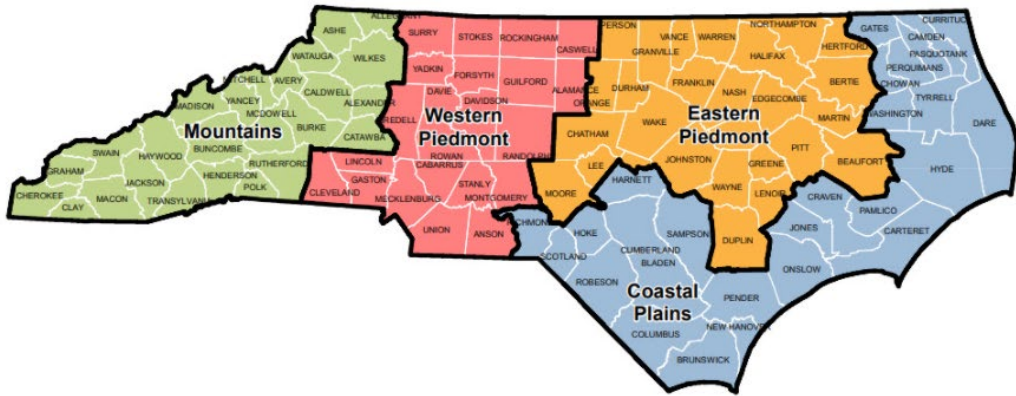
# Transit Communication Hub

## Communications

✓ Date Sent	📄 Name	Subject
10/12/2021	 Webinar_ Another Way to Get from Here to There_ IMD Innovation & Technology Webinar Series_ "New Census Data and What it Means to Transit Planning" ✳	Announcements
10/8/2021	 Updated IMD Contacts List - 100221	Announcements
10/2/2021	 Program Income	Announcements
9/24/2021	 Charter Reports - Instructions for Submission	Announcements
9/21/2021	 RE_ FY 2022 ROAP and SMAP Applications Posted to IMD Website	Announcements
9/14/2021	 FY 2022 ROAP and SMAP Applications Posted to IMD Website	Announcements
9/1/2021	 Mandatory FTA COVID-19 Impact Update - Due September 10th	Survey
8/23/2021	 Update - Federal Mask Requirement Extended for Public Transportation	Announcements
8/17/2021	 Expanded DHHS CARES Act Funding Approved	Announcements
8/5/2021	 NCDOT-IMD Regional Contact Information	Announcements
8/5/2021	 OPSTAT Forms Available Now	Announcements
8/5/2021	 NCDOT-IMD Compensation Survey of North Carolina Transit Systems	Survey
8/4/2021	 Webinar_ Another Way to Get from Here to There_ IMD Innovation & Technology Webinar Series_ Learn More About Transit Tech Companies in an Upcoming IMD Tech Showcase	Announcements
8/3/2021	 FTA COVID-19 Impact Update - Due August 9th - Reminder	Survey
7/22/2021	 Statewide Transit Technology Workshop and Listening Sessions Registration	Announcements
7/22/2021	 NCDOT Survey of Interest - U.S. Department of Transportation Announces \$16 Million Funding Opportunity to Help Communities Prosper through Transit	Survey



# Regional Contact Information



## Roles - Who to Contact

Finance	Contact for claims assistance, contract agreements and status; contract closeout, budget questions.
Grant Administration	Contact for grant application process, required documentation, program eligibility and guidelines, grant reporting requirements.
Planning	Contact for items related to multimodal (bicycle, pedestrian, transit, shared mobility) planning studies, multimodal planning grants, transportation demand management, multimodal needs assessment and complete streets implementation.
Safety, Education & Compliance	Contact with questions around safety requirements, emergency

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Safety, Education & Compliance	Contact with questions around safety requirements, emergency planning, training needs and compliance requirements (Proficiency Reviews, System Safety Plan Reviews, Drug and Alcohol compliance).

## Mountains

Section	Contact	Office Number	Email
Finance	Rose Hafford	919-707-2600	rhafford@ncdot.gov
Grants Administration	Emily Love*	919-924-2852	ext-eclove@ncdot.gov
Planning	Alexius Farris	919-707-4698	aafarris@ncdot.gov
Safety, Education and Compliance	Kevin Edwards*	919-707-4695	kbedwards2@ncdot.gov

\* - Interim

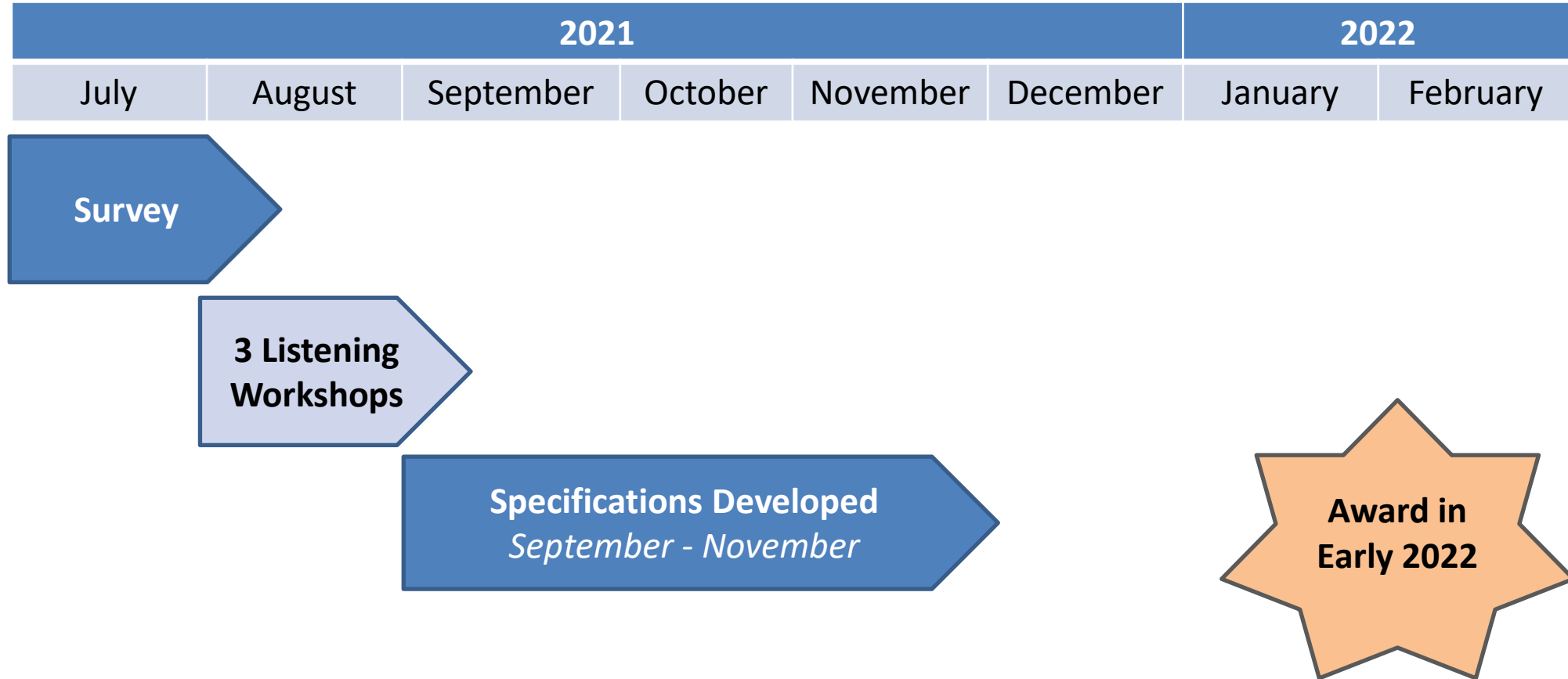
**Mountains Agencies**

## Eastern Piedmont

Section	Contact	Office Number	Email
Finance	Cassandra Wilson	919-707-4671	cdwilson@ncdot.gov
Grants Administration	Bernard Clark	919-707-4678	bbclark2@ncdot.gov
Planning	Nick Morrison	919-707-2608	nemorrison@ncdot.gov
Safety, Education and Compliance	Eartle McNeill	919-707-4686	elmccneill1@ncdot.gov

**Eastern Piedmont Agencies**

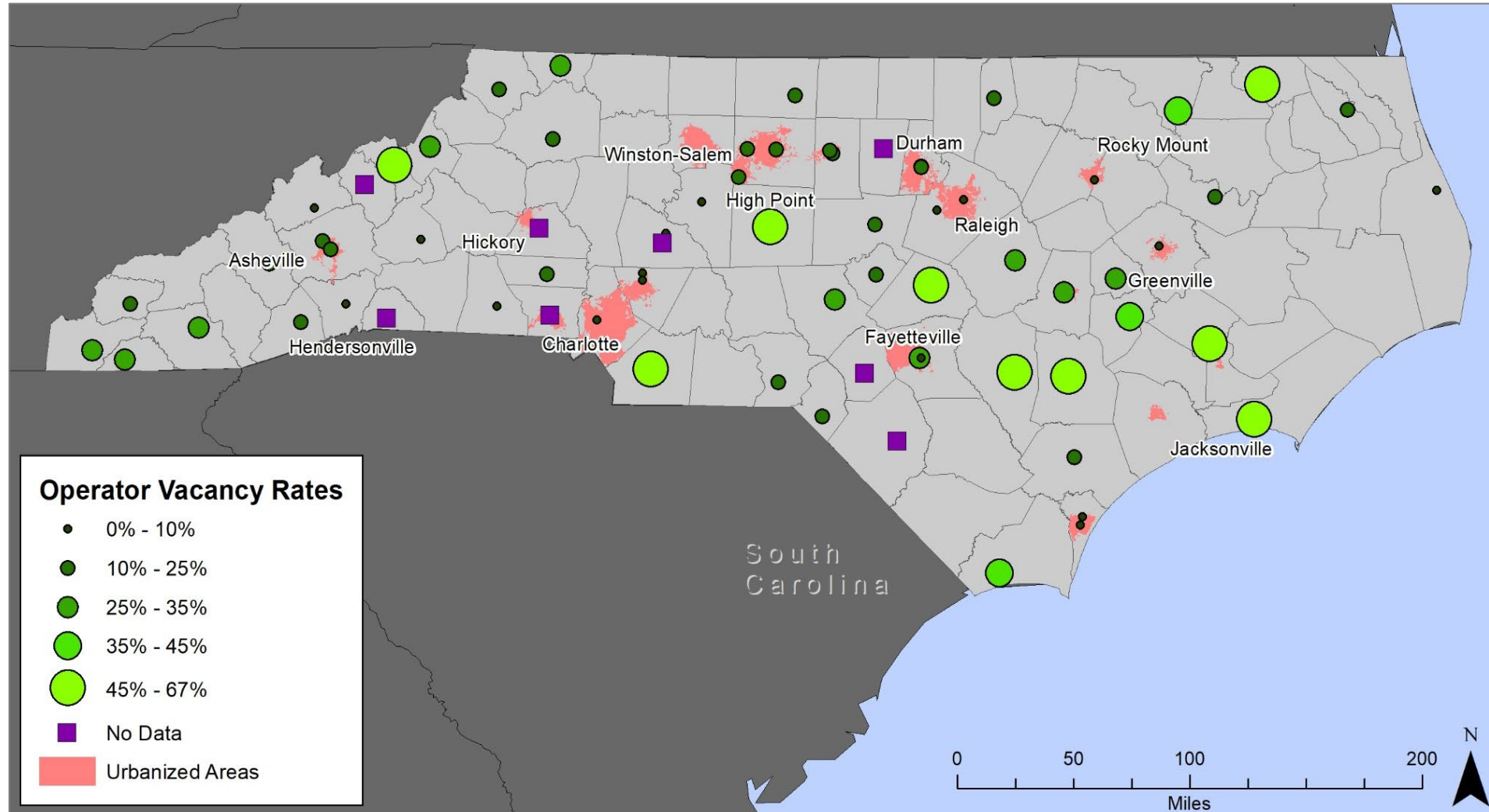
# Technology RFP Timeline Updates



## Compensation Study Updates

- Wrapping up edits to final report.
- Developing one-page infographic with highlights of findings.
- Anticipate release of report, executive summary, and infographic by the end of the month.

# Compensation Study Findings



# Compensation Study Findings

- Blended services can create more opportunities
- Challenges are more pronounced in rural areas and for smaller transit systems
- Higher pay leads to lower vacancies
- Reliable hours and pay attracts workers
- Workers want training, health benefits, and a quality work environment

## Workforce Workgroup Formed

- IMD will lead a workforce workgroup with select transit system directors, NCPTA, NCDMV, and others
- The group will develop strategies and recommendations to address the driver shortage challenge

# State Management Plan

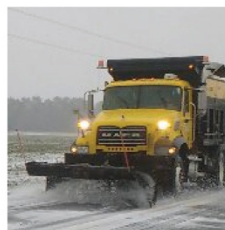
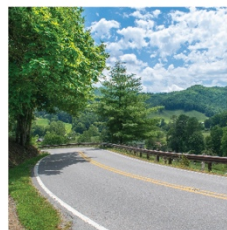
- SMP draft updates being finalized this week.
- Next step: distribute to transit systems by next week for comment – 30-day review period.
- November – December – update document incorporating comments/feedback.
- Complete SMP update by January 1 – share with transit agencies and FTA.

Note: Business guide update also anticipated to be completed by January 1.



# **NORTH CAROLINA**

Department of Transportation



## **Integrated Mobility Division**

## **Urban Transit Systems Call**