

FORMULA GRANTS

5307 Urbanized Area
5337 State of Good Repair
5339 Buses and Bus Facilities

WORKSHOP
September 12, 2022

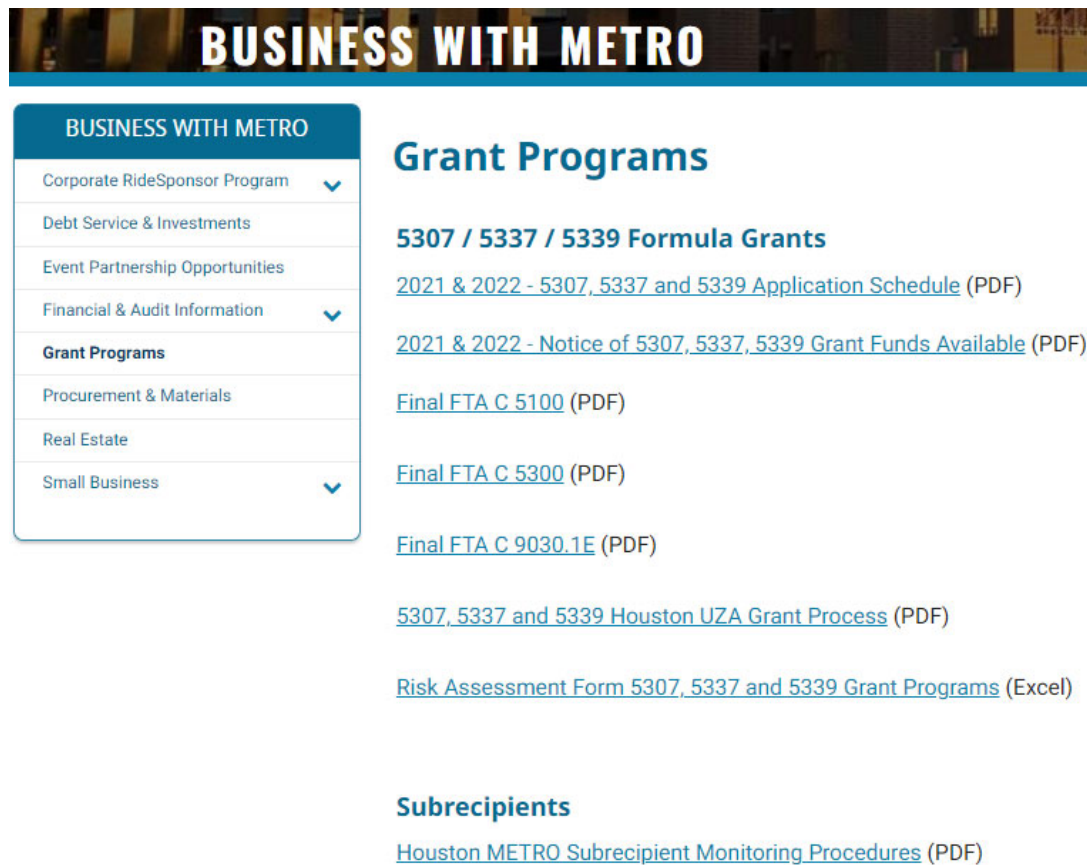
Workshop Agenda

- FTA Section 5307, 5337, and 5339 Program
- Introduction
- Solicitation Overview
 - Houston UZA Apportionments
 - Eligible Applicants
 - Eligible Projects
 - Federal Share/Local Match Requirements
 - Application Guidelines/Evaluation
- Grant Application Overview
- FTA/METRO Suballocation
- Questions

Workshop Agenda

- Program Website:

<https://www.ridemetro.org/Pages/GrantPrograms.aspx>



BUSINESS WITH METRO

- Corporate RideSponsor Program
- Debt Service & Investments
- Event Partnership Opportunities
- Financial & Audit Information
- Grant Programs**
- Procurement & Materials
- Real Estate
- Small Business

Grant Programs

5307 / 5337 / 5339 Formula Grants

- [2021 & 2022 - 5307, 5337 and 5339 Application Schedule](#) (PDF)
- [2021 & 2022 - Notice of 5307, 5337, 5339 Grant Funds Available](#) (PDF)
- [Final FTA C 5100](#) (PDF)
- [Final FTA C 5300](#) (PDF)
- [Final FTA C 9030.1E](#) (PDF)
- [5307, 5337 and 5339 Houston UZA Grant Process](#) (PDF)
- [Risk Assessment Form 5307, 5337 and 5339 Grant Programs](#) (Excel)

Subrecipients

- [Houston METRO Subrecipient Monitoring Procedures](#) (PDF)

Schedule of Activities

Notice of Funding Availability	September 2, 2022
Pre-Application Workshop	September 12, 2022
Deadline for Written Questions to be Submitted	September 19, 2022
Deadline for Written Questions to be Published	September 26, 2022
Application Deadline	October 3, 2022
Application Review	October 2022
METRO Board Approval	November 2022

FTA Section 5307

- The Urbanized Area Formula Funding program (49 U.S.C. 5307) makes federal resources available to urbanized areas and to governors for transit capital and operating assistance in urbanized areas and for transportation-related planning.
- 2021 Appropriations for the Houston UZA
 - 5307 Urbanized Area - \$85,919,315
- 2022 Appropriations for the Houston UZA
 - 5307 Urbanized Area - \$110,584,580

FTA Section 5337

- The State of Good Repair Grants Program (49 U.S.C. 5337) provides capital assistance for maintenance, replacement, and rehabilitation projects of high-intensity fixed guideway and bus systems to help transit agencies maintain assets in a state of good repair.
- 2021 Appropriations for the Houston UZA
 - 5337 State of Good Repair - \$12,407,191
- 2022 Appropriations for the Houston UZA
 - 5337 State of Good Repair - \$19,312,611

FTA Section 5339

- The Grants for Buses and Bus Facilities Program (49 U.S.C. 5339) makes federal resources available to states and direct recipients to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities including technological changes or innovations to modify low or no emission vehicles or facilities.
- 2021 Appropriations for the Houston UZA
 - 5339 Buses and Bus Facilities - \$9,367,411
- 2022 Appropriations for the Houston UZA
 - 5339 Buses and Bus Facilities - \$8,995,623

Houston UZA Appropriations

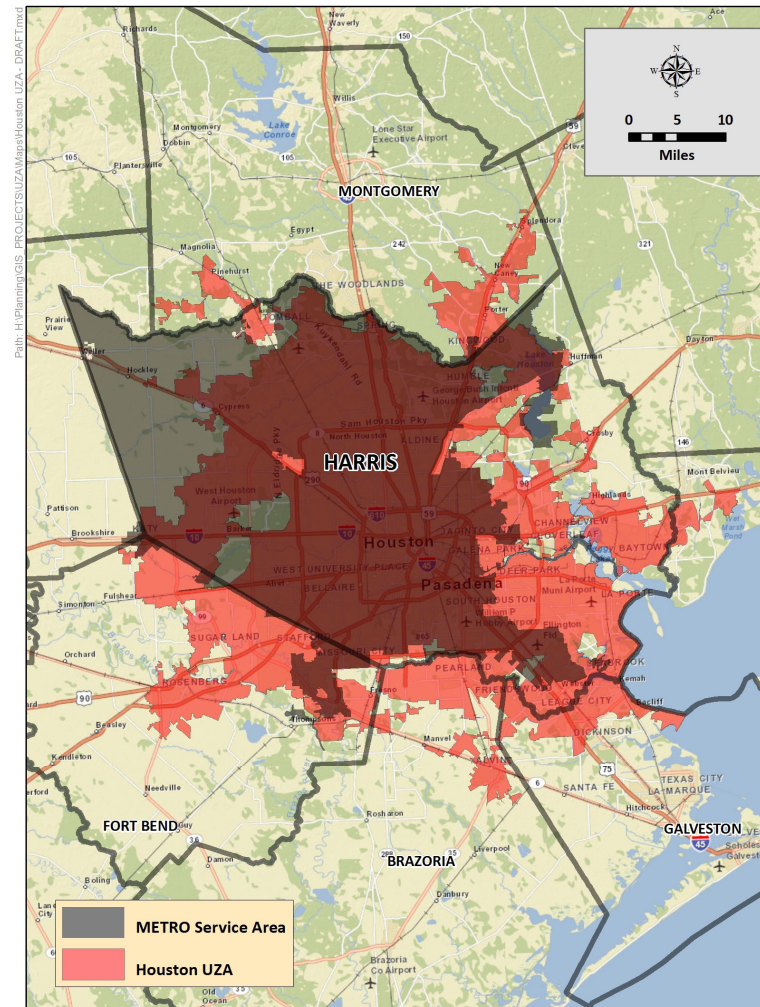
- **2021 Appropriations for the Houston UZA**

– 5307 Urbanized Area	\$85,919,315
– 5337 State of Good Repair	\$12,407,191
– 5339 Buses and Bus Facilities	\$ 9,367,411

- **2022 Appropriations for the Houston UZA**

– 5307 Urbanized Area	\$110,584,580
– 5337 State of Good Repair	\$ 19,312,611
– 5339 Buses and Bus Facilities	\$ 8,995,623

Houston UZA



Eligible Applicants

- Recipients of funds must qualify to be a Direct Recipient of federal funds and be an operator of public transportation.
- A Direct Recipient is a public entity that is legally eligible under federal transit law to apply for and receive grants directly from the FTA.
- As a Direct Recipient, recipients of funds will be subject to all federal requirements.

Eligible Projects

Funds not maintaining existing METRO, Fort Bend County, Harris County, or Gulf Coast Transit District services will be considered for allocation to other designated public transit providers not in the METRO service area, but in the Houston UZA, provided that the proposed use of funds benefit the Houston UZA

Federal Share, TDC & Local Match Requirements

- Capital assistance is provided at 80 percent Federal share, 20 percent local share
- Operating assistance requires a 50 percent local match
- Transportation Development Credits Policy and Procedures:
<https://www.h-gac.com/getmedia/96d7b1fa-72c6-40c8-a16d-add901c0147a/TDC-Policy-and-Procedures.pdf>

Application Guidelines / Evaluation

- Each agency can submit one or more applications
- Applications must be submitted electronically via e-mail at grantapplications@ridemetro.org
 - Applications must be received no later than 4:00 PM CST on October 3, 2022
- Evaluation panel is comprised of representatives from local and regional agencies

Applications

There is no prescribed format for proposals although applications should include, but not limited to, the following items:

- Project description
- Eligibility
- Demonstrated transit benefit to the Houston UZA
- Financial capacity to carry out the project including evidence of local match requirement
- Five year expenditure plan
- Risk Assessment Form

Application Information

Applicants are encouraged to provide additional information as necessary which could include the following information:

- How does the project establish, preserve or improve mobility of the individuals in the community?
- Does the project address a recognized need in the community? If yes, please include examples such as feedback from public meetings, surveys, complaints, etc.
- Does the applicant report sufficient experience in managing transportation projects to provide assurance of success?
- Does the applicant report sufficient experience in managing previous grant awards?
- Does the applicant report sufficient financial capability and resources to implement and successfully carry out the project?

Application Information Continued

- Does the applicant have the sufficient local match to support the implementation for the project? If yes, please list sources of local match.
- Does the applicant have a long-term commitment to maintain and utilize capital equipment/facilities acquired with federal funds beyond the availability of the requested resources?
- Does the project describe an active coordination effort aimed at improving efficiency and effectiveness? If yes, please provide examples.
- Explain how the proposed project addresses gaps and/or barriers that have been identified?
- Is the project a new service?

Application Information Continued

- Does the project expand or enhance an existing service?
- Does the project facilitate a state of good repair for existing service?
- Does the proposed project contribute significant ridership as it relates to the service area?
- How would this project be sustained without federal funding?
- Does the project have local support? Evidence includes, but is not limited to:
 - Endorsement letters for organizations or individuals
 - Fare or other monetary contributions received from riders
 - Resolutions by local governing bodies

Risk Assessment Form

- Please note that this is an application requirement

Agency:	
Date:	If yes, please give details including awarding agency.
1. Have you had a grant closed due to material noncompliance in the last 5 years?	
2. Have you failed to make substantial progress on past grants?	
3. Do you have no experience with a similar Grant Program?	
4. Do you have qualified auditor's opinion on a financial statement in the past five years? If so provide details.	
5. Do you have questioned costs on single audits in the last five years? If so, provide details.	
6. Have you had an audit finding relating to cash management in the last five years? If so provide details.	

FTA Suballocation

- The METRO Board approves the program of projects (POP)
- METRO will provide a suballocation letter (split letter) to awardees upon METRO Board approval
- Awardees will apply directly to FTA for the funding as direct recipients
- FTA will require the uploading of the suballocation letter as part of the application process in TrAMS

Questions?

- Application Deadline: no later than 4:00 PM CST on October 3, 2022
 - Application Submissions at grantapplications@ridemetro.org
- METRO Grant Programs Website
 - <https://www.ridemetro.org/Pages/GrantPrograms.aspx>

Contact Information

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