

**FY 2016 Supplemental
Central Valley Mobility Management
Phoenix-Mesa Urbanized Area
Handbook &
Program Guidelines**

Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities

Competitive Selection Process By:



Designated Recipient of Federal Funds:



City of Phoenix
PUBLIC TRANSIT DEPARTMENT

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CONTACT INFORMATION

For inquiries regarding Phoenix-Mesa 5310 competitive grant process or Human Services Coordination Transportation Planning:

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Web site:

http://www.azmag.gov/Committees/Committee.asp?CMSID=1047&MID=Human_Services

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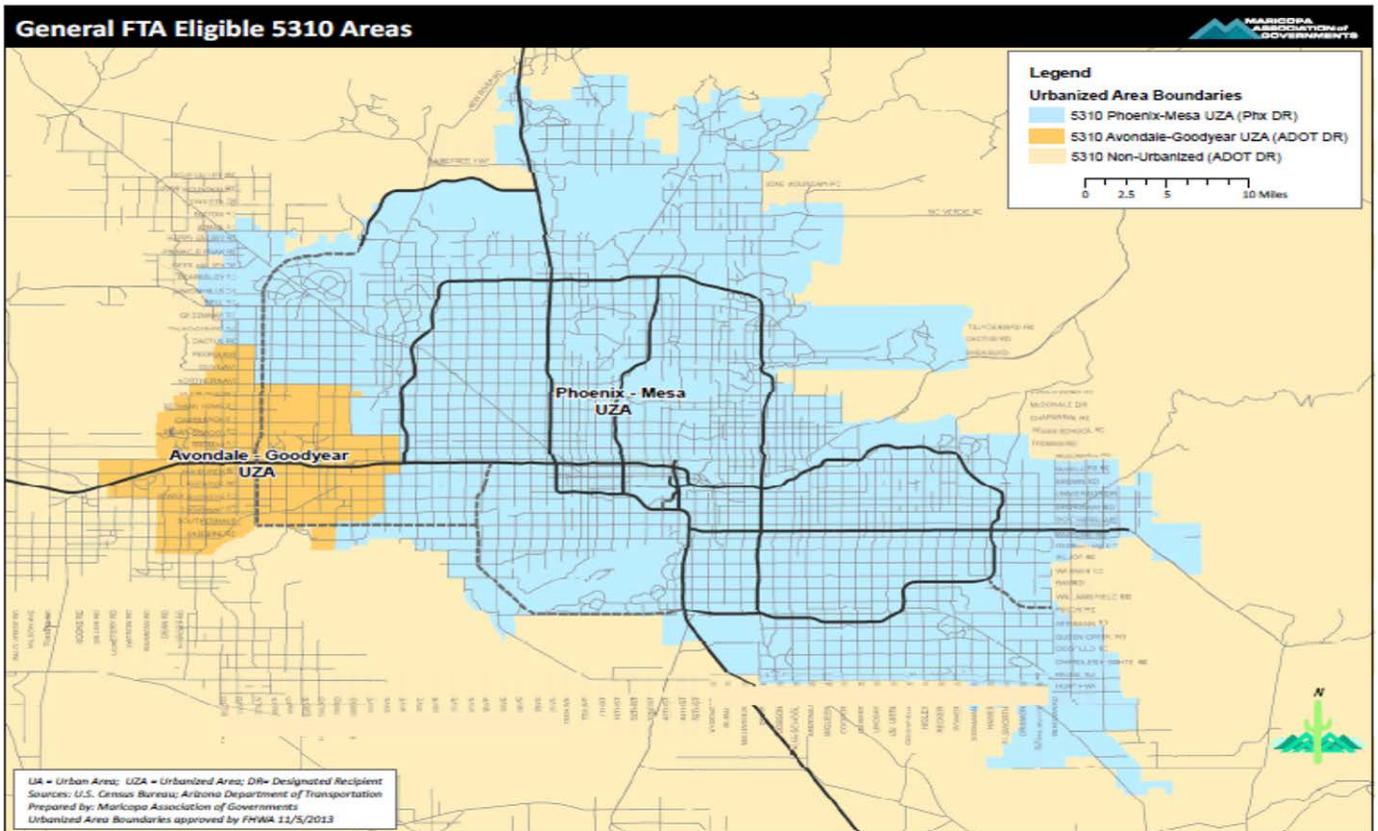
Web site: <http://phoenix.gov/publictransit/grants.html>

TIMELINE*

| | |
|--|--|
| Applications are published | September 2, 2016 |
| Application Deadline ATTN: DeDe Gaisthea Maricopa Association of Governments 302 N. 1 st Avenue, 3 rd floor Phoenix, AZ 85003 | September 26, 2016, at 10 a.m. <u>No late applications will be accepted</u> |
| Public Notice of Submitted Applications | September 26, 2016 |
| MAG Elderly and Persons with Disabilities Transportation Committee Meeting and Applicant Presentations | September 29, 2016 |
| MAG Management Committee | October 12, 2016 |
| Regional Council | October 26, 2016 |
| Appeal Deadline | One week from notification |
| Phoenix/Subrecipient Agreement Process and availability of fund | November 2016 |

*Dates are subject to change

FTA 5310 SERVICE AREA



PROGRAM OVERVIEW

This handbook provides program guidelines for the Federal Transit Administration (FTA) Section 5310 Enhanced Mobility for Seniors and Individuals with Disabilities supplemental Mobility Management grant process for the Central Valley in the Phoenix-Mesa Urbanized Area (UZA). The FTA Fixing America's Surface Transportation Act (FAST), Section 5310 program provides formula funding to states and designated recipients to improve mobility for senior and individuals with disabilities. FTA is in the process of updating the program circular to incorporate changes resulting from the FAST Act. At this time, The Section 5310 program guidance continues to follow requirements established under MAP-21.

On May 4, 2016, the Elderly and Persons with Disabilities Committee recommended a supplemental call for projects for a Central Valley Mobility Management position. This supplemental call for projects is due to the region having not received any application submittals for the Central Valley identified area during the annual call for projects. On June 2, 2016, the MAG Regional Council approved the availability of funding for Mobility Management position for the Central Valley to ensure the continuation of regional support of human services transportation coordination activities, as federally required. Potential mobility management applicants will offer support for regional human services transportation coordination efforts with a focus on the Central Valley area.

MOBILITY MANAGEMENT POSITION

Mobility management under the FTA definition, 'consists of short-range planning, management activities and projects for improving coordination among public and private transportation service providers with the intent of expanding the availability of services'. **The primary role of utilizing sub-regional mobility managers is to both enhance and promote regional mobility coordination planning efforts, as federally required.** The utilization of sub-regional mobility managers in the region is a strategy outlined in the MAG Human Services Coordination Transportation Plan. This has included identifying sub-regional mobility manager as community liaisons for the East Valley, West Valley, and Central Valley area of the MAG region.

This supplemental mobility management application will focus on awarding a sub-regional mobility manager for the Central Valley area. The area of focus includes the general Phoenix area and adjacent communities. The match ratio for this grant award is 80 percent federal and 20 percent local. Based on national averages, funding parameters for sub-regional mobility managers is \$45,000 for a full-time position dedicated to regional mobility management activities. The availability of funding is \$36,000 federal and \$9,000 local for a combined total of \$45,000. Applicants for a mobility management position will also need to adhere to the Scope of Work as outlined below.

The Scope of Work ensures that sub-regional mobility management programs, awarded through the FTA Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Transportation Program, adhere to the purpose and scope of work in support of regional coordination efforts. The purpose of the sub-regional mobility management program, as outlined in the MAG Human Services Coordination Transportation Plan, is to utilize sub-regional mobility managers as community liaisons to strengthen regional collaborative efforts

and engage providers in coordination planning activities. The MAG Human Services Coordination Transportation Plan can be found at the following link, http://www.azmag.gov/Documents/FY2014_HS_coordination_trans_plan_05-31-13.pdf.

The scope of work, as outlined in the MAG *Commitment to Strategies*, includes the following:

- Attendance at designated human services transportation meetings to assist in the development and implementation of regional coordination planning.
 - Attend all quarterly MAG Transportation Ambassador Program meetings and the Regional MAG Transportation Ambassador Program conference.
 - Attend monthly sub-regional mobility managers meetings.
 - Participation in workshops and trainings offered to regional stakeholders.
- Compliance with information and data requests to aid in the collaborative efforts of the planning process.
 - Provide assistance and participation in the collection of regional human services transportation surveys, including but not limited to, the MAG Human Services Provider Inventory.
 - Provide a progress report on Section 5310 mobility management awarded projects, reflecting quantitative and qualitative advancement of activities.
- Demonstrate support and achievement of goals, as appropriate and identified in the MAG Human Services Coordination Transportation plan.
 - Participate in a sub-regional mobility manager debriefing and assessment of regional project activities with the MAG Human Services Transportation Planner.
 - Provide progress reports of activities to regional stakeholders through the MAG Transportation Ambassador Program meetings.

Sub-regional mobility management program activities not achieving the purpose and scope of work, as outlined, may be determined a “program of concern”. The MAG Human Services Transportation Planner, as the Regional Mobility Manager, will inform the Designated Recipient of Section 5310 sub-recipient’s program activities that are identified as a “program of concern”. Programs of concern will be required to develop an action plan for improving program performance in the area(s) identified as, “not achieved”. Programs of concern will be required to participate in quarterly progress meetings with the MAG Human Services Transportation Planner as the Regional Mobility Manager. The meetings are intended to assess progress, and ensure programs are taking steps towards implementing their action plan.

The MAG Human Services Transportation Planner will assess the sub-regional mobility management project performance, in accordance to the outlined purpose and scope of work, at the end of each quarter to determine if the program is improving in the areas identified as “not achieving”. If the program performance has not improved significantly, as determined by the MAG Human Services Transportation Planner, the program may be recommended to the City of Phoenix as the designated recipient for reprogramming of funds according the established programming guidelines.

The scope of work will be evaluated and revised, as necessary, on an annual basis to address the needs of human services transportation concerns in the region. This will include the Designated Recipient's federal requirements, and as appropriate, recommendations offered by the MAG Elderly and Persons with Disabilities Ad Hoc Committee, and the MAG Regional Mobility Manager.

PROGRAM GOALS AND OBJECTIVES

This goal of this program is to provide funds to serve the special needs of transit-dependent populations beyond traditional public transportation service. Toward this goal, FTA provides financial assistance for transportation services planned, designed, and carried out to meet the special transportation needs of older adults and individuals with disabilities. The program requires coordination with other federally assisted programs and services in order to make the most efficient use of federal resources.

The goals and objectives for the programs will directly reflect the purpose of the grants as well as the goals and strategies outlined in the regional Maricopa Association of Governments (MAG) Human Services Coordination Transportation Plan (HSCTP), the MAG regional programming guidelines, and the City of Phoenix Program Management Plan.

The goal of the HSCTP is to ensure all people, especially those with disabilities, low incomes and advanced years, have equitable access to appropriate transportation options by offering coordination strategies. The plan was developed in conjunction with a diverse group of stakeholders including transportation and human services providers, the metropolitan planning organization, local governments and state agencies.

FEDERAL PROGRAM REQUIREMENTS

Elderly and Individuals with Disabilities Grant Program (5310)

- At least 55 percent of the program funds must be used on capital or "traditional" 5310 project such as buses and vans and mobility management programs. Funding available for this program must be used for projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable), typically carried out by non-profit agencies. The capital eligibility of acquisition of services is limited to the section 5310 program.
- The matching requirements for the mobility management program is provided on an 80 percent Federal share, 20 percent local share.
- Funds provided under other Federal programs (other than those of the Department of Transportation, with the exception of the Federal Lands Transportation Program and Tribal Transportation Program) may be used for local match for funds provided under section 5310, and revenue from service contracts may be used as local match.

PROGRAM MEASURES

The subrecipient is required to gather and submit quarterly reports to PTD on both quantitative and qualitative information on each of the following indicators:

Traditional Section 5310 Program Measures

- Gaps in Service Filled. Provision of transportation options that would not otherwise be available for seniors and individuals with disabilities measured in numbers of seniors and people with disabilities afforded mobility they would not have without program support as a result of traditional Section 5310 projects implemented in the current reporting year.
- Ridership. Actual or estimated number of rides (as measured by one-way trips) provided annually for individuals with disabilities and seniors on Section 5310– supported vehicles and services as a result of traditional Section 5310 projects implemented in the current reporting year.

ELIGIBILITY

Traditional 5310 Projects (Mobility Management)

Eligible applicants for 5310 Projects include Private non-profit organizations; Governmental authorities that certify to the chief executive officer of a State that no non-profit corporations or associations are readily available in an area to provide the service; and Governmental authorities approved by the State to coordinate services for elderly individuals and individuals with disabilities.

Eligible activities for the 5310 projects are available for capital expenses as defined in Section 5302(a)(1) to support the provision of transportation services to meet the special needs of elderly persons and persons with disabilities. Funds for the Section 5310 program are available for capital expenses as defined in Section 5302(3) to support public transportation capital projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable, or inappropriate.

FUNDING

FTA publishes the FY 2016 appropriation amounts in the Federal Register. The amount available for the 5310 and New Freedom Projects is estimated to be approximately \$2.9 million. The FAST Act requires at least fifty-five percent (55%) of the available amount be spent on the traditional 5310 Projects, which is approximately \$1.6 million. Up to ten percent of the apportionment can be utilized for program administration funds by the designated recipient to cover costs associated with administering the program. After the program administration budget is determined, the remainder of funding will be made available for all eligible New Freedom projects under the program.

Period of Availability

FTA has administratively set the period of availability to three years, which includes the year of apportionment plus two additional years. Accordingly, funds apportioned in FY 2016 must be obligated in grants by September 30, 2018. Any FY 2016 apportioned funds that remain unobligated at the close of business on September 30, 2018 will revert to FTA for reapportionment among the States and urbanized areas.

APPLICATION & SELECTION PROCESS

Project funding will be determined by a regional competitive selection process coordinated through the Maricopa Association of Governments committee process in conjunction with the City of Phoenix, designated recipient of federal funds for the Phoenix-Mesa urbanized area.

Application Deadline

Applications are due by **Monday, September 26, at 10:00 a.m.** to the Maricopa Association of Governments, 302 North 1st Avenue, 3rd Floor, Phoenix, AZ 85003. Please mark all application materials ATTN: DeDe Gaisthea. The MAG receptionist staff will mark your materials, certifying the date/time your application was received. A receipt can be issued upon request.

Late or incomplete applications will not be accepted.

Public Comment

MAG staff will publish a listing of submitted applicants for public comment. Applicant's contact information and copies of the application may be posted online for public review and comment.

Project Evaluation

The City of Phoenix and MAG staff will do an initial review of project applications to determine applicant eligibility. Projects will then be reviewed individually by the MAG Elderly and Persons with Disabilities Transportation Ad Hoc Committee will meet on Thursday, September 29, 2016, to develop a project listing, utilizing the Selection Criteria on the following page. All potential applicants are encouraged to review the Selection Criteria to ensure your requested projects meet the requirements.

Applicant Interviews

Applicants will be invited to a 15 minute interview process after the evaluation panel conducts a preliminary review of the applications on Thursday, September 29, 2016. The interview process provides an opportunity for the applicant to give a presentation on their proposed project and allows the panel to ask the applicant questions based on their application, and seek any clarification deemed necessary.

| <u>SELECTION CRITERIA (100 pts)</u> | Needs Improvement | Meets Criteria | Meets All or Exceeds Criteria |
|---|--------------------------|-----------------------|--------------------------------------|
| SECTION 1 AND 2: Cover Letter, Checklist, and Agency Info (5 pts) <ul style="list-style-type: none"> Cover letter clearly describes the agency's primary mission, population served, summary of project, and requested funding with appropriate agency signature. (3) Application has completed the checklist with appropriate agency contact information. (2) | (1 pt.) | (2-3 pts.) | (4-5 pts.) |
| SECTION 3: Agency Experience and Capabilities (25 pts) <ul style="list-style-type: none"> Agency has the ability to perform the requested project. (5) Agency has the capacity to manage federal funds and requirements. (5) Demonstrates good utilization of requested and/or past funding. If applicable, agency expends awards in a timely manner. (5) Provides performance measures that will be used to evaluate the effectiveness of the requested project with measurable outcomes. (10) | (1-9 pts.) | (10-19 pts.) | (20-25 pts.) |
| SECTION 4 AND 5, 6, or 7: Project Description (25 pts) <ul style="list-style-type: none"> The project clearly addresses the federal requirement of being planned, designed and carried out to meet the specific needs of seniors and individuals with disabilities by providing a service that would otherwise not be available. (5) Project demonstrates an effective utilization of proposed position and an effective use of federal funds by filling in the gaps in service(10) , The proposed project is consistent with eligible 5310 program activities and meets the goals and objectives for the regional 5310 program as outlined in the Handbook and Program Guidelines. (10) | (1-9 pts.) | (10-19 pts.) | (20-25 pts.) |
| SECTION 8 – Coordination (30 pts) Project is clearly derived from the regional plan and demonstrates support for local strategies by: <ul style="list-style-type: none"> Coordination Participation- Applicant demonstrates, or expresses willingness, to, participate on local and/or regional coordination meetings and forum(s). Including submitting all requested data information including surveys and provider updates. (10) Developing Partnerships-To what degree does the applicant coordinate with other agencies, public or private transit and paratransit systems, and other services? (5) Collaborative Activities-Applicant demonstrates, or expresses willingness to, participate by engaging in a coordinated system for training activities. (5) Addressing Regional Gaps-To what degree does the applicant attempt to address regional gaps as outlined in the MAG Human Services Transportation Coordination Plan? (10) | (1-9 pts.) | (10-20 pts.) | (21-30 pts.) |
| SECTION 9 – Budget (10 pts) <ul style="list-style-type: none"> Applicant appropriately addresses the availability/reliability of required matching fund for proposed request including the ability to operate/maintain the grant project in future years. (5) Availability to provide non-DOT funds as matching funds. (5) | (1-3 pt.) | (4-7 pts.) | (8-10 pts.) |
| Applicant Interview and Presentation (5 pts) <ul style="list-style-type: none"> Applicant presentation of the project adequately supported the need of the proposed project. (5) | (1 pt.) | (2-3 pts.) | (4-5 pts.) |

Final Selection

A final review of the recommended project will be conducted by MAG staff and the City of Phoenix to ensure applicants meet federal requirements.

Approval Process

The recommended project to be funded will then be submitted to MAG Management Committee for recommendation and to MAG Regional Council for final project approval. Approved projects are forwarded to the Phoenix City Council for authorization to receive and disburse grant funds and execute Grant Pass Through Agreements with agencies whose projects have been selected for funding. Any projects that are denied or funded conditionally are given an opportunity to solicit feedback from the project coordinator of the selection panel and/or utilize the appeal process. Agencies or projects that do not meet federal eligibility requirements will not be approved for funding.

Appeal Process

Applicants will be given the opportunity to appeal the final funding recommendations and must use the following process to be recognized as a valid appeal. The letter of appeal must clearly identify the applicant, contact person, address, phone number, email address, project description and grounds for appeal. The request for appeal must be submitted and received within 14 calendar days after the postmarked date of decline notice. The appeal will be reviewed by the MAG EDPT Committee at the following meeting date. Letters must be sent via email to DeDe Gaisthea at dgaisthea@azmag.gov.

If the applicant is not satisfied with the MAG EDPT Committee's response, the appeal may be addressed during the MAG committee process, including the MAG Management Committee and MAG Regional Council.

TIP/STIP Amendment

All projects selected for funding must be included in the MAG Transportation Improvement Program (TIP) and the Statewide Transportation Improvement Program (STIP) to apply to FTA for the funding. The selected projects are provided to MAG to process a TIP amendment and forwards to Arizona Department of Transportation (ADOT). ADOT then processes the amendment for inclusion in the STIP and forwards to FTA for final approval.

Entering into Agreement with City of Phoenix

Agencies receiving grant funds will be required to enter into a Grant Pass Through Agreement with the City of Phoenix incorporating the terms and conditions in the FTA's Master Agreement.

Availability of Funding

Upon FTA approval of the grant application and a final signed agreement is on file with the Phoenix City Clerk Department, the subrecipient may file for reimbursement of funds by providing appropriate back up documentation as indicated in the grant agreement.

REQUIREMENTS

The applicant must be prepared to meet all applicable Federal, State, and Local requirements in the areas including, but not limited to Legal, Financial, Vehicles, Maintenance, Training, Procurement, Civil Rights, Title VI, Limited English Proficiency, Disadvantaged Business Enterprise, Americans with Disabilities Act, Equal Employment Opportunity, Asset Management, Debarment & Suspension, Lobbying, Safety & Security.

Certifications and Assurances

The subrecipients' Authorized Representative must sign the Certification & Assurances form provided in the application indicating the agency's agreement to comply with all applicable Federal requirements. The Attorney's signature is recommended, however, it is not required.

DUNS

Obtaining a D-U-N-S number through Dun & Bradstreet is required **PRIOR** to applying for Federal funds. D-U-N-S is a business identification system used by businesses, banks and government and is required to conduct business with the Federal government. To apply for a D-U-N-S number, visit the Dun & Bradstreet website: <http://www.dnb.com/get-a-duns-number.html>

SAM

Registering with the System for Award Management (SAM) is required **UPON** receiving Federal funds. The SAM combines federal procurement systems and the Catalog of Federal Domestic Assistance into one new system. This consolidation includes the functionality from the following systems: Central Contractor Registry (CCR), Federal Agency Registration (Fedreg), Online Representations and Certifications Applications (ORCA), and Excluded Parties List System (EPLS). Registering with SAM is required to receive funds from the Federal government. The City of Phoenix utilizes the SAM system to ensure subrecipients of Federal funds are not debarred or suspended from receiving Federal funds or from doing business with the Federal government. To register, visit the following website: <https://www.sam.gov/>

Office of Management & Budget (OMB) A-133 Audit

The **OMB A-133 audit**, also known as the **Single Audit**, is an annual, organization-wide audit of an entity that expends \$750,000 or more of Federal assistance. Performed annually, the Single Audit's objective is to provide assurance to the U.S. federal government as to the management and use of such funds by recipients such as states, cities, universities, and non-profit organizations. The audit is typically performed by an independent certified public accountant (CPA) and encompasses both financial and compliance components. The Single Audits must be submitted to the Federal Audit Clearinghouse along with a data collection form, Form SF-SAC.

Agencies receiving \$750,000 or more in federal funds annually are required to conduct an annual single audit by a certified public accountant (CPA) and must provide a copy of their audit to the City of Phoenix annually, as well as follow any related federal guidelines. For more information, click on the following links to the circular here:

https://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf and
the current supplement here:
https://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2015

Lobbying Activities

Byrd Anti-Lobbying Amendment, 31 U.S.C. 1352, as amended by the Lobbying Disclosure Act of 1995, P.L. 104-65 [to be codified at 2 U.S.C. § 1601, et seq.] - Agencies who apply for an award of \$100,000 or more shall file the certification required by 49 CFR part 20, "New Restrictions on Lobbying." See Grant Application for form. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on its behalf with non-Federal funds with respect to that Federal contract, grant or award covered by 31 U.S.C. 1352. Such disclosures are forwarded from tier to tier up to the recipient. The "Lobbying Certification" form must be completed, signed and submitted with Applicant's submittal.

Cross-Cutting changes to FTA Programs

The following cross-cutting requirements apply to all FTA programs as of October 1, 2012 unless otherwise noted. Additionally they also apply to programs that otherwise continue to follow SAFETEA-LU requirements.

- **Agency Safety Plans**: Section 5329 requires all FTA grantees to develop comprehensive agency safety plans approved by the recipient's board of directors (or equivalent entity) and certified by FTA or a State. The agency safety plan also will need to identify an adequately trained safety officer who reports directly to the recipient's chief executive and provide a comprehensive staff training program for operations personnel and personnel directly responsible for safety. **For recipients without a plan in place on October 1, 2012, this requirement will not apply as a condition for receiving assistance until one year after the effective date of a final rule.** The City of Phoenix will notify grantees of any requirements upon receiving direction from FTA.
- **Transit Asset Management (TAM) Plans**: FAST Act requires that each recipient and subrecipient of FTA grants must establish a "transit asset management" (TAM) plan for its transit system. **This requirement will not be a condition for receiving FTA grant funds until FTA issues a rulemaking.** The City of Phoenix will notify grantees of any requirements upon receiving direction from FTA.

The Federal Transit Administration (FTA) has published the final circular C 9070.1G for the Section 5310- Enhanced Mobility for Seniors and Persons with Disabilities program. The final circular further defined requirements and eligible activities. Please review the circular carefully.

All agencies receiving Federal funds must have a DUNS number issued by Dun & Bradstreet, as well as register with the Federal government's The System for Award Management (SAM). See REQUIREMENTS for additional information.

Agencies receiving \$750,000 or more in Federal funds, must provide a copy of their A-133 Audits annually. See REQUIREMENTS for additional information.

Agencies requesting \$100,000 more in Federal funds, must file a Lobbying Certification form. See REQUIREMENTS section for additional information.

Mobility Manager Positions have specified requirements. Please see REQUIREMENTS section for additional information.

Matching Funds

Subrecipients are required to provide matching funds for Section 5310 funds. Federal funds provide for eighty (80) percent of mobility management projects. Funds provided under other Federal programs (other than those of the Department of Transportation, with the exception of the Federal Lands Transportation Program and Tribal Transportation Program established by sections 202 and 44 203 of title 23 U.S.C.) may be used for local match for funds provided under section 5310, and revenue from service contracts may be used as local match.

All local match funds for capital equipment must be in cash. Non-cash local match sources such as donations, volunteered services, or in-kind contributions is eligible to be counted toward the local match for operating and mobility management projects as long as the value of each is documented and supported, represents a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget.

Participation in MAG's Human Services Coordinated Transportation Plan

The FAST ACT continues with MAP-21 coordinated planning provision requiring all projects be included in the local coordinated human service-public transportation plan. However, on an interim basis, FTA defines "included in" to mean essentially the same as "derived from," so long as there is evidence the plan was developed and approved with inclusion from the specific targeted populations. Through revisions to its circular, FTA will seek notice and comment for how to define "included in."

All agencies applying for Section 5310 funds will be required to participate in the planning process and support the coordination strategies adopted for MAG's Human Services Coordinated Transportation Plan (HSCTP).

Procurements

All subrecipients must comply with all federal requirements associated with procurements of all items purchased with Federal funds. Contact the City of Phoenix for technical assistance ***prior*** to conducting procurements utilizing any grant funds. Procurements conducted outside of the federal guidelines may impact an agency's eligibility to be reimbursed for expenditures.

Eligible Expenses & Reimbursements

Qualifying expenditures are reimbursed to the subrecipient by the FTA through the City of Phoenix, when submitted with appropriate accompanying documentation. The application for reimbursement must be accompanied by detailed backup documentation for all eligible expenses. At a minimum the documentation shall include, but is not limited to a listing of all invoiced costs with vendors and payment dates; copies of paid invoices received from vendors for purchases of supplies and services; all purchases of vehicles shall be accompanied with "Vehicle Inventory Record" form; all other asset purchases shall be accompanied with a "Capital Asset Purchase" form; verification of all staff or contractor hours billed, including copies of all applicable timecards, payroll records or other time reporting documentation; and any other documentation as required by Phoenix or the FTA.

Reporting Requirements

All subrecipients will be required to submit quarterly and annual progress reports including grant milestones, financial status, vehicle information, and program measures to the City of Phoenix. Specific reporting requirements will be outlined in the Grant Pass Through Agreement. MAP-21 also changes the performance measure reporting requirements and the City of Phoenix will communicate any changes with subrecipients when FTA finalizes the requirements.

Milestone Progress Reports (MPR)

Each quarter, subrecipients are required to submit milestone progress reports for all active FTA funded projects. The subrecipient will provide revised estimated project milestone and/or actual completion dates to PTD as appropriate and narrative descriptions of progress for each project. An explanation as to why the date changes are necessary should be included in the report.

Financial Status Reports (FSR)

The subrecipient must submit an accrued cost listing to PTD for eligible grant expenditures not yet submitted to the designated recipient for reimbursement. PTD prepares the FSR and submits to FTA quarterly.

Project Management & Expending Funds

Forfeiture of Funds or Equipment

Subrecipients who report no progress toward completing the grant funded activities in a quarter (without sufficient justification), or who have federally funded vehicles or equipment not in service during their useful life will be cautioned to expedite progress or put the equipment back in service. After significant lack of progress or delay in utilizing the equipment during its useful life, subrecipients may be subject to forfeiture of the grant funds or equipment.

Funds or equipment forfeited during the federal period of availability of funds (the year of apportionment plus two years), may be re-awarded to the highest ranked, un- or under-funded projects within the same selection process, redistributed proportionally between the remaining projects within the same grant, or rolled over for the next competitive selection process.

Funds or equipment forfeited after the period of availability has passed, may be awarded to the highest ranked, under-funded projects within the same selection process, redistributed proportionally between the remaining projects within the same grant or otherwise redistributed by the designated recipient.

Surplus Funds or Equipment

Surplus funds resulting from projects that do not use the entire assigned grant budget or equipment no longer needed with remaining useful life identified within the federal period of availability of funds may be awarded to the highest ranked, un- or under-funded projects for the application period, redistributed proportionally between the remaining projects funded within the same grant, or rolled over for the next competitive selection process.

Surplus funds resulting from projects that do not use the entire assigned grant budget or equipment no longer needed with remaining useful life which are identified after the period of availability has passed, may be awarded to the highest ranked, under-funded projects for the application period, redistributed proportionally between the remaining projects within the same grant or otherwise redistributed by the designated recipient.

SUBRECIPIENT REVIEWS/OVERSIGHT

Record Keeping and Audits

Records must be maintained in an auditable manner during the period of contractual obligation to City of Phoenix/FTA and for six years after the date of completion of the project and/or release of the lien or disposition date of the vehicle. The subrecipient should maintain records regarding vehicle trip logs as well as information on driver safety records/incidents, vehicle insurance, regular and major maintenance and repair, and operating budget(s). The subrecipient should also keep up-to-date records on such aspects as ADA and other Civil Rights program requirements.

Site Reviews

Site Reviews will be conducted at least once every three years and will include an assessment of all applicable Federal, State, and City of Phoenix requirements. A subrecipient may be reviewed by the City of Phoenix, applicable Federal agencies, or their designees without notice at any time during this period.

APPENDIX

Applicant Resources

City of Phoenix Grant Resource Page:

<https://www.phoenix.gov/residents/grants>

City of Phoenix Subrecipient Resource Page:

<https://www.phoenix.gov/publictransit/subrecipient-resources>

FTA Americans with Disabilities Act Guidance:

http://www.fta.dot.gov/legislation_law/12349_16591.html

FTA Americans with Disabilities Act Regulations Part 37- Transportation Services for Individuals with Disabilities:

http://www.fta.dot.gov/12876_3906.html

FTA Certifications and Assurances:

<http://www.fta.dot.gov/grants/13071.html>

FTA Fixing America's Surface Transportation Act (FAST Act) Resources:

<https://www.fhwa.dot.gov/fastact/>

FTA Fixing America's Surface Transportation Act (FAST Act) Fact Sheet:

http://www.fta.dot.gov/documents/5310_Enhanced_Mobility_of_Seniors_and_Disabled_Fact_Sheet.pdf

FTA Department of Transportation Master Agreement:

<http://ftateamweb.fta.dot.gov/static/Agreements/21-MASTER.pdf>

FTA MAP-21 Final Circular Published July 7, 2014:

[http://www.fta.dot.gov/documents/C9070_1G_FINAL_circular_4-20-15\(1\).pdf](http://www.fta.dot.gov/documents/C9070_1G_FINAL_circular_4-20-15(1).pdf)

MAG Human Services Coordination Transportation Plan

http://www.azmag.gov/Documents/EaPWD_2012-05-01_Draft-FY2013-Human-Services-Coordination-Transportation-Plan.pdf

US Federal Register-Notice of Program Changes:

<https://www.federalregister.gov/articles/2016/02/16/2016-02821/notice-of-fta-transit-program-changes-authorized-funding-levels-and-implementation-of-federal-public#h-86>

For agencies outside of the Phoenix-Mesa Urbanized Area, visit ADOT's grant page at:

http://www.azdot.gov/mpd/Transit_Programs_Grants/ProgGuide.asp

APPENDIX

Definitions

Americans with Disabilities Act (ADA): Public Law 336 of the 101st Congress, enacted July 26, 1990. The ADA prohibits discrimination and ensures equal opportunity for persons with disabilities in employment, state and local government services, public accommodations, commercial facilities, and transportation.

Applicant: An entity that is seeking, but has not yet been awarded, specific federal financial assistance directly from FTA.

Complementary Paratransit Services: Required by the ADA for individuals with disabilities who are unable to use fixed route transportation systems. This service must be comparable to the level of service provided to individuals without disabilities who use the fixed route system and meet the requirements specified in Sections 37.123-137.133 of *Transportation Services for Individuals with Disabilities* (Part 37), CFR 49, Volume 1.

Coordination Plan: See “Locally Developed Coordinated Public Transit-Human Services Transportation Plan.”

Employee(s): An individual who is compensated by an agency; for directly operated services, the labor expense for the individual is reported in object class (501) labor.

Employee Work Hours: Employee labor hours, not including fringe benefit hours such as sick leave, holidays, and vacations. Work hours include only labor hours for employees of the agency, both full time and part time, permanent and temporary.

Federal Transit Administration (FTA): The agency under the U.S. Department of Transportation that provides financial assistance to develop new transit systems and improve, maintain, and operative existing systems.

Federal Award: The amount of FTA share assistance being provided subrecipients based on the approved application. Also referred to as the Federal/FTA Share or FTA award.

Full Time Employees: Employees of the transit agency meeting the local definition of full time hours. Normally, these persons are entitled to receive full benefit packages (e.g., sick leave, vacation, and insurance benefits).

Grantee: Also referred to as a “subrecipient,” a grantee is an organization that has applied for funds, has been awarded funds, and has executed a Grant Agreement with the City of Phoenix.

Human Service Transportation: Transportation services provided by or on behalf of a human service agency to provide access to agency services and/or to meet the basic, day--- to---day

mobility needs of transportation---disadvantaged populations, especially individuals with disabilities, older adults, and people with low incomes.

Individual with a Disability: An individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi---ambulatory capability), cannot use effectively, without special facilities, planning, or design, public transportation service or a public transportation facility (49 U.S.C. 5302(a) (5), *Definitions*).

In-Kind Contributions: In-kind contributions are goods and services donated from outside your agency. The value of noncash charges for real property and equipment, and the value of goods and services must directly benefit and be specifically identifiable to the project. To be eligible as match, the monetary value of the in-kind contribution must be documented.

Locally Developed Coordinated Public Transit--Human Services Transportation Plan: A plan that identifies the transportation needs of individuals with disabilities and older adults, provides strategies for meeting those local needs; and prioritizes transportation services for funding and implementation.

Mobility Management: Eligible capital expenses consisting of short-range planning and management activities and projects for improving coordination among public transportation and other transportation service providers carried out by a recipient or subrecipient. Mobility management does not include operating public transportation services.

Nonprofit Organization: A corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501(c), *List of Exempt Organizations*, which is exempt from taxation under 26 U.S.C. 501(a), *Exemption From Taxation*, or one which has been determined under state law to be nonprofit and for which the designated state agency has received documentation certifying the status of the nonprofit organization.

Non-Urbanized Area (Non-UZA): An area (a population of fewer than 50,000) designated by the U.S. Bureau of the Census, also referred to as a rural area.

Operating Assistance: Is financial funding to help cover the operating costs of providing transit services. Operating costs are classified by function or activity and the goods and services purchased. The basic functions and object classes are detailed in the Operating Expenses form (F-30) and are defined in Section 5.2 and 6.2 of the Uniform System of Accounts (USOA).

Paratransit: Types of passenger transportation that are more flexible than conventional fixed-route transit but more structured than the private automobile. Paratransit includes demand response transportation services, shared---ride taxis, car pooling and vanpooling, and jitney services. Most often refers to wheelchair---accessible, demand response service.

Part-Time Employees: Employees of the transit agency who work less than the local definition of full time. Normally, these persons are not provided full benefit packages (e.g., sick

leave, vacation and insurance benefits) associated with full time employment. Full time employees working part of their time in a function or mode are not part time employees.

Private-For-Profit Provider: A nonpublic entity that provides public transportation services. For-profit entities exist primarily to generate a profit, (i.e., a surplus of revenues over expenditures).

Private Nonprofit Provider: A nonpublic entity with a tax-free status that provides transit services. Nonprofit entities exist to provide a particular service (e.g., public transportation) to the community. Nonprofit refers to a type of business—one that is organized under rules that forbid the distribution of profits to owners. Profit refers to a surplus of revenues over expenditures.

Project/Project Request: Public transportation services or public transportation alternatives proposed in an application.

Public Transportation: Public transportation is regular, continuing, shared-ride surface transportation service that is “open to the general public or open to a segment of the general public defined by age, disability, or low income.”

Rural: Population under 50,000, and neither “small urbanized” nor “large urbanized.”

Seniors: An individual who is 65 years of age or older. The term is used in the Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program.

Service Area: A measure of access to transportation service in terms of population served and area coverage (square miles). The reporting transportation agency determines the service area boundaries and population for most services using the definitions contained in the Americans with Disabilities Act of 1990 (ADA).

State Management Plan: The document developed by a Designated Recipient and submitted to FTA on a periodic basis that details the Department’s policies and procedures for administering FTA grant programs.

Subrecipient: Refers to a state or local governmental authority, nonprofit organization, or operator of public transportation services that receives a FTA grant indirectly through a recipient, such as ADOT.

Total Project Cost: Amount of FTA share assistance awarded **plus** the local match funds provided by the subrecipient that equals the total amount contracted for the project applied for and awarded during the application period.

Travel Training: Travel training is short-term, comprehensive, intensive instruction designed to teach students with disabilities how to travel safely and independently on public transportation. The goal is to train students to travel independently to a regularly visited

destination and back. Specially trained personnel provide the travel training on a one-to-one basis.

Urbanized Area (UZA): An area defined by the U. S. Census Bureau that includes: One or more incorporated cities, Villages, and Towns (central place), and adjacent densely settled surrounding territory (urban fringe) that together have a minimum of 50,000 persons.

Urbanized Areas, Large: Large urbanized areas have populations of 200,000 or more.

Urbanized Areas, Small: Areas with populations between 50,000 and 200,000.