

**FY 2014**  
**Phoenix-Mesa Urbanized Area**  
**Handbook &**  
**Program Guidelines**

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities**

---

**Competitive Selection Process Coordinated By:**



**Designated Recipient of Federal Funds:**



<b>CONTACT INFORMATION .....</b>	<b>3</b>
<b>5310 BOUNDARY MAP .....</b>	<b>4</b>
<b>TIMELINE .....</b>	<b>5</b>
<b>PROGRAM UPDATES (WHAT'S NEW FOR 2014) .....</b>	<b>6</b>
Changes to Job Access and Reverse Commute Grant Program.....	6
Selection Criteria .....	6
Changes to Federal Match Rate for ADA Compliant Projects .....	6
NOTE: Administrative Costs for Mobility Management Projects.....	6
<b>FEDERAL PROGRAM REQUIREMENTS .....</b>	<b>6</b>
Seniors and Individuals with Disabilities Grant Program (5310).....	6
Cross-Cutting changes to FTA Programs.....	7
<b>OVERVIEW OF 5310 GRANT PROGRAM .....</b>	<b>9</b>
<b>ELIGIBILITY.....</b>	<b>10</b>
Enhanced Mobility of Seniors and Individuals with Disabilities .....	10
Traditional 5310 Projects (Capital Purchases, Mobility Management).....	10
New Freedom 5310 Projects.....	12
<b>FUNDING .....</b>	<b>15</b>
Period of Availability .....	15
<b>APPLICATION &amp; SELECTION PROCESS.....</b>	<b>16</b>
Regional Grant Workshop .....	16
Application Assistance.....	16
Application Deadline .....	16
Public Comment .....	16
Project Evaluation .....	16
Applicant Interviews.....	16
<b>SELECTION CRITERIA .....</b>	<b>17</b>
Final Selection .....	18
Approval Process.....	18
Appeal Process .....	18
TIP/STIP Amendment .....	18
Entering into Agreement with City of Phoenix.....	18
<b>APPLICANT REQUIREMENTS .....</b>	<b>19</b>
Certifications and Assurances .....	19
Matching Funds .....	19
Participation in MAG's Human Services Coordinated Transportation Plan .....	19
Procurements .....	19
<b>City of Phoenix Requirements .....</b>	<b>20</b>
Eligible Expenses & Reimbursements .....	20
Reporting Requirements.....	20
Record Keeping and Audits .....	20
Site Reviews .....	21
<b>Vehicle Procurements.....</b>	<b>21</b>
<b>Asset Management.....</b>	<b>21</b>
<b>Vehicle Use.....</b>	<b>21</b>
Vehicle Title and Lien .....	21
Maintenance and Annual Inspection Requirements.....	22
Change in Vehicle Status or Condition .....	22
Accident Reporting.....	22
Required Insurance Coverage .....	22
<b>APPLICANT RESOURCES .....</b>	<b>23</b>

## **CONTACT INFORMATION**

### **For inquiries regarding Phoenix-Mesa 5310 program:**

Wendy Miller, Management Assistant II  
City of Phoenix Public Transit Department  
302 North First Avenue, Suite 900  
Phoenix, Arizona 85003  
Phone: (602) 262-4077  
Fax: (602) 256-3277  
E-mail: [wendy.miller@phoenix.gov](mailto:wendy.miller@phoenix.gov)

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

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

DeDe Gaisthea, Human Services Transportation Planner  
Maricopa Association of Governments (MAG)  
302 North First Avenue, Suite 300  
Phoenix, AZ 85003  
Phone: (602) 254-6300  
Fax: (602) 254-6490  
E-mail: [dgaisthea@azmag.gov](mailto:dgaisthea@azmag.gov)

**Web site:**

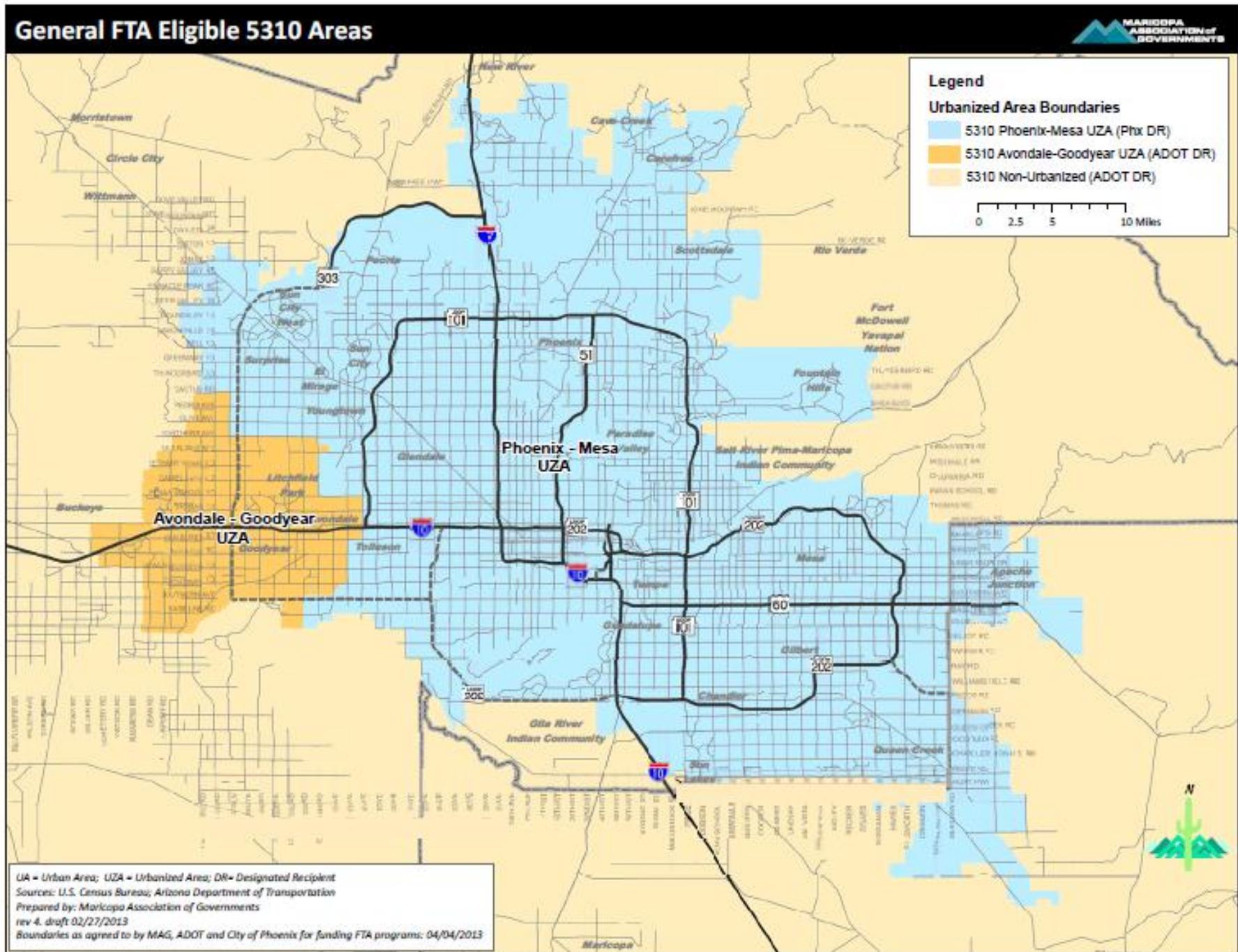
[http://www.azmag.gov/Committees/Committee.asp?CMSID=1047&MID=Human\\_Services](http://www.azmag.gov/Committees/Committee.asp?CMSID=1047&MID=Human_Services)

### **For inquiries regarding Avondale or Rural 5307 JARC or 5310 programs, contact:**

Dan Harrigan, Coordinated Mobility Program Manager  
Arizona Department of Transportation  
206 South 17th Avenue  
Phoenix, AZ 85007  
Phone: (602) 712-8232  
E-mail: [DHarrigan@azdot.gov](mailto:DHarrigan@azdot.gov)

**To determine which agency you apply to, refer to the map on the following page.**

Agencies operating 51% or more of service in the Phoenix-Mesa UZA (shown in blue) apply to the City of Phoenix using this application. All other agencies operating 51% or more of their service in yellow or gold regions, apply through ADOT.



## TIMELINE

<b>2014 Phoenix-Mesa Urbanized Area Grant Timeline</b> * <i>DATES SUBJECT TO CHANGE</i>	
<b>Applications are published</b>	<b>February 14, 2014</b>
<b>Regional 5310 Grant Workshop</b> Maricopa Association of Governments 302 N. 1 <sup>st</sup> Avenue, Saguaro Room - 2 <sup>nd</sup> floor Phoenix, AZ 85003	<b>February 20, 2014</b> 10:00 a.m. – 12:00 p.m.
<b>Application Assistance</b> <i>*Call DeDe Gaisthea with MAG @ 254-6300 to schedule appt.</i>	<b>March 3-5, 2014</b> 9:00 a.m. – 4:00 p.m.
<b>Application Deadline</b> ATTN: DeDe Gaisthea Maricopa Association of Governments 302 N. 1 <sup>st</sup> Avenue, 3 <sup>rd</sup> floor Phoenix, AZ 85003	<b>March 14, 2014</b> <b>12:00 p.m.</b> <i>Late applications will not be accepted.</i>
<b>Public Notice of Applications</b> <i>*allows one week for public comments</i>	<b>March 17, 2014</b>
<b>Applicants receive EDPT Committee's follow-up questions</b>	<b>April 15, 2014</b>
<b>Applicant Response Deadline to Committee's follow-up questions</b>	<b>April 17, 2014</b>
<b>Applicant Interviews with EDPT Ad Hoc Committee</b> Maricopa Association of Governments 302 N. 1 <sup>st</sup> Avenue, 2 <sup>nd</sup> floor Phoenix, AZ 85003	<b>April 22-23, 2014</b>
<b>MAG Human Services Technical Committee</b>	<b>May 8, 2014</b>
<b>MAG Management Committee</b>	<b>May 14, 2014</b>
<b>MAG Regional Council</b>	<b>May 28, 2014</b>
<b>Applicants receive selection notification</b>	<b>June 2014</b>
<b>Appeal Deadline</b>	<b>One week from notification</b>
<b>TIP Amendment Process</b>	<b>July-August 2014</b>
<b>FTA Application Process</b>	<b>September-November 2014</b>
<b>Phoenix/Subrecipient Agreement Process</b>	<b>September-November 2014</b>
<b>Grant Recipient Workshop with City of Phoenix</b>	<b>November-December 2014</b>
<b>Projected availability of funds</b>	<b>Late 2014</b>
<b>Vehicle Delivery and Availability</b>	<b>Spring 2015</b>

## **PROGRAM UPDATES (WHAT'S NEW FOR 2014)**

Enclosed is the application packet for the 2014 Federal Transit Administration's Section 5310 Enhanced Mobility for Seniors and Individuals with Disabilities grant programs for the Phoenix-Mesa Urbanized Area. These grant program replaces the former Section 5310 Elderly and Persons with Disabilities and Section 5317 New Freedom authorized under SAFETEA-LU.

### **Changes to Job Access and Reverse Commute Grant Program**

The Job Access and Reverse Commute (JARC) Program, (Section 5307), competitive process is now coordinated by MAG. Applicants may contact Alice Chen or DeDe Gaisthea with MAG (602) 254-6300 regarding the 2014 JARC application process.

### **Selection Criteria**

The Selection Criteria was slightly modified for the 2014 process. See the selection criteria on page 17 to ensure your application is addressing all criteria.

### **Changes to Federal Match Rate for ADA Compliant Projects**

Through MAP-21, there were changes to the federal match rate for ADA Compliant projects. Vehicles, equipment and facilities designed to meet ADA Compliance are available at a match rate of 85% Federal/ 15% Local. Non-ADA capital projects maintain the 80% Federal/ 20% Local match rate.

### **NOTE: Administrative Costs for Mobility Management Projects**

When FTA refers to funding a Mobility Management (MM) project to support administrative costs of sharing services, FTA is referring to providing grant funds to finance the administration of the project. Administrative costs are such costs associated with personnel salaries, rental of office space, purchase of office equipment, marketing/advertising material, communication equipment, and office supplies. Administrative costs may be included in your MM request.

## **FEDERAL PROGRAM REQUIREMENTS**

Effective October 1, 2012, significant changes were made to Federal Transit Administration's grant programs with the implementation of Moving Ahead For Progress in the 21<sup>st</sup> Century Act (MAP-21), which authorizes surface transportation programs of the Department of Transportation for Federal fiscal years (FY) 2013 and 2014. MAP-21 replaced the former legislation, Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy For Users (SAFETEA-LU). An interim guidance was issued providing general guidelines for the new and changed programs.

### **Seniors and Individuals with Disabilities Grant Program (5310)**

Under MAP-21 this program no longer provides a single apportionment to the State. The program now provides apportionments specifically for large urbanized, small urbanized and rural areas; the City of Phoenix was selected as the designated recipient for the Phoenix-Mesa large UZA.

- **Applicants for the Phoenix-Mesa Urbanized Area apply to the City of Phoenix (see included map).** Applicants in small urban or rural areas apply to ADOT.

- Not less than 55 percent of the funds 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 (Traditional 5310 capital projects). The 55 percent is a floor. Recipients may use more or all of their section 5310 funds for these types of projects.
- MAP-21 expanded eligibility of the funds to be used for operating through the consolidation of the former “New Freedom” program into the 5310 program for transportation services that address the needs of seniors and individuals with disabilities. The remaining funds (45% or less) may be used for: public transportation projects that exceed the requirements of the ADA; public transportation projects that improve access to fixed-route service and decrease reliance by individuals with disabilities on complementary paratransit; or alternatives to public transportation that assist seniors and individuals with disabilities. The acquisition of public transportation services remains an eligible capital expense under this section.
- The matching requirements are as follows: capital assistance (mobility management, equipment is provided on an 80 percent Federal, 20 percent local share. ADA Compliant Vehicles (with lift/ramp), equipment and facilities are provided an 85 percent Federal, 15, percent local share. Operating assistance requires a 50 percent match. 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.
- Until FTA revises the section 5310 circular, recipients may use FTA Circular 9070.1F, *Elderly Individuals and Individuals with Disabilities Program Guidance and Application Instructions*, dated May 1, 2007 for 5310 projects and FTA Circular 9045.1, *New Freedom Program Guidance and Application Instructions*, dated May 1, 2007 for New Freedom projects.

### **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: MAP-21 requires that each recipient and subrecipient of FTA grants must establish a “transit asset management” (TAM) plan for its transit system. **This requirement, however, 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.

**OVERVIEW OF 5310 GRANT PROGRAM**

<b>Enhanced Mobility for Seniors and Individuals with Disabilities / Job Access Reverse Commute Grant Programs</b>					
<b>Program</b>	<b>Projected Funding</b>	<b>Funding Allocation</b>	<b>Match</b>	<b>Eligible Projects</b>	<b>Eligible Applicants</b>
5310 Seniors and Persons with Disabilities  (5310)	\$1,500,000 (approx. - based on 2013 funding level)	55% Eligible for Capital /FORMERLY 5310 Projects	80/20 Match (formerly 90/10) for Capital & Mobility Management  85/15 Match for ADA Compliant vehicles, equipment and facilities	<ul style="list-style-type: none"> <li>• Mobility Management</li> <li>• Capital projects serving elderly and people with disabilities</li> <li>• No duplicate requests between 5310 and 5310-New Freedom</li> </ul>	<ul style="list-style-type: none"> <li>• Private Non-profits</li> <li>• State or Local Gov't Authorities in absence of non-profits able or willing to perform work</li> </ul>
5310 Seniors and Persons with Disabilities  (FORMERLY 5317-NEW FREEDOM)	\$956,000 (approx. - based on 2013 funding level)	45% - Operating/ Formerly New Freedom Projects /Capital	50/50 Match for Operating  80/20 Match for Capital & Mobility Management  85/15 Match for ADA Compliant vehicles, equipment and facilities	<ul style="list-style-type: none"> <li>• Mobility Management</li> <li>• Capital projects serving elderly and people with disabilities</li> <li>• Operating projects serving elderly and people with disabilities</li> <li>• No duplicate requests between 5310 and 5310-New Freedom</li> </ul>	<ul style="list-style-type: none"> <li>• Private Non-profits</li> <li>• State or Local Gov't Authorities</li> <li>• Public or Private Operators of Public Transportation</li> </ul>

## **ELIGIBILITY**

### **Enhanced Mobility of Seniors and Individuals with Disabilities**

Not less than 55 percent of the funds 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 55 percent is a floor. Recipients may use more or all of their section 5310 funds for these types of projects.

MAP-21 expands eligibility of the funds to be used for operating, in addition to capital, for transportation services that address the needs of seniors and individuals with disabilities. The expanded eligibility provisions are a result of the consolidation of the section 5317 New Freedom Program, which was repealed in MAP-21, with the section 5310 program. The remaining funds (45% or less) may be used for: public transportation projects that exceed the requirements of the ADA; public transportation projects that improve access to fixed-route service and decrease reliance by individuals with disabilities on complementary paratransit; or alternatives to public transportation that assist seniors and individuals with disabilities. The acquisition of public transportation services remains an eligible capital expense under this section.

For the purposes of this application, the projects will be divided into two categories. *5310 Projects* will describe the eligible capital projects previously funded under the SAFTEA-LU 5310 program, and *New Freedom Projects* will describe the eligible projects previously funded under the repealed SAFTEA-LU Section 5316 program.

### **Traditional 5310 Projects (Capital Purchases, 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. Examples of capital expenses include, but are not limited to:

- a. Buses;
- b. Vans;
- c. Radios and communication equipment;
- d. Vehicle shelters;
- e. Wheelchair lifts and restraints;
- f. Vehicle rehabilitation; manufacture, or overhaul;
- g. Preventive maintenance, as defined in the National Transit Database (NTD);
- h. Extended warranties which do not exceed the industry standard;

- i. Computer hardware and software;
- j. Initial component installation costs;
- k. Vehicle procurement, testing, inspection, and acceptance costs;
- l. Lease of equipment when lease is more cost effective than purchase. Note that when lease of equipment or facilities is treated as a capital expense, the designated recipient must establish criteria for determining cost effectiveness in accordance with FTA regulations, "Capital Leases," 49 CFR part 639 and OMB Circular A-94, which provides the necessary discount factors and formulas for applying the same;
- m. 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 designated recipient, has the option to decide whether to provide funding for such acquired services. Funds may be requested for contracted services covering a time period of more than one year. The capital eligibility of acquisition of services as authorized in 49 U.S.C. 5310(a)(3) is limited to the Section 5310 program;
- n. The introduction of new technology, through innovative and improved products, into public transportation;
- o. Transit related intelligent transportation systems (ITSs); and
- p. Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. Mobility management is an eligible capital cost. Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a non-profit agency could receive Section 5310 funding to support the administrative costs of sharing services it provides to its own clientele with other elderly individuals and/or individuals with disabilities or elderly individuals and coordinate usage of vehicles with other non-profits, but not the operating costs of service. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:
  - (1) The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, older adults, and low income individuals;
  - (2) Support for short term management activities to plan and implement coordinated services;
  - (3) The support of State and local coordination policy bodies and councils;
  - (4) The operation of transportation brokerages to coordinate providers, funding agencies and customers;
  - (5) The provision of coordination services, including employer-oriented Transportation Management Organizations' and Human Service

Organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;

- (6) The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and
- (7) Operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of Geographic Information Systems (GIS) mapping, Global Positioning System technology, coordinated vehicle scheduling, dispatching and monitoring technologies as well as technologies to track costs and billing in a coordinated system and single smart customer payment systems. (Acquisition of technology is also eligible as a stand-alone capital expense).

#### New Freedom 5310 Projects

Eligible recipients include private non-profit organizations, State or local governmental authorities, and operators of public transportation services including private operators of public transportation services. The list of eligible activities is intended to be illustrative, not exhaustive. Recipients are encouraged to develop innovative solutions to meet the needs of individuals with disabilities in their communities.

- a) **New Public Transportation Services Beyond the ADA.** The following activities are examples of eligible projects meeting the definition of new public transportation.
  - i) Enhancing paratransit beyond minimum requirements of the ADA. ADA complementary paratransit services can be eligible under New Freedom in several ways as long as the services provided meet the definition of "new":
    - (1) Expansion of paratransit service parameters beyond the three-fourths mile required by the ADA;
    - (2) Expansion of current hours of operation for ADA paratransit services that are beyond those provided on the fixed-route services;
    - (3) The incremental cost of providing same day service;
    - (4) The incremental cost of making door-to-door service available to all eligible ADA paratransit riders, but not as a reasonable modification for individual riders in an otherwise curb-to-curb system;
    - (5) Enhancement of the level of service by providing escorts or assisting riders through the door of their destination;
    - (6) Acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for common wheelchairs under the ADA and labor costs of aides to help drivers assist passengers with over-sized wheelchairs. This would permit

the acquisition of lifts with a larger capacity, as well as modifications to lifts with a 600 lb design load, and the acquisition of heavier-duty vehicles for paratransit and/or demand-response service; and

- (7) Installation of additional securement locations in public buses beyond what is required by the ADA.
- ii) Feeder services. New “feeder” service (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA.
- iii) Making accessibility improvements to transit and intermodal stations not designated as key stations. Improvements for accessibility at existing transportation facilities that are not designated as key stations established under 49 CFR 37.47, 37.51, or 37.53, and that are not required under 49 CFR 37.43 as part of an alteration or renovation to an existing station, so long as the projects are clearly intended to remove barriers that would otherwise have remained. New Freedom funds are eligible to be used for new accessibility enhancements that remove barriers to individuals with disabilities so they may access greater portions of public transportation systems, such as fixed-route bus service, commuter rail, light rail and rapid rail. This may include:
- (1) Building an accessible path to a bus stop that is currently inaccessible, including curb cuts, sidewalks, accessible pedestrian signals or other accessible features,
  - (2) Adding an elevator or ramps, detectable warnings, or other accessibility improvements to a non-key station that are not otherwise required under the ADA,
  - (3) Improving signage, or way finding technology, or
  - (4) Implementation of other technology improvements that enhance accessibility for people with disabilities including Intelligent Transportation Systems (ITS).
- iv) Travel training. New training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services.
- a) **New Public Transportation Alternatives Beyond the ADA**. The following activities are examples of projects that are eligible as new public transportation alternatives beyond the ADA under the New Freedom Program:
- i) Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs. New Freedom funds can be used to purchase and operate accessible vehicles for use in taxi, ridesharing and/or van pool programs provided that the vehicle has the capacity to accommodate a passenger who uses a “common wheelchair” as defined under 49 CFR 37.3, at

a minimum, while remaining in his/her personal mobility device inside the vehicle, and meeting the same requirements for lifts, ramps and securement systems specified in 49 CFR part 38, subpart B.

- ii) Supporting the administration and expenses related to new voucher programs for transportation services offered by human service providers. This activity is intended to support and supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Only new voucher programs or expansion of existing programs are eligible under the New Freedom Program. Vouchers can be used as an administrative mechanism for payment of alternative transportation services to supplement available public transportation. The New Freedom Program can provide vouchers to individuals with disabilities to purchase rides, including: (a) mileage reimbursement as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Providers of transportation can then submit the voucher for reimbursement to the recipient for payment based on pre-determined rates or contractual arrangements. Transit passes for use on existing fixed route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense which requires a 50/50 (Federal/local) match.
- iii) Supporting new volunteer driver and aide programs. New volunteer driver programs are eligible and include support for costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, and other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs. The costs of new enhancements to increase capacity of existing volunteer driver programs are also eligible. FTA notes that any volunteer program supported by New Freedom must meet the requirements of both “new” and “beyond the ADA.” FTA encourages communities to offer consideration for utilizing all available funding resources as an integrated part of the design and delivery of any volunteer driver/aide program.
- iv) Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. Mobility management is an eligible capital cost. Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a non-profit agency could receive New Freedom funding to support the administrative costs of sharing services it provides to its own clientele with other individuals with disabilities and coordinate usage of vehicles with other non-profits, but not the operating costs of the service. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:
  - (1) The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, older adults, and low-income individuals;

- (2) Support for short term management activities to plan and implement coordinated services;
- (3) The support of State and local coordination policy bodies and councils;
- (4) The operation of transportation brokerages to coordinate providers, funding agencies and customers;
- (5) The provision of coordination services, including employer-oriented Transportation Management Organizations' and Human Service Organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;
- (6) The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and
- (7) Operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of Geographic Information Systems (GIS) mapping, Global Positioning System Technology, coordinated vehicle scheduling, dispatching and monitoring technologies as well as technologies to track costs and billing in a coordinated system and single smart customer payment systems (acquisition of technology is also eligible as a stand-alone capital expense).

**Effective May 29, 2009**, FTA expanded the type of projects it considers to be "beyond the ADA" and thus increase the types of projects eligible for funding under the New Freedom program. Under this interpretation, eligible projects include new and expanded fixed route and demand responsive transit service planned for and designed to meet the needs of individuals with disabilities.

## **FUNDING**

The amount available for the 5310 and New Freedom Projects is estimated to be approximately \$2.5 million based on the FY 2013 apportionments. MAP-21 requires not less than fifty-five percent (55%) of the available amount be spent on the traditional 5310 Projects, which is approximately \$1.5 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 projects under the program. Actual funding amounts will be determined after FTA publishes the FY 2014 appropriation amounts in the Federal Register.

### **Period of Availability**

FTA has administratively set the period of availability to three years, which includes the year of apportionment plus two additional years.

## **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.

### **Regional Grant Workshop**

The 5310 application process begins with a Regional Grant Workshop held by MAG and the City of Phoenix. The workshop is **Thursday, February 20, 2014** from 10:00 a.m. to 12:00 p.m. at the Maricopa Association of Governments, 302 N. 1<sup>st</sup> Avenue, Saguaro Room, 2<sup>nd</sup> floor, Phoenix, AZ 85003. For workshop registration, information and to request reasonable accommodations, please contact DeDe Gaisthea with MAG at (602) 254-6300.

### **Application Assistance**

Applicants will have the option of scheduling a 30 minute appointment for application assistance on **March 3-5, 2014**. Please contact DeDe Gaisthea with MAG at (602) 254-6300 to schedule an appointment.

### **Application Deadline**

Applications are due by **Friday, March 14, at 12:00 p.m.** to the Maricopa Association of Governments, 302 North 1st Avenue, 3<sup>rd</sup> 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.**

**Submittal must include one (1) original hardcopy with signatures, one (1) photocopy, and one (1) electronic copy on CD or DVD.**

### **Public Comment**

MAG staff will publish the applications and allow for a one week period 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 Ad-hoc Elderly and Persons with Disabilities Transportation (EDPT) Committee for funding eligibility and ranking of projects.

### **Applicant Interviews**

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

<b><u>SELECTION CRITERIA</u></b>	<b>Needs Improvement</b>	<b>Somewhat Meets Criteria</b>	<b>Meets or Exceeds Criteria</b>
<b>SECTION 1 &amp; 2: Checklist, Cover Letter &amp; Agency Info (5 pts)</b> <ul style="list-style-type: none"> <li>Application includes checklist and cover letter describing the agency's primary mission, population served, summary of project and amount of funding, and agency contact information.</li> </ul>			
<b>SECTION 3: Agency Experience/Capabilities (25 pts)</b> Demonstrates ability to or indicate: <ul style="list-style-type: none"> <li>Agency experience with program/transportation</li> <li>Agency experience managing federal funds &amp; requirements</li> <li>Designated budget &amp; staff to fund/manage program</li> <li>Availability to provide non-FTA funds as matching funds</li> <li>Funds/Ability to operate/maintain the grant project future years</li> <li>Provide Civil Rights or EEO complaints and outcomes</li> <li>Agency has appropriate policies/procedures in place</li> <li>Agency expends funds in a timely manner</li> </ul>			
<b>SECTION 4 AND 5, 6, or 7: Project Description (25 pts)</b> <ul style="list-style-type: none"> <li>Project adequately addresses the needs of seniors and/or disabled (5310) or provides new public transportation services or transportation beyond ADA requirements (New Freedom)</li> <li>Project adequately addresses the need for and effective utilization of proposed service, equipment, or position</li> <li>Project is cost-efficient – serves an adequate number of clients per dollar requested.</li> </ul>			
<b>SECTION 8 – Coordination (25 pts)</b> <ul style="list-style-type: none"> <li>Demonstrates attempts to coordinate with other agencies, public/ private transit/ paratransit systems, and other services</li> <li>Willingness to participate in a coordinated system</li> <li>Participation on local and/or regional coordination committee(s); forum(s), etc</li> <li>Project is clearly derived from the regional plan and demonstrates support for the local strategies</li> <li>Working agreements in place or under construction.</li> <li>To what degree does the applicant demonstrate attempts to coordinate with other agencies and public or private transit and paratransit systems, and other services?</li> </ul>			
<b>SECTION 9 – Budget (5 pts)</b> <ul style="list-style-type: none"> <li>Applicant provided a complete, easy to understand budget</li> </ul>			
<b>SECTION 10 – Support Documentation (5 pts)</b> <ul style="list-style-type: none"> <li>Applicant provided all requested documentation: service area map, commitment to coordination strategies, Federal Certifications &amp; Assurances, &amp; vehicle inventory (if applicable)</li> </ul>			
<b>APPLICANT INTERVIEW &amp; PRESENTATION (10 pts)</b> <ul style="list-style-type: none"> <li>Applicant provided written answers to the committee's pre-submitted questions</li> <li>Applicant provided a brief presentation of the project and described the need of the proposed project</li> </ul>			

### **Final Selection**

Once the interviews are completed, the EDPT Committee convenes, scores are discussed and project selection decisions are made based on the published criteria. The Committee provides a list of recommended projects for funding. A review of the recommended projects is conducted by the MAG staff and the City of Phoenix.

### **Approval Process**

The recommended list of projects to be funded will be submitted to MAG Human Services Technical Committee, MAG Management Committee for recommendation and to MAG Regional Council for final project approval. Approved projects are sent 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](mailto: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 Human Services Committee, 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.

## **APPLICANT 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 and Attorney must sign the Certification & Assurances form provided in the application indicating the agency's agreement to comply with all applicable Federal requirements.

### **Matching Funds**

Subrecipients are required to provide matching funds for Section 5310 funds. Federal funds provide for up to eight-five (85) percent of ADA compliant vehicles, equipment, and facilities, eighty (80) percent of capital and mobility management projects and fifty (50) percent of operating 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**

Under MAP-21, the coordinated planning provision requires that 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.

## **City of Phoenix Requirements**

### **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, 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.

Subrecipients who report no progress toward completing the grant funded activities in a quarter will be cautioned to expedite progress / project implementation. After significant lack of progress without sufficient justification, subrecipient may be subject to forfeiture of the grant funds that may be re-awarded to the next highest ranked, unfunded or under-funded projects for the application period, re-distributed proportionally between the remaining projects under-funded within the same grant, or rolled over and made available for the next competitive selection process.

Surplus funds resulting from projects that do not use the entire assigned grant budget may be re-awarded to the next highest ranked, unfunded or under-funded projects for the application period, re-distributed proportionally between the remaining projects funded within the same grant, or rolled over and made available for the next competitive selection process.

### **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 periodically 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.

### Vehicle Procurements

The City of Phoenix leads or approves the procurement for all vehicle purchases on behalf of subrecipients. Exceptions for self-procurement may be approved for public transit or municipal agencies with experience in meeting federal regulations for vehicle procurements. For FY 2014, the City of Phoenix may be seeking to utilize State of Arizona contracts already in place to purchase 5310 vehicles. Actual vehicle types may vary depending on Federal Buy America requirements, and availability/terms of State of Arizona contracts. The pricing listed below is an estimate based upon State of Arizona pricing and actual pricing may differ. The following vehicle types are anticipated to be available:

Cutaway With Lift - Raised-roof "body-on-chassis cutaway" with wheelchair lift, seats up to nine (9) ambulatory passengers and has 2 wheelchair positions (lessened ambulatory capacity with wheelchair occupancy); **COST ESTIMATE: \$61,000**

Minivan With Ramp: Minivan with one (1) wheelchair position and manual accessibility ramp, seats up to five (5) ambulatory passengers (lessened or no ambulatory capacity with wheelchair occupancy). **COST ESTIMATE: \$38,000**

Passenger Van- No Lift: A Twelve (12) passenger (including driver) van without a wheelchair lift; **COST ESTIMATE: \$28,000**

Minivan No Ramp: A Seven (7) passenger (including driver) minivan without a wheelchair lift. **COST ESTIMATE: \$25,000**

Although every attempt is made to procure and deliver vehicles within one calendar year of the submittal of the City of Phoenix grant application to the FTA, longer periods are not uncommon, and is highly subject to invitation-for-bid and delivery schedules, staffing, and industry manufacturing cycles and inventories.

### Asset Management

#### Vehicle Use

Vehicles must be maintained and used for the intended purpose under which they are purchased. Maximum use of vehicles is encouraged, first for program related purposes, then other federal programs and project purposes. PTD is responsible for ensuring the subrecipient is maintaining continuing control over vehicles and that the vehicles are being utilized for eligible public transit purposes.

#### Vehicle Title and Lien

In order to ensure proper use of grant funded equipment throughout its useful life, the City of Phoenix holds a first lien on all equipment in the amount of the federal share of

the equipment cost. The lien extends through the useful life of the capital equipment, until the remaining asset value is less than \$5,000.

#### Maintenance and Annual Inspection Requirements

The City of Phoenix is responsible for ensuring that all vehicles purchased with federal funds are maintained in good operating order. Subrecipients are required to follow manufacturer's suggested maintenance schedules to maintain good working order. Subrecipients will be required to have their vehicle inspected annually and must provide adequate maintenance records. The City of Phoenix is in the process of developing the annual inspection program. Details on the process will be provided to subrecipients prior to or at the time of award and entering into the Grant Pass Through Agreement.

#### Change in Vehicle Status or Condition

Any extraordinary change in the status or condition of a vehicle or other capital equipment (including damage, operational failure, or legal involvement), must be reported to the City of Phoenix within five working days, even if satisfactory repair can be made within this period. Items such as flat tires, minor glass and paint scratches, minor dings, other incidental body dents, and regular, non-accident related repair or normal replacement items are not subject to this requirement unless a vehicle is out of service for more than 24 hours.

#### Accident Reporting

Subrecipients must report a vehicle incident, accident or casualty to the City of Phoenix within 48 hours of the occurrence. Vehicles that are damaged and repairable must be repaired to an equal or better condition, compared to the condition prior to the incident. If the vehicle is deemed a total loss, the following documentation must be submitted to the City of Phoenix within 10 working days of the incident: Vehicle Identification Number; vehicle make, model, and model year; vehicle mileage at the time of the incident; Arizona Accident Report or Incident Report forms; and insurance company correspondence indicating the settlement.

#### Required Insurance Coverage

Recipients are responsible for acquiring and maintaining current, appropriate insurance on their capital equipment while under City of Phoenix lien. Vehicle and large capital equipment require the recipient to list City of Phoenix as the Certificate Holder, Loss Payee and Additional Insured on their policy. The Certificate of Insurance must be submitted to City of Phoenix prior to taking delivery of the vehicle(s) and updated copies provided annually. The City of Phoenix will provide detailed insurance requirements in the Grant Pass Through Agreement.

## **APPLICANT RESOURCES**

### **Web Sites and Resources**

City of Phoenix Grant Resource Page:

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

City of Phoenix Subrecipient Resource Page:

<http://phoenix.gov/publictransit/status/index.html>

FTA Certifications and Assurances:

<http://www.gpo.gov/fdsys/pkg/FR-2014-01-31/pdf/2014-01888.pdf>

FTA Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) Resources:

[www.fta.dot.gov/map21](http://www.fta.dot.gov/map21)

FTA Master Agreement:

<http://www.fta.dot.gov/documents/20-Master.pdf>

Human Services Coordination Transportation Plan – MAG:

[http://www.azmag.gov/Documents/EaPWD\\_2012-05-01\\_Draft-FY2013-Human-Services-Coordination-Transportation-Plan.pdf](http://www.azmag.gov/Documents/EaPWD_2012-05-01_Draft-FY2013-Human-Services-Coordination-Transportation-Plan.pdf)

Interim MAP-21 Guidance Published October 16, 2012 in the Federal Register:

<http://www.gpo.gov/fdsys/pkg/FR-2012-10-16/pdf/2012-25152.pdf>

New Freedom – FTA Circular:

[www.fta.dot.gov/documents/FTA\\_C\\_9045.1\\_New\\_Freedom.pdf](http://www.fta.dot.gov/documents/FTA_C_9045.1_New_Freedom.pdf)

Section 5310 – FTA Circular:

[www.fta.dot.gov/documents/C9070.1F.pdf](http://www.fta.dot.gov/documents/C9070.1F.pdf)

***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](http://www.azdot.gov/mpd/Transit_Programs_Grants/ProgGuide.asp)