

ARIZONA DEPARTMENT OF TRANSPORTATION

Rural and Small Urban Areas Handbook & Application

Section 5316

Job Access and Reverse Commute

FY 2011



Arizona Department of Transportation
Multimodal Planning Division
206 S. 17th Avenue, MD 340 B
Phoenix, AZ 85007

* For use by rural and small urban areas under 200,000 population including rural Maricopa County, Pima County and the City of Avondale

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APPLICATION PACKET

GENERAL OVERVIEW

This handbook contains information and application materials for the Section 5316 Job Access and Reverse Commute (JARC) Program, funded by the Federal Transit Administration (FTA) and managed by the Arizona Department of Transportation's (ADOT's) Multimodal Planning Division (MPD). As provided in Federal legislation and subsequent regulation, ADOT manages two distinct JARC funding amounts one for the rural portions of the state and the other for the small Urbanized Areas between 50,000 and 200,000 population.

The purpose of the Job Access and Reverse Commute (JARC) Program is to assist states and localities in developing new or expanded transportation services that connect welfare recipients and other low income persons to jobs and employment-related activities.

Job Access projects are targeted to develop new or expanded transportation services such as shuttles, vanpools, new bus routes, connector services to mass transit, and guaranteed ride home programs for welfare recipients and low income persons who are unemployed or underemployed. These grants are designed to serve persons at or below 150% of the federally-defined poverty level.

Reverse Commute projects are generally not constrained by end-user income level and provide transportation services to suburban employment centers from urban, rural and other suburban locations for all populations.

As with other Federal Transit Administration (FTA) programs managed by the State (Sections 5310, 5311 and 5317), ADOT relies heavily upon its partnership with the regional planning agencies, Councils of Governments (COGs) and Metropolitan Planning Organizations (MPOs) to assist with the outreach, communication, application review and implementation phases of the JARC program. These agencies will be your first point of contact to obtain hardcopies of the application, workshop and review panel schedules and other local and regional activity involving the program. The following pages contain contact information for these regional agencies as well as ADOT staff. An electronic version of the application is also available on the ADOT website at http://mpd.azdot.gov/MPD/CommunityGrant_Services/ProgGuide.asp.

Note: ADOT is partnering with the City of Phoenix in the review process for Maricopa County. ADOT is responsible for rural Maricopa County and the small Urbanized Area of Avondale; with Phoenix covering the Urbanized Area of Maricopa County. With the exception of the Phoenix/Maricopa County situation, the statewide 5316 application process will parallel that of the Section 5310 (and 5317) programs.

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ADOT's Section 5310 Elderly Individuals & Individuals with Disabilities Handbook and Application continues to serve as a core guidance document for the 5316 and 5317 Programs. It includes additional background information regarding a host of requirements that are required for all ADOT FTA programs. It is strongly recommended that applicants for 5316 Program funding read this information carefully, as the 5310 Handbook contains greater detail regarding assurances, insurance, liens and other operational questions, which also apply to the 5316 Program.

ADOT welcomes and encourages joint, coordinated applications with other human service or public transportation providers, including those receiving grants from other FTA programs.

ADOT CONTACT INFORMATION

For 5316 program and training related inquiries

ARIZONA DEPARTMENT OF TRANSPORTATION

**Multimodal Planning Division
206 South 17th Avenue, Mail Drop 340-B
Phoenix, Arizona 85007**

Loretta Crimi, Program Manager, Special Needs Transportation Programs

E-mail: Lcrimi@azdot.gov

Phone: (602) 712-7106 Facsimile: (602) 712-3046

Loretta Crimi, Special Projects/United We Ride Coordination

E-mail: Lcrimi@azdot.gov

Phone: (602) 712-7106 Facsimile: (602) 712-3046

Dan Harrigan, Training Coordinator

E-mail: Dharrigan@azdot.gov

Phone: (602) 712-8232 Facsimile: (602) 712-3046

WEB SITE

A dedicated ADOT Multimodal Planning Division website can be accessed through the ADOT home page at [http://mpd.azdot.gov/MPD/Community Grant Services/Index.asp](http://mpd.azdot.gov/MPD/Community_Grant_Services/Index.asp) , then going to "Grant Programs" for the Section 5316 program and a variety of resources. The website contains valuable information along with numerous links to related sites including U.S. DOT/FTA websites and is a primary resource for the Section 5316 program.

CIVIL RIGHTS CONTACTS

In the applicant's submittal of its proposal and, if awarded, acceptance of Section 5316 Program funds, it is indicating that it complies and will comply with all applicable federal and State Civil Rights statutes and regulations, including but not limited to Title VI, Nondiscrimination, Equal Employment Opportunity (EEO), Americans With Disabilities Act (ADA), Disadvantaged Business Enterprise (DBE), Limited English Proficiency (LEP) and other Civil Rights components of the grant program. Toward these requirements, the applicant must sign the federal Certifications & Assurances, General Assurances, and other related forms found within this document's *Certifications and Assurances* section, and is strongly advised to read *all* federal Civil Rights regulations referenced in this document and the Section 5310 Program Handbook.

For more detailed information pertaining to civil rights, including the Americans with Disabilities Act (ADA) and Disadvantaged Business Enterprise (DBE) requirements, you may also contact:

ARIZONA DEPARTMENT OF TRANSPORTATION

Civil Rights Office

**1135 North 22nd Avenue, Second Floor - Mail Drop 154A
Phoenix, AZ 85009**

E-mail: Lschrader@azdot.gov

Phone: (602) 712-7761 Facsimile: (602) 712-8429

REGIONAL PROGRAM CONTACTS

CENTRAL ARIZONA ASSOCIATION OF GOVERNMENTS (CAAG)

1075 South Idaho Road Suite 300

Apache Junction, Arizona 85219

Bill Leister bleister@caagcentral.org

(928) 425-3181

FAX: (928) 425-6450

CENTRAL YAVAPAI METROPOLITAN PLANNING ORGANIZATION (CYMPO)

7501 E. Civic Circle

Prescott Valley, Arizona 86314

Vicky McLane vmclane@pvaz.net

(928) 759-5519

FAX: (928)759-3125

FLAGSTAFF METROPOLITAN PLANNING ORGANIZATION (FMPO)

211 West Aspen

Flagstaff, Arizona 86001

Martin Ince mince@ci.flagstaff.az.us

(928) 779-7685

FAX: (928)779-7693

MARICOPA ASSOCIATION OF GOVERNMENTS (MAG)

302 North 1st Avenue, Suite 300

Phoenix, Arizona 85003

DeDe Gaisthea dgaisthea@mag.maricopa.gov

(602) 254-6300

FAX: (602)254-6490

NORTHERN ARIZONA COUNCIL OF GOVERNMENTS (NACOG)

119 East Aspen Avenue

Flagstaff, Arizona 86001

Chris Fetzer cfetzer@nacog.org

(928) 774-1895

FAX: (928) 773-1135

PIMA ASSOCIATION OF GOVERNMENTS (PAG)

177 North Church, Suite 405

Tucson, Arizona 85701

Jennifer O'Connor joconnor@pagnet.org

(520) 792-1093

FAX: (520) 620-6981

SOUTHEASTERN ARIZONA GOVERNMENTS ORGANIZATION (SEAGO)

118 Arizona Street

Bisbee, Arizona 85603

Luke Droeger Ldroeger@seago.org

(520) 432-5301

FAX: (520)432-5858

WESTERN ARIZONA COUNCIL OF GOVERNMENTS (WACOG)

208 North 4th Street

Kingman, Arizona 86401

Sharon Mitchell sharonm@wacog.com

(928) 753-6247

FAX: (928) 753-7038

YUMA METROPOLITAN PLANNING ORGANIZATION (YMPO)

502 South Orange Ave

Yuma, Arizona 85364

Shelly Kreger skreger@ympo.org

(928) 783-8911

FAX: (928) 329-1674

ELIGIBILITY

Eligible applicants under both the “job access” and “reverse commute” segments of the 5316 Program include private non-profit organizations, State or local governmental authorities including tribal governments, and operators of public transportation services including private operators of public transportation services. The latter group includes private-for-profit cab, shuttle and transit operators that meet the objectives of the 5316 Program.

Eligible activities for *Job Access* grants include capital (80% federal/20% local match), operating (50%/50%) and planning expenses (50%/50%) for services, equipment, facilities, and associated capital maintenance items related to providing access to jobs for low income individuals. Eligible projects include, but are not limited to:

- Late-night and weekend service;
- Guaranteed ride home services;
- Shuttle Service;
- Expanding fixed route mass transit routes;
- Demand-responsive van service;
- Ridesharing and carpooling activities and transit-related aspects of bicycling;
- Day-care related transportation—to and from;
- Employment training (i.e., job skills, interviewing, trainee development, etc.);
- Costs of promoting the use of transit by workers with nontraditional work schedules, the use of transit vouchers, and the use of employer-provided transportation including the promotional advertisement of transit benefits;
- Mobility management is an eligible capital expense—with funds provided at the favorable 20% local match rate—although it is predominately a short-range planning and management function focused on activities and projects for improving coordination among public transportation and other transportation services providers. Mobility management is typically characterized as personnel, equipment or services – or a combination of these functions – to organize coordination activities for *more than one* operator-agency;
- Other capital costs include vehicles, related communications equipment, dispatching, scheduling and coordination hardware and software and ITS (Intelligent Transportation Systems) features such as real-time information displays to inform customers of service status. See the *Section 5310 Handbook & Application* for additional detail regarding vehicle availability and costs.
- JARC-related planning functions (as an operating expense).

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For *Reverse Commute* grants, eligible activities include the same activities as for Job Access grants: operating costs, capital costs and other costs; however these project must address “reverse commute” by bus, train, carpool, vans or other transit service.

MATCHING FUNDS

Federal funds provide for up to 80 percent of capital projects and 50 percent of operating projects (including planning). The Federal funds are available to the State for the year appropriated plus two years (total of three years).

PROJECT DEVELOPMENT AND RELATIONSHIP TO OTHER ADOT PROGRAMS

All projects funded under this program must be derived from a *locally developed, coordinated public transit-human services transportation planning process* and funding must be distributed on a fair and equitable basis.

The Section 5316 Program has close developmental and implementation ties to the ADOT/FTA Section 5310 Elderly Individuals & Individuals with Disabilities Program located at http://mpd.azdot.gov/MPD/Community_Grant_Services/Section5310.asp and the Section 5311 Rural Public Transportation Program located at http://mpd.azdot.gov/MPD/Community_Grant_Services/Section5311.asp, which are also administered by the Multimodal Planning Division at ADOT. Most of the same certifications, assurances and other FTA regulations and guidance are applicable across the Program boundaries between 5310, 5311, 5316 and the Section 5317 New Freedom located at http://mpd.azdot.gov/MPD/Community_Grant_Services/Section5317.asp. Program implementation detail such as annual performance and accident reporting, licensing and insurance requirements, equipment transfers and other lien-period issues, civil rights requirements, training opportunities, etc., not described completely in this 5316 document, can be found in the Section 5310 Handbook & Application document.

A basic understanding of the 5310, 5311 and 5317 programs will be important to the success of Section 5316 applicants.

APPLICATION PROCESS

As the designated recipient charged with administering the JARC Program for the rural and small Urbanized Areas of the state, the ADOT Multimodal Planning Division must certify that the selection of projects is fair and equitable. This is accomplished through use of uniform project evaluation criteria and through review assistance by the regional planning offices. The state’s MPOs and COGs solicit applications and assist in the review for awards within their regions.

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While the application itself will be accessed and completed electronically via ADOT's website at http://mpd.azdot.gov/MPD/Community_Grant_Services/Section5316.asp a paper copy must be submitted to the applicant's COG or MPO or ADOT in the case of Avondale and rural Maricopa County. Original signatures are required on the certifications and assurances. Applicants should be sure to allow adequate time to obtain the necessary signatures and approvals and to mail or hand deliver a copy of the application to its COG/MPO.

CAPITAL PROCUREMENTS AND OPERATING REIMBURSEMENTS

With respect to vehicle purchases, ADOT will procure vehicles accordingly as those procured through the Section 5310 program. Applicants should be aware that for certain vehicles and other types of equipment not normally procured for the Section 5310 Program, where ADOT procures all equipment on behalf of its recipients, the applicant must qualify for and utilize the ADOT Section 5311 program's Capital Procurement Handbook in order to accept the award. The Capital Procurement Handbook provides the framework for purchases outside the ADOT direct procurement system. A current Procurement Handbook is available to be viewed online at http://mpd.azdot.gov/MPD/Community_Grants_Services/ProgGuide.asp. Applicants who procure equipment on their own must comply with all steps associated with major capital procurements, including but not limited to invitation for bid, advertisement, the bidding process, contracting and federal Buy America, Bus Testing, Lobbying and Debarment certifications. Recipients are advised to contact the ADOT Program Manager prior to engaging in any procurement activity, as all procurements require final ADOT approval.

The FY 2011 Section 5310 Handbook & Application that can be accessed at http://mpd.azdot.gov/MPD/Community_Grant_Services/Section5310.asp contains all of the descriptions of the common vehicle types typically procured for recipients on their behalf. Where applicable, ADOT will batch orders and deliveries for JARC vehicles with those of the 5310 Program. These vehicles (and some other equipment) orders require local matching funds at least a few months in advance of delivery which occurs in Phoenix.

For all other procurements and grant awards, including operations and planning, recipients must invoice ADOT on a Quarterly basis. A Summary/Progress Reporting Form and an Invoice Form will be provided by ADOT to each awardee for this purpose. Detailed back-up documentation must be included for each Invoice submitted and no other reporting forms will be accepted.

COORDINATION

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Section 5316 applicants are required to be listed and participate in the on-going development of the Regional Transportation Coordination Plan for their area. Federal surface transportation legislation calls for a comprehensive approach to coordination including a provision to ensure that projects for all human service-related transportation grants including Section 5317, 5310 and 5316 (and 5311 by inference) are derived from a locally developed, coordinated public transit-human services transportation planning process. In Arizona this achieved as part of the on-going Regional Transportation Coordination Plan process. These plans are developed by the COGs and MPOs with ADOT's assistance. Over time the plans should result in increased coordination activity within the regions.

As background, in 2004 a Presidential Executive Order, "United We Ride," was issued directing all federal agencies providing human service transportation funding or services to coordinate their programs. In July 2005, Arizona's Governor followed suit with Executive Order 2005-16 creating "Arizona Rides," to provide similar direction to State agencies – to collaborate to reduce program waste and increase service quality to transportation-challenged persons statewide. The Section 5317 Program is part of these state and national initiatives. Grant recipients are expected to actively participate in their Regional Coordination Plans and other forums, to work to the maximum to increase the effectiveness of their delivery of service. This requirement includes aggressively engaging in efforts to collaborate with other State and Federal programs that fund transportation to the greatest extent feasible.

Coordination can take on many forms including functions such as vehicle and driver sharing, but can also include such activities as insurance pooling, joint/inter-agency training, joint grant applications and collaboration on communications such as notification of space available, route scheduling information and other resource sharing such as shared driver training.

Coordination Certifications are included in Part 5 Federal Certifications and Assurances and Other Forms of this packet. For more information on United We Ride go to www.unitedweride.gov.

PROJECT EVALUATION PROCESS

Applicants for Section 5316 New Freedom funds must participate in a competitive selection process. As the FTA's designated recipient of funding for rural and small Urbanized Areas of the state under 200,000 population, the ADOT Multimodal Planning Division coordinates this process. Through a collaborative partnership with nine regional planning agencies (COG/MPOs) throughout the state Regional Review Panels consisting of at least three people are formed to read and evaluate all applications received for that region. Initially, applications are screened regionally and then each COG/MPO submits their Regional Summary to ADOT. ADOT then makes the final statewide application to the FTA on behalf of the regions and their applicants.

ADOT sits on each of the Regional Review Panels in an advisory capacity as a non-voting member as the applicant interviews are conducted. After all COG/MPO panel evaluations are summarized and submitted, ADOT evaluates the regional entries according to budget constraints and statewide needs. A statewide application is then submitted to the FTA Regional Office for approval. ADOT makes the final decision on the Section 5317 Program of Projects that is submitted to the FTA. However, it is rare that regional rankings are overturned by the State.

For Maricopa County, ADOT is partnering with the City of Phoenix for a joint review process for all applicants within the region. The City of Phoenix is the federally designated recipient of large (>200,000 population) Urbanized Area funds; ADOT for all other portions of the county.

ADOT and its regional partners place a high value on an applicant's ability to articulate the need for 5316 grant support to address service needs that are not currently being met adequately. Evaluators similarly look closely at an applicant's financial and organizational ability to successfully carry a grant award to completion and its attempts to coordinate services.

Incomplete applications will not be accepted.

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Evaluation criteria are described below and represent the primary methodology for ranking applications.

I. Addresses current work related transportation needs of low income individuals (25 pts)				
<ul style="list-style-type: none"> Need for proposed service or equipment; target population; ridership; existing vehicle fleet; replacement or expansion; other transportation services available (availability, sufficiency, appropriateness of other services in area); Anticipated increase, decrease or no change in service. 	Poorly (0-6 pts)	Somewhat (7-12)	Significantly (13-18)	Fully (19-25)
II. Effective Utilization of Equipment or Service (25 pts.)				
<ul style="list-style-type: none"> Number of clients served; trips; proposed services and trip priorities; hours of equipment operation per day and week; annual miles of vehicle operation; limitations on services 	Poorly (0-6)	Somewhat (7-12)	Significantly (13-18)	Fully (19-25)
III. Supports local and regional coordination plan (25 pts.)				
<ul style="list-style-type: none"> Demonstrates attempts to coordinate with other agencies and public or private transit and paratransit systems, and other services; Demonstrates willingness to participate in a coordinated system; Participation on local and/or regional coordination committee(s); Working agreements in place or under construction. 	Poorly (0-6)	Somewhat (7-12)	Significantly (13-18)	Fully (19-25)
IV. Management Capability (25 pts.)				
Demonstrates ability to or have/indicate:				
<ul style="list-style-type: none"> Availability of—and/or process to obtain—matching funds; Funds to operate and maintain a vehicle for at least four years or 100,000 miles (as applicable); Program transportation experience; Designated budget and staff to fund and manage program; Adequacy of maintenance program; Past Civil Rights or EEO complaints and outcomes. 	Poorly (0-6)	Somewhat (7-12)	Significantly (13-18)	Fully (19-25)

CONTRACTS WITH ADOT

Successful applicants must sign a contract (also known as a grant agreement) for all awarded Section 5317 projects. For vehicles and other capital, the agreement extends for the useful life of the project. This time period (called a lien) is typically four (4) years or 100,000 miles, whichever comes first. Recipient applications become part of the contract with ADOT by attachment and reference. Examples of the grant agreements for the Section 5316 Program is available online at http://mpd.azdot.gov/MPD/Community_Grant_Services/Section5316.asp

Note: The 5316 Program Manager has the administrative latitude to disallow requests for release of lien even if one of the thresholds has been met, if he/she believes that the contract has not been properly fulfilled due to abuse, neglect, or improper/under-utilization. The ADOT Program Manager may elect to have the recipient keep the vehicle in service with an agreement for improved performance, or re-locate the vehicle/equipment elsewhere in the state.

Contracts for operations, planning and Mobility Management are awarded on an annual basis. Recipients are monitored on a regular basis relative to specific performance criteria based on individual project goals and objectives.

GRANTEE REPORTING REQUIREMENTS

Recipients have reporting requirements as a condition of awardee status. For capital projects, annual vehicle inspections are performed regionally by ADOT Equipment Services and/or a contractor. Each Fall/Winter a vehicle performance report is collected from the agency (see the Section 5310 Handbook and Application document for more detail). In addition, recipients must record vehicle usage information including passenger trips, maintenance, etc. on a daily basis. All Section 5316 reporting requirements must be submitted with a quarterly report through the COG or MPO to ADOT and must describe progress relative to the applicant's stated objectives and contract performance criteria. Reporting will be completed on a template provided by ADOT.

The FTA has identified two key reporting areas.

- Number of passenger trips (one way)
- Number of jobs accessed

The specifics regarding the information to be reported for each Section 5316 project will be included the grant agreement with ADOT.

ADDITIONAL REQUIREMENTS

In the Application section of this document applicants are directed to read and agree to all required federal Certifications and Assurances, as well as additional assurances that govern the recipient's acceptance and stewardship of its grant award. Among these federal provisions are Civil Rights, including Title VI-Nondiscrimination, Nondiscrimination on the Basis of Disability, Equivalent Service and other certifications.

LIMITATIONS ON OUT-OF-COUNTRY AND OUT-OF-STATE TRAVEL

No ADOT grant vehicle or other capital asset may be taken or operating funds used, across an international boundary without prior written ADOT approval. Cross-state boundary travel is permitted as long as the purpose is fully in keeping with the objectives of the grant program.

CHARGING FARES FOR TRANSPORTATION SERVICES

Fares may be charged for transportation services as long as the fare does not exceed that required to operate the system or route under consideration. In determining fair and reasonable charges, service providers should keep in mind the primary end-user/clientele group utilizing Section 5316 services and their low-income status. If applicants have questions, they should contact the appropriate COG, MPO or the ADOT Program Manager.

MINIMUM REQUIRED INSURANCE COVERAGE

Recipients awarded vehicles are responsible for acquiring and maintaining current, appropriate insurance on their vehicles. Please refer to the Section 5310 Handbook for information on complying with ADOT insurance requirements.

CIVIL RIGHTS

All Section 5316 grantees are responsible for compliance with all Civil Rights requirements applicable to transit related projects, including 49 U.S. 5332 (Nondiscrimination), Title VI of the Civil Rights Act of 1964, Equal Employment Opportunity (EEO), Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990 and Disadvantaged Business Enterprise (DBE) program requirements, pursuant to Executive Order 13166 and DOT policy guidance concerning recipient's responsibilities to Limited English Proficient (LEP persons (FRAC 5010.1D pg. II.8)). Grantees must also include these requirements in any subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

TITLE VI - NON DISCRIMINATION

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin. Related laws and regulations, as cited below, prohibit discrimination on the basis of age and gender. Together these requirements are sometimes referred to as "Title VI". Specific citations for FTA's provisions for grantees include:

- Title VI of the 1964 Civil Rights Act, Section 601.
- Section 19 of the Federal Transit Act provides guidance in the area of age and sex discrimination.
- FTA Circular 4702.1A, "Title VI Program Guidelines for FTA Recipients," outlines specific State and grantee requirements.

Recipient Requirements

Recipients receiving funds or equipment from the Federal government through ADOT are required to submit the following information as part of their application and annually thereafter, as long as a Federal interest remains in their equipment:

- Concise description of any lawsuits or complaints alleging discrimination in service delivery;
- Status or outcome of any lawsuits or complaints;
- Activities (contracts, programs, policies, etc.) which are supportive of positive efforts to enhance the inclusion of all individuals in the sub-recipient's employment or provision/receipt of service, regardless of race, color, creed, age or gender;
- Any Civil Rights reviews of their organization; and,
- Information on other Federal financial assistance applications.

In addition, the applicant (and subsequently, recipients annually) may be requested to provide information on the ethnic make-up of their organization (employees and clientele).

LIMITED ENGLISH PROFICIENCY (LEP)

Limited English Proficiency (LEP) stems from Presidential Executive Order 13166 - http://www.fta.dot.gov/documents/LEP_Executive_Order.doc - and functions as a supporting element of Title VI-Non Discrimination. It is a provision which protects individuals utilizing services associated with these federally-assisted programs who do not speak English as their primary language; that is, they cannot speak, write or understand English to the degree they have difficulty understanding the program, or are otherwise comfortable communicating and interacting with persons administering or

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other persons utilizing these programs. A number of indicators may need to be present which provide an operational definition of a person who is limited in their English proficiency for any particular region or locale. These factors and related information can be found at <http://www.fta.dot.gov/documents/Newlepguidance.doc>. An excerpt reads:

Recipients are required to take reasonable steps to ensure meaningful access to their programs and activities by LEP persons. While designed to be a flexible and fact-dependent standard, the starting point is an individualized assessment that balances the following four factors: (1) The number or proportion of LEP persons eligible to be served or likely to be encountered by a program, activity, or service of the recipient or grantee; (2) the frequency with which LEP individuals come in contact with the program; (3) the nature and importance of the program, activity, or service provided by the recipient to people's lives; and (4) the resources available to the recipient and costs.

The applicant/grantee is required to certify in the Certification & Assurances section that its agency provides for reasonable alternate-language accommodation of individuals who are limited-English-Proficient or LEP, to the extent that the individuals represent a minority class that is sufficiently large to be described as a significant alternate language within the region or locale. This status can be determined in a number of ways, one of the most useful of which may be information obtained from the local school district regarding predominant classes (i.e., alternate languages) of LEP individuals.

Reasonable accommodation for persons with LEP may range from information provided in a commonly observed pamphlet(s) or flyer(s) regarding the agency's services to volunteer or contracted interpreters. Although each situation may present its own unique circumstances, the agency *does not need to provide all* of its communications in the alternate language but sufficiently enough for their services to adequately and clearly be conveyed to the requesting individual(s). Visit www.lep.gov or contact the ADOT Civil Rights Office for further information.

EQUAL EMPLOYMENT OPPORTUNITY (EEO)

As part of the Certifications and Assurances section of the application, the sub-recipient agrees that it will not discriminate against any participant on the grounds of race, color, creed, gender, disability, age, or national origin. The sub-recipient also agrees to take affirmative action to ensure applicants for employment are treated without regard to their race, color, creed, gender, disability, age, or national origin. Such actions shall include, but not be limited to the following: employment, promotion, demotion or transfer, recruitment or advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training. FTA Circular 4704.1, Equal Employment Opportunity Program Guidelines for FTA Recipients," outlines FTA EEO objectives. A

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copy of this and other FTA circulars is available from the ADOT Multimodal Planning Division.

Title I of the Americans with Disabilities Act also contains specific provisions prohibiting *employment* discrimination on the basis of disability and requiring employers to make reasonable accommodations for persons with disabilities.

DISADVANTAGED BUSINESS ENTERPRISES (DBE)

A DBE is defined by the U.S. Department of Transportation as “a for-profit small business concern 1) that is at least 51 percent owned by one or more individuals who are socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and 2) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.” A “socially and economically disadvantaged individual” is further defined as any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who is African American, Hispanic American, Native American, Asian-Pacific American, Subcontinent Asian American, a woman, determined to be socially and economically disadvantaged by ADOT, or a member of an additional group designated as socially and economically disadvantaged by the Small Business Administration.

The FTA states, Grantees/Recipients who receive more than \$250,000 in various forms of FTA assistance, **exclusive of transit vehicle purchases**, must have a DBE program. Since ADOT is the direct Grantee and receives over \$250,000 of FTA assistance all of ADOT’s program Recipients are required to adopt the ADOT DBE Plan.

The Objectives of the DBE Program are to ensure nondiscrimination in the award and administration of DOT-assisted contracts in its highway, transit and airport financial assistance programs. To achieve this, ADOT strives to:

- Create a level playing field on which DBEs can compete fairly for DOT-assisted contracts;
- Ensure that the DBE program is narrowly tailored in accordance with applicable law;
- Ensure that only firms that fully meet this part’s eligibility standards are permitted to participate as DBEs;
- Help remove barriers to the participation of DBEs in DOT-assisted contracts; and
- Assist the development of firms that can compete successfully in the marketplace outside the DBE program.

Recipients of Section 5316 Program funds should take affirmative steps to ensure that socially and economically disadvantaged business enterprises participate in the

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performance of contracts and subcontracts. This may mean as actual transportation service providers, or as suppliers of commodities or services needed in the operation of transportation service.

Where the recipient or contractor is found to have failed to exert sufficient reasonable and good faith efforts to involve DBEs in the work provided, ADOT may declare the recipient or contractor in breach of contract (refer to 49 CFR pt. 26).

Additional information on ADOT's DBE policy and requirements for recipients can be found at http://www.fta.dot.gov/civilrights/dbe/civil_rights_5263.html or by contacting the ADOT Civil Rights Office.

AMERICANS WITH DISABILITIES ACT (ADA)

All ADOT recipients of vehicles and other FTA grant assistance must comply with the Americans with Disabilities Act of 1990, transportation service and equipment provisions in subsequent regulations in 1991, and amendments thereto. The ADA was enacted by Congress as a national mandate for the elimination of discrimination against individuals with disabilities. In addition, any new construction of public-access facilities must have appropriate features incorporated to enhance accessibility by persons who are mobility-impaired. Service providers can stay apprised of ongoing revisions by subscribing to the FTA-ADA newsletter at: http://www.fta.dot.gov/civilrights/civil_rights_2360.html.

Service Provisions: The ADA requires of transportation providers a number of specific service provisions to be in place and operational. During its site reviews of program recipients, ADOT staff will interview Section 5316 recipients regarding the status of the following ADA transportation service provisions:

- Maintenance of accessible features (see details below)
- Procedures to ensure lift vehicle availability
- Lift and securement use
- Announcement on vehicles (where applicable)
- Vehicle identification mechanisms in accordance with ADA
- Service animals (what policies and procedures are in place which are in accordance with ADA?)
- Public information/communications (what actions are taken to inform the disability community of transportation services available)
- Lift deployment at any designated stop
- Service to persons using respirators or portable oxygen

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- Adequate time for vehicle boarding and disembarking (what actions are taken to ensure that maximum reasonable time is allotted for these activities?)
- Training

Recipients should undertake all reasonable means to provide for the needs of sight and hearing-impaired in its communications with individuals with these disabilities within its facilities. Braille-etched sign and other forms of written communication as well as telephone devices for the hearing impaired (TTDYs, etc.) are some examples of facility improvements covered under the ADA.

ADA Vehicle Maintenance Guidelines

It is very important that the ADA regulations and guidelines be followed closely. Applicants should familiarize themselves with ADA vehicle maintenance guidelines. Please refer to the 5310 Handbook for specific requirements.

2011 SECTION 5316 PROGRAM TIMETABLE

ADOT's 5316 Program operates on an annual application cycle, starting in January of each year with the publication of the new year's federal apportionment and program guidelines through this Handbook document, and subsequent application workshops. These workshops are combined with information on the Section 5310 and 5317 Programs. Applicants are then given approximately 4 to 6 weeks to complete and submit their applications to their COGs or MPOs with specific local grant deadlines set by these regional planning agencies. For vehicle applications, the grant award process from start-to-finish can take from 12 to 18 months. Other types of awards range from 6 to 12 months following initial application to funding award.

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All dates are 2011 unless otherwise noted.

ADOT distributes guidelines to COGs/MPOs.	January 2011
Distribution of Guidelines to potential applicants by COGs / MPOs.	January 2011
Regional Application workshops	Jan-Feb 2011
Applications due to COGs/MPOs. (Schedule set by COGs/MPOs)*	March-April 2011
COG-MPO/ADOT Regional Review Committee Meetings to evaluate and rank applications within each region	April 2011
COGs/MPOs submit completed applications in order of regional priority to ADOT.	April 15, 2011
Appeal deadline to ADOT	May 13, 2011
ADOT submits application to FTA	June 2011
FTA approval of ADOT request for program funding: notification to COGs and MPOs by ADOT.	October 2011
Availability of funds or other assistance including small capital (excepting vehicles)	October 2011-February 2012
Vehicle and other equipment deliveries	Spring to Fall 2012

*Timeframes shown are subject to change. Regional deadlines are determined by the COG/MPO. Applicants must inquire with their local COG/MPO representative regarding up-to-date scheduling changes, deadlines and other details.

PROJECT APPLICATION

The application consists of:

- Checklist
- Applicant Information
- Project Description
- Project Budget
- Certifications, Assurances, and support documentation.

PART 1: CHECKLIST

The following documents must be submitted as part of your application:

- Checklist
- Applicant Information
- Project Description
- Project Budget
- Federal Certifications and Assurances
 - Assurance of Authority of Applicant and its Representatives
 - General Assurances
 - Certification for Civil Rights Complaint Status
 - Certification of Drug-Free Workplace
- Support Documentation
 - Service area map(s)
 - Organizational Chart
 - Vehicle Inventory List
 - IRS 501 (c)(3) letter (Non-Profit agencies only)

PART 2: APPLICATION INFORMATION

SPECIAL NOTE: The ADOT Section 5310 Handbook and Application document contains additional detail regarding program implementation which also applies to Section 5316. This includes information regarding lien-period vehicle maintenance, insurance, licensing, transfer and various reporting requirements. Applicants for Section 5316 funds are strongly encouraged to review the Section 5310 Handbook and Application document.

The applicant HAS HAS NOT reviewed the Section 5310 material.

GENERAL INFORMATION

Applicant Status

- Private/Non-Profit Organization
- Private for Profit Organization
- State/Local Government
- Operator of Public Transportation

Primary Service Area

- Rural
- Urban
- Both

**1. Legal Name of Applicant
Organization/Agency**

Contact:

Title:

Address:

City:

Zip Code:

Phone:

FAX:

E-mail:

Web Site:

**2. Transportation Provider
Agency Name (if different)**

Contact:

Title:

Alternate Contact:

Address:

City:

Zip Code:

Phone:

FAX:

E-mail:

Web Site:

3. Primary contact for Civil Rights Compliance

Contact:

PART 3: PROJECT DESCRIPTION

This part of the application is divided into several sections, each covering a different aspect of your organization, its management and your proposed project. Please provide thorough but concise answers to the questions.

A. ORGANIZATION

1. **Is your organization a recipient under any of the following programs?**
 Section 5307 Section 5310 Section 5311 Section 5317 N/A
2. **List the amount of federal money received by your agency in the last three fiscal years.**

2007 \$	2008 \$	2009 \$
---------	---------	---------
3. **Provide a brief description of your agency's primary mission, including a mission statement if available.**
4. **Provide a summary of the structure of your organization.** Provide information on your Board, employees, and volunteers. Identify the employee job status and indicate full time or part time employment. Be sure to identify employees with grant-specific job duties (accountant, program manager etc.). Attach an organizational chart at the end of Part V of this application.
5. **Describe your agency's experience and qualifications in terms of providing passenger transportation. Please include current service area(s), days, and hours of operation.**
6. **Does your organization currently have adequate staffing and resources to carry out your proposed Section 5316 project?** Yes No
 If no, please explain.
7. **Describe your organization's resources in terms of equipment, office capability and location, communication system, and institutional capacity.**
8. **Describe your organization's ability to address federal requirements such as reporting requirements, record keeping, competitive purchasing, bookkeeping, documentation, and invoicing.**

B. PROJECT DESCRIPTION

1. List your project type (check all that apply): Capital Operating Planning

2. List the Federal share amount requested for your project:

Capital \$ Operating \$ TOTAL FEDERAL REQUEST \$

3. Funding will be used for the following:

New Service Continuation of Service Expansion of Existing Service

4. Provide a complete and detailed description of your project. Indicate changes to your existing transportation service (if any) and your anticipated project start date.

5. Describe how your project will provide or support transit service in low income areas, access to employment related activities and/or reverse commute services.

6. List the average daily, monthly and annual estimated number of jobs that will be accessed and the number of rides (one-way trips) provided as a result of your JARC project. If possible, break down your estimated ridership by trip purpose. If expansion of service, indicate both current and anticipated average one-way passenger trips.

Daily: Jobs Accessed	<input type="text"/>	One-Way Trips Provided	<input type="text"/>
Monthly: Jobs Accessed	<input type="text"/>	One-Way Trips Provided	<input type="text"/>
Annual: Jobs Accessed	<input type="text"/>	One-Way Trips Provided	<input type="text"/>
Expansion: Current One-Way Trips	<input type="text"/>	Anticipated One-Way Trips	<input type="text"/>

7. Describe the operational characteristics of the proposed service (fares, days and hours of operation, types of service).

8. Describe the target population(s) to be served, how consumers have been or will be involved in the planning/design of the service(s), how the service(s) will be marketed to the target population, and how will the target population will access the service(s)?

C. NEED FOR SERVICE

(If you don't currently provide transportation service, only answer question 6.)

1. How many current annual passenger trips are provided by your agency?

2. Describe how many days current service is operated, noting seasonal differences.

Operating Days per Week Operating Days per Month
 Describe Seasonal Differences in Service

3. List the vehicle service hours and miles your agency provides.

Daily Service Hours Daily Service Miles
 Weekly Service Hours Annual Service Miles

4. Do you operate your current vehicles on: Check all that apply.

Weekdays Weeknights after 6pm Weekends

5. Can all requests for service be accommodated with the existing services?

Yes, all requests are accommodated.
 No, all requests are not accommodated. Explain.

6. Please describe why the transit service provided by existing public or private transit operators is unavailable, insufficient, or inappropriate to meet the work related transportation needs proposed to be served through this application.

7. Please list the number and type of vehicles in your current fleet.

8. Please explain your agency's ability to provide equivalent levels and quality of service to all clients including individuals with disabilities as required by the Americans with Disabilities Act (ADA).

D. VEHICLE USE

(Fill out only if requesting a vehicle)

1. List the vehicle(s) type(s) being requested:

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2. How will the requested vehicle(s) be used?

Replace Existing – Vehicle being replaced is a _____ year with _____ miles
 Vehicle Description: _____ VIN: _____

Service Expansion -

Does the vehicle(s) requested have a wheelchair lift? Yes No

If not, please describe why:

3. If applying for a non-wheelchair vehicle, do you have a wheelchair vehicle(s) in good working condition in the fleet or under contract which assures equivalent service?

Yes. If under contract- please explain:

No. If not, please explain:

4. Describe the service to be provided with the vehicle(s) requested in this application. Include service area, schedule, including hours per day and how many days per week the service will operate.

5. Describe your agency’s ability to fund the operation and maintenance for the requested vehicle for at least four years or 100,000 miles.

6. What is the number of passenger trips expected on the vehicle requested?

Daily _____ Weekly _____

E. COORDINATION

1. Has your agency participated in a Regional Transportation Coordination Plan planning process?

Yes No If no, please describe why not:

2. Please describe how your project is consistent with the coordination strategies identified in your Regional Transportation Coordination Plan.

3. Please describe any coordination activities your agency has recently initiated or experienced, list the names of the other agencies involved and include the impact achieved. Include copies of any written or details of oral agreements to collaborate on service or other resource sharing.

F. CIVIL RIGHTS

Civil Rights / Title VI and EEO

1. **Have there been any civil rights complaints, lawsuits, allegations or legal actions filed against your agency in the last two years?**
 Yes No Explain the nature of the complaint(s):
2. **Does your agency have an EEO policy and does that policy include language that prohibits discrimination on the basis of race, national origin, color, sex, age, and disability in the workplace?** Yes No
3. **Are the services provided by your agency accessible to your clients, regardless of race, color, national origin, sex, age or disability?** Yes No
4. **Do you have a related written policy?** Yes No
 If yes, describe the process you use that ensures nondiscrimination in terms of the services you provide.

CIVIL RIGHTS / LIMITED ENGLISH PROFICIENCY (LEP)

5. **Are you aware of your obligation to comply with Limited English Proficiency (LEP) requirements?** Yes No
6. **How do you ensure that persons with LEP needs can access your services?**
7. **Does your organization have a Limited English Proficiency (LEP) plan?**
 Yes No

CIVIL RIGHTS / DISADVANTAGED BUSINESS ENTERPRISE (DBE)

8. **During the past 4 years has your agency received vehicles from ADOT?**
 Yes No
9. **During the past 4 years has your agency received Mobility Management, Operating and/or Capital funding awards from ADOT?** Yes No
10. **Has your agency developed an approved DBE program?** Yes No
 If no, please explain.
11. **Has your agency adopted the ADOT DBE program?** Yes No

12. What good faith efforts has your agency made to purchase from DBE vendors?

Civil Rights / ADA

The Americans with Disabilities Act of 1990 (ADA) requires that persons with disabilities receive the same level service from a transportation system as non-disabled persons. Services that are “separate but equal” are not acceptable (i.e., all individuals using wheel chairs on one bus and everyone else on another bus).

All Section 5316 recipients must keep federally funded equipment and facilities in good operating condition. Recipients must have policies and procedures to maintain vehicles effectively. Recipients must maintain, in operative condition, those features of facilities, vehicles, and other capital equipment that are required to make them accessible. ADA accessibility features must be repaired promptly if they are damaged or out of order. Recipients must establish a system of regular and frequent maintenance checks of lifts sufficient to determine if they are operative.

13. Does your agency have in place written policies, procedures regarding the following requirements of the ADA?

- Yes No Lift vehicle availability?
- Yes No Maintenance of accessible features on vehicle?
- Yes No Adequate time for vehicle boarding and disembarking?
- Yes No Use of portable oxygen/respirator equipment allowed?
- Yes No Service animals allowed?
- Yes No Training (wheelchair securement, sensitivity to passengers etc)?

14. FTA requires that if you have any non-lift equipped vehicles in your inventory, you must be able to provide “equivalent service” through some other means, such as sufficient other accessible vehicles, a written agreement with another provider in your service area to provide a lift-equipped vehicle when needed.

Do you have at least one working, wheelchair accessible vehicle, meeting ADA standards, with available and qualified driver(s), for each of your primary services areas? *A YES statement, below, also indicates that your system has a “back up” plan should it’s accessible vehicle(s) be rendered out-of-service for more than a few days.*

- Yes No *If no, please explain.*

15. Is information on your service provided in accessible formats, if requested?

Explain how: 1) a hearing impaired person, and 2) a visually impaired person would request a ride on your service.

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16. Has your agency ever turned down a request for transportation from a person with a disability?

Yes No If yes, please explain.

Is your turndown rate higher for people with disabilities than for the non-disabled? Yes No

If yes, please explain.

17. Are inspections of ADA equipment, including lifts, ramps, securement devices, signage, and communication systems part of your agency's pre-trip and post trip inspection checklists?

Yes No If no, please explain.

18. If ADA deficiencies are found during your agency's pre-trip and post-trip inspections, what is done? How do you maintain equivalent service for persons with disabilities?

PART 4: PROJECT BUDGET & SUSTAINABILITY

In this section you will be asked to provide the budget information for the capital and operating costs associated with your project. Mobility Management projects, including related staffing and support items, should be noted under "Capital." Other planning functions should be noted under "Operations."

1. Can this project be scaled to a more limited scope with less funding?

Yes No If yes, how might your project be limited?

BUDGET SUMMARY

A. Capital (80/20)

Federal Request Amount

Local Match

B. Operating (50/50)

Federal Request Amount

Local Match

TOTAL FEDERAL REQUEST

TOTAL LOCAL MATCH

CAPITAL BUDGET DETAIL

List capital expenses for all requested items. Mobility management projects are considered a capital expense and should be included in this request.

Equipment:

<i>Requested Item</i>	<i>Quantity</i>	<i>Unit Cost</i>	<i>Subtotal</i>
			\$
			\$
			\$
Equipment Total			\$
Mobility Management: (Including personnel and related costs)			
			\$
			\$
Mobility Mgmt Total			\$

TOTAL CAPITAL COST:	\$
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FTA 5316 Match Ratio 80/20

Federal Share (not to exceed 80% of total)			\$
Local Share			\$
		TOTAL COST	\$

Match Funding Source: List each source and amount

Federal \$ may be used as a match source with the exception of DOT funds.

Name of Source	Type of funding	Amount
1		\$
2		\$
3		\$
		\$

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OPERATING BUDGET DETAIL

List operating expense details. All expenses must directly relate to grant activities for eligibility.

OPERATING EXPENSES

Personnel/ Voucher Program Operating Expenses:

Salaries	\$
Fringe Benefits	\$
Voucher Program Expenses	\$

Other Operating Expenses:

Fuel and Oil	\$
Tires, Parts, Maintenance	\$
Vehicle Licenses, Insurance	\$
Other Operating Expenses (Specify Below)	\$

OPERATING EXPENSES SUBTOTAL: \$

OPERATING REVENUES

Fare Revenues	\$
Other Operating Revenues (Including Advertising)	\$

OPERATING REVENUES SUBTOTAL: \$

NET OPERATING COSTS (Subtract operating revenue subtotal from operating expense subtotal)	\$
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FTA 5316 Match Ratio 50/50

Federal Share (not to exceed 50% of total)	\$
Local Share	\$

TOTAL OPERATING COST: \$

MATCH FUNDING SOURCE: List each source and amount

Federal \$ may be used as a match source with the exception of DOT funds.

	Name of Source	Type of funding	Amount
1			\$
2			\$
3			\$

LOCAL SHARE TOTAL: \$

PART 5: FEDERAL CERTIFICATIONS & ASSURANCES & OTHER FORMS

The following forms must be included with the application for Section 5316 (Job Access and Reverse Commute Program) funding. If any of the following forms are not submitted with your application. The application will be considered "incomplete" and will not be a part of the application review panel.

- Affirmation of the Applicant and Applicant's Attorney
- General Assurances
- Drug-Free Workplace Act Certification
- Certificate of Compliance with Manufacturer's Maintenance Schedule
- Coordination Certification

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FEDERAL FISCAL YEAR 2011 FTA
CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE
(Required of all Applicants for FTA assistance and all active FTA Recipients)

AFFIRMATION OF APPLICANT

Name of Applicant: _____

Name and Relationship of Authorized Representative: _____

BY SIGNING BELOW, on behalf of the Applicant, I declare that the Applicant has duly authorized me to make these certifications and assurances and bind the Applicant's compliance. Thus, the Applicant agrees to comply with all Federal statutes and regulations, and follow applicable Federal directives, and comply with the certifications and assurances as indicated on the foregoing page applicable to each application it makes to the Federal Transit Administration (FTA) in Federal Fiscal Year 2011.

FTA intends that the certifications and assurances the Applicant selects on the other side of this document, as representative of the certifications and assurances in this document, should apply, as provided, to each project for which the Applicant seeks now, or may later seek FTA assistance during Federal Fiscal Year 2011.

The Applicant affirms the truthfulness and accuracy of the certifications and assurances it has made in the statements submitted herein with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 et seq., and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31 apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with a Federal public transportation program authorized in 49 U.S.C. Chapter 53 or any other statute.

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Applicant are true and correct.

Signature _____ Date: _____

Name _____
Authorized Representative of Applicant

AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): _____

As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under State, local, or tribal government law, as applicable, to make and comply with the certifications and assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the certifications and assurances have been legally made and constitute legal and binding obligations on the Applicant.

I further affirm to the Applicant that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these certifications and assurances, or of the performance of the project.

Signature _____ Date: _____

Name _____
(Attorney for Applicant)

Each Applicant for FTA financial assistance and each FTA Recipient with active project(s) must provide an Affirmation of Applicant's Attorney form pertaining to the Applicant's legal capacity.

GENERAL ASSURANCES

We the governing body of _____ in approving the submission of the attached application, certify that the APPLICANT has the legal authority and is willing to make as part of the contract between the Arizona Department of Transportation and the APPLICANT for Federal Transit Administration Section 5316 financial assistance, the following assurances:

A. As required by 49 U.S.C. 5316(f)(1), which makes the requirements of 49 U.S.C. 5307 applicable to Job Access and Reverse Commute (JARC) formula grants, and 49 U.S.C. 5307(d)(1), the Applicant for JARC Formula Program assistance authorized under 49 U.S.C. 5316, certifies on behalf of itself and its subrecipients, if any, as follows:

(1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including safety and security aspects of that program;

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- (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(D), the Applicant will ensure that elderly individuals and individuals with disabilities, or any person presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*), will be charged for transportation during non-peak hours using or involving a facility or equipment of a project financed with Federal assistance authorized under 49 U.S.C. 5316 not more than fifty (50) percent of the peak hour fare;
 - (5) In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5316: (1) will use competitive procurement (as defined or approved by the Secretary), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (6) In compliance with 49 U.S.C. 5307(d)(1)(F), the Applicant has complied with or will comply with the requirements of 49 U.S.C. 5307(c). Specifically, it: (1) has made available, or will make available, to the public information on the amounts available for the JARC Formula Grant Program, 49 U.S.C. 5316, and the projects it proposes to undertake; (2) has developed or will develop, in consultation with interested parties including private transportation providers, the proposed projects to be financed; (3) has published or will publish a list of projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed projects and submit comments on the proposed projects and the performance of the Applicant; (4) has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed projects; (5) has ensured or will ensure that the proposed projects provide for the coordination of transportation services assisted under 49 U.S.C. 5336 with transportation services assisted by another Federal Government source; (6) has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of projects; and (7) has made or will make the final list of projects available to the public;
 - (7). In compliance with 49 U.S.C. 5307(d)(1)(G), the Applicant has or will have available and will provide the amount of funds required by 49 U.S.C. 5316(g) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law;
 - (8). In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with: 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil); 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements); and
 - (9) In compliance with 49 U.S.C. 5307(d)(1)(I), the Applicant has a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation;
- B. In compliance with 49 U.S.C. 5316(d), the Applicant certifies that (1) with respect to financial assistance authorized under 49 U.S.C. 5316(c)(1)(A), it will conduct in cooperation with the appropriate MPO an area wide solicitation for applications, and make

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awards on a competitive basis and (2) with respect to financial assistance authorized under 49 U.S.C. 5316(c)(1)(B) or 49 U.S.C. 5316(c)(1)(C), it will conduct a statewide solicitation for applications, and make awards on a competitive basis;

- C. In compliance with 49 U.S.C. 5316(f)(2), the Applicant certifies that any allocations to subrecipients of financial assistance authorized under 49 U.S.C. 5316 will be distributed on a fair and equitable basis;
- D. In compliance with 49 U.S.C. 5316(g)(2), the Applicant certifies that, before it transfers funds to a project funded under 49 U.S.C. 5336, that project will have been or will have been coordinated with private nonprofit providers of services; and
- E. In compliance with 49 U.S.C. 5316(g)(3), the Applicant certifies that: (1) the projects it has selected or will select for assistance under that program were derived from a locally developed, coordinated public transit-human services transportation plan; and (2) the plan was developed through a process that included representatives of public, private, and nonprofit transportation and human services providers and participation by the public.

Signature_____

Date_____

Title of Authorized Official_____

CERTIFICATION FOR CIVIL RIGHTS COMPLAINT STATUS

_____ I hereby certify that our organization does NOT have any pending Title VI (Civil Rights) complaints of discrimination filed against its transit program.

_____ I hereby certify that our organization DOES have _____ (number) pending Title VI (Civil Rights) complaints of discrimination filed against its transit program. This complaint(s), and its status, is briefly described below. The agency agrees it will keep the Arizona Department of Transportation's Transit Unit informed of any changes in the status of that complaint(s).

To comply with the Civil Rights Act of 1964, Title VI, the Americans with Disabilities Act of 1990, Title II, and the Vocational Rehabilitation Act of 1973, Section 504, we do not discriminate on the basis of disability, race, color, national origin, age, or gender.

Signature

Title

Printed Name

Date

Agency Name

Drug-Free Workplace Act Certification for a Public or Private Entity

_____ certifies that it will provide a drug-free workplace by:

- a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- b) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The applicant's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and,
 - (4) The penalties that may be imposed upon employees for drug abuse violations in the workplace;
- c) Making it a requirement that each employee to be engaged in the performance of the grant or cooperative agreement be given a copy of the statement required by paragraph (a);
- d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant or cooperative agreement, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- e) Notifying the Federal agency in writing, within ten calendar days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every project officer or other designee on whose project activity the convicted employee is working, unless the Federal agency has designated a contact point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant or cooperative agreement.
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who was convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by Federal, State, or local health, law enforcement, or other appropriate agency.
- g) The Applicant's headquarters is located at the following address. The addresses of all workplaces maintained by the Applicant are provided on an accompanying list.

Drug-free Workplace, cont'd

Name of Applicant: _____

Address: _____

Signature of Authorized Official: _____

Title: _____ Date: _____

**CERTIFICATE OF COMPLIANCE WITH
MANUFACTURER'S MAINTENANCE SCHEDULE**

THIS IS TO CERTIFY THAT _____
(Agency Name)

An applicant for a grant under provisions of the Job Access and Reverse Commute Program (49 U.S.C. § 5316 of the Federal Transit Act), agrees to abide by the vehicle manufacturer's schedule of maintenance, as a minimum, during the period this vehicle is operated in conjunction with the Arizona Department of Transportation, or its successor agency.

(Date) (Agency)

NAME: _____
(Signature of Authorized Official)

COORDINATION CERTIFICATION

(Agency Name)

Hereby certifies that the project described in the enclosed application for funding assistance from the ADOT/FTA Section 5316 Job Access and Reverse Commute Program, was derived from a *locally (i.e., regionally) developed, coordinated public transit-human services transportation planning process*, that the applicant-agency has participated in this process, and that – to its knowledge at the time of this certification – its intent to seek grant funding assistance for this project, or a project sufficiently similar to the applied-for project (as determined by the applicant’s COG or MPO office), has been – or will be – included in the recommended Program-of-Projects of its region’s coordinated human services transportation plan. Further, the applicant has had ample opportunity to participate in, and contribute to, this plan, and certifies that it will engage in local and regional coordination activities to the best of its ability, including but not limited to applicable activities discussed in the above-mentioned plan.

Name of Authorized Official (Applicant)

Signature of Authorized Official (Applicant)

Date

REVIEWER USE ONLY:
Name of Authorized Official (COG/MPO)
Signature of Authorized Official (COG/MPO) Date

Note: this is an ADOT form supportive of federal initiatives, guidance and regulation in the area of coordination and is developed from, among other references, specific requirements of the Section 5316 program.

For MAG Region Applicants Only
(Submit to MAG On or Before Application to ADOT)

2011 Commitment to Strategies for
 FTA Section 5310, 5316 and 5317 applicants

SAFETEA-LU requires any agency applying for Section 5310 funds (Elderly Individuals and Individuals with Disabilities); Section 5316 funds (Job Access and Reverse Commute); and/or Section 5317 funds (New Freedom) funds; to respond to a locally derived human services transportation coordination plan. Agencies will demonstrate compliance with the 2009 MAG Human Services Coordination Transportation Plan Update as evidenced by the following:

- Attendance at designated human services transportation meetings to assist in the development and implementation of regional coordination planning.
- Compliance with information and data requests to aid in the collaborative efforts of the planning process.
- Demonstrated support and achievement of goals in the plan as appropriate and identified in the plan.

Agency data gathering and feedback is a valued part of the regional human services transportation coordination effort. Strategies identified in the coordination process are the collaborative effort of all participating agencies. A successful and relevant plan will assist the agencies in their mission to serve elderly persons, and persons with disabilities and low income.

I do hereby agree, on behalf of my organization, that we will actively support strategies developed in the plan in compliance with SAFETEA-LU regulations. Our participation will continue throughout the term of the grant.

Printed Name Title

Signature Organization

Date

PART 6: SUPPORT DOCUMENTATION

In the section below please provide any support documentation for your project

- Service Area Map(s)
- Organizational Chart
- Vehicle Inventory List
- IRS 501(c)(3) letter (Non-profit agencies only)

TOTAL FLEET VEHICLE INVENTORY

Instructions

Use the vehicle condition and classification code table (below) to complete the information on the total vehicle fleet inventory table *on the next page*. Please provide individual vehicle information on all vehicles used to carry passengers in your fleet.

VEHICLE CLASSIFICATION AND VEHICLE CONDITION CODE TABLES

(Use the following codes for completing the table on the next page.)

VEHICLE CLASSIFICATION TYPE	CODE
HEAVY DUTY 40 + FOOT BUSES	1
HEAVY DUTY UNDER 40 BUT GREAT THAN 30 FOOT BUSES	2
MEDIUM DUTY 20-30 FOOT BUSES OR MINI-BUSES	3
LIGHT DUTY 20-30 FOOT VANS (Larger Cutaways, and Maxi-Vans, etc.)	4
LIGHT DUTY 15-25 FOOT VANS (Small Cutaways, Mini-Vans , Small Maxi-Vans (including lift vans) & "Suburbans"/large 4x4 wagons)	5
SUPPORT VEHICLES (Sedans, Station Wagons, Pickups, etc.,)	6
NOTE: Vehicle footage is measured from bumper to bumper)	
VEHICLE CONDITION DEFINITIONS	CODE
EXCELLENT: Brand new or less than one year old, no major problems exist, or only routine preventative maintenance is required.	5
GOOD: Elements are in good working order, requiring only nominal or infrequent minor repairs.	4
ADEQUATE: Requires frequent minor repairs or infrequent major repairs. Elements are in adequate working order and the asset's usage can continue.	3
POOR: Requires frequent major repairs, elements are in poor working order, or asset is technologically dated and requires major retrofit. Future usage requires significant investment, which may or may not be cost-effective.	2
FAILURE: In sufficiently poor condition that continued use is impossible or non-cost-effective.	1

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APPENDIX

- Glossary of Terms
- Federal Program References

GLOSSARY OF TERMS

ADOT – Arizona Department of Transportation, the authorized Grantee for the State's JARC and New Freedom Programs for rural and small urban areas under 200,000 population, as well as the Section 5310 Program which serves all urban and rural regions of the state.

Arizona Rides – A Governor Executive Order (2005-16) – signed July 2005 – and initiative designed to encourage state agencies to coordinate and collaborate on programs serving human service agency transportation needs; an outgrowth of the President's federal "United We Ride" Order and initiative. See United We Ride.

Council of Government (COG) – A regional planning agency whose membership is composed of the incorporated cities, towns and counties within a prescribed area defined by the geographic boundaries of agreed-upon counties and which, *for the purposes of ADOT's grant programs*, represents predominately rural areas and communities under 50,000 population. See MPO.

Cutaway – A popular medium sized transit vehicle widely used in ADOT's programs, usually dual-rear-wheel in configuration and wheelchair-lift equipped. Some smaller variants do not require a Commercial Drivers License (CDL) to operate. See Lift Van.

Designated Recipient – Any local or state agency applying for and receiving formula and Surface Transportation Program (STP) flexible grant funds directly from—and authorized by—the federal government (e.g., FTA).

ADOT is the Designated Recipient for Arizona for the following grant programs:

- Section 5304 – State Planning, primarily for rural portions of the state.
- Section 5310 – See description below.
- Section 5311 – See description below.
- Section 5316 – JARC – for rural and small urban areas under 200,000 population.*
- Section 5317 – New Freedom – for rural and small urban areas under 200,000 population.*

** For urbanized Maricopa and Pima Counties over 200,000 population, the City of Phoenix and Tucson respectively are the FTA designated recipients.*

FTA – The Federal Transit Administration, the implementing agency of the US Department of Transportation for all federal transit programs.

Grantee – A Grantee is the State agency receiving grants. The State is the federally designated Grantee.

ITS – Intelligent Transportation Systems – communications technology-driven equipment, hardware, software or other data formats or images designed to increase the quality, quality, or timeliness of information delivered or displayed to end user-customers or service providers on the status or other characteristics of a transportation system.

JARC – Job Access & Reverse Commute Program. See Section 5316.

Lift Van – A small (less than 20 feet long) vehicle widely used in ADOT's programs, single rear-wheel (per side) configuration, equipped with wheelchair lift and raised roof, and not currently requiring a Commercial Drivers License (CDL) to operate. Also known as Maxivan With Lift.

Mobility Management – A short-range planning function comprised of personnel and/or equipment (data or communications hardware, software, etc.) designed to increase inter-agency, regional and statewide coordination.

Metropolitan Planning Organization (MPO) – A regional planning agency representing a predominately urban area, encompassing all or part of a county. Some MPOs are also COGs. However, for the purposes of ADOT's grant programs, MPO describes an agency whose region has a significant urban core/population center over 50,000 population and focus of activity although their regional boundaries may also encompass significant rural areas. See COG.

New Freedom – New Freedom Program. See Section 5317.

Recipient – A recipient is the agency receiving grant awards, whether from the State or directly from the federal government.

SAFETEA-LU – The federal authorizing legislation (by Congress) since 2005 of all surface transportation program funding including highway and transit, and which governs all FTA programs through at least September 2009, at which time new authorizing legislation is scheduled to take precedence.

Section 5307 – *Urbanized Area Formula* transportation program for communities >50,000 population. As communities grow past the 50,000 population threshold they move in status from the 5311 program into the "small urban area" portion of the *FTA 5307* Program, which is administered directly by the Grantee and FTA, with only peripheral ADOT involvement. ADOT continues to mentor these transitional communities until they achieve "full" 5307 status. Section 5307 and 5310 are highly encouraged to coordinate services and resources wherever possible.

Section 5310 – Elderly Individuals & Individuals With Disabilities Program is a FTA formula grant program administered in Arizona by ADOT for all regions that is designed to provide financial assistance (primarily ADOT procured vehicles and Mobility Management awards) to agencies serving seniors and persons with disabilities of all ages.

Section 5311 – Rural Public Transportation (also known as Non-Urbanized Formula Program) is a FTA formula grant program administered in Arizona by ADOT, designed to provide communities under 50,000 population with operating and capital assistance with which to run local transit programs.

Section 5316 – Also known as **Job Access & Reverse Commute** is a FTA program under SAFETEA-LU and administered in Arizona by ADOT to assist low income individuals with work related transportation. This program consists of Mobility Management awards, Capital and Operating funds.

Section 5317 – Also known as **New Freedom** is a FTA formula grant program administered in Arizona by ADOT for rural and small urban areas under 200,000 population and is designed to provide transportation services for persons with disabilities which “go above and beyond” ADA requirements many systems currently must follow (but also which there is often limited in funding for additional services for). This program consists of Mobility Management awards, Capital and Operating funds.

Subrecipient – A subrecipient is a *local* recipient (or contractor) of a designated recipient who is receiving grant awards from the State or directly from the federal government.

United We Ride – A Presidential Executive Order (2004) signed in February of 2004 and federal initiative designed to encourage federal agencies to coordinate and collaborate on programs serving human service agency transportation needs, with the aim to reduce waste between programs with common or similar transportation objectives, and increase service quality for the transportation-challenged populations they serve. See Arizona Rides.

FEDERAL PROGRAM REFERENCES

1. Federal Transit Laws, Title 49, United States Code, Chapter 53.
2. Federal-aid highway and surface transportation laws, Title 23, United States Code.
3. Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, (SAFETEA-LU) (Pub. L. 109-59, 119 Stat. 1144, Aug. 10, 2005).
4. Transportation Equity Act for the 21st Century (TEA-21) (Pub. L. 105-178, 112 Stat. 107, June 9, 1998).
5. Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) (Pub. L. 102-240, 105 Stat. 1914, Dec. 18, 1991).
6. Federal Public Transportation Act of 1978 (Pub. L. 95-599, Nov. 6, 1978).
7. Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 et seq.
8. Government Performance Results Act of 1993, as amended (Pub. L. 103-62, 107 Stat. 285, Aug. 3, 1993).
9. Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794.
10. Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d.
11. Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000e.
12. Clean Air Act, as amended, 42 U.S.C. 7401 et seq.
13. Section 404 of the Clean Water Act, as amended, 33 U.S.C. 1344.
14. Policy on Lands, Wildlife, and Waterfowl Refuges, and Historic Sites, 49 U.S.C. 303.
15. Section 106 of the National Historic Preservation Act, 16 U.S.C. 470f.
16. Internal Revenue Code, Non-profit Organizations, 26 U.S.C. 501.
17. Lobbying Restrictions, 31 U.S.C. 1352.
18. Disadvantaged Business Enterprises, 23 U.S.C. 101 note.
19. Congressional Declaration of Policy Respecting Insular Areas, 48 U.S.C. 1469a.

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20. Program Fraud Civil Remedies Act, 31 U.S.C. 3801 et seq.
21. Uniform Relocation Assistance and Real Property Acquisitions Policies Act of 1970, as amended, 42 U.S.C. 4601, et seq.
22. Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 et seq.
23. Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et seq.
24. National Environmental Policy Act of 1969, as amended, 42 U.S.C. 4321 et seq.
25. Federal Funding Accountability and Transparency Act of 2006 (Pub. L 109–282, 120 Stat. 1186, Sept. 26, 2006).
26. Davis-Bacon Act, as amended, 40 U.S.C. 3141 et seq.
27. Drug-Free Workplace Act of 1988, as amended, 41 U.S.C. 701 et seq.
28. U.S. DOT regulations, “Organization and Delegation of Powers and Duties,” 49 CFR part 1.
29. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 CFR part 18.
30. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations,” 49 CFR part 19.
31. U.S. DOT regulations, “New Restrictions on Lobbying,” 49 CFR part 20.
32. U.S. DOT regulations, “Nondiscrimination in Federally-Assisted Programs of the Department of Transportation—Effectuation of Title VI of the Civil Rights Act of 1964,” 49 CFR part 21.
33. U.S. DOT regulations, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-Assisted Programs,” 49 CFR part 24.
34. U.S. DOT regulations “Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance,” 49 CFR part 25.
35. U.S. DOT regulations, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs,” 49 CFR part 26.

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36. U.S. DOT regulations, "Nondiscrimination on the Basis of Disability in Programs or Activities Receiving Federal Financial Assistance," 49 CFR part 27.
37. U.S. DOT regulations, "Governmentwide Debarment and Suspension (Nonprocurement)," 49 CFR part 29.
38. U.S. DOT regulations, "Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)," 49 CFR part 32.
39. U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 CFR part 37.
40. U.S. DOT regulations, "Americans with Disabilities Act (ADA) Accessibility Specifications for Transportation Vehicles," 49 CFR part 38.
41. U.S. DOT regulations, "Procedures for Transportation Workplace Drug and Alcohol Testing Programs," 49 CFR part 40.
42. FTA regulations, 49 CFR Subtitle B Chapter VI.
43. Joint Federal Highway Administration/FTA regulations, "Planning Assistance and Standards," 23 CFR part 450 and 49 CFR part 613.
44. Joint Federal Highway Administration/FTA regulations, "Environmental Impact and Related Procedures," 23 CFR part 771 and 49 CFR part 622.
45. Federal Motor Carrier Safety Administration regulations, "Controlled Substances and Alcohol Use and Testing," 49 CFR part 382.
46. U.S. Department of Treasury regulations, "Rules and Procedures for Efficient Federal-State Funds Transfers," 31 CFR part 205.
47. U.S. Environmental Protection Agency regulations, "Determining Conformity of Federal Actions to State or Federal Implementation Plans," 40 CFR part 93.
48. Executive Order 12372, "Intergovernmental Review of Federal Programs," July 14, 1982.
49. Executive Order 12898, "Federal Actions To Address Environmental Justice in Minority Populations and Low-Income Populations," Feb. 11, 1994.
50. Executive Order 13217, "Community-Based Alternatives for Individuals with Disabilities," June 18, 2001.

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51. Executive Order 13330, "Human Service Transportation Coordination," Feb. 24, 2004.
52. Office of Management and Budget Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments," codified at 2 CFR part 225, Aug. 31, 2005.
53. Office of Management and Budget Circular A-94, "Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs," Oct. 29, 1992.
54. Office of Management and Budget Circular A-122, "Cost Principles for Non-Profit Organizations," codified at 2 CFR part 230, Aug. 31, 2005.
55. Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," June 23, 2003.
56. U.S. Department of Transportation Order to Address Environmental Justice in Minority Populations and Low-Income Populations, 62 FR 18377 (Apr. 15, 1997).
57. U.S. DOT Policy Guidance Concerning Recipients' Responsibilities to Limited English Proficient (LEP) Persons, 70 FR 74087 (Dec. 14, 2005).
58. FTA Circular 4220.1E, "Third Party Contracting Requirements," June 19, 2003.
59. FTA Circular 4702.1, "Title VI Program Guidelines for FTA Recipients," Oct. 1, 1998.
60. FTA Circular 5010.1C, "Grant Management Guidelines," Oct. 1, 1998.
61. FTA Circular 9030.1C, "Urbanized Formula Program Guidance and Application Instructions," Oct. 1, 1998.
62. U.S. General Services Administration, "Excluded Parties List System," www.epls.gov.
63. FTA Master Agreement FTA MA(13), Oct. 1, 2006.
64. FTA ECHO-Web System Operations Manual.
<http://www.fta.dot.gov/documents/ECHOWebGranteeUserManual.pdf>.
65. *Olmstead v L.C.*, 527 U.S. 581 (1999)