

# **2020 Section 5310 Handbook and Application Review Phoenix-Mesa Urbanized Area**

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**Maricopa Association of Governments  
February 3, 2020**



# Overview

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- Review Handbook and Program Guidelines
- Application Timeline
- For Your Information
- Eligible Activities
- Evaluation Criteria
- Federal/DR Requirements
- Application Submittal
- Review Application

FY 2020

Phoenix-Mesa Urbanized Area

# Handbook & Program Guidelines

Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities

Competitive Selection Process By:



Designated Recipient of Federal Funds:



[FY 2020 Section 5310 Phoenix-Mesa Urbanized Area Handbook & Program Guidelines](#)



# Application Timeline (pg. 6)

<b>2020 Phoenix-Mesa Urbanized Area Grant Timeline</b>	
<b>Applications are published</b>	<b>January 24, 2020</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 3, 2020</b> 9:00 a.m. – 12:00 p.m.
<b>Technical Assistance-MAG and the City of Phoenix</b> <i>Call DeDe Gaisthea at MAG 254-6300 to schedule appointment.</i>	<b>February 10-11, 2020</b> 9:00 a.m. – 3:00 p.m.
<b>Application Deadline</b> Maricopa Association of Governments ATTN: DeDe Gaisthea-Section 5310 Application Human Services Transportation Planner 302 N. 1 <sup>st</sup> Avenue, 3 <sup>rd</sup> floor Phoenix, AZ 85003	<b>February 24, 2020</b> <b>12:00 p.m. (noon)</b> <u><b><i>Late or incomplete applications will not be accepted.</i></b></u>

## 2020 Phoenix-Mesa Urbanized Area Grant Timeline

*\*DATES SUBJECT TO CHANGE*

### **Public Notice of Applications Submitted**

Allows one week for public comments

**February 25, 2020**

### **MAG and the City of Phoenix Public Transit Department**

Conduct internal review - federal eligibility requirements and regional criteria threshold

**February 25, 2020 -  
March 15, 2020**

### **MAG EPDT Ad Hoc Committee**

Receives submitted application for the Phoenix-Mesa UZA for review

**March 18, 2020**

### **Applicants receive EPDT Committee's follow-up questions**

**April 10, 2020**

### **Applicant Response Deadline to Committee's follow-up questions**

**April 14, 2020**  
By 12:00 p.m. (noon)

### **Applicant Interviews with EPDT Ad Hoc Committee**

Maricopa Association of Governments  
302 N. 1<sup>st</sup> Avenue, 2<sup>nd</sup> floor  
Phoenix, AZ 85003

**April 28, 2020-Traditional  
and MM, requests**  
**April 29, 2020-Traditional  
and operating**

<b>MAG Human Services Technical, and Community Initiatives Committees</b>	<b>May 2020</b>
<b>MAG Management Committee</b>	<b>June 10, 2020</b>
<b>MAG Regional Council</b>	<b>June 24, 2020</b>
<b>Applicants receive selection notification**</b>	<b>June/July 2020</b>
<b>Appeal Deadline</b>	<b>One week from notification</b>
<b>TIP Amendment Process</b>	<b>July-August 2020</b>
<b>FTA Application Process</b>	<b>September-November 2020</b>
<b>Phoenix/Subrecipient Agreement Process</b>	<b>September-November 2020</b>
<b>Grant Recipient Workshop with City of Phoenix</b>	<b>September-November 2020</b>
<b>Projected availability of funds</b>	<b>Late 2019– Early 2021</b>
<b>Vehicle Delivery and Availability</b>	<b>Spring 2021</b>

# For Your Information (pg. 8)

On January 15, 2020 the MAG Elderly and Persons with Disabilities Ad Hoc Committee approved the following changes to the application process,

- ❖ Agencies who have returned Section 5310 awarded vehicle(s) to the Designated Recipient for release back into the program, will have a two year waiting period from date of notification in order to reapply for vehicles.
- ❖ Applicants must score 70 percent or above during the evaluation review process to meet regional threshold criteria.

All applicants applying for Section 5310 funding in the Phoenix-Mesa UZA are required to attend the Applicant Interviews, additional information can be found on page 20.

# 5310 “Traditional” Capital Projects (pg. 13)

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## Eligible

- Private nonprofit organizations
- Government authorities: where no PNP is available, or designated by the State to coordinate services for older adults and individuals with disabilities

## Eligible projects

- Vehicles
- Communication equipment/ramps/securement devices for Section 5310 funded vehicles
- Preventive Maintenance
- Mobility Management – sub-regional mobility managers positions and mobility management projects

# “Other” Capital and Operating Eligible Activities (pg. 15)

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## Eligible

- Private nonprofit organization, state or local governmental authorities

## Eligible Projects

- Public transportation projects (capital only) planned, designed and carried out to meet the needs of the targeted population
- Exceed the requirements of the American with Disabilities Act (ADA)
- Improves Accessibility to Transit
- Alternatives to public transportation that assist seniors and individuals with disabilities with transportation

# Evaluation Criteria (pg. 22)

	Needs Improvement	Meets Criteria	Meets All or Exceeds Criteria
<b>SELECTION CRITERIA (100 pts)</b>			
<b>SECTION 1, 2 and 9: Cover Letter, Agency Info, and Checklist Completed (5 pts)</b> <ul style="list-style-type: none"> <li>Cover letter clearly describes the agency's primary mission, population served, funding requested, and clearly addresses the commitment to providing local match funding with appropriate agency signature. <b>(3 pts-MAG)*</b></li> <li>Application was submitted complete with all appropriate items from the application checklist. <b>(2 pts-MAG)*</b></li> </ul>	(1 pt.)	(2-3 pts.)	(4-5 pts.)
<b>SECTION 3: Agency Experience and Capabilities (20 pts)</b> <ol style="list-style-type: none"> <li>Agency demonstrates experience with the requested project including having appropriate staff to assist in managing the program. (5 pts)</li> <li>Agency provides performance measures that will be used to evaluate the effectiveness of the requested project with measurable outcomes. (5 pts)</li> <li>Agency experience in managing federal funds, meeting requirements, and have policy/procedure in place. <b>(5 pts-DR Phoenix)*</b></li> <li>Demonstrates good utilization of requested and/or past funding. If applicable, agency expends awards in a timely manner. <b>(5 pts-DR Phoenix)*</b></li> </ol>	(1-9 pts.)	(10-14 pts.)	(15-20 pts.)
<b>SECTION 4 AND 5, 6, or 7: Project Description (25 pts)</b> <ul style="list-style-type: none"> <li>The project addresses the federal requirement of being planned, designed and carried out to meet the specific needs of seniors and individuals with disabilities by providing a service that would otherwise not be available. (5 pts)</li> <li>The project clearly describes how it relates to other services provided in the area, fills in transportation gaps for the targeted population, and is sustainable over time. (10 pts)</li> <li><b>-Traditional Capital Requests (Section 5 or 6 A, B, or C):</b> Project demonstrates an effective utilization of proposed service, equipment, or position and an effective use of federal funds by filling in the gaps in service and the number of clients served (10 pts) <b>OR,</b> <b>-Other Capital/Operating Requests (Section 7 A, B, or C):</b> Project provides a service that is "above and beyond" ADA requirements (5 pts). In addition, project is consistent with program objectives to improve access or provide alternatives to public transportation (5 pts). <b>(Total 10 points)</b></li> </ul>	(1-9 pts.)	(10-19 pts.)	(20-25 pts.)
<b>SECTION 5, 6 (A, B, or C) or 7 (A, B, or C) – Budget (10 pts)</b> <ul style="list-style-type: none"> <li>Applicant adequately addresses how the requested project is cost-efficient and a good use of federal funding based on the number of clients served. (3 pts)</li> <li>Line items on the budget were appropriate to the project request, easy to understand, and adequately addresses the intent of the program. (2 pts)</li> <li>Applicant appropriately addresses the availability/reliability of required matching fund for the proposed project request including the ability to operate/maintain the grant project in future years. <b>(5 pts-DR-Phoenix)*</b></li> </ul>	(1-3 pt.)	(4-7 pts.)	(8-10 pts.)
<b>SECTION 8 – Coordination (25 pts)</b> <ol style="list-style-type: none"> <li><b>Coordination Participation:</b> Attends local and/or regional coordination meetings/forums, submits all requested data information including surveys and provider updates. <b>(10 pts-MAG)*</b></li> <li><b>Developing Partnerships:</b> To what degree does the applicant coordinate with other agencies, and public or private transit and paratransit systems? (5 pts)</li> <li><b>Collaborative Activities:</b> Applicant demonstrates participation, or willingness to participate, in a coordinated system for training activities. (5 pts)</li> <li><b>Addressing Regional Gaps:</b> To what degree does the applicant address regional gaps as outlined in the MAG Human Services Transportation Coordination Plan, and describes plans to further coordination efforts in the future? (5 pts)</li> </ol>	(1-9 pts.)	(10-19 pts.)	(20-25 pts.)
<b>Applicant Interview and Presentation (15 pts)</b> <ul style="list-style-type: none"> <li>Applicant presentation adequately supports the need of the proposed project. <b>(15 pts)</b></li> </ul>	(1-4pt.)	(5-10 pts.)	(11-15 pts.)

# Entering Into Agreement with the City of Phoenix (pg. 24)

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## Certifications and Assurances

- The subrecipients' Authorized Representative must sign the Certification & Assurances form provided in the application indicating the agency's agreement to comply with all applicable Federal requirements. *The Attorney's signature is recommended, however, it is not required.*
- DUNS-Obtaining a D-U-N-S number through Duns & Bradstreet is required PRIOR to applying for Federal funds. To apply for a D-U-N-S number, visit the Dun & Bradstreet website: <https://www.grants.gov/applicants/organization-registration/step-1-obtain-duns-number.html>
- SAM-Registering with the System for Award Management (SAM) is required UPON receiving Federal funds. To register, visit the following website: <https://www.sam.gov/SAM/>

# Federal Requirements (pg. 25)

- Office of Management & Budget (OMB)-Agencies receiving \$750,000 or more in federal funds annually are required to conduct an annual single audit by a certified public accountant (CPA) and must provide a copy of their audit to the City of Phoenix annually, as well as follow any related federal guidelines. Additional information can be found at the following link: <https://www.gpo.gov/fdsys/pkg/FR2013-12-26/pdf/2013-30465.pdf>
- Lobbying Activities - Agencies who apply for an award of \$100,000 or more shall file the certification required by 49 CFR part 20, "New Restrictions on Lobbying." See Grant Application for form.
- Matching Funds-Subrecipients are required to provide matching funds for Section 5310 funds.
  - Applicants must indicate a commitment to providing the local match funding in the cover letter.
  - Subrecipients will be required to provide the full local match for vehicles and/or vehicle equipment in advance of the City creating purchase orders.
  - Local match for operating and mobility management projects can be non-cash such as donations, volunteered services, or in-kind contributions is eligible as long as the value of each is documented and supported.

# Designated Recipient Requirements (pg. 28)

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- The City of Phoenix Public Transit Department is the Designated Recipient
- Oversee the compliance of the program
- Direct and Indirect Costs- only eligible expenses that directly support the transportation or mobility management program
- Line Item Budgets-Project costs must specifically relate to the purpose of the program with descriptions of all program costs to be reimbursed.
- Procurements-must comply with all federal requirements, contact the City of Phoenix for technical assistance prior to conducting procurements utilizing any grant funds.

# Designated Recipient Requirements (pg. 29)

- All subrecipients will be required to submit annual progress reports including grant milestones, financial status, vehicle information, and program measures to the City of Phoenix. Specific reporting requirements will be outlined in the Grant Pass Through Agreement.
- Annual Milestone Progress Report (MPR)
- 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, which is usually demonstrated at the time of vehicle disposition.

# Asset Management (pg. 31)

- The City of Phoenix procures vehicles on behalf of subrecipients based on their unique needs and performs an initial inspection of vehicles at the dealership.
- Vehicles must be maintained and used for the intended purpose under which they are purchased.
- 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, which is usually demonstrated at the time of vehicle disposition.

# Maintenance and Annual Inspection

(pg. 31)

- FTA requires written Vehicle Maintenance Plans (VMP) that describe periodic inspections, preventive maintenance intervals and maintenance procedures that keep federally assisted property in good condition.
- Vehicles must be maintained and developed maintenance reporting procedures to ensure management and oversight of federally assisted property is properly administered.
- Recipients are responsible for acquiring and maintaining current, appropriate insurance on their capital equipment while under City of Phoenix lien.
- Subrecipients must report substantial damage and changes 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 (5) business days, even if satisfactory repair can be made within this period.

# Section 5310 New Email Point of Contact

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- [Section5310@phoenix.gov](mailto:Section5310@phoenix.gov)

- Please use this email to submit all Section 5310 reporting, questions, reimbursement requests, and vehicle plans and maintenance submittals.
- This email is monitored by the City of Phoenix Section 5310 staff and the staff person responsible for the appropriate area will respond.
- Program staff is available to answer questions and assist you in any area of the Section 5310 program.
- **The Section 5310 email as your first point of contact. This will help us keep track of frequently asked questions, and assist you when another team member is out of the office**

# Grants and Reimbursements Contacts

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**Wendy Miller**

**Section 5310 Program Manager**

**City of Phoenix Public Transit Department**

**Phone: (602) 262-4077**

**Email: [wendy.miller@phoenix.gov](mailto:wendy.miller@phoenix.gov)**

**Stephanie Rangel**

**Budget Analyst II**

**City of Phoenix Public Transit Department**

**(602) 262-4506**

**[stephanie.rangel@phoenix.gov](mailto:stephanie.rangel@phoenix.gov)**

**Vivian Ybañez**

**Federal Grants Accountant**

**City of Phoenix Public Transit Department**

**(602) 262-9199**

**[vivian.ybanez@phoenix.gov](mailto:vivian.ybanez@phoenix.gov)**

# Federal Compliance

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**Shelley Reimann**

**Transit Compliance Administrator**

**City of Phoenix Public Transit Department**

**Phone: (602) 261-8997**

**Email: [shelley.reimann@phoenix.gov](mailto:shelley.reimann@phoenix.gov)**

**Leslie Scott**

**Transit Compliance Manager**

**City of Phoenix Public Transit Department**

**(602) 534-1640**

**[stephanie.rangel@phoenix.gov](mailto:stephanie.rangel@phoenix.gov)**

# Civil Rights

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**Christina Hernandez**  
**Compliance Program Manager**  
**City of Phoenix Public Transit Department**  
**Phone: (602) 534 9161**  
**Email: [christina.hernandez@phoenix.gov](mailto:christina.hernandez@phoenix.gov)**

**Renee Standing Tree**  
**Equal Opportunity Specialist**  
**City of Phoenix Public Transit Department**  
**(602) 534-2667**  
**[renee.standing.tree@phoenix.gov](mailto:renee.standing.tree@phoenix.gov)**

**Antoinette Cooper**  
**Equal Opportunity Specialist**  
**City of Phoenix Public Transit Department**  
**(602) 262-4507**  
**[antionette.cooper@phoenix.gov](mailto:antionette.cooper@phoenix.gov)**

# Asset & Vehicle Maintenance

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**Rodney Merrill**  
Equipment Analyst  
City of Phoenix Public Transit Department  
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**Carl Amelung**  
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**Raul Aguilar**  
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**Carl Montgomery**  
Transit Asset Manager  
City of Phoenix Public Transit Department  
(602) 534-2145  
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# Application Review

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- Cover letter - Introduction to your request
- Application Submittal
- Applicant Support Information
- Sign-up Sheets
- Application

Your Company Letterhead

Date

Maricopa Association of Governments  
ATTN: DeDe Gaisthea  
Human Services Transportation Planner II  
302 N 1<sup>st</sup> Ave, Ste. 200  
Phoenix, AZ 85003

Dear Ms. Gaisthea,  
Who you are and the population you serve. Type of project request (Capital/Operating) and requested federal and local match amount. Included your agency's commitment to providing local match.

**(Two to three sentences)**

*Briefly* describe your request. How the requested project will benefit the population you serve. Note any partnerships or coordination with other agencies on project.

**(One to two paragraphs)**

We appreciate your consideration for your request to serve the population of XX.

**(One to two sentences)**

Thank you,  
Name  
Title

# Cover Letter

- Preference of not more than one page
- On your agency letterhead
- Serves as your introduction
- Describes your agency's need for the requested project
- Summary of requested amount
- Must include commitment for local match
- Must be signed by your agency Executive Director/CEO (person who is legally authorized to sign contracts)

# Application Submittal (pg. 20)

- Applications are due Monday, February 24, 2020, by noon to the MAG offices, 3<sup>rd</sup> floor receptionist.
- All applications will be time stamped upon submission.
- Upon request a receipt will be given.
- Please note, submitting only the electronic version of the application through email *is not* a formal submission.

**NO LATE OR INCOMPLETE APPLICATIONS WILL BE ACCEPTED**

# Please ensure the documents are submitted accordingly to the following standards (pg. 19)

- One original signature, one copy, and one electronic copy of all materials must include the original Excel application, on CD or flash drive \*Also including a PDF of all materials is appreciated
- Hard copies are firmly bound and held together with a binder clip only 
- All applicable questions are answered concisely and with sufficient detail

**Late or incomplete applications will not be accepted**

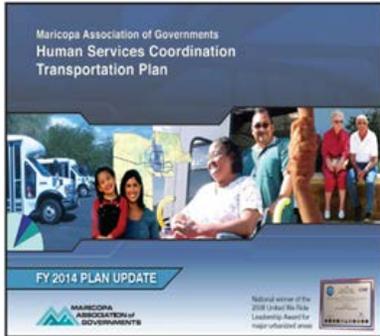
# Applicant Support

- Proposal Workshop Presentations on MAG website
- Applicant Technical Assistance – by appointment only, come prepared with questions, contact DeDe Gaisthea at 602-254-6300
- **For assistance with application contact**
  - Steve Tate, [STate@azmag.gov](mailto:STate@azmag.gov) or
  - Maria Pina, [MPina@azmag.gov](mailto:MPina@azmag.gov)

# Remember



- Participation in regional coordination efforts is a requirement
- MAG Transportation Ambassador Program meeting on March 3, 2020 at 1 p.m. MAG offices
- Sign-in Sheets (3)
  - Workshop Attendance (February 3, 2020)
  - Tentative Application Assistance-half hour by appointment only (February 10-11, 2020)
  - Tentative Applicant Interview (April 28-29, 2020)



# Extra Training Opportunity

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- Billy Parker, Subregional Mobility Manager, Chandler Gilbert Arc
- Share his experience and items to consider
- Host a Section 5310 Application Discussion Workshop
- February 11, 2020, 11:00 a.m. to noon, MAG office, 2<sup>nd</sup> Floor, Cholla Room

# Contact Information

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**DeDe Gaisthea**

**Human Services Planner III**

**Maricopa Association of Governments**

**Phone: 602.254.6300**

**Email: [Dgaisthea@azmag.gov](mailto:Dgaisthea@azmag.gov)**

FY 2020

Phoenix-Mesa Urbanized Area

# Grant Application

Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities

(Version 5.1)

APPLICANT NAME:	
PROJECT TITLE:	
APPLICATION TYPE:	Select Value
TYPE OF SERVICE:	

Competitive Selection Process Coordinated By:



**City of Phoenix**  
PUBLIC TRANSIT DEPARTMENT

Designated Recipient of Federal Funds:

City of Phoenix

Public Transit Department

302 North First Avenue, Suite 900

Phoenix, AZ 85003

## REQUEST LIMITS:

**\*ONE PROJECT PER APPLICATION**

**\*LIMIT REQUEST TO ONE YEAR OF FUNDING**

**\*LIMIT REQUEST TO 5 VEHICLES**

# Application

MAG Human Services Transportation  
Elderly and Persons with Disabilities Transportation  
Committee webpage:

<http://azmag.gov/Committees/Technical-Committees/Elderly-and-Persons-with-Disabilities-Transportation-Committee>