

Public Transportation and  
Transportation Demand Management  
Grant Program Application Guidance  
FY 2015

Virginia Department of Rail and Public Transportation

Issued January 2014



# DRPT Public Transportation and Transportation Demand Management Grant Program Application Guidance

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## **1. Introduction**

This document provides application guidance regarding the various state and federal public transportation grant programs administered by the Virginia Department of Rail and Public Transportation (DRPT). The document contains two major parts:

- The first part (Sections 2-3) provides an overview of the grant programs administered by DRPT, a description of DRPT's public transportation investment policy and a calendar describing each step in the grant application process.
- The second part (Sections 4-5) describes each grant program including: eligible recipients and expenses, match ratios, application evaluation criteria and the application procedure.

This document is one of several resources available to grant applicants to assist with DRPT's grant application and management process. Other resources include DRPT's Grantee Handbook (policies and procedures for grantees following the award of a grant) and annual grantee outreach workshops typically held across the state in the spring and fall. These workshops provide applicants with information on grant application and management processes. In addition, DRPT's staff is available to provide technical assistance and answer questions regarding specific grant programs.

## **2. Overview of Grant Programs Administered by DRPT**

Grant funds administered by DRPT generally provide support for capital, operating or planning expenses. Capital expenditures are long-term assets such as vehicles, transit facilities and infrastructure, machinery or heavy equipment. Operating expenditures are annual costs to support transit operations, maintenance, repairs and administrative costs. Planning expenditures are for studies of public transportation and/or Transportation Demand Management (TDM) improvements, such as service expansions or ridesharing programs.

DRPT administers eight State Aid Grant Programs and seven Federal Aid Grant Programs:

### **State Aid Grant Programs**

- Operating Assistance
- Capital Assistance
- Demonstration Project Assistance
- Technical Assistance
- Public Transportation Intern Program
- TDM Operating Assistance
- Transportation Management Project Assistance
- Senior Transportation Program

### **Federal Aid Grant Programs**

- FTA Section 5303 - Metropolitan Planning

- FTA Section 5304 - Statewide Planning
- FTA Section 5307 - Small Urban Areas Program
- FTA Section 5310 - Enhanced Mobility of Seniors and Individuals with Disabilities
- FTA Section 5311 - Rural Areas
- FTA Section 5316 - Jobs Access and Reverse Commute Program (JARC)
- FTA Section 5317 - New Freedom Program

Exhibits 2-1 and 2-2 summarize the state and federal programs administered by DRPT. Most programs target services provided by public organizations and local governments. However, some funds are available to support services provided by private non-profit organizations.

Federal and state aid programs often have an upper limit on the matching ratio, or amount of grant funding available as a percentage of the total project cost. These limits are a statutory limit on the maximum amount of available funding. For many programs, however, resource limitations force a matching ratio much lower than the statutory limit. For instance, DRPT's Operating Assistance program has historically provided approximately 20% of the grantee's total operating costs. The recent history of matching ratios is described in each program's individual profile, which follows this section.

**Exhibit 2-1. DRPT Administered State Aid Grant Programs**

<b>State Aid Grant Program</b>	<b>Program Description</b>	<b>Eligible Recipients</b>
<b>Operating Assistance</b>	Supports costs borne by eligible recipients for operating related public transportation expenses	Local and State Government Transportation District Commissions Public Service Corporations
<b>Capital Assistance</b>	Supports costs borne by eligible recipients for public transportation capital projects	Local and State Government Transportation District Commissions Public Service Corporations
<b>Demonstration Project Assistance</b>	Supports innovative investments in all functional areas of public transportation	Local and State Government Transportation District Commissions Public Service Corporations
<b>Public Transportation Intern Program</b>	Supports increased awareness of public transportation as a career choice	Local and State Government Transportation District Commissions Public Service Corporations Planning District Commissions Human Service Agencies Involved in Rural Public Transportation
<b>Technical Assistance</b>	Supports planning or technical assistance to help improve or initiate public transportation related services	Local and State Government Transportation District Commissions Public Service Corporations Planning District Commissions Human Service Agencies Involved in Rural Public Transportation
<b>TDM Operating Assistance</b>	Supports administration of existing or new local and regional Transportation Demand Management/Commuter Assistance programs	Local and State Government Transportation District Commissions Public Service Corporations Planning District Commissions Transportation Management Associations
<b>Transportation Management Project Assistance</b>	Supports Transportation Demand Management projects and programs that encourage the reduction of single occupant vehicle travel	Local and State Government Transportation District Commissions Public Service Corporations Planning District Commissions Transportation Management Associations
<b>Senior Transportation Program</b>	Supports projects and programs that improve mobility for senior citizens	Local and State Government Transportation District Commissions Public Service Corporations Private Non-Profit Organizations

**Exhibit 2-2. DRPT Administered Federal Aid Grant Programs**

<b>Federal Aid Grant Program</b>	<b>Program Description</b>	<b>Eligible Recipients</b>
<b>FTA Section 5303 – Metropolitan Planning</b>	Supports transit planning expenses	Metropolitan Planning Organizations
<b>FTA Section 5304 – Statewide Planning</b>	Supports local and statewide transit planning projects	Local and State Government Transportation District Commissions Public Service Corporations Planning District Commissions
<b>FTA Section 5307 – Small Urban Areas Program</b>	Supports operating and capital costs of transit operators in small urban areas	Local and State Government Transportation District Commissions Public Service Corporations Planning district commissions
<b>FTA Section 5310 – Enhanced Mobility of Seniors and Individuals with Disabilities</b>	Supports the purchase of vehicles and equipment (See MAP-21 Grant Program Consolidation Note below).	Private non-profit operators of transit services for seniors and persons with disabilities.
<b>FTA Section 5311 – Rural Areas</b>	Supports operating and capital costs of transit operators in non-urbanized areas	Local and State Government Transportation District Commissions Public Service Corporations Private Non-Profit Organizations
<b>FTA Section 5316 - Jobs Access and Reverse Commute Program</b>	Supports the operating and capital costs of special programs designed to connect unemployed people to jobs (See MAP-21 Grant Program Consolidation Note below).	Recipients eligible for Section 5311: Local and State Government Transportation District Commissions Public Service Corporations Private Non-Profit Organizations  Recipients eligible for Section 5307: Local and State Government Transportation District Commissions Public Service Corporations Private Non-Profit Organizations
<b>FTA Section 5317- New Freedom Program</b>	Supports capital and operating costs of new public transportation services and new public transportation alternatives beyond those required by the Americans with Disabilities Act of 1990. (See MAP-21 Grant Program Consolidation Note below).	Local and State Government Public Service Corporations Private non-profit organizations

**Note: Potential grant recipients are required to submit a separate application for each program they apply for using DRPT’s On-Line Grant Application (OLGA) system. OLGA is a web based system (<https://olga.drpt.virginia.gov>) that requires a user ID and password that must be obtained from DRPT. Applicants that do not have an existing account can set one up on-line by going to <https://olga.drpt.virginia.gov> and clicking on “new account”.**

Note: MAP-21 Grant Program Consolidation

On July 6, 2012 President Obama signed into law a two-year transportation authorization, entitled Moving Ahead for Progress in the 21st Century (MAP-21). MAP-21 changes include consolidation of several grant programs. For example, the New Freedom grant program (5317) was repealed and New Freedom projects become eligible under Section 5310, without a specific set aside funding level. Similarly, the Job Access and Reverse Commute (JARC) program (5316) is consolidated within Sections 5307 and 5311. In order to efficiently utilize any reverted and unallocated funds under these programs, and in order to maximize flexibility to utilize all available funds most efficiently, separate grant applications for each grant program will continue to be required.

Applicants are also required to submit performance data as part of the application process. Performance data is collected by DRPT for its monitoring, evaluation and reporting system. Performance data includes: organizational data, transit mode data and financial data.

### 3. Grant Program Calendar

The grant schedule common to most grant programs administered by DRPT is summarized in Exhibit 3-1. Note that deadlines referring to the first day of the month (e.g. December 1, February 1 and April 1) are to be interpreted as the first business day of the month.

**Exhibit 3-1. Grant Program Calendar**

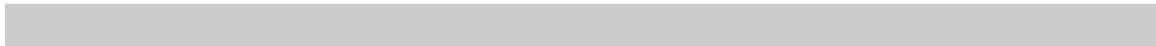
<b>Process</b>	<b>Schedule</b>
Grantee Application Assistance	September through January
Grantee Outreach Workshops	Fall and Spring
Capital Budgeting Information Submitted by potential grantees	February
Grant Program Announcement	Late November
Grant Application Period for all grant programs except the FTA 5303 program (MPO Assistance)	December 1 through February 1
Review, Analysis and Evaluation of Grant Applications	February 1 through early March
Development of Draft Six Year Improvement Program	Late February through March
Commonwealth Transportation Board (CTB) Authorization to Release Draft Six Year Improvement Program to the Public for Review and Comment	April - May
Draft Six Year Improvement Program Public Hearings	April - May

Applications for FTA Section 5303 are due	May 1
CTB Approval of Final Six Year Improvement Program	June
Development and Execution of Grant Agreements	Beginning July 1 for state programs and October 1 for federal programs

#### **4. State Aid Grant Programs**

Sections 4.1 through 4.7 present state aid grant programs in the following order:

- Operating Assistance
- Capital Assistance
- Demonstration Project Assistance
- Technical Assistance
- Public Transportation Intern Program
- TDM Operating Assistance
- Transportation Management Project Assistance
- Senior Transportation Program



## 4.1 Operating Assistance

### 4.1.1 Description

This program provides support for eligible public transportation operating costs borne by eligible recipients.

### 4.1.2 Eligible Recipients

Eligible grant recipients include public transportation services operated by:

- Local and State Governments
- Transportation District Commissions
- Public Service Corporations

### 4.1.3 Eligible Expenses

State operating assistance is awarded to existing providers of public transportation service in Virginia. Financial assistance is distributed among the providers of service on the basis of total operating expenses incurred during the most recently completed fiscal year. Each prospective applicant may request operating assistance for the following eligible expenses:

- **Public transportation administrative expenses borne by the locality**  
Eligible expenses include, but are not limited to, general administrative expenses such as:
  - Accounting and payroll
  - Advertising and promotion media
  - Business related education and training for transit employees
  - Business related travel expenses of transit employees
  - Clerical
  - Communication services – cost of communications including phones, fax, postage, etc.
  - Contract management fees
  - Facilities and equipment lease, rental and maintenance contracts (note: not eligible if funded through a capital grant)
  - Data processing supplies
  - Indirect costs – these costs can only be included if the indirect cost plans have been pre-approved by DRPT. If applicants do not have a pre-approved plan and wish to submit one to DRPT, it should be done as soon as possible. DRPT may not be able to pre-approve a plan that is submitted during the application period (December 1 – February 1). Indirect costs funded through a capital grant are not eligible.
  - Insurance and bonding – cost of insurance, or payments to a self-insurance reserve, on property or against specific or general liabilities of the transit entity
  - Office supplies, materials and equipment
  - Other fixed charges – dues and subscriptions, taxes, licenses, etc.
  - Printing and reproduction
  - Professional services – retainer fees and expenses paid to professionals, not employees of the specific transit entity for their

- special expertise. Includes accounting, legal, architectural, engineering, management, and marketing services.
  - Public Transportation Association dues (excluding any portion of the dues that are for state lobbying activities)
  - Salaries, wages and fringe benefits of transit entity employees such as the general manager and staff as well as for vehicle operators, mechanics, vehicle and on-vehicle maintenance workers, cleaners, etc.
  - Uniforms
  - Utilities – heat, lights, power, water and sewer expenses
  - Preventative maintenance
  - Cleaning supplies
  - Maintenance parts, supplies, tools and equipment
- **Public transportation expenses borne by the locality and eligible to the extent items are used during the fiscal year. (e.g., tires in inventory at year end are not eligible expenses)**
  - Vehicle supplies and materials (tangible maintenance and operating resources for use and preservation of motor vehicles, not included in capital costs)
  - Motor fuels and materials
  - Oil
  - Tires and Tubes
  - Parts
- **Public Transportation expenses that are not eligible:**
  - Expenses not directly attributed to the operation of public transportation services.
  - Expenses that are already funded through a state capital grant.
  - Expenses related to state lobbying activities.

#### **4.1.4 Match Ratio**

Historically, the Operating Assistance Program has provided approximately 20 % of the provider's operating expenses.

#### **4.1.5 Application Evaluation Process**

Applicants need to ensure that expenses (described above) and revenues are properly reported on their application. Federal revenues are financial assistance from any federal government program. State revenues are financial assistance from any state government program other than DRPT's Operating Assistance program. Local revenues are defined as financial assistance from local entities that support the operation of the transit system. Local revenues include, but are not limited to:

- Tax levies – A specified amount from local levies that is dedicated to supporting public transit system operating costs.

- General funds – Transfers from the general fund of local governments to cover the Local Share portion of the transit system budget.
- Specified contributions – Contributions from city, county or other municipal government towards the Local Share portion of the transit system budget.
- Donations – Donations from individuals or organizations to help cover the costs of providing transit service but which are not related to specific passengers or trips.
- Other – Other revenues such as advertising.

DRPT evaluates Operating Assistance applications by validating the expenses and revenue sources submitted on the application, determining the eligibility of listed expenses, requesting additional data or clarification from applicants if necessary, reviewing data submitted by the applicant for the previous year and any audited financial statements.

#### Transit New Starts – New Systems, New Modes and New Service

Operating Assistance is available for new systems, new modes of public transportation being added by existing systems and new service on current modes of public transportation provided by existing systems. New service on current modes must increase existing transit service revenue miles/hours by at least 5 percent to be eligible for additional operating assistance funding.

Any proposal to develop a new transit system, new mode or new service must begin with proper planning. To assist local entities and the public, DRPT has developed Transit Service Design Guidelines (available at: <https://olga.drpt.virginia.gov>) as a tool to assist with the planning process. This tool provides useful information to local entities on implementing new transit service. Local entities must conduct a plan prior to requesting any Operating Assistance for new transit service (this does not include expanding existing routes). Planning funds may be applied for through DRPT's Technical Assistance Program. DRPT encourages local entities to involve DRPT in any transit system planning efforts. DRPT also has resources available to help manage transit system planning studies on behalf of local entities.

Transit feasibility studies are acceptable planning documents for new transit systems. Existing systems must have a completed and adopted Transit Development Plan in order to request Operating Assistance for new service. DRPT's Transit Development Plan requirements are available at <https://olga.drpt.virginia.gov>. Transit Development Plans must be submitted with an existing system's Operating Assistance application.

DRPT staff will evaluate all requests for new service using the Transit Service Design Guidelines. Specifically, proposals should demonstrate how they have addressed the topics defined in Sections 1.2-1.7 of the guidelines:

- Examining all of the options
- Planning for success
- Framing the purpose and need
- Land use considerations

- Service area and transit network design
- Other important considerations

Proposals will also be evaluated against the typical characteristics provided in Section 2.0 of the guidelines.

#### Operating Assistance Formula Calculation

The amount of Operating Assistance for each recommended application is calculated using a formula. The formula works as follows:

DRPT takes the total amount of Operating Assistance funding available up to \$160M and allocates it among applicants based upon operating expenses from the previous fiscal year (for example, in calculating Operating Assistance for FY15, DRPT will look at the FY13 expenses).

Beginning in FY2014, a performance-based allocation methodology will be utilized to distribute transit operating assistance funding above \$160M. More information on the performance-based operating assistance allocation methodology is available at <http://www.drpt.virginia.gov/activities/files/FINAL%20Performance%20Based%20Operating%20Assistance%20Allocation%20Methodology%20Report%20102213.pdf>.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

#### **4.1.6 Application Procedure**

Applications for all State Aid Grant Programs are submitted online using DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

Required data include:

- Previous year's audited operating expenses
- Operating expense budget for upcoming fiscal year, including public transportation administrative expenses and public transportation expenses used during the fiscal year.
- Total amount of state aid from all other programs anticipated for the upcoming fiscal year. Anticipated state aid for the upcoming fiscal year **DOES NOT** include the amount of operating assistance anticipated from the Operating Assistance program. This program is a formula driven program in which DRPT calculates the amount of aid a grantee will receive using information submitted by all applicants (described above)
- Total amount of federal aid from the FTA Section 5307 program anticipated for the upcoming fiscal year that will be used to support expenses in the proposed operating budget

- Calculated total amount of federal aid from the FTA Section 5311 – Rural Areas application submitted during the upcoming fiscal year that will be used to support expenses in the proposed operating budget
- Total amount of federal aid from the CMAQ program anticipated for the upcoming fiscal year that will be used to support your proposed operating budget
- Total amount and source(s) of state and federal aid from any other programs anticipated for the upcoming fiscal year that will be used to support expenses in your proposed operating budget. These sources will be recorded on the application as deductions.
- Certifications and resolutions

The application process for the Operating Assistance Program is summarized in the State Aid Grant Program Calendar in Section 3.

## 4.2 4.2 Capital Assistance

### 4.2.1 Description

This program supports public transportation capital projects necessary to maintain, improve or expand public transportation services.

### 4.2.2 Eligible Recipients

Eligible grant recipients include public transportation capital improvements sponsored by:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations

Funds from the State Aid Capital Assistance Program may be awarded to existing and prospective new providers of public transportation service in Virginia.

### 4.2.3 Eligible Expenses

Eligible capital expenses include, but are not limited to, items such as the purchase or lease of new vehicles and equipment, the rehabilitation of vehicles and equipment, the improvement or construction of transit maintenance and operations facilities, the purchase and installation of bus stop signs and shelters, the cost of debt service for major capital projects, real estate/right-of-way acquisition and safety and security equipment.

Most projects eligible for capital assistance under FTA guidelines will be eligible for state aid capital assistance.

This program specifically **excludes** operating expenditures such as depreciation costs and preventive maintenance expenses.

### 4.2.4 Match Ratio and Limits of Funding

For the Mass Transit Trust Fund (MTTF), the maximum allowable match is 95 percent. DRPT's goal has been to provide the largest possible match percentage to all transit providers. However, available funding never has been sufficient to reach a 95 percent match. A tiered approach has been established to distribute Mass Transit Trust Funds for capital purposes based on asset needs and available revenues. The purpose of the tiered approach is to assign higher priority to assets that the Commonwealth Transportation Board (CTB) views as the most important to transit in Virginia.

Three tiers comprise the categories of capital needs. Capital funds will be allocated to each tier based on a matching percentage that reflects the priorities of the Commonwealth Transportation Board (CTB). The tiers are defined as follows:

1. Replacement and Expansion Vehicles: Activities eligible for funding under this tier include the acquisition of rolling stock for either replacement or expansion

purposes. Other eligible activities include items that would be installed on a vehicle as part of a major fleet wide conversion/upgrade or considered a part of the initial acquisition, including but not limited to:

- Assembly line inspection
- Fare collection equipment
- Automated passenger counters
- On-vehicle radios and communication equipment
- Surveillance cameras
- Aftermarket installation of farebox, radios, and surveillance cameras
- Vehicle tracking hardware and software
- Rebuilds and mid-life repower of rolling stock

2. Infrastructure/Facilities: Activities eligible for funding under this tier include the construction of infrastructure or facilities for transit purposes, such as maintenance facilities, bus shelters, administrative buildings, or guideway infrastructure. Other eligible activities under this tier include:

- Real estate used for a transit purpose
- Signage
- Surveillance/security equipment for facilities
- Rehabilitation or renovation of infrastructure and facilities
- Major capital projects

3. Other: Activities eligible under this category include, but may not be limited to the following:

- All support vehicles
- Shop equipment
- Spare parts
- Hardware and software not installed on a vehicle
- Project development expenses for capital projects
- Office furniture and other equipment
- Handheld radios
- Landscaping
- Other transit-related capital items

Funds allocated for debt service and lease payments will be included in the tier that applies to the underlying capital asset that is being financed. It is expected that each agency will designate the appropriate tier for each project in its annual grant applications. DRPT will review and confirm these designations as part of the grant approval process. Any capital needs that are not addressed above will be allocated by DRPT to the most appropriate category.

The actual percentages set as the base calculated for FY 2014 are 68% for Tier 1, 34% for Tier 2, and 17% for Tier 3. The percentages are applied based upon the Total Project Cost of the capital asset, as opposed to the Non-Federal Project Cost. For more information on Capital Assistance Allocation Methodology, go to <http://www.drpt.virginia.gov/activities/files/Full%20Capital%20Methodology%20Report%20with%20Minority%20Report%2012-4-13.pdf>.

The State Paratransit Capital Program is a subset of the Capital Assistance Program. There is no separate application for this program. Paratransit Capital allocations are made based upon data provided by applicants in their Capital Assistance application. The state matching ratio for the State Paratransit Capital Program has not fluctuated like the Capital Assistance Program does. The maximum state match ratio for the State Paratransit Capital Program is 95 percent. All projects in this program are typically matched at the maximum ratio.

#### 4.2.5 Application Evaluation Process

Applications for Capital Assistance will be evaluated by DRPT using the following criteria:

- Project Justification – explanation of the need/problem that the project will address
- Planning – documentation that sufficient planning has been conducted to execute the project
- Project Scope – approach to addressing the need/problem
- Project Readiness – ability to initiate and advance the project within the fiscal year the funds are applied for
- Technical Capacity – identification of project management team and ability to execute the project
- Project Budget – ability to execute the project scope within the project budget
- Project Schedule - ability to execute the project scope within the project schedule
- Monitoring and Evaluation Plan - applicant's approach to measuring performance and evaluating the results of the requested capital project(s)

In addition to the criteria above, various tools will be used by DRPT staff to evaluate certain types of projects:

Replacement/Rehabilitation of Existing Equipment - will be evaluated against consistency with the DRPT Asset Management System and consistency with the capital budgeting information submitted every year by applicants to develop the Six Year Improvement Program.

Transit New Starts – New Systems, New Modes and New Service - prior to submitting an application for transit new starts with capital expenses above \$2 million, applicants should meet with DRPT to ensure that sufficient information is available to warrant an application for Capital Assistance. Submitted applications will be evaluated by DRPT using Transit Service Design Guidelines and the Public Benefit Model. Any proposal to develop a new transit system, new mode for an existing system or new service for an existing system must begin with proper planning. To assist local entities and the public, DRPT has developed **Transit Service Design Guidelines** (<https://olga.drpt.virginia.gov>) as a tool to assist with the planning process. This tool provides useful information to local entities on developing new transit service. Local entities must conduct a plan prior to requesting any Capital

Assistance from DRPT for new service (does not include expanding existing routes). Planning funds may be applied for through DRPT's Technical Assistance Program. DRPT encourages local entities to involve DRPT in any transit system planning efforts. DRPT also has staff and consultant resources available to help manage transit system planning studies on behalf of local entities.

Transit feasibility studies are acceptable planning documents for new transit systems. Existing systems must have a completed and adopted **Transit Development Plan** in order to request Capital Assistance for new service. DRPT's Transit Development Plan requirements are available at: <https://olga.drpt.virginia.gov>. Transit Development Plans must be submitted with an existing system's Capital Assistance application (unless already submitted with an Operating Assistance application).

All requests for new service, either through the development of a new system or adding new service to an existing system, will be evaluated by DRPT staff using the Transit Service Design Guidelines. Specifically, proposals should demonstrate how they have addressed the topics defined in Sections 1.2-1.7 of the guidelines:

- Examining all of the options
- Planning for success
- Framing the purpose and need
- Land use considerations
- Service area and transit network design
- Other important considerations (including capital and operating costs)

Proposals will also be evaluated against the typical characteristics provided in Section 2.0 of the guidelines.

For the **Public Benefit Model**, applicants requesting funding for a transit new start will be prompted by the on-line application to submit data necessary for DRPT to run the model. Based on the data submitted by the grantee, the model will calculate the following:

- Total dollar amount of public benefits
- Cost/benefit ratio
- Estimated number of cars taken off the road
- Gallons of gasoline saved
- Total CO2 emissions avoided
- Daily affected ridership per vehicle

DRPT will analyze and evaluate the data produced by the model and take it into consideration as part of its overall evaluation.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

#### **4.2.6 Application Procedure**

Applications for all State Aid Grant Programs are submitted online using DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

Required data include:

- Contact information (including Project Manager)
- Project description
- Project justification
- Planning documentation
- Project scope
- Public benefit data (if applicable)
- Capital budget items
- Project schedule
- Monitoring and evaluation plan

The application process for the Capital Assistance Program is summarized in the State Aid Grant Program Calendar in Section 3.

In order to ensure that local matching funds will be available for all applications recommended by DRPT for funding, a certification from the Chief Executive Officer of the entity applying for funding must be submitted to DRPT in May prior to the development of the Final Six Year Improvement Program. DRPT will provide future guidance on the form of the certification.



## **4.3 Demonstration Project Assistance**

### **4.3.1 Description**

The Demonstration program is a flexible and broadly defined program that invests in projects designed to: improve the efficiency of public transportation providers in all functional areas; offer creative approaches to identify and access public transportation markets; increase private sector involvement in all areas of public transportation; and raise the utilization and productivity of existing public transportation services. DRPT recognizes two specific areas of increasing need within this program are technology and safety and security. Technology can be applied to public transportation in many ways including but not limited to:

1. Passenger amenities such as WiFi on vehicles, real-time passenger information systems, computerized trip planning systems, and automated stop announcement systems.
2. Fundamental technology infrastructure such as data communications systems and automated vehicle location systems.
3. Tools and systems to enhance public transportation operations such as mobile data terminals, computer aided dispatch systems, vehicle warning systems and asset/maintenance management systems.

Safety and security items include but are not limited to: safety and security plans, vulnerability assessments, vehicle based surveillance systems, facilities based surveillance systems, fencing, building access, silent alarms and lighting.

### **4.3.2 Eligible Recipients**

Eligible grant recipients include technology projects sponsored by:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations
- TDM/Commuter Assistance Agencies

### **4.3.3 Eligible Expenses**

Eligible expenses include the following:

- Administrative net costs (personnel, office supplies, travel, marketing and advertising)
- Capital costs for equipment and materials
- Operating costs (wages, supplies, maintenance, purchased services)
- Costs to conduct planning studies that are system wide or issue specific and/or develop concept of operations documents or systems engineering requirements

### **4.3.4 Match Ratio and Limits of Funding**

Demonstration Project Assistance is typically funded at the maximum state ratio of 95 percent. The funding for this program comes from the Special Projects fund, which includes funding for DRPT's Demonstration Assistance, Technical Assistance

and Intern Programs. The amount of funding spent from the Special Projects fund for each one of these programs varies each year depending upon needs; however the total amount of funding for Special Projects is consistently in the range of \$2 million.

#### **4.3.5 Application Evaluation Process**

Demonstration Project Assistance applications will be evaluated by DRPT using the following criteria:

- Project Justification – explanation of the need/problem that the project will address
- Planning – documentation that sufficient planning has been conducted to execute the project (not necessary if the application is for preparing a plan or concept of operations) and demonstration that the Systems Engineering Process is being utilized (for technology projects)
- Project Scope – approach to addressing the need/problem (for technology projects; apply systems engineering process)
- Project Readiness – ability to initiate and substantially complete the capital elements of the project within the fiscal year the funds are being applied for
- Technical Capacity – identification of project management team and ability to execute the project
- Project Budget – ability to execute the project scope within the proposed project budget and demonstration that sufficient consideration has been given to ongoing operating and maintenance costs
- Project Schedule – ability to execute the project scope within the project schedule
- Monitoring and Evaluation Plan – approach to measuring performance and evaluating the results of the project

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

#### **4.3.6 Application Procedure**

Applications for all State Aid Grant Programs are submitted online using DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

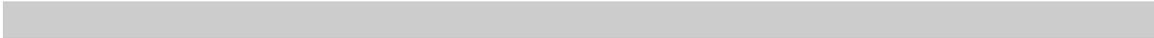
Required data include:

- Contact information (including Project Manager)
- Project justification
- Planning documentation (including cost estimation methodology)
- Project scope
- Project budget
- Project schedule/FTA required milestones
- Project readiness

- Monitoring and evaluation plan

The application process for the Demonstration Assistance Program is summarized in the State Aid Grant Program Calendar in Section 3.

In order to ensure that local matching funds will be available for all applications recommended by DRPT for funding, a certification from the Chief Executive Officer of the entity applying for funding must be submitted to DRPT in May prior to the development of the Final Six Year Improvement Program. DRPT will provide future guidance on the form of the certification.



## **4.4 Technical Assistance**

### **4.4.1 Description**

This program supports technical assistance to help improve public transportation or commuter assistance related services. It can be used to conduct a wide range of planning and technical analysis that is needed as input into a decision making or evaluation process.

### **4.4.2 Eligible Recipients**

Eligible grant recipients include:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations
- Planning District Commissions
- Human Service Agencies Involved in Rural Public Transportation
- TDM/Commuter Assistance Agencies

### **4.4.3 Eligible Expenses**

Eligible expenses include the cost of preparing technical studies including the following:

- Capital and/or Operating Financial Plans
- Comprehensive Operations Analysis
- Equipment Purchases
- Industry Peer Reviews
- Management and Performance Evaluations
- Marketing Plans and Programs
- Procurement Assistance
- Project Development
- Public Transportation or Commuter Assistance Related Services
- Strategic Plans
- Transit Development Plans
- Transportation Demand Management Plans
- Transit Feasibility Study

### **4.4.4 Match Ratio and Limits of Funding**

Technical Assistance projects are typically funded at the maximum state match ratio of 50 percent. The funding for this program comes from the Special Projects fund, which includes funding for DRPT's Technology, Technical Assistance and Intern Programs. The amount of funding spent from the Special Projects fund for each one of these programs varies each year depending upon needs; however the total amount of funding for Special Projects is consistently in the range of \$2 million.

In addition, all technical assistance project applications are automatically considered by DRPT for federal funding under the FTA Section 5304 Metropolitan and Statewide Planning Program. Subject to the availability of federal funds and project eligibility,

federal funds may be provided to support 80 percent of project costs. In the event that federal funds are awarded the state share will be 10 percent with a 10 percent match required from local sources.

#### **4.4.5 Application Evaluation Process**

Technical Assistance applications will be evaluated by DRPT using the following criteria:

- Project Justification – explanation of the need/problem that the project will address
- Planning – documentation that sufficient planning has been conducted to execute the project (not necessary if the application is for conducting a plan)
- Project Scope – approach to addressing the need/problem
- Project Readiness – ability to initiate and substantially complete the project within the fiscal year the funds are being applied for
- Technical Capacity – identification of project management team and ability to execute the project
- Project Budget – ability to execute the project scope within the proposed project budget
- Project Schedule – ability to execute the project scope within the project schedule
- Monitoring and Evaluation Plan – approach to measuring performance and evaluating the results of the project

To assist local entities with planning for new transit systems or new service for existing systems, DRPT has developed Transit Service Design Guidelines (<https://olga.drpt.virginia.gov>). These guidelines provide useful information that can be used as a first step in the planning process. DRPT encourages local entities to involve DRPT in any transit system planning efforts. DRPT also has staff and consultant resources available to help manage transit system planning studies on behalf of local entities.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

#### **4.4.6 Application Procedure**

Applications for all State Aid Grant Programs are submitted online using DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

Required data include:

- Contact information (including Project Manager)
- Project justification
- Planning documentation

- Project scope
- Project budget
- Project schedule/milestones
- Monitoring and evaluation plan

The application process for the Technical Assistance Program is based upon the State Aid Grant Program Calendar detailed in Section 3.

In order to ensure that local matching funds will be available for all applications recommended by DRPT for funding, a certification from the Chief Executive Officer of the entity applying for funding must be submitted to DRPT in May prior to the development of the Final Six Year Improvement Program. DRPT will provide future guidance on the form of the certification.



## **4.5 Public Transportation Intern Program**

### **4.5.1 Description**

The Public Transportation Intern Program is designed to promote and develop careers in public transportation and commuter assistance. Its goal is to provide interns with hands on experience in as many aspects of public transportation or commuter assistance management and operations as possible through direct exposure to activities and methods of public transportation and commuter assistance agencies.

Agencies benefit from promoting careers in public transportation and commuter assistance and gain flexibility by involving interns on special projects and tasks. The agency must ensure that a manager orients and guides the intern through as many aspects of the agency as possible.

At the conclusion of the internship, the intern must provide a written report to DRPT documenting their internship experience. The report should document the following:

- Description of the agency and the services it provides
- Description of experience gained in regards to the agency functions (planning, operations, maintenance, etc.)
- Description of the work performed by the intern for each function
- Results achieved by the intern for each function
- Lessons learned/observations for each function
- Recommendations on how to improve the internship experience

This program usually funds post-collegiate internships but may also be used for pre-graduate training. It supports increased awareness of public transportation as a career choice for aspiring managers, maintenance and operations staff, marketing employees and other specialization with public transportation and rideshare agencies. This program is not to be used for supplanting staff. Applicants are responsible for conducting an open recruitment process and selecting a qualified individual.

### **4.5.2 Eligible Recipients**

Eligible grant recipients include the following public transportation agencies, including transit properties and TDM/Ridesharing organizations:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations
- Planning District Commissions
- TDM/Commuter Assistance Agencies
- Human Service Agencies Involved in Rural Public Transportation

### **4.5.3 Eligible Expenses**

Eligible expenses include the wages, fringe benefits, training, and travel for the intern. It is anticipated that grant funds will not support more than half of these costs.

### **4.5.4 Match Ratio and Limits of Funding**

Intern applications are typically funded at the maximum state ratio of 95 percent. Intern salaries are based upon a set hourly rate (using state wage rates) times the number of hours the grantee expects the intern to work within one year. The funding for this program comes from the Special Projects fund, which includes funding for DRPT's Technology, Technical Assistance and Intern Programs. The amount of funding spent from the Special Projects fund for each one of these programs varies each year depending upon needs; however the total amount of funding for Special Projects is consistently in the range of \$2 million.

### **4.5.5 Application Evaluation Process**

Applicants are not permitted to submit an intern application if they already have an existing intern grant. Public Transportation Intern applications will be evaluated by DRPT using the following criteria:

- Project Scope – describe the intern program
- Project Readiness – describe project readiness and how the intern program will be completed within the program year
- Technical Capacity – identification of an intern coordinator that will be responsible for supervising the intern
- Project Budget – ability to execute the project scope within the proposed project budget
- Project Schedule – ability to execute the project scope within the project schedule
- Monitor and Evaluation Plan – approach to measuring performance and evaluating the results of the project

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

### **4.5.6 Application Procedure**

Applications for all State Aid Grant Programs are made online on DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

Required data include:

- Contact information (including Intern Coordinator)
- Intern Work Program
- Project budget
- Project schedule

- Monitoring and evaluation plan

The application process for the Public Transportation Intern Program is summarized in the State Aid Grant Program Calendar in Section 3.

In order to ensure that local matching funds will be available for all applications recommended by DRPT for funding, a certification from the Chief Executive Officer of the entity applying for funding must be submitted to DRPT in May prior to the development of the Final Six Year Improvement Program. DRPT will provide future guidance on the form of the certification.



## **4.6 Transportation Demand Management (TDM) Operating Assistance**

### **4.6.1 Description**

This program supports the operating costs of existing or new local and regional Transportation Demand Management (TDM) Programs. The primary goal of these programs is to help decrease highway congestion and improve air quality by facilitating commuter mobility in high occupancy transportation modes.

### **4.6.2 Eligible Recipients**

Eligible grant recipients include TDM or Commuter Assistance Programs sponsored by:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations
- Planning District Commissions
- Transportation Management Associations

Private corporations may participate in projects through contractual arrangements with eligible recipients.

### **4.6.3 Eligible Expenses**

Eligible expenses include the following:

- Operating and promoting TDM programs and services
- Developing and operating of new TDM Programs where needed
- Fostering regional cooperation in the provision of ride matching services and public transportation promotional and educational campaigns
- Developing and implementing public/private partnerships
- Promoting TDM as an essential component of a multi-modal transportation system
- Evaluating the effectiveness and efficiency of all TDM services
- Administrative costs for: providing carpool and vanpool ride matching services; promoting/marketing all high occupancy commuter transportation modes; assisting private/public sector employers, developers, and transportation management associations to promote and implement on-site TDM services and programs; and promoting the planning, development and use of facilities and programs that facilitate the use of high occupancy modes

### **4.6.4 Match Ratio and Limits of Funding**

TDM applications are typically funded at the maximum state ratio of 80 percent of eligible expenses. Funding for the TDM program comes from the Transportation Efficiency Improvement Fund (TEIF). TEIF funds are used to fund the TDM program and the Transportation Management Project Assistance program. The amount of money allocated to each program varies every year depending upon the needs; however, the total amount of money available for both programs has consistently been \$4 million.

#### **4.6.5 Application Evaluation Process**

DRPT evaluates the TDM applications by validating the expenses and revenue sources submitted on the application, determining the eligibility of listed expenses based upon the criteria noted above in 4.6.3, requesting additional data or clarification from applicants if necessary, and reviewing data submitted by the application for the previous year and any audited financial statements.

Once the data is reviewed and validated, DRPT reviews applications using the following criteria:

- Program Scope – approach to implementing the annual work program
- Program Readiness – ability to initiate and substantially complete the work program within the fiscal year the funds are being applied for
- Technical Capacity – identification of program management team and ability to execute the program
- Program Budget – ability to execute the scope within the proposed program budget
- Program Schedule – ability to execute the scope within the program schedule
- Monitoring and Evaluation Plan – approach to measuring performance and evaluating the results of the program
- Relationship of application scope to Long Range TDM Plan
- Cost effectiveness – achieving the maximum benefits

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

#### **4.6.6 Application Procedure**

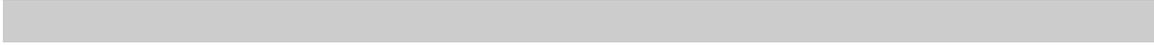
Applications for all State Aid Grant Programs are made online on DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

Required data include:

- Contact information (including Program Manager)
- Program scope
- Program budget
- Program schedule
- Monitoring and evaluation plan
- Annual Work Plan

The application process for the TDM / Commuter Assistance Program is summarized in the State Aid Grant Program Calendar in Section 3.

In order to ensure that local matching funds will be available for all applications recommended by DRPT for funding, a certification from the Chief Executive Officer of the entity applying for funding must be submitted to DRPT in May prior to the development of the Final Six Year Improvement Program. DRPT will provide future guidance on the form of the certification.



## **4.7 Transportation Management Project Assistance**

### **4.7.1 Description**

This program supports new and/or expanded transportation services and facilities that reduce demand for single occupancy vehicles and initiatives at the state, regional and community level, using innovative approaches to reducing traffic congestion.

### **4.7.2 Eligible Recipients**

Eligible grant recipients include the following public transportation agencies, including transit properties and TDM/Ridesharing organizations:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations
- Planning District Commissions
- Transportation Management Associations
- Private Corporations may participate in projects through contractual arrangements with eligible recipients

### **4.7.3 Eligible Expenses**

Projects in all categories of public transportation and TDM strategies are eligible. These categories include but are not limited to:

- Projects which increase vehicle occupancy, such as parking management, tax incentives, employee commute benefits, increased use of public transportation, carpooling and vanpooling
- Projects which reduce demand for motorized travel such as better access to public transportation facilities for bicyclists and pedestrians
- Projects that reorient travel to off-peak periods such as flexible work hours
- Projects that reduce demand for travel such as teleworking, land use density and pattern policies, and private development planning
- Associated administrative costs such as personnel, office expenses, and advertising

The emphasis areas of the program generally are:

- Services that reduce vehicle miles traveled by single occupant vehicles
- Services that involve the private sector and enhance economic development
- Services that involve improved inter-connectivity among modes
- Services that increase vehicle occupancy and are responsive to market needs
- Services that utilize state-of-the-art technology to improve productivity and quality of public transportation and TDM services.

#### **4.7.4 Match Ratio and Limits of Funding**

Transportation Management Project Assistance applications are typically funded at the maximum state ratio of 80 percent of eligible expenses. The local match must be cash. Funding for the program comes from Transportation Efficiency Improvement Funds. TEIF funds are used to fund the TDM program and the Transportation Management Project Assistance program. The amount of money allocated to each program varies every year depending upon the needs; however, the total amount of money available for both programs has consistently been \$4 million.

#### **4.7.5 Application Evaluation Process**

Applications will be evaluated by DRPT using the following criteria:

- Project Justification – explanation of the need/problem that the project will address
- Planning – documentation that sufficient planning has been conducted to execute the project (not necessary if the application is for conducting a plan)
- Project Scope – approach to addressing the need/problem
- Project Readiness – ability to initiate and substantially complete the project within the fiscal year the funds are being applied for
- Technical Capacity – identification of project management team and ability to execute the project
- Project Budget – ability to execute the project scope within the proposed project budget
- Project Schedule – ability to execute the project scope within the project schedule
- Monitoring and Evaluation Plan – approach to measuring performance and evaluating the results of the project

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

#### **4.7.6 Application Procedure**

Applications for all State Aid Grant Programs are made online on DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

Required data include:

- Contact information (including Project Manager)
- Project justification
- Planning documentation (including cost estimation methodology)
- Project scope
- Project schedule
- Project budget
- Monitoring and evaluation plan

The application process for the Transportation Efficiency Improvement Funds (TEIF) is summarized in the State Aid Grant Program Calendar in Section 3.

In order to ensure that local matching funds will be available for all applications recommended by DRPT for funding, a certification from the Chief Executive Officer of the entity applying for funding must be submitted to DRPT in May prior to the development of the Final Six Year Improvement Program. DRPT will provide future guidance on the form of the certification.



## 4.8 Senior Transportation Program

### 4.8.1 Description

This program supports operating expenses for new transportation services for adults 60 years of age and older. The overall objective is to increase the quality and quantity of coordinated transportation services available for older adults.

### 4.8.2 Eligible Recipients

There are two categories of eligible recipients:

- **Private non-profit organizations.** A non-profit organization is a corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501(c), which is exempt from taxation under 26 U.S.C. 501(a), or one which has been determined under state law to be non-profit and for which the designated state agency has received documentation certifying the status of the non-profit organization; and
- **Operators of public transportation services.** Private operators of public transportation services can also partner with an eligible recipient.

### 4.8.3 Eligible Expenses

To expand transportation options for older adults, DRPT encourages projects that will utilize and build upon existing transportation providers and current staffing structures, with emphasis on the following priorities:

- Supporting new voucher programs for transportation services for older adults – The Senior Transportation Program can provide vouchers to older adults to purchase rides, including: (a) mileage reimbursement as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Transit passes for use on existing fixed route or ADA complementary paratransit service are not eligible.
- Supporting volunteer driver and aide programs – The Senior Transportation Program can support new volunteer driver programs, including the costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, and other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs. The costs of new enhancements to increase capacity of existing volunteer driver programs are also eligible. In addition, the Senior Transportation Program can support projects that provide a higher level of assistance to enable older adults to access transportation options, including aide programs that provided door-to-door or door-through-door services.

- Supporting travel training programs – The Senior Transportation Program can support projects that provide older adults with instruction in the use of existing public transportation services, such as training in planning trips and reading bus schedules.
- Supporting new and/or expanded coordinated transportation services for older adults – The Senior Transportation Program can support new coordinated transportation services or help expand existing coordinated services that expand mobility options for older adults. This could include mobility management strategies that promote access to a variety of transportation services, coordinated travel training and trip planning activities, coordination transportation information on various travel modes, or manage eligibility requirements and arrangements.

All projects selected for funding must also be consistent with the strategies identified as the priorities in the applicant’s regional Coordinated Human Service Mobility (CHSM) Plan.

#### **4.8.4 Match Ratio and Limits of Funding**

It is anticipated that Senior Transportation Program applications will receive a state match ratio of 80 percent. Application budgets must be at least \$5,000 and no more than \$20,000. DRPT has funded this program with approximately \$100,000 of state funds annually.

#### **4.8.5 Application Evaluation Process**

Senior Transportation Program applications will be evaluated by DRPT using the following criteria:

- Project Justification – explanation of the need/problem that the project will address
- Planning – documentation that sufficient planning has been conducted to execute the project
- Project Scope – approach to addressing the need/problem
- Project Readiness – ability to initiate and substantially complete the project within the fiscal year the funds are being applied for
- Technical Capacity – identification of project management team and ability to execute the project
- Project Budget – ability to execute the project scope within the proposed project budget
- Project Schedule – ability to execute the project scope within the project schedule
- Monitoring and Evaluation Plan – approach to measuring performance and evaluating the results of the project

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment. Following

receipt of public comments, the CTB approves the final Six Year Improvement Program.

#### **4.8.6 Application Procedure**

Applications for all State Aid Grant Programs are made online on DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

Required data include:

- Contact information (including Project Manager)
- Project justification
- Planning documentation (including cost estimation methodology)
- Project scope
- Project schedule
- Project budget
- Monitoring and evaluation plan

The application process for the Senior Transportation Program is summarized in the State Aid Grant Program Calendar in Section 3.

In order to ensure that local matching funds will be available for all applications recommended by DRPT for funding, a certification from the Chief Executive Officer of the entity applying for funding must be submitted to DRPT in May prior to the development of the Final Six Year Improvement Program. DRPT will provide future guidance on the form of the certification.

## 5.0 Federal Aid Grant Programs

Sections 5.1 through 5.8 present Federal Aid Grant Programs in the following order:

- FTA Section 5303 Metropolitan Planning
- FTA Section 5304 Statewide Planning
- FTA Section 5307 Small Urban Areas Program
- FTA Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities
- FTA Section 5311 Rural Areas
- FTA Section 5316 Jobs Access and Reverse Commute Program (JARC)
- FTA Section 5317 New Freedom Program

### **MAP-21 – Consolidation of Programs; Separate Applications Required**

On July 6, 2012 the President signed into law a two-year transportation authorization, entitled Moving Ahead for Progress in the 21st Century (MAP-21). MAP-21 changes include consolidation of several grant programs listed above. For example, the FTA Section 5317 New Freedom grant program was repealed and New Freedom projects become eligible under FTA Section 5310, without a specific set aside funding level. Similarly, the FTA Section 5316 Job Access and Reverse Commute (JARC) program is consolidated within Sections 5307 and 5311. In order to efficiently utilize any reverted and unallocated funds under these programs, and in order to maximize flexibility to utilize all available funds most efficiently, separate grant applications for each grant program will continue to be required. In this way DRPT retains the flexibility to award available JARC and New Freedom Funds awarded to Virginia in previous federal fiscal years and to allocate, for example, a portion of FFY13 Section 5310 funds to support projects similar to those previously supported with New Freedom funds.

### **MAP-21 – Designated Recipients; Changes to DRPT and MPO's Roles**

The Governor of Virginia has previously designated the Virginia Department of Rail and Public Transportation (DRPT) as the recipient of the Section 5310 Program funds that are provided by the Federal Transit Administration (FTA) for all areas of the Commonwealth.

Under MAP-21 the FTA Section 5310 program is renamed Enhanced Mobility of Seniors and Individuals with Disabilities. Additionally, under MAP-21 funds are apportioned based on each state's share of the targeted populations. MPO's and other entities are allowed, under MAP-21, to be designated recipients for large urbanized areas (over 200,000).

In accordance with Federal Transit Administration (FTA) interim guidance related to implementation of MAP-21, and by mutual agreement, DRPT will serve as the designated recipient for the Richmond/Petersburg, Roanoke, and Hampton Roads Urbanized Areas. And, the Metropolitan Washington Council of Governments (COG) will serve as the recipient of Section 5310 funds for the Washington D.C., MD, VA Urbanized Area.

Consequently, eligible applicants, including those in large urbanized areas in Richmond, Roanoke, and Hampton Roads, should apply to DRPT for funding to support projects under Section 5310, and for projects formerly eligible under the New Freedom grant programs. DRPT will continue to accept JARC applications only from current DRPT JARC recipients. Eligible applicants serving the large urbanized area of Northern Virginia should apply to COG.

## **5.1 Federal Aid Grant Program Common Application Procedures**

Application procedures vary across the Federal Aid Grant Programs administered by DRPT. Specifics are detailed in each grant program's individual section. However, all Federal Aid Grant Program applications must include certain certifications required by the federal government. Certifications requirements are summarized in Section 5.1.1.

### **5.1.1 Certifications and Assurances**

The certifications are a subset of the application information to be provided by applicants.

Applicants for Federal Aid Grant Programs must provide certifications and assurances relevant to the grantee's application for assistance. Twenty-four categories of certifications and assurances are included in the FTA's Grant Management System, TEAM-Web, under the "Recipients" option and include:

1. Assurances Required for Each Applicant
2. Lobbying
3. Procurement Compliance
4. Protections for Private Providers of Public Transportation
5. Public Hearing
6. Acquisition of Rolling Stock for Use in Revenue Service
7. Acquisition of Capital Assets by Lease
8. Bus Testing
9. Charter Service Agreement
10. School Transportation Agreement
11. Demand-Responsive Service
12. Alcohol Misuse and Prohibited Drug Use
13. Interest and Other Financing Costs
14. Intelligent Transportation Systems
15. Urbanized Area Formula Program
16. Clean Fuels Grant Program
17. Elderly Individuals and Individuals with Disabilities Formula Program and Pilot Program
18. Nonurbanized Area Formula Program for States
19. Job Access and Reverse Commute Program
20. New Freedom Program
21. Paul S. Sarbanes Transit in Parks Program

22. Tribal Transit Program

23. TIFIA Projects

24. Deposits of Federal Financial Assistance to State Infrastructure Banks

Note: Categories 3 through 23 are required for some, but not all, applicants and projects.

FTA's annual certifications and assurances permit the applicant to submit a single certification to cover all of the programs for which it anticipates submitting an application. If available, the certification and assurances form will be included as part of the application for each program and must be downloaded, signed and mailed to DRPT prior to February 1<sup>st</sup>.

## 5.2 FTA Section 5303 - Metropolitan Planning

### 5.2.1 Description

This program supports multi-modal and transit planning expenses to support cooperative, continuous, and comprehensive planning for making transportation investment decisions in metropolitan areas.

### 5.2.2 Eligible Recipients

Eligible grant recipients include the fourteen Metropolitan Planning Organizations (MPOs) that cover Virginia, the Washington Metropolitan Area and parts of Tennessee (Bristol and Kingsport).

### 5.2.3 Eligible Expenses

Section 5303 funds should be used on multi-modal, transit or transportation demand management (TDM) planning studies or projects, such as Transit Development Plans, Comprehensive Operations Analysis, multi-modal transportation planning, land-use planning, bicycle and pedestrian planning, and Long Term Vision Plans for public transportation operators and Long Term Plans for commuter assistance agencies.

For MPOs whose urbanized area population exceeds 200,000, no more than 20 percent of Section 5303 funds may be used for items in the Unified Planning Work Program (UPWP) identified as Administration or Transportation Improvement Program. For MPOs whose urbanized area population is 200,000 or less, the limit is 30 percent. DRPT recognizes the interrelationship between planning for projects considered by the FTA and Federal Highway Administration as “Enhancement Programs” for transit/TDM services. Therefore, bicycle and pedestrian plans and other enhancement planning studies will not count against the 20 percent or 30 percent limit.

Other eligible expenses include planning activities that:

- Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency
- Increase the safety of the transportation system for motorized and non-motorized users
- Increase the security of the transportation system for motorized and non-motorized users
- Increase the accessibility and mobility of people and for freight
- Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and state and local planned growth and economic development patterns
- Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight
- Promote efficient system management and operation
- Emphasize the preservation of the existing transportation system

#### **5.2.4 Match Ratio and Limits of Funding**

Applications are typically funded at the maximum federal match ratio of 80 percent and the maximum state match ratio of 10 percent. In Federal Fiscal Year 2011, the FTA Section 5303 apportionment for Virginia was approximately \$2.1 million.

In the years between each U.S. Census, each urbanized areas allocation will be increased (or decreased) by the percentage increase (or decrease) of Virginia's statewide allocation of FTA 5303 funds as published in the federal register. A base formula is run once every ten years when the U.S. Census figures are released. The following calculations are performed for this base formula:

1. A standard grant amount for small urbanized areas (UZA's) is determined – usually an amount slightly larger than was provided in the previous year and rounded to the nearest \$1,000.  
The Bristol TN/VA urbanized area and the Kingsport TN/VA urbanized areas do not receive the full amount of this standard small UZA grant. They receive the percentage of this amount equivalent to the percentage of their urbanized area population that resides in Virginia. In the 2000 Census, Bristol, VA represented 35.7 percent of the Bristol UZA population and Kingsport, VA represented 4.8 percent of the Kingsport UZA population. They each receive these respective percentages of a standard small UZA grant. The total amount of small UZA grants is calculated and subtracted from the Virginia statewide FTA 5303 allocation for the year.
2. The balance of the FTA 5303 funding is divided among the Metropolitan Planning Organization's for Virginia's large urbanized areas. The population of each of the three large UZA's is calculated as a percentage of the sum of the three. These percentages are applied to the balance of funds remaining after the small UZA grants are deducted from the statewide total, which determines the grant amounts for each of the three large urbanized areas.

#### **5.2.5 Application Evaluation Process**

DRPT will evaluate FTA Section 5303 applications by using the following criteria for each item in the UPWP that Section 5303 funds are proposed for:

- Planning Study or Project Justification – explanation of the need/problem that the planning study or project will address
- Planning Study or Project Scope – the scope should include a detail of the overall objective of planning study or project, including specific planning tasks that will be achieved throughout the planning process, list of deliverables, project schedule with deliverable dates, public and stakeholder involvement.
- Project Readiness – ability to initiate and substantially complete the planning study or project within the fiscal year the funds are being applied for

- Technical Capacity – identification of planning study or project management team and ability to execute the project, staff members from the local transit and TDM agencies should be included on the management team
- Project Budget – ability to execute the planning study or project scope within the proposed budget
- Project Schedule – ability to execute the planning study or project scope within the project schedule, as identified in the planning study or project scope
- Monitoring and Evaluation Plan – approach to measuring performance and evaluating the results of the project
- All third-party (consultant) services procurement made within the Section 5303 program will be in accordance with the Common Rule (state procurement procedures) or [FTA Circular 4220.1F, Third Party Contracting Guidelines](#). Additionally, every contract will include all clauses required by Federal statutes and executive orders and their implementing regulations as identified in grant contract documents and FTA Circular 4220.1F. The clauses required by Federal statutes and executive orders and their implementing instructions are included in the [Federally Required and Other Model Clauses Appendix A - Governing Documents](#), but the recipient must also check the latest edition of FTA’s Master Agreement to determine which provisions have been added, changed, or rescinded. All procurement is also made in accordance with FTA Circular 5010.1D Grant Management Requirements where appropriate.
- A semi-annual Disadvantaged Business Enterprise Report is required, indicating the sub-recipients progress in meeting DBE Goals. This report is available in OLGA in the Performance Data section. Additional guidance can be obtained in the FTA Best Practices Procurement Manual. DRPT’s goal is that three percent of contractible federal funds will be awarded to certified DBEs.
- Title VI Requirements: In order to integrate, into MPO planning activities, considerations expressed in the USDOT Order on Environmental Justice, MPOs should have an analytic basis in place for certifying their compliance with Title VI, in accordance with [FTA Circular C 4702.1A Title VI and Title VI-Dependent Guidelines for Federal Transit Administration Recipients](#). Those MPOs that are direct recipients of Federal Transit Administration (FTA) shall report to FTA consistent with the reporting procedures in Chapter II part 4 of Circular C 4702.1A. Other MPOs should report on their Title VI procedures (consistent with Chapter II part 4 of Circular C 4702.1A) annually during the FTA 5303 grant application process.

DRPT also validates accounting expenses, reviews data submitted in the application for the previous year and any audited financial statements. Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

### 5.2.6 Application Procedure

DRPT has established May 1 as the due date in which MPOs must submit an application for FTA Section 5303.

Applications for all State Aid Grant Programs are made online on DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

MPOs are required to submit the following application items:

- Project budget (with reference between Unified Planning Work Program (UPWP) line items and FTA budget line items).
- Authorizing resolution
- Commitment of local share
- Previous federal fiscal year certifications and assurances for Federal Transit Administration assistance programs
- Civil rights updates certification
- UPWP Submittal
  - Large urban areas with a population greater than 200,000 are required to submit their UPWP directly to FTA for approval. An electronic copy of the MPOs UPWP must be submitted in OLGA with the completed 5303 application.
  - Small urban areas with a population less than 200,000 are required to submit two copies of their approved UPWP to DRPT.

The Federal Aid Grant Program calendar is summarized in Exhibit 3-1. Applicants for Federal Aid grants must provide certifications and assurances relevant to the grantee's application for assistance, as described in Section 5.1.1.

DRPT will review each MPO's FTA Section 5303 application and submit a Statewide FTA Section 5303 application to the FTA.

Per FTA guidance, DRPT will not apply for additional Section 5303 funds for an MPO during the typical grant application cycle if an MPO still has two full years of funds remaining on existing executed grant agreements. The funds will still be available for the MPO. DRPT will apply for the 5303 funds once the MPO demonstrates substantial progress in accomplishing tasks included in the UPWP and spending down the older grant funds has occurred.

Upon approval of the application, DRPT will initiate agreements with each MPO. If FTA's approval is not received prior to July 1, upon request DRPT may issue a "letter of no prejudice" that allows the MPO to begin work on the UPWP elements on July 1.

## 5.3 FTA Section 5304 - Statewide Planning

### 5.3.1 Description

This program supports statewide transit planning expenses to support cooperative, continuous, and comprehensive planning for making transportation investment decisions statewide.

### 5.3.2 Eligible Recipients

DRPT is the designated federal recipient for FTA Section 5304 Statewide Planning funds and utilize these funds for statewide transit and TDM planning activities. However, DRPT is authorized to provide discretionary funding to subrecipients for the purpose of conducting transit or TDM planning studies that will contribute to or compliment statewide planning activities. Subrecipients include agencies that are eligible to receive federal funding, such as: Local Governments, Transportation District Commissions and Public Service Corporations.

### 5.3.3 Eligible Expenses

DRPT's emphasis for this program is funding **Transit Development Plans, Comprehensive Operations Analysis, Land Use Planning, and Long Term Vision Plans** for public transportation operators in rural and small urban areas.

Other eligible expenses include planning activities that:

- Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency
- Increase the safety of the transportation system for motorized and non-motorized users
- Increase the security of the transportation system for motorized and non-motorized users
- Increase the accessibility and mobility of people and for freight
- Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and state and local planned growth and economic development patterns
- Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight
- Promote efficient system management and operation
- Emphasize the preservation of the existing transportation system

### 5.3.4 Match Ratio and Limits of Funding

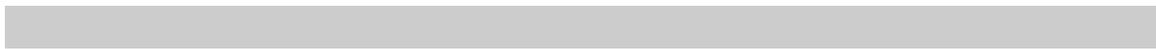
DRPT may choose to fund applications for eligible projects from other programs that accept applications for planning in order to achieve a higher federal and state match ratio. Applications are typically funded at the maximum federal match ratio of 80 percent and the maximum state match ratio of 10 percent. In Federal Fiscal Year 2011, the FTA Section 5304 apportionment for Virginia was approximately \$457,000.

### **5.3.5 Application Evaluation Process**

DRPT's recommendation for the Draft Six Year Improvement Program will be developed by evaluating applications for eligible projects from other programs. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

### **5.3.6 Application Procedure**

There is no separate application required for this program.



## **5.4 FTA Section 5307 - Small Urban Areas Program**

### **5.4.1 Description**

This program makes federal resources available to urbanized areas and to Governors for transit capital and operating assistance in urbanized areas and for transportation related planning. (Note: This can include expenses formerly supported through the Section 5316 JARC grant program). An urbanized area is an incorporated area with a population of 50,000 or more that is designated as such by the U.S. Department of Commerce, Bureau of the Census.

### **5.4.2 Eligible Recipients**

DRPT is the designated federal recipient for the Governor's apportionment of FTA Section 5307 funds. DRPT provides funding to subrecipients in small urban areas that are eligible to receive federal funding including: Local Governments, Transportation District Commissions and Public Service Corporations.

### **5.4.3 Eligible Expenses**

DRPT's emphasis for this program is on operating expenses. Materials (Expense Object Class 504) charged under function codes 041 to 141 in FTA's Uniform System of Accounts and Reports are eligible expenses.

### **5.4.4 Match Ratio and Limits of Funding**

DRPT typically funds small urban public transportation providers at the maximum federal participation ratio of 50 percent for net operating expenses. Net operating expenses are those expenses that remain after operating revenues are subtracted from eligible operating expenses. DRPT allocates the annual FTA Section 5307 Fiscal Year Governor's Apportionment using a formula which takes a percentage of the allocation from the annual Federal Register notice, factors in the grantee's previous year's allocation, compares the grantee's last audited operating expenses, and ensures that the grantee does not exceed the 50 percent cap for net operating expenses.

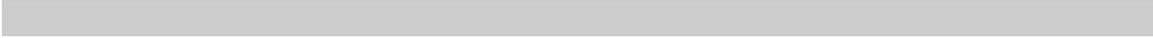
### **5.4.5 Application Evaluation Process**

DRPT will evaluate the data submitted in Operating Assistance applications by small urban public transportation providers to evaluate funding from the FTA Section 5307 program. DRPT validates the expenses and revenue sources submitted on Operating Assistance applications, determines the eligibility of listed expenses based upon the criteria noted above, requests additional data or clarification from applicants if necessary, reviews data submitted by the application for the previous year and any audited financial statements.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment. Following receipt of public comments, the CTB approves the final Six Year Improvement Program.

#### **5.4.6 Application Procedure**

There is no separate application required for this program. DRPT uses data submitted by applicants in their Operating Assistance application to allocate funds for this program.



## **5.5 FTA Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program**

### **5.5.1 Description**

The FTA Section 5310 Program is authorized under the provisions set forth in the Moving Ahead for Progress in the 21 Century Act (MAP-21) enacted on July 6, 2012, as codified at 49 U.S.C. 5310. Under MAP-21, the grant program formerly called Transportation for Elderly Persons and Persons with Disabilities is renamed Enhanced Mobility of Seniors and Individuals with Disabilities. This change in name reflects substantive statutory changes eliminating the former Section 5317 New Freedom grant program and making New Freedom projects eligible for funding under Section 5310.

As indicated in section 5 of this document, in order to efficiently utilize any reverted and unallocated funds under the former section 5310 and New Freedom programs, and in order to maximize flexibility to utilize all available funds most efficiently, separate section 5310 and New Freedom grant applications will continue to be required.

### **MAP-21 – Consolidation of Programs; Separate Applications Required**

On July 6, 2012 the President signed into law a two-year transportation authorization, entitled Moving Ahead for Progress in the 21st Century (MAP-21). MAP-21 changes include consolidation of several grant programs listed above. For example, the FTA Section 5317 New Freedom grant program was repealed and New Freedom projects become eligible under FTA Section 5310, without a specific set aside funding level. Similarly, the FTA Section 5316 Job Access and Reverse Commute (JARC) program is consolidated within Sections 5307 and 5311. In order to efficiently utilize any reverted and unallocated funds under these programs, and in order to maximize flexibility to utilize all available funds most efficiently, separate grant applications for each grant program will continue to be required. In this way DRPT retains the flexibility to award available JARC and New Freedom Funds awarded to Virginia in previous federal fiscal years and to allocate, for example, a portion of FFY13 Section 5310 funds to support projects similar to those previously supported with New Freedom funds.

### **MAP-21 – Designated Recipients; Changes to DRPT and MPO's Roles**

The Governor of Virginia has previously designated the Virginia Department of Rail and Public Transportation (DRPT) as the recipient of the Section 5310 Program funds that are provided by the Federal Transit Administration (FTA) for all areas of the Commonwealth.

Under MAP-21 the FTA Section 5310 program is renamed Enhanced Mobility of Seniors and Individuals with Disabilities. Additionally, under MAP-21 funds are apportioned based on each state's share of the targeted populations. MPO's and other entities are allowed, under MAP-21, to be designated recipients for large urbanized areas (over 200,000).

In accordance with Federal Transit Administration (FTA) interim guidance related to implementation of MAP-21, and by mutual agreement, DRPT will serve as the designated recipient for the Richmond/Petersburg, Roanoke, and Hampton Roads Urbanized Areas. And, the Metropolitan Washington Council of Governments (COG) will serve as the recipient of Section 5310 funds for the Washington D.C., MD, VA Urbanized Area.

Consequently, all eligible applicants, including those in large urbanized areas in Richmond, Roanoke, and Hampton Roads, should apply to DRPT for funding to support projects under Section 5310, and for projects formerly eligible under the New Freedom grant programs. DRPT will continue to accept JARC applications only from current DRPT JARC recipients. Eligible applicants serving the large urbanized area of Northern Virginia should apply to COG.

Competition for scarce funding available to support Section 5310 capital projects and projects eligible under the former New Freedom grant program may be intense. However, it is acknowledged that FFY2014 funding levels are unknown as of the publication date of this document.

Additionally, final FTA guidance on implementation for Section 5310 funding is not yet available. A proposed circular is available at: [U.S. DOT/FTA - Proposed Circular: Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions - FTA C 9070.1 G](#)

The goal of the Section 5310 Program is to provide assistance in meeting the special transportation needs of seniors and persons with disabilities. The New Freedom program provided grants for services for individuals with disabilities that went above and beyond the requirements of the Americans with Disabilities Act (ADA). Activities eligible under New Freedom are now eligible under the Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities program. The program is designed to supplement other FTA or assistance programs by funding transportation projects for seniors and persons with disabilities.

Vehicles provided to organizations through this program are granted for the purpose of providing necessary transportation services to the specific client group of seniors and/or persons with disabilities, which are identified in your application, including transportation services for individuals with disabilities above and beyond the requirements of the Americans with Disabilities Act (ADA). The Section 5310 Program must provide for maximum feasible coordination with transportation services assisted by other Federal sources. Recipients are encouraged to also provide service to seniors and persons with disabilities not affiliated with their agency, as well as to the general public on an incidental basis if such service does not interfere with transportation services for seniors and persons with disabilities. In some situations it may be appropriate for a recipient to provide transportation exclusively to its own

clients. But even in situations in which it is not feasible for the recipient to provide services to those in the community beyond its own clients, that recipient must, when feasible, make the vehicle available to provide transportation service to other seniors and persons with disabilities at times the agency is not using the vehicle for grant-related purposes. The recipient shall use the vehicle in the project or program for which it was acquired as long as needed.

## 5.5.2 Eligible Recipients

ELIGIBLE SUBRECIPIENTS FOR TRADITIONAL SECTION 5310 PROJECTS. Section 5310(b) provides that of the amounts apportioned to States and designated recipients, not less than 55 percent shall be available for traditional Section 5310 projects – those public transportation capital projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable or inappropriate. In order to meet the 55 percent requirement for traditional Section 5310 projects, eligible subrecipients in this category, are limited to:

a private non-profit organization;

a State or local governmental authority that:

is approved by a State to coordinate services for seniors and individuals with disabilities; or

certifies that there are no non-profit organizations readily available in the area to provide the service.

These provisions, found at 49 U.S.C. 5310(b)(1) and (b)(2), essentially maintain the status quo for traditional Section 5310 projects and the eligible subrecipients for traditional Section 5310 projects.

ELIGIBLE SUBRECIPIENTS FOR OTHER SECTION 5310 PROJECTS. Eligible subrecipients for other eligible Section 5310 activities include a State or local governmental authority, a private non-profit organization, or an operator of public transportation that receives a Section 5310 grant indirectly through a recipient.

PRIVATE TAXI OPERATORS AS SUBRECIPIENTS. Private operators of public transportation are eligible subrecipients. The definition of “public transportation” includes “... shared-ride surface transportation services ...” Private taxi companies that provide shared-ride taxi service to the public or to special categories of users (such as seniors or individuals with disabilities) on a regular basis are operators of public transportation, and therefore eligible subrecipients.

“Shared-ride” means two or more passengers in the same vehicle who are otherwise not traveling together. Similar to general public and ADA demand response service, every trip does not have to be shared-ride in order for a taxi

company to be considered a shared-ride operator, but the general nature of the service must include shared rides.

Local (municipal/State) statutes or regulations, or company policy, will generally determine whether a taxi company provides shared-ride or exclusive-ride service.

For example, if the local regulation permits the driver to determine whether or not a trip may be shared, the service is not shared-ride. Similarly, if the regulation requires consent of the first passenger to hire a taxi be obtained before the taxi may take on additional riders, the service is not shared-ride. In essence, services which can be reserved for the exclusive use of individuals or private groups, either by the operator or the first passenger's refusal to permit additional passengers, is not shared-ride but it is exclusive-ride taxi service.

Taxi companies that provide only exclusive-ride service are not eligible subrecipients; however, they may participate in the Section 5310 program as contractors. Exclusive-ride taxi companies may receive Section 5310 funded vehicles under contract with a State, designated recipient or eligible subrecipient such as a local government or non-profit organization. The taxi company may hold title to the accessible vehicle(s) as long as the agreement between the State, designated recipient or subrecipient and the taxi company is sufficient to establish satisfactory continuing control.

All taxi company applicants must provide in their applications documentation to assure and demonstrate that their companies are providing shared-ride or exclusive-ride service.

In all cases DRPT will be designated as first lien holder. Additionally taxi companies must certify and assure that the accessible taxi will be used to provide transportation for seniors and people with disabilities, and that the vehicle may not be removed from service or disposed of prior to the end of its useful life without the express written consent of DRPT.

APPORTIONMENT OF SECTION 5310 FUNDS. Of the total Section 5310 funds available, FTA apportions 60 percent among designated recipients in large urbanized areas; 20 percent to the States for small urbanized areas; and 20 percent to the States for rural areas under 50,000 in population. Section 5310 funds are apportioned among the recipients by formula. The formula is based on the ratio that the number of seniors and individuals with disabilities in each such area bears to the number of seniors and individuals with disabilities in all such areas. The number of seniors and individuals with disabilities in an area is determined according to the latest available U.S. Census data for adults over the age of 65 and individuals with disabilities over the age of five. The annual apportionment for Section 5310 is published in the *Federal Register* following the enactment of the annual DOT appropriations act.

Note: As of the publication date of this Application Guidance document, Virginia's Section 5310 apportionment is unknown.

Applicants who consider applying for the funds must also reasonably meet technical capacity requirements for grant administration and program management. Please refer to **Appendix A** for this guidance.

### 5.5.3 Eligible Expenses

The vast majority of funds from FTA Section 5310 are used to purchase vehicles, but contracting for transportation services, vehicle leasing or other arrangements and state program administration are also eligible expenses. Additionally, MAP-21 expands eligibility of the funds to be used for operating, in addition to capital, for transportation services that address the needs of seniors and individuals with disabilities. Funds may be used for: public transportation projects that exceed the requirements of the ADA; public transportation projects that improve access to fixed-route service and decrease reliance by individuals with disabilities on complementary paratransit; or alternatives to public transportation that assist seniors and individuals with disabilities. The expanded eligibility provisions are a result of the consolidation of the section 5317 New Freedom Program, which was repealed in MAP-21, with the section 5310 program. Applicants seeking funding to support New Freedom operating and mobility management projects, should apply under the New Freedom Grant Program described in Section 5.8. To the extent funding permits, DRPT will support such projects by using previously awarded New Freedom funds and by allocating a portion of FFY13 Section 5310 funds to support these eligible activities.

Demand for funding to support projects in small urban and rural area is expected to exceed the amount available. DRPT will give funding priority to supporting transportation equipment requests and supporting existing New Freedom projects.

Transportation equipment to be requested under this program includes lift-equipped small buses and vans. Due to the demand for funds, grants currently funded through the FTA Section 5310 program are primarily awarded to purchase vehicles that are: (1) required to replace unsafe equipment currently in operation; and (2) augment fleets that do not have sufficient carrying capacity to transport clients to existing services. Unsafe vehicles are defined as vehicles that have surpassed their useful life, (i.e. minimum of 100,000 miles) and have frequent breakdowns, increasing the potential for hazardous operations.

DRPT has developed specifications for standard vans, small buses, and lift equipment that it uses for competitive bidding purposes. Further, fleet discount prices can be obtained when ordering several vehicles from one vendor. Therefore, applicants should select the equipment that they wish to apply for from the categories listed below (which is also included in the Application Package). DRPT is responsible for the invitations to bid, bid awards, etc., necessary for vehicle purchase.

- Modified minivan - a minivan with wheelchair ramp
- 9-Passenger raised roof van with wheelchair lift

- 14-passenger body on chassis vehicle with wheelchair lift
- 15-passenger body on chassis vehicle with wheelchair lift
- 19-passenger body on chassis vehicle with wheelchair lift

Please note that the number and location of wheelchair placements will influence seating capacity for wheelchair accessible vehicles.

Vehicles acquired under the Section 5310 Program may be used only in the following ways:

- a. By the eligible applicant in a coordinated human service transportation program as described in its application.
- b. Section 5310 funded vehicles or other equipment that are operated by an agent other than the agency in the grant application, must be approved by DRPT.
- c. Vehicles acquired under the Section 5310 may be leased to a private for-profit operator only for the services identified in the grant application, when such companies could not otherwise provide required services and where such arrangements result in more efficient and effective service for seniors with disabilities.

During those periods when a vehicle is not needed for specific grant related purposes, equipment may be used for services to other elderly and disabled persons. After the needs of these groups have been addressed, the vehicle may be used for transportation of other members of the general public, on a space available basis, if such use is incidental to the primary purpose of transporting the elderly or disabled. Vehicles may also be used for non-mass transportation human service activities such as "meals on wheels" delivery if such use is incidental to the primary purpose of the vehicle and does not interfere with the intended use of the vehicle. The number of vehicles applied for must be determined by the number of passengers, not meal delivery capacity.

#### **5.5.4 Match Ratio and Limits of Funding**

Capital assistance is provided on an 80 percent Federal share, 20 percent local share. If awarded, operating assistance requires a 50 percent match. Capital applications are consistently funded at the maximum federal participation ratio of 80 percent of the eligible expenses. Non-U.S. Department of Transportation (DOT) federal funds and local and private funds can be used for the remaining 20 percent. Sources for Non-U.S. DOT federal funds include: Temporary Assistance for Needy Families, Medicaid, Employment Training Programs, Rehabilitation Services, and Administration on Aging. Examples of sources of local match which may be used for any or all of the local share include: State or local appropriations; other non-U.S. DOT federal funds; dedicated tax revenues; private donations; revenue from human service contracts; toll revenue credits; and net income generated from advertising and concessions.

Grant funds are distributed to states on the basis of their elderly and disabled populations. This money is available for capital improvements and operating

assistance relating to the provision of transportation services to the elderly and disabled.

### **5.5.5 Application Evaluation Process**

FTA guidelines require the state to establish criteria for selection of projects to be funded from among the applications submitted by eligible organizations. As the designated recipient of Section 5310 Program funds, DRPT is responsible for evaluating and selecting projects on a competitive basis.

Once it has been established by DRPT that an applicant meets eligibility requirements, the application is evaluated for conformance with program criteria. DRPT's evaluation criteria are concentrated within 1) Project Needs/Goals and Objectives, 2) Technical Capacity, and 3) Coordination Efforts which are further described below:

- a. A request for a replacement vehicle will be evaluated based on the vehicle's age, condition and mileage. DRPT bases this evaluation on the information contained in the completed application and any attachments. DRPT is extremely reluctant to replace vehicles before the end of their useful life (minimum of 100,000 miles).
- b. The service area has a documented need for transportation for seniors and persons with disabilities.
- c. The proposed service plan includes a maximum utilization of vehicles for transporting transit dependent elderly and/or passengers with disabilities in the area, ridership projections, and trip purposes.
- d. Creation of service coordination partnerships among transportation providers and/or organizations. Coordination agreements must be documented and signed by all participating agencies. Examples of written coordination agreements include memoranda of understanding (MOU) and lease agreements.
- e. Implementation of a sound comprehensive service management plan.
- f. Financial and management capabilities, particularly in assuring capital match and operating funds.

DRPT reviews and evaluates applications based on the following information that is requested in the application: vehicle purpose (replacement, expansion, and new service), service plan, management plan, relationship with other private/public transportation providers, and local support.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB

approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

### **5.5.6 Application Procedure**

Applications for all programs are made online on DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

Required data include:

- Contact information
- Summary of vehicles
- Vehicle description
- Operating expenses by expense object class
- Capital budget
- Demonstration of compliance
  - Ethnic composition by percentage
  - Management and arrangements
    - Management of operations, maintenance, and service
    - Coordinated transportation arrangements
- Certifications and resolutions as described below

Applications must meet a number of requirements which are detailed below:

#### **Coordinated Plan Requirements**

MAP-21 continues to require that projects selected for funding under the FTA Section 5310 Program be derived from a locally developed, coordinated public transit-human services transportation plan, and that the plan be developed through a process that includes representatives of public, private, non-profit and human services transportation providers and participation by the public.

DRPT led the development of regional Coordinated Human Service Mobility (CHSM) Plans for rural and small urban areas of Virginia to meet these requirements, with plans first finalized in mid-2008. Revised and updated plans, in 19 of 21 regions, were completed in the Fall of 2013. All projects selected for funding through the FTA Section 5310 Program must be consistent with the most recent strategies identified as the priorities in the plan for the applicant's region. All applications should be reviewed by the CHSM regional committees.

CHSM Plans are available here:

[http://www.drpt.virginia.gov/activities/Transit\\_ref\\_materials.aspx](http://www.drpt.virginia.gov/activities/Transit_ref_materials.aspx)

Guidance related to coordinated planning from the proposed FTA circular is also presented in **Appendix B**.

More information on the types of coordination and coordinated services is available in **Appendix C**.

### **Public Notice**

In order to allow public comment on your grant application, applicants are required to notify all parties in your service area that might have an interest in your grant application.

First, applicants are to develop and publish a public notice of intent to apply for a FTA Section 5310 grant. This notice must be advertised in the local newspaper and should appear **AT LEAST 14 DAYS** before the application submittal deadline. In other words, the public notice should be advertised by January 17, 2014. A copy of your public notice printed in your local paper must be attached to the application.

### **Notification to Local Human Service Transportation Providers**

All applicants are required to contact private nonprofit human service, private and public transit providers in your service area to advise them of your intent to apply for a grant. Applicants are expected to look for opportunities to work with these other agencies to share resources and offer mutual support. It is a highest priority of the FTA Section 5310 program to ensure that the greatest amount of productivity possible will be realized for elderly and disabled transportation programs supported through these vehicle awards. It is often possible for agencies to share equipment and resources or to coordinate transportation services to eliminate duplication. Copies of response letters must be attached to the application. A sample letter of notification to human service agencies is provided in **Appendix D**.

Applicants should submit (1) sample letter of notification forwarded to human service agencies in their service area. Applicants should also include a list of all human service agencies informed of your intent to apply for FTA Section 5310 funds.

### **Intergovernmental Review Planning Requirements**

#### **Non-Urbanized Areas**

A regional intergovernmental clearinghouse must review Section 5310 projects in non-urbanized areas. This review is obtained by submitting the project to the regional Planning District Commission (PDC). Projects must be submitted to the PDC by January 31, 2014.

The applicant is required to send a letter to its regional Planning District Commission (PDC) describing its proposal for FTA Section 5310 funding. A sample letter is provided in **Appendix E**.

The letter must explain the type and amount of funding requested and the transportation service the applicant intends to provide. Any comments by the PDC regarding the proposal must be sent to John Mahoney of DRPT. The addresses for Virginia's PDC's are provided in this document in **Appendix F**.

#### **Urbanized Areas**

Applicants in the urbanized areas must notify their Metropolitan Planning Organization (MPO) of their intent to apply for Section 5310 funds.

FTA Section 5310 applicants must request that the proposed project be included in the annual element of the region's Transportation Improvement Program (TIP). A TIP is a transportation plan, which must be developed for each urbanized area as a condition of funding. The comprehensive planning process results in plans and programs that are consistent with the development of the urbanized areas. The Annual Element is a list of transportation improvement projects proposed for implementation during each transportation program year. Each urbanized area has its own annual elements. A sample letter is provided in **Appendix H** and the addresses of the MPO's are provided in **Appendix I**.

## APPENDIX A – TECHNICAL CAPACITY

### *Grant Administration*

Local grant recipients must have procedures for managing grants and submitting timely and complete reports. The local grant recipients, and ultimately DRPT, are responsible for administration and management of the grant in compliance with the grant agreement and other incorporated documents, including the statutes, regulations, the Master Agreement, and FTA circulars. Thus, DRPT must have a mechanism to ensure continuous administration and management of the grant projects. Based on FTA requirements, DRPT requires that there be a clear line of authority and responsibility for grant administration and for preparing required reports to DRPT.

Local grant recipients are required to have fiscal control and accounting procedures sufficient to:

- Permit preparation of required reports .
- Permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes.

### *Program Management*

DRPT is required by FTA to ensure that recipients of Section 5310 and other FTA assistance comply with Federal requirements.

#### 1) Vehicles and Equipment Management

##### CURRENT LANGUAGE

FTA and DRPT encourage maximum use of vehicles funded under the Section 5310 program. Vehicles are to be used first for program related needs for which a Section 5310 grant is made, and then to meet other transportation needs of other Federal programs or project needs, provided that these other uses do not interfere with the project activities originally funded.

Organizations receiving grant funds can only title their vehicle(s) to the grant recipient. It may be beneficial for recipients to co-title vehicles with local governmental entities, in order to take advantage of blanket insurance rates or to participate in bulk purchases of fuel, maintenance, and supplies. This is permitted where it results in a direct benefit to the recipient in providing special service, and as long as the recipient maintains continuing control over the vehicle and utilizes the vehicle for its authorized purpose. DRPT will be the First Lien-Holder on all FTA New Freedom vehicles.

The useful life of all FTA Section 5310 vehicles is a minimum of 100,000 miles. After the equipment has reached the minimum of 100,000 miles,

the subrecipient can apply for a replacement vehicle in the next Section 5310 cycle. The equipment will still remain in DRPT control and will remain on the DRPT vehicle inventory. The subrecipient is required to report to DRPT when a vehicle is in an accident, stolen, or other property damage.

When the subrecipient is ready to sell the vehicle and the vehicle is past its useful life, a written request must be made to DRPT to release the title. DRPT will notify the subrecipient if the request has been approved or disapproved. If the vehicle title has been released and is past its useful life, the subrecipient can sell the vehicle and use the proceeds of the sale in their transportation program. If a subrecipient no longer needs the vehicle for the purpose for which it was acquired, and requests a title for a vehicle that is not past its useful life, then DRPT will seek to have the vehicle transferred to another eligible subrecipient. The original subrecipient will be reimbursed for 20 percent of the fair market value of the vehicle by the new subrecipient. If DRPT cannot find an eligible subrecipient for the vehicle and DRPT approves the sale of the vehicle by the original subrecipient, 80 percent of the proceeds of the vehicle sale must be returned to DRPT.

#### PROPOSED REVISED LANGUAGE

#### 2) Vehicles and Equipment Management

FTA and DRPT encourage maximum use of vehicles funded under the Section 5310 program. Vehicles are to be used first for program related needs for which a Section 5310 grant is made, and then to meet other transportation needs of other Federal programs or project needs, provided that these other uses do not interfere with the project activities originally funded.

Organizations receiving grant funds can only title their vehicle(s) to the grant recipient. It may be beneficial for recipients to co-title vehicles with local governmental entities, in order to take advantage of blanket insurance rates or to participate in bulk purchases of fuel, maintenance, and supplies. This is permitted where it results in a direct benefit to the recipient in providing special service, and as long as the recipient maintains continuing control over the vehicle and utilizes the vehicle for its authorized purpose.

One of the state's fundamental responsibilities is to establish continuing control over section 5310 funded vehicles and accept the responsibility for continued use of the vehicles for Section 5310 purposes.

FTA guidance provides states with discretionary authority in a number of related areas including:

Establishment of useful life standards for vehicles, and;

Development of policies and procedures for replacement of vehicles.

DRPT has established the useful life of all Section 5310 vehicles at a minimum of 4 years or 100,000 miles. DRPT is the first lien holder on all FTA Section 5310 equipment. Subrecipients can apply for replacement vehicles through the Section 5310 grant program for those human service vehicles that have exceeded their useful lives or will exceed their useful lives within 12 months of the next Section 5310 grant application deadline.

Subrecipients can request that DRPT release the titles of Section 5310 funded vehicles that have exceeded their useful lives. Requests for title release must be made to DRPT in writing and must document vehicle year, make, model, VIN, current mileage, and type of planned disposition. DRPT may also consider title release requests for vehicles within useful life guidelines due to extraordinary circumstances such as major mechanical failure.

If the vehicle is sold, the subrecipient must update the DRPT asset inventory record by recording the disposition, sales price, and date. Additionally, the subrecipient must retain and account for proceeds from the sale. Such proceeds may only be utilized to reduce the purchase price of a replacement Section 5310 funded vehicle.

Once a vehicle has exceeded its useful life and title has been released, compliance with FTA Section 5310 circular provisions on completion and retention of maintenance records, pre-trip inspection records, and ridership reporting requirements lapse. If the vehicle will be retained by the agency DRPT strongly recommends that the agency evaluate and determine through policy what record keeping remains required. For example, ADA compliance and continuing insurance coverage may require ongoing documentation of preventive maintenance etc.

If a subrecipient no longer needs the vehicle for the purpose for which it was acquired, and requests a title for a vehicle that is not past its useful life, then DRPT will seek to have the vehicle transferred to another eligible subrecipient. The original subrecipient will be reimbursed for 20 percent of the fair market value of the vehicle by the new subrecipient. If DRPT cannot find an eligible subrecipient for the vehicle and DRPT approves the sale of the vehicle by the original subrecipient, 80 percent of the proceeds of the vehicle sale must be returned to DRPT.

Subrecipients are required to report to DRPT when a 5310 funded vehicle is involved in a reportable incident.

A reportable incident is a safety or security incident that results in one or more of the following conditions:

- A fatality confirmed within 30 days of the incident;
- An injury requiring immediate medical attention away from the scene for one or more persons;
- Theft of the 5310 funded vehicle;
- Property damage equal to or exceeding \$5,000;
- Criminal charges filed against the subrecipient vehicle's driver

### 3) Governance

Grantees must have the legal capacity to receive Federal and State grants. Grantees must have a designated body legally responsible for the overall organization, management, and operation of the transportation system. The Board should be both representative of the community to provide management with community advice and bring management and other expertise from which transit management can draw. The Board should meet regularly and must conduct business in an open and transparent manner. The Board should set policy, goals, and objectives for the system and not involve itself in day-to-day operations.

### 4) Financial Management

Grantees must have sufficient local resources to provide the required match and carry out the proposed project. At least 20 percent of the local share must come from non-federal sources for capital costs and operating costs. Grantees must also have the financial management systems to account for and report on Section 5310 assistance. Grantees must maintain financial records for at least 3 years from the expiration date of the grant.

### 5) Satisfactory Continuing Control

Grantees must use FTA-funded equipment to provide transportation as described in the application. Grantees must maintain a combined single limit of insurance coverage of at least \$1 million on FTA-funded vehicles and must submit proof of insurance annually. Grantees must carry enough insurance to replace any FTA funded equipment such as, bus lifts, etc. Grantees must obtain prior written approval from DRPT before

selling, leasing, or disposing of vehicles, equipment, or facilities that have remaining Federal interest. Grantees must have procedures to prevent loss, damage, or theft of FTA-funded property and inventory.

#### 6) Personnel

Grantees should have Board-approved personnel policies. Current job descriptions should be on file for every position. The Grantee should maintain records for every transportation employee, including annual employee performance evaluation.

#### 7) Equal Employment Opportunity (EEO)

Grantees may not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. Grantees must take affirmative action to ensure that applicants and employees receive fair treatment without regard to race, color, creed, national origin, sex, disability, or age. Grantees must post notices in conspicuous and accessible places and make available to employees and applicants for employment notices setting forth an EEO policy.

#### 8) Maintenance

Grantees must have the managerial capability to maintain FTA-funded equipment and facilities. Grantees must have a written maintenance plan for vehicles and facilities and facility-related equipment. Grantees must maintain project equipment and facilities at a high level of cleanliness, safety, and mechanical soundness. Grantees must maintain all accessibility features and equipment in good operating condition. Grantees must have procedures to track when preventive maintenance inspections are due (by manufacture standards) and to schedule preventive maintenance inspections in a timely manner.

Grantees must have a pre-trip inspection program that addresses vehicle condition, appearance, cleanliness, and safety. Deficiencies noted in a pre-trip inspection must be repaired in a timely manner and properly reviewed by management.

Grantees must repair accessibility equipment promptly and take reasonable steps to continue service to persons with disabilities while repairs are being made. Grantees must maintain a file on each piece of equipment that contains daily logs, inspection checklists, and repair records.

## 9) Service Provision

Grantee should have effective procedures in order to ensure quality service delivery to the public. A comprehensive training program is a key component of a quality assurance program. Grantee should collect and use financial and operating data to monitor the effectiveness and efficiency of operations. Grantees should report key financial and operating data to the Board.

## 10) Safety and Security

Grantees must document that drivers have a valid operator's license, have a safe driving record, and receive adequate training. DRPT recommends that all drivers have at least six hours of documented safety training per year. All safety devices must be in operative condition. All vehicles must have a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters. Drivers and in some instances passengers must wear seat belts. Smoking is prohibited on all vehicles. Drivers must focus on driving and limit distractions when vehicles are in motion.

Drivers and other personnel must understand the need for vigilance in transportation settings to help prevent terrorism and – equally important – to deter crime and increase safety throughout transit systems.

## 11) Americans with Disabilities Act (ADA)

Titles II and III of the ADA provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility. FTA sub recipients must provide service for people with disabilities who are eligible for the agencies services.

## 12) Meal Delivery and Incidental Use

Grantees may provide incidental service, including meal delivery, with FTA-funded vehicles, but the service must not interfere with the provision of transit service and the grantee must bear the costs of providing such incidental service.

## 13) Title VI – Nondiscrimination in the Delivery of Service

FTA and DRPT prohibit discrimination on the grounds of race, color, national origin, sex, age, physical or mental disability, or religion in the delivery of transportation services. FTA also prohibits discrimination on

the grounds of low-income status. Title VI complaints must be reported to DRPT within 24 hours of receipt of the complaint.

## APPENDIX B – COORDINATED PLANNING REQUIREMENTS

The following excerpt is from the U.S. DOT/FTA – Proposed Circular: Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions – FTA C 9070.1 G – posted by FTA on July 9, 2013. (Note: At the time of Application Guidance document publication, the Proposed Circular had not been finalized. The following proposed language represents the most current FTA guidance available, as of the publication date).

### COORDINATED PLANNING

1. THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLAN.  
Federal transit law, as amended by MAP-21, requires that projects selected for funding under the Section 5310, program be “included in a locally developed, coordinated public transit-human services transportation plan” and that the plan be “developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human services providers and other members of the public.” The experiences gained from the efforts of the Federal Interagency Coordinating Council on Access and Mobility (CCAM), and specifically the United We Ride (UWR) Initiative, provide a useful starting point for the development and implementation of the local public transit-human services transportation plan required under the Section 5310 program. Many States have established UWR plans that may form a foundation for a coordinated plan that includes the required elements outlined in this chapter and meets the requirements of 49 U.S.C. 5310.
2. DEVELOPMENT OF THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLAN.
  - a. Overview. A locally developed, coordinated public transit-human services transportation plan (“coordinated plan”) identifies the transportation needs of individuals with disabilities, seniors, and people with low incomes, provides strategies for meeting those local needs, and prioritizes transportation services for funding and implementation. Local plans may be developed on a local, regional, or statewide level. The decision as to the boundaries of the local planning areas should be made in consultation with the State, designated recipient, and the MPO, where applicable. The agency leading the planning process is decided locally and does not have to be the State or designated recipient.
  3. In urbanized areas where there are multiple designated recipients, there may be multiple plans and each designated recipient will be responsible for the selection of projects in the designated recipient’s area. A coordinated plan should maximize the programs’ collective coverage by minimizing duplication of services. Further, a coordinated plan must be developed through a process that includes participation by seniors, individuals with disabilities, representatives of public and private and non-profit transportation and human

services transportation providers, and other members of the public. While the plan is only required in communities seeking funding under the Section 5310 program, a coordinated plan should incorporate activities offered under other programs sponsored by Federal, State, and local agencies to greatly strengthen its impact.

Required Elements. Projects selected for funding shall be included in a coordinated plan that minimally includes the following elements at a level consistent with available resources and the complexity of the local institutional environment:

- (1) An assessment of available services that identifies current transportation providers (public, private, and non-profit);
- (2) An assessment of transportation needs for individuals with disabilities and seniors. This assessment can be based on the experiences and perceptions of the planning partners or on more sophisticated data collection efforts, and gaps in service;
- (3) Strategies, activities, and/or projects to address the identified gaps between current services and needs, as well as opportunities to achieve efficiencies in service delivery; and
- (4) Priorities for implementation based on resources (from multiple program sources), time, and feasibility for implementing specific strategies and/or activities identified.

Local Flexibility in the Development of a Local Coordinated Public Transit-Human Services Transportation Plan. The decision for determining which agency has the lead for the development and coordination of the planning process should be made at the State, regional, and local levels. FTA recognizes the importance of local flexibility in developing plans for human service transportation. Therefore, the lead agency for the coordinated planning process may be different from the State or the agency that will serve as the designated recipient for the Section 5310 program. Further, FTA recognizes that many communities have conducted assessments of transportation needs and resources regarding individuals with disabilities and seniors. FTA also recognizes that some communities have taken steps to develop a comprehensive, coordinated, human service transportation plan either independently or through United We Ride efforts. FTA supports communities building on existing assessments, plans, and action items. As new Federal requirements must be met, communities may need to modify their plans or processes as necessary to meet these requirements. FTA encourages communities to consider inclusion of new partners, new outreach strategies, and new activities related to the targeted programs and populations.

Plans will vary based upon the availability of resources and the existence of populations served under these programs. A rural community may develop its

plans based on perceived needs emerging from the collaboration of the planning partners, whereas a large urbanized community may use existing data sources to conduct a more formal analysis to define service gaps and identify strategies for addressing the gaps.

This type of planning is also an eligible activity under four other FTA programs—the Metropolitan Planning (Section 5303), Statewide Planning (Section 5304), Formula Grants for Rural Areas (Section 5311), and Urbanized Area Formula (Section 5307) programs, all of which may be used to supplement the limited (10 percent) planning and administration funding under this program. Other resources may also be available from other entities to fund coordinated planning activities. All “planning” activities undertaken in urbanized areas, regardless of the funding source, must be included in the Unified Planning Work Program (UPWP) of the applicable MPO.

Tools and Strategies for Developing a Coordinated Plan. States and communities may approach the development of a coordinated plan in different ways. The amount of available time, staff, funding, and other resources should be considered when deciding on specific approaches. The following is a list of potential strategies for consideration:

- (1) Community planning session. A community may choose to conduct a local planning session with a diverse group of stakeholders in the community. This session would be intended to identify needs based on personal and professional experiences, identify strategies to address the needs, and set priorities based on time, resources, and feasibility for implementation. This process can be done in one meeting or over several sessions with the same group. It is often helpful to identify a facilitator to lead this process. Also, as a means to leverage limited resources and to ensure broad exposure, this could be conducted in cooperation, or coordination, with the applicable metropolitan or statewide planning process.
- (2) Self-assessment tool. *The Framework for Action: Building the Fully Coordinated Transportation System*, developed by FTA and available at [www.unitedweride.gov](http://www.unitedweride.gov), helps stakeholders realize a shared perspective and build a roadmap for moving forward together. The self-assessment tool focuses on a series of core elements that are represented in categories of simple diagnostic questions to help groups in States and communities assess their progress toward transportation coordination based on standards of excellence. There is also a *Facilitator’s Guide* that offers detailed advice on how to choose an existing group or construct an ad hoc group. In addition, it describes how to develop elements of a plan, such as identifying the needs of targeted populations, assessing gaps and duplications in services, and developing strategies to meet needs and coordinate services.

- (3) Focus groups. A community could choose to conduct a series of focus groups within communities that provides opportunity for greater input from a greater number of representatives, including transportation agencies, human service providers, and passengers. This information can be used to inform the needs analysis in the community. Focus groups also create an opportunity to begin an ongoing dialogue with community representatives on key issues, strategies, and plans for implementation.
- (4) Survey. The community may choose to conduct a survey to evaluate the unmet transportation needs within a community and/or available resources. Surveys can be conducted through mail, e-mail, or in-person interviews. Survey design should consider sampling, data collection strategies, analysis, and projected return rates. Surveys should be designed taking accessibility considerations into account, including alternative formats, access to the Internet, literacy levels, and limited English proficiency.
- (5) Detailed study and analysis. A community may decide to conduct a complex analysis using inventories, interviews, Geographic Information Systems (GIS) mapping, and other types of research strategies. A decision to conduct this type of analysis should take into account the amount of time and funding resources available, and communities should consider leveraging State and MPO resources for these undertakings.

3. PARTICIPATION IN THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLANNING PROCESS. Recipients shall certify that the coordinated plan was developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human services providers, and other members of the public. Note that the required participants include not only transportation providers but also providers of human services, and members of the public who can provide insights into local transportation needs. It is important that stakeholders be included in the development and implementation of the local coordinated public transit-human services transportation plan. A planning process in which stakeholders provide their opinions but have no assurance that those opinions will be considered in the outcome does not meet the requirement of “participation.” Explicit consideration and response should be provided to public input received during the development of the coordinated plan. Stakeholders should have reasonable opportunities to be actively involved in the decision-making process at key decision points, including, but not limited to, development of the proposed coordinated plan document. The following possible strategies facilitate appropriate inclusion:

- a. Adequate Outreach to Allow for Participation. Outreach strategies and potential participants will vary from area to area. Potential outreach strategies could include notices or flyers in centers of community activity,

newspaper or radio announcements, e-mail lists, website postings, and invitation letters to other government agencies, transportation providers, human services providers, and advocacy groups. Conveners should note that not all potential participants have access to the Internet and they should not rely exclusively on electronic communications. It is useful to allow many ways to participate, including in-person testimony, mail, e-mail, and teleconference. Any public meetings regarding the plan should be held in a location and time where accessible transportation services can be made available and adequately advertised to the general public using techniques such as those listed above. Additionally, interpreters for individuals with hearing impairments and English as a second language and accessible formats (e.g., large print, Braille, electronic versions) should be provided as required by law.

- b. Participants in the Planning Process. Metropolitan and statewide planning under 49 U.S.C. 5303 and 5304 require consultation with an expansive list of stakeholders. There is significant overlap between the lists of stakeholders identified under those provisions (e.g. private providers of transportation, representatives of transit users, and representatives of individuals with disabilities) and the organizations that should be involved in preparation of the coordinated plan.

The projects selected for funding under the Section 5310 program must be “included in a locally developed, coordinated public transit-human services transportation plan” that was “developed through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human services providers and participation by other members of the public.” The requirement for developing the local public transit-human services transportation plan is intended to improve services for people with disabilities and seniors. Therefore, individuals, groups, and organizations representing these target populations should be invited to participate in the coordinated planning process. Consideration should be given to including groups and organizations such as the following in the coordinated planning process if present in the community:

(1) Transportation partners:

- (a) Area transportation planning agencies, including MPOs, Councils of Government (COGs), Rural Planning Organizations (RPOs), Regional Councils, Associations of Governments, State Departments of Transportation, and local governments;
- (b) Public transportation providers (including ADA paratransit providers and agencies administering the projects funded under FTA urbanized and rural programs);
- (c) Private transportation providers, including private transportation brokers, taxi operators, van pool providers, school transportation operators, and intercity bus operators;

- (d) Non-profit transportation providers, including volunteer programs;
- (e) Past or current organizations funded under the Section 5310, JARC, and/or the New Freedom programs; and
- (f) Human service agencies funding, operating, and/or providing access to transportation services.

Passengers and advocates:

- (g) Existing and potential riders, including both general and targeted population passengers (individuals with disabilities and seniors);
- (h) Protection and advocacy organizations;
- (i) Representatives from independent living centers; and
- (j) Advocacy organizations working on behalf of targeted populations.

Human service partners:

- (k) Agencies that administer health, employment, or other support programs for targeted populations. Examples of such agencies include but are not limited to Departments of Social/Human Services, Employment One-Stop Services, Vocational Rehabilitation, Workforce Investment Boards, Medicaid, Community Action Programs (CAP), Agency on Aging (AoA); Developmental Disability Council, Community Services Board;
- (l) Non-profit human service provider organizations that serve the targeted populations;
- (m) Job training and placement agencies;
- (n) Housing agencies;
- (o) Health care facilities; and
- (p) Mental health agencies.

Other:

- (q) Security and emergency management agencies;
- (r) Tribes and tribal representatives;
- (s) Economic development organizations;
- (t) Faith-based and community-based organizations;

- (u) Representatives of the business community (e.g., employers);
- (v) Appropriate local or State officials and elected officials;
- (w) School districts; and
- (x) Policy analysts or experts.

Note: Participation in the planning process will not bar providers (public or private) from bidding to provide services identified in the coordinated planning process. This planning process differs from the project selection process, and it differs from the development and issuance of a Request for Proposal (RFP) as described in the common grant rule (49 CFR part 18).

- c. Levels of Participation. The suggested list of participants above does not limit participation by other groups, nor require participation by every group listed. Communities will have different types of participants depending on population and size of community, geographic location, and services provided at the local level. FTA expects that planning participants will have an active role in the development, adoption, and implementation of the plan. Participation may remain low even though a good faith effort is made by the lead agency to involve passengers, representatives of public, private, and non-profit transportation and human services providers, and others. The lead agency convening the coordinated planning process should document the efforts it utilized, such as those suggested above, to solicit involvement.

In addition, Federal, State, regional, and local policy makers, providers, and advocates should consistently engage in outreach efforts that enhance the coordinated process because it is important that all stakeholders identify the opportunities that are available in building a coordinated system. To increase participation at the local levels from human service partners, State Department of Transportation offices are encouraged to work with their partner agencies at the State level to provide information to their constituencies about the importance of partnering with human service transportation programs and the opportunities that are available through building a coordinated system.

- d. Adoption of a Plan. As a part of the local coordinated planning process, the lead agency in consultation with participants should identify the process for adoption of the plan. A strategy for adopting the plan could also be included in the State's State Management Plan (SMP) and the designated recipient's Program Management Plan (PMP) further described in Chapter VII.

FTA will not formally review and approve coordinated plans. The recipient's grant application (see Appendix A) will document the plan from which each project listed is derived, including the lead agency, the date of adoption of the plan, or other appropriate identifying information. This may be done by citing the section of the plan or page references from which the project is derived.

#### 4. RELATIONSHIP TO OTHER TRANSPORTATION PLANNING PROCESSES.

- a. Relationship Between the Coordinated Planning Process and the Metropolitan and Statewide Transportation Planning Processes. The coordinated plan may either be developed separately from the metropolitan and statewide transportation planning processes and then incorporated into the broader plans, or be developed as a part of the metropolitan and statewide transportation planning processes. If the coordinated plan is not prepared within the broader process, the lead agency for the coordinated plan should ensure coordination and consistency between the coordinated planning process and metropolitan or statewide planning processes. For example, planning assumptions should not be inconsistent.

Projects identified in the coordinated planning process, and selected for FTA funding must be incorporated into both the TIP and STIP in urbanized areas with populations of 50,000 or more; and incorporated into the STIP for rural areas under 50,000 in population. In some areas, where the coordinated plan or project selection is not completed in a timeframe that coincides with the development of the TIP/STIP, the TIP/STIP amendment processes will need to be utilized to include selected projects in the TIP/STIP before FTA grant award.

The lead agency developing the coordinated plan should communicate with the relevant MPOs or State planning agencies at an early stage in plan development. States with coordination programs may wish to incorporate the needs and strategies identified in local coordinated plans into statewide coordination plans.

Depending upon the structure established by local decision-makers, the coordinated planning process may or may not become an integral part of the metropolitan or statewide transportation planning processes. State and local officials should consider the fundamental differences in scope, time horizon, and level of detail between the coordinated planning process and the metropolitan and statewide transportation planning processes. However, there are important areas of overlap between the planning processes, as well. Areas of overlap represent opportunities for sharing and leveraging resources between the planning processes for such activities as: (1) needs assessments based on the distribution of targeted populations and locations of employment centers, employment-related activities, community services and activities, medical centers, housing, and other destinations; (2) inventories of transportation providers/resources, levels of utilization, duplication of service and unused capacity; (3) gap analysis; (4) any eligibility restrictions; and (5) opportunities for increased coordination of transportation services. Local communities may choose the method for developing plans that best fits their needs and circumstances.

- b. Relationship Between the Requirement for Public Participation in the Coordinated Plan and the Requirement for Public Participation in Metropolitan

and Statewide Transportation Planning. Title 49 U.S.C. 5303(i)(6) and 5304(f)(3), as amended by MAP-21, require MPOs and States to engage interested parties in preparing transportation plans, TIPs, and STIPs. “Interested parties” include, among others, affected public agencies, private providers of transportation, representatives of users of public transportation, and representatives of individuals with disabilities.

MPOs and/or States may work with the lead agency developing the coordinated plan to coordinate schedules, agendas, and strategies of the coordinated planning process with metropolitan and statewide planning in order to minimize additional costs and avoid duplication of efforts. MPOs and States must still provide opportunities for participation when planning for transportation related activities beyond the coordinated public transit-human services transportation plan.

- c. Cycle and Duration of the Coordinated Plan. At a minimum, the coordinated plan should follow the update cycles for MTPs (i.e., four years in air quality nonattainment and maintenance areas and five years in air quality attainment areas). States, MPOs, designated recipients, and public agencies that administer or operate major modes of transportation should set up a cycle that is conducive to and coordinated with the metropolitan and statewide planning processes, to ensure that selected projects are included in the TIP and STIP, to receive funds in a timely manner.
- d. Role of Transportation Providers that Receive FTA Funding Under the Urbanized and Rural Area Formula Grant Programs in the Coordinated Planning Process. Recipients of Section 5307 and Section 5311 assistance are the “public transit” in the public transit-human services transportation plan and their participation is assumed and expected. Further, 49 U.S.C. 5307(b)(5), as amended by MAP-21, requires that, “Each recipient of a grant shall ensure that the proposed POP provides for the coordination of public transportation services ... with transportation services assisted from other United States Government sources.” In addition, 49 U.S.C. 5311(b)(2)(C)(ii) requires the Secretary of DOT to determine that a State’s Section 5311 projects “provide the maximum feasible coordination of public transportation service ... with transportation service assisted by other Federal sources.” Finally, under the Section 5311 program, States are required to expend 15 percent of the amount available to support intercity bus service. FTA expects the coordinated planning process in rural areas to take into account human service needs that require intercity transportation.

## APPENDIX C - TYPES OF COORDINATION AND COORDINATED SERVICES

Transportation coordination is a cooperative arrangement between transportation providers and organizations needing transportation services. Coordination is a key factor in providing a comprehensive transportation network. The first step in coordination is communication. Contact those organizations in your area who provide or need transportation service. A signed agreement between both parties is essential to establish ground rules and costs associated with the partnership. Any non-client passenger that is transported as a result of coordination should be included in the ridership estimates. Types of coordination include, but are not limited to:

**Ride Share** – Two agencies providing transportation service discover they are picking up and delivering passengers along the same route on the same days. Without relinquishing any control over the management of their own vehicles, the two agencies worked out a schedule for alternating days for the coverage of this area. At the end of the first year, the two agencies had reduced their overall vehicle miles and had significant cost savings.

**Time Share** – An agency operates their buses for several hours each morning and afternoon, but during midday they remain idle. A second organization contracts with the first agency to use the buses on certain days when their clients need transportation during the midday. The first agency loses no control over its buses, maintenance, or program administration, but gains additional revenue by “leasing” the vehicle(s) or service to the second organization.

**Operations Share** – Two agencies in Town C decide to combine all their routing, scheduling and dispatching. With this new centralized system, each agency retains its own maintenance and administrative functions, but realizes significant cost savings and enhanced efficiency. Later they contract with other agencies to provide these services for them, thereby receiving added income.

**Maintenance Share** – When the public transit system in Town D agrees to provide vehicle maintenance for an elder day care and a neighborhood shop-and-ride system, the joint agreement produces income for the public system and reduces costs in the long run for all concerned. The two small agencies retains management functions of their vehicles but realized cost savings in vehicle storage, purchasing of parts, and other features of vehicle maintenance by joining efforts with the public transit system.

**Administrative Share** – Town E has a public transit system and coordinates it with several human services agencies so that all activities related to administration – personnel, training, vehicle procurement, insurance, advertising, etc. – become the responsibility of one transportation manager. As a result, the operation is smoother, the streamlining helps cut duplicative

services and costs, and the newly coordinated system is able to provide more rides to community members.

**Information Share** – Town F wants to expand its funding resources and coordinates with the local area human services agencies to seek new areas of funding. They found that by cooperating and benefiting from each other's areas of specialization, they could use their combined resources to leverage additional funding.

**The Totally Coordinated Transportation System** – County A had several agencies providing transportation to their own clientele. They determined that better coordination of transportation services can be achieved by a totally coordinated transportation system. By having one agency being responsible for the complete coordination of its public and human service transportation needs, the County realized a cost savings through full time professional management, reduced transportation staff, lower overhead, insurance, and maintenance.

In an effort to develop a comprehensive transportation network in the project area, applicants are expected to pool their efforts with local public transit systems and other transit operators. Coordinated services enable cost effective transportation services. As part of a coordination effort, (two or more eligible organizations may join together as co-applicants) or an applicant may enter into written agreements with other agencies to ensure full and effective use of project equipment. Because coordination is one of the key criteria used for selecting projects, applicants are strongly encouraged to demonstrate coordination. Coordination agreements must be listed in the application.

**Forms of Coordinated Transportation:**

- a) Consolidated coordination consists of:
  - One or more providers;
  - Central dispatching;
  - Centralized computer systems for billing and data collection;
  - Pooling various funding resources; and/or
  - Agreement among participants and agencies to use and financially support centralized service.
  
- b) Brokering or Collaborative coordination consists of any of the following:
  - Formal contractual agreements;
  - Many providers;
  - Division of service area;
  - Special populations served by appropriate provider(s);
  - Technical assistance provided;
  - Standards of operation and criteria for performance evaluation;
  - Joint planning, advocacy, outreach, marketing and fund-raising;

- Various funding resources;
- Dispatching can be centralized or decentralized; and
- Billing and data collection is standardized.

Technical assistance is provided by DRPT to achieve full utilization of Section 5310 grant vehicles. Coordinated efforts provide for reliable service, improved service quality, elimination of duplication of efforts and reduced transportation costs.

## **APPENDIX D - PUBLIC NOTICE REQUIREMENTS**

The grant applicant must provide an adequate opportunity for public review and comment on projects funded through the FTA Section 5310.

### **Sample Public Notice**

The ECHO, Inc. from Leesburg, Virginia proposes to provide transportation for people with developmental disabilities in the county of Loudoun for the purpose of transporting these individuals to and from training, and other community integration and socialization projects. Funds are being requested from the Commonwealth of Virginia to purchase a 9-passenger van with a wheelchair lift through the FTA Section 5310 Program. The vehicle will be used to transport wheelchair participants and ambulatory participants from their homes in Loudoun County to ECHO, Inc. and back to their homes from 6:00 a.m. to 6:00 p.m. We invite any interested public or private transit or paratransit operator in the Leesburg-Loudoun area to comment on the proposed services by sending a written notice by February 3, 2014 to the Virginia Department Rail and Public Transportation – Public Transportation Division, 600 E. Main Street, Suite 2102, Richmond, Virginia 23219, and to ECHO, Inc. P. O. Box 2277, Leesburg, Virginia 22075.

Note: An actual copy or reasonable facsimile of the notice as it appeared in the newspaper must be included in the application.

## APPENDIX E – SAMPLE LETTER OF NOTIFICATION TO LOCAL HUMAN SERVICE TRANSPORTATION PROVIDERS

Dear Sir/Madam:

Pleasant View Home and Regional Center in Broadway, Virginia, intends to provide a fixed mini-bus route for people with developmental disabilities in the County of Rockingham, which includes the City of Harrisonburg, Towns of Broadway, Bridgewater, Dayton, Elkton, Grottoes, Mt. Crawford, and Timberville. The purpose is to transport these individuals to and from Developmental Day Programs, and other community integration and socialization projects that are deemed necessary to increase the independence of people with the developmental disabilities.

Funds are being requested from the Commonwealth of Virginia to purchase a 9-passenger van with lift through the FTA Section 5310 Program. The Commonwealth of Virginia's policy states that where possible, recipients should coordinate with other local providers who provide transportation services to enhance resource-sharing opportunities.

We invite you, as a local provider within the Harrisonburg-Rockingham area, to comment on the proposed services. We are particularly interested in exploring opportunities to work with your agency to coordinate services, share resources, or pursue other activities that will mutually benefit our transportation programs. If you are interested in exploring this further, please notify us at the Pleasant View Home and Regional Center, P.O. Box 426, Broadway, Virginia 22815. (Letters of support from human service agencies should not be sent to DRPT.)

If you have any questions, please feel free to call me.

Sincerely yours,

John Doe  
Executive Director

## APPENDIX F – SAMPLE LETTER TO PDC

Gary Christies  
Executive Director  
Regional 2000 Planning District Commission  
828 Main Street, 12<sup>th</sup> Floor  
Lynchburg, Virginia 24504

Dear Sir:

The Central Virginia Area Agency on Aging (AAA) is seeking capital assistance from the Commonwealth of Virginia through the FTA Section 5310 program to purchase transportation equipment. As part of the application process, we are required to notify our regional planning organization and request an Intergovernmental Review of our grant request.

Central Virginia AAA is requesting funding to purchase three 9-passenger vans with lifts. Our plan is to provide demand-responsive transportation for our senior clients in the rural area, to get to agency-related activities, medical appointments, grocery stores, and other destinations. We request that you, as the regional planning body, take appropriate action to fulfill the Intergovernmental Review and direct any comments on the proposed service, by February 3, 2014, to:

Public Transportation Division  
Virginia Department of Rail and Public Transportation  
600 East Main Street, Suite 2102  
Richmond, Virginia, 23219

If you have any questions about our proposal, please feel free to call me.

Sincerely,

John Doe  
Executive Director

## **APPENDIX G – PLANNING DISTRICT COMMISSIONS**

### **DISTRICT 1**

Glen Skinner, Executive Director  
Lenowisco Planning District Commission  
P.O. Box 366  
Duffield, Virginia 24244

### **DISTRICT 2**

Jim Baker, Executive Director  
Cumberland Plateau Planning District Commission  
P.O. Box 548  
Lebanon, Virginia 24266

### **DISTRICT 3**

Dave Barrett, Executive Director  
Mount Rogers Planning District Commission  
1021 Terrace Drive  
Marion, Virginia 24354

### **DISTRICT 4**

Kevin Byrd, Executive Director  
New River Valley Planning District Commission  
6580 Valley Center Drive, Suite 124  
Radford, Virginia 24141

### **DISTRICT 5**

Wayne H. Strickland, Executive Director  
Roanoke Valley-Allegheny Regional Commission  
Fifth Planning District Commission  
P.O. Box 2569  
Roanoke, Virginia 24010

### **DISTRICT 6**

Bonnie Riedesel, Executive Director  
Central Shenandoah Planning District Commission  
112 MacTanly Place  
Staunton, Virginia 24401

### **DISTRICT 7**

Martha Shickle, Executive Director  
Northern Shenandoah Valley Regional Commission  
400 East Kendrick Lane  
Front Royal, Virginia 22630

DISTRICT 8

G. Mark Gibb  
Northern Virginia Regional Commission  
3060 Williams Drive, Suite 510  
Fairfax, Virginia 22031

DISTRICT 9

Jeffrey Walker, Executive Director  
Rappahannock-Rapidan Regional Commission  
420 Southridge Parkway Suite 106  
Culpeper, Virginia 22701

DISTRICT 10

Stephen W. Williams  
Thomas Jefferson Planning District Commission  
Post Office Box 1505  
Charlottesville, Virginia 22902-1505

DISTRICT 11

Gary Christie, Executive Director  
Region 2000  
828 Main Street, 12<sup>th</sup> Floor  
Lynchburg, Virginia 24504

DISTRICT 12

Aaron Burdick, Executive Director, AICP  
West Piedmont Planning District Commission  
P.O. Box 5628  
Martinsville, Virginia 24115-5628

DISTRICT 13

Gail P. Moody, Executive Director  
Southside Planning District Commission  
P.O. Box 150  
South Hill, Virginia 23970

DISTRICT 14

Mary Hickman, President/CEO  
Commonwealth Regional Council  
Post Office Box P  
Farmville, Virginia 23901

DISTRICT 15

Robert A. Crum, Jr.  
Richmond Regional Planning District Commission  
9211 Forest Hill Avenue, Suite 209

Richmond, Virginia 23235

DISTRICT 16

L. Eldon James, Jr., Interim Executive Director  
George Washington Regional Commission  
406 Princess Anne Street  
Fredericksburg, Virginia 22404

DISTRICT 17

Jerry W. Davis, Executive Director  
Northern Neck Planning District Commission  
P.O. Box 1600  
Warsaw, Virginia 22572

DISTRICT 18

Lewis L. Lawrence, III, Executive Director  
Middle Peninsula Planning District Commission  
P.O. Box 286  
Saluda, Virginia 23149

DISTRICT 19

Dennis K. Morris, Executive Director  
Crater Planning District Commission  
Post Office Box 1808  
Petersburg, Virginia 23803

DISTRICT 22

Elaine K. N. Meil, Executive Director  
Accomack-Northampton Planning District Commission  
P.O. Box 417  
Accomack, Virginia 23301

DISTRICT 23

Dwight Farmer, Executive Director  
Hampton Roads Planning District Commission  
723 Woodlake Drive  
Chesapeake, Virginia 2332

**APPENDIX H – SAMPLE LETTER TO MPO – URBANIZED AREAS ONLY**

Gary Christies  
Executive Director  
Regional 2000 Planning District Commission  
828 Main Street, 12<sup>th</sup> Floor  
Lynchburg, Virginia 24504

Dear Sir:

The Central Virginia Area Agency on Aging (AAA) is seeking capital assistance from the Commonwealth of Virginia through the FTA Section 5310 Program to purchase transportation equipment. As part of the application process, we are required to notify our Metropolitan Transportation Planning Organization and request that the project be included in the annual element of the Transportation Improvement Program (TIP). CVAAA is requesting funding, to purchase three 9-passenger vans with lifts. The total cost of the project is approximately \$90,000.00. The federal grant is for 80 percent of the total cost with agency being responsible for the 20 percent balance.

Our plan is to provide demand-responsive transportation for our senior clients, in the Lynchburg metropolitan area, to get to agency-related activities, medical appointments, grocery stores, and other destinations.

Please send documentation, by February 3, 2014, that the project has been or will be included in the TIP to the address listed below:

Public Transportation Division  
Virginia Department of Rail and Public Transportation  
600 East Main Street, Suite 2102  
Richmond, Virginia, 23219

This information is required for our application to be considered for approval and I appreciate your assistance in this matter. If you have any questions about our proposal, please feel free to call me.

Sincerely,

John Doe  
Executive Director

## APPENDIX I – METROPOLITAN PLANNING ORGANIZATIONS

### BRISTOL AREA

Rex Montgomery  
Bristol Metropolitan Planning Organization  
City of Bristol, Tennessee  
P.O. Box 1189  
Bristol, Tennessee 37621-1189

### CHARLOTTESVILLE AREA

Stephen W. Williams  
Thomas Jefferson Metropolitan Planning Organization  
Post Office Box 1505  
Charlottesville, Virginia 22902-1505

### DANVILLE AREA

Aaron Burdick, Executive Director  
Danville Metropolitan Planning Organization  
P.O. Box 1191  
Martinsville, Virginia 24112

### FREDERICKSBURG AREA

L. Eldon James, Jr., Executive Director  
Fredericksburg Area Metropolitan Planning Organization/  
George Washington Regional Commission  
Post Office Box 863  
Fredericksburg, Virginia 22404

### HAMPTON ROADS/CHESAPEAKE AREA

Dwight Farmer, Executive Director  
Hampton Roads Metropolitan Planning Organization  
723 Woodlake Drive  
Chesapeake, Virginia 23320

### KINGSPORT AREA

William A. Albright  
LENOWISCO Metropolitan Planning Organization  
225 West Center Street  
Kingsport, Tennessee 37660

### LYNCHBURG AREA

Gary Christie, Executive Director  
Region 2000  
P.O. Box 817  
Lynchburg, Virginia 24505

RICHMOND AREA

Robert A. Crum, Jr., Executive Director  
Richmond Area Metropolitan Planning Organization  
9211 Forest Hill Avenue, Suite 200  
Richmond, Virginia 23235

ROANOKE AREA

Wayne Strickland, Executive Director  
Roanoke Valley Area Metropolitan Planning Organization  
P.O. Box 2569  
Roanoke, Virginia 24010

TRI-CITIES AREA

Dennis Morris, Executive Director  
Tri-Cities Area Metropolitan Planning Organization  
P.O. Box 1808  
Petersburg, Virginia 23803

TRANSPORTATION PLANNING BOARD OF THE METROPOLITAN WASHINGTON  
COUNCIL OF GOVERNMENTS (NATIONAL CAPITAL REGION)

Ronald Kirby, Executive Director  
National Capital Region Transportation Planning Board  
Metropolitan Washington Council of Governments  
777 North Capitol Street, Suite 300  
Washington, D.C. 20002-4226

WINCHESTER AREA

Chris Price, Executive Director  
Northern Shenandoah Valley Regional Commission  
103 East Sixth Street  
Front Royal, Virginia 22630

HARRISONBURG AREA

Bonnie Riedesal, Executive Director  
Harrisonburg-Rockingham Metropolitan Planning Organization  
112 MacTanly Place  
Staunton, Virginia 24401

MONTGOMERY COUNTY AREA

Dan Brugh  
Blacksburg-Christiansburg-Montgomery Area MPO  
755 Roanoke Street, Suite 2E  
Christiansburg, VA 24073-3181

## Schedule of Application Process Activities

The application process is set up on an annual cycle and the process from program announcement to equipment delivery takes approximately 18 months to complete. Noted below are the key dates for the process.

### December 1, 2013

The application process begins with the announcement of the program. After CAREFULLY READING THE APPLICATION INSTRUCTIONS, eligible organizations must complete ALL parts of the application.

Upon completing the application attach the following information in OLGA:

- Articles of Incorporation/Private nonprofit
- Copy of Letter of Exemption IRS Section 501 C3
- Copies of Public notices printed in area newspapers
- List of local, public, and private human service agencies
- One copy of letter of notice to human service agencies
- Letters of response from human service agencies (one copy only)
- Copy of letter of notice to PDC
- Copy of letter of notice to MPO/urban area applicants
- Copy of Vehicle Insurance Package
- Completed Base Price/Options Order Sheet (Optional) (located at: <http://www.drpt.virginia.gov/about/Contracts.aspx>)

### February 3, 2014

APPLICATIONS MUST BE RECEIVED THROUGH DRPT'S ON-LINE GRANTS APPLICATION SYSTEM (<https://olga.drpt.virginia.gov>). LATE APPLICATIONS SUBMITTED ON THE DRPT WEB SITE WILL NOT BE ACCEPTED. THERE WILL BE NO EXCEPTIONS.

### February 2014

DRPT reviews the applications based on their expertise and knowledge of providers within the Commonwealth. DRPT will be concentrating on the merits of the project, applicant's ability to manage the project, as well as reviewing the applications for compliance with State and Federal requirements.

### June 2014

Commonwealth Transportation Board approves the FTA Section 5310 Program of Projects.

### July 2014

Program of Projects reviewed by the FTA.

July through November 2014

Subrecipients work with vendors to configure approved vehicles and determine final price.

December 2014 through January 2015

DRPT reviews draft invoices, verifies information, and notifies subrecipients of required match.

February 2015

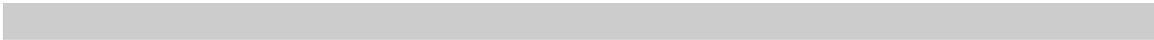
DRPT issues contracts and requires subrecipients to submit required match.

March-April 2015

DRPT compiles all invoices and issues purchase order.

June through October 2015

Vehicles delivered.



## **5.6 FTA Section 5311 Rural Areas**

### **5.6.1 Description**

This program supports operating and capital costs of transit operators in non-urbanized areas, or areas of less than 50,000 population.

Its goals are:

- To enhance the access of people in non-urbanized areas to health care, shopping, education, employment, public services, and recreation
- To assist in the maintenance, development, improvement, and use of public transportation systems in rural and small urban areas
- To encourage and facilitate the most efficient use of federal funds through the coordination of programs and services
- To assist in the development and support of intercity bus transportation
- To provide for the participation of private transportation providers in non-urbanized transportation to the maximum extent feasible

### **5.6.2 Eligible Recipients**

DRPT is the designated recipient for Virginia's FTA Section 5311 program. Eligible applicants may submit applications to DRPT for evaluation and selection.

Eligible subrecipients include:

- Local and State Government
- Transportation District Commissions
- Public Service Corporations
- Private Non-Profit Organizations

Funds may be used for capital, operating, and administrative assistance to state agencies, local public bodies, and nonprofit organizations (including Indian tribes and groups), and operators of public transportation services.

### **5.6.3 Eligible Expenses**

Eligible operating expenses include items such as fuel, oil, replacement tires, replacement parts, maintenance and repairs, driver and mechanic salaries and fringe benefits, dispatcher salaries and fringe benefits, and licenses. Eligible administrative expenses include items such as transit manager's salary, secretary and bookkeeper salaries, marketing expenses, office supplies, vehicle insurance, and facility and equipment rental.

Net operating expenses are those expenses that remain after operating revenues are subtracted from eligible operating expenses. At a minimum, operating revenues must include farebox revenues. Operating revenues are all revenues accrued to the benefit of the project including farebox revenue (passenger fares), charter service, and contract revenues. Farebox revenues include fares paid by passengers who are later reimbursed by a human service agency, or other user-side subsidy arrangements, but

do not include payments made directly to the transit provider by human service agencies.

Eligible capital expenses include items such as buses, vans, associated capital maintenance items, communications equipment, construction or rehabilitation of transit facilities. Commuter Bus service is not an eligible expense under Virginia's FTA Section 5311 program.

#### **5.6.4 Match Ratio and Limits of Funding**

DRPT typically funds applications at the maximum federal participation ratio of 50 percent of net operating expenses and up to 80 percent of eligible capital expenses after operating costs are funded.

Funding is apportioned by a statutory formula that is based on the latest U.S. Census figures of areas with a population less than 50,000. The amount that Virginia may use for state administration, planning, and technical assistance is limited to 15 percent of the annual apportionment. Virginia must spend 15 percent of the apportionment to support rural intercity bus service unless the Governor certifies that the intercity bus needs of the state are adequately met. The Governor of Virginia has certified to the FTA each year since 1992 after consultation with the intercity bus industry that all intercity bus needs have been met and any remaining intercity bus funds have been reprogrammed to support rural public transportation projects in Virginia.

#### **5.6.5 Application Evaluation Process**

Applicants may apply for operating assistance, capital assistance or both. Below is a description of the evaluation process for operating assistance and capital assistance.

##### **Operating Assistance**

For operating expenses, DRPT validates the expenses and revenue sources submitted on the application, determines the eligibility of listed expenses based upon the criteria noted above in 5.6.3, requests additional data or clarification from applicants if necessary, and reviews data submitted by the applicant for the previous year and any audited financial statements.

Under FTA Section 5311 operating assistance, funds are available for operating expenses for new systems and new service for existing systems. However, any proposal to develop a new transit system or start a new service for an existing system must begin with proper planning. To assist local entities and the public, DRPT has developed Transit Service Design Guidelines (<https://olga.drpt.virginia.gov>) as a tool to assist with the planning process. This tool provides useful information to local entities on implementing new transit service. Local entities must conduct a plan prior to requesting any FTA Section 5311 funds from DRPT. Planning funds may be applied for through DRPT's Technical Assistance Program. DRPT encourages local entities to involve DRPT in any transit system planning efforts. DRPT also has staff and

consultant resources available to help manage transit system planning studies on behalf of local entities.

Transit feasibility studies are acceptable planning documents for new transit systems. Existing systems must have a completed and adopted Transit Development Plan in order to request FTA Section 5311 for new service. DRPT's Transit Development Plan requirements are available at: <https://olga.drpt.virginia.gov>. Transit Development Plans must be submitted with an existing system's FTA Section 5311 application.

DRPT will evaluate all requests for new service using the Transit Service Design Guidelines. Specifically, proposals should demonstrate how they have addressed the topics defined in Sections 1.2-1.7 of the guidelines:

- Examining all of the options
- Planning for success
- Framing the purpose and need
- Land use considerations
- Service area and transit network design
- Other important considerations (including capital and operating costs)

Proposals will also be evaluated against the typical modal characteristics provided in Section 2.0 of the guidelines.

#### Capital Assistance

FTA Section 5311 applications requesting capital assistance will be evaluated by DRPT using the following criteria:

- Project Justification – explanation of the need/problem that the project will address
- Planning – documentation that sufficient planning has been conducted to execute the project
- Project Scope – approach to addressing the need/problem
- Project Readiness – ability to initiate and substantially complete the project within the fiscal year the funds are being applied for
- Technical Capacity – identification of project management team and ability to execute the project
- Project Budget – ability to execute the project scope within the proposed project budget
- Project Schedule - ability to execute the project scope within the project
- Monitoring and Evaluation Plan - applicant's approach to measuring performance and evaluating the results of the requested capital project(s)

In addition to the criteria above, various tools will be used by DRPT to evaluate certain types of projects:

Replacement/Rehabilitation of Existing Equipment - will be evaluated against consistency with the DRPT Asset Management System and consistency with the

capital budgeting information submitted every year by applicants to develop the Six Year Improvement Program.

Transit New Starts (new transit system or new service for an existing system) - prior to submitting an application for transit new starts with capital expenses above \$2 million, applicants should meet with DRPT to ensure that sufficient information is available to warrant an application for Capital Assistance. Submitted applications will be evaluated by DRPT using Transit Service Design Guidelines (using the process described above for operating assistance).

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

#### **5.6.6 Application Procedure**

Applications for all programs are made online on DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

Required data include:

- Contact information
- Total operating expenses for previous fiscal year
- Operating budget detailed by expense item, amount and classification
- Operating revenues:
  - Revenue estimates detailed by passenger revenues and non-passenger revenues
  - Capital budget detailed by budget item, quantity, unit cost, source of federal and state funds
- Certifications and resolutions (in OLGA)
- Special Section 13 (c) Warranty
- Title VI Information Update
- Insurance Information (vehicle, facility & equipment)
- FTA Annual Certifications and Assurances
- Resolution Authorizing the Application for State Aid for Public Transportation

The Grant Program Calendar is summarized in Exhibit 3-1. Applicants for Federal Aid grants must provide certifications and assurances relevant to the grantee's application for assistance, as described in Section 5.1.1.

## 5.7 FTA Section 5316 Jobs Access and Reverse Commute Program (JARC)

### 5.7.1 Description

The JARC program was authorized under the provisions set forth in the Safe, Accountable, Flexible, Efficient Transportation Equity Act, a Legacy for Users (SAFETEA-LU), enacted in 2005. Under the former 49 U.S.C. 5316, the Secretary of transportation was authorized to make grants to a recipient for access to jobs and reverse commute projects designed to transport welfare recipients and eligible low-income individuals to and from jobs and activities related to their employment. MAP-21 repealed Section 5316 and made JARC projects eligible for funding under Sections 5307 and 5311. Additionally, FTA interim guidance indicates that unobligated funds appropriated or authorized in FY12 and prior years remain available for obligation, following program specific requirements established under SAFETEA-LU and prior authorizations. Consequently, DRPT is maintaining the JARC grant program and will assign any funded projects to the appropriate funding source. DRPT will continue to accept JARC applications **only from current DRPT JARC subrecipient agencies serving small urban and rural areas.**

The goal of the JARC program is to improve access to transportation services to employment and employment related activities for welfare recipients and eligible low-income individuals throughout the country. Toward this goal, FTA provides financial assistance for transportation services planned, designed, and carried out to meet the transportation needs of eligible low-income individuals. The program requires coordination of federally assisted programs and services in order to make the most efficient use of Federal resources.

### 5.7.2 Eligible Recipients

DRPT is the designated recipient for Virginia's FTA Section 5316 program. Eligible applicants may submit applications to DRPT for evaluation and selection.

DRPT will continue to accept JARC applications **only from current DRPT JARC subrecipient agencies serving small urban and rural areas.**

Eligible applicants must also reasonably meet technical capacity requirements for grant administration and program management. Please refer to **Appendix A** for this guidance.

### 5.7.3 Eligible Expenses

Funds from the JARC program are available for operating expenses that support transportation services designed to transport low-income individuals to and from jobs and activities related to their employment.

### 5.7.4 Match Ratio and Limits of Funding

JARC typically funds applications at the maximum ratio of 50 percent for operating assistance projects.

Non-U.S. DOT federal funds and local and private funds can be used as a match. Sources for Non-U.S. DOT federal funds include Temporary Assistance for Needy Families, Medicaid, employment training programs, Rehabilitation Services, and Administration on Aging. Examples of sources of local match which may be used for any or all of the local share include: State or local appropriations; dedicated tax revenues; private donations; revenue from human service contracts; toll revenue credits; and net income generated from advertising and concessions.

### **5.7.5 Application Evaluation Process**

DRPT evaluates applications by validating the expenses and revenue sources submitted on the application, determining the eligibility of listed expenses, requesting additional data or clarification from applicants if necessary, and reviewing data submitted by the applicant for the previous year and any audited financial statements.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment and following receipt of public comments, the CTB approves the final Six Year Improvement Program.

### **5.7.6 Application Procedure**

Applications for all programs are made online on DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

Applications for the Section 5316 program must meet a number of requirements which are detailed below:

#### **Coordination Plan Requirements**

FTA guidance issued to implement SAFETEA-LU requires that projects selected for funding under the JARC Program be derived from a **locally developed, coordinated public transit-human services transportation plan**, and that the plan be developed through a process that includes representatives of public, private, and non-profit and human services transportation providers and participation by the public.

DRPT assisted in the development of Coordinated Human Service Mobility Plans initially issued in June 2008 and updated in September 2013. Further guidance regarding coordinated human service mobility planning is presented in **Appendix B**

**Delete- only required for capital projects**

### **STIP/TIP Requirement**

The project proposed must be a product of the metropolitan planning process and/or the statewide planning process specified in 49 CFR Part 613 and 23 CFR Part 450. That is, all transit projects for which Federal funds are expected to be used and that are within metropolitan planning boundaries must be included in a metropolitan Transportation Improvement Program (TIP) approved by the Metropolitan Planning Organization (MPO) and the chief executive officer of a State and in a Statewide Transportation Improvement Program (STIP) that has been approved by FTA and FHWA. Projects not within metropolitan planning boundaries are required only to be in the STIP. The application should identify the latest approved STIP (or amendments) containing the project(s), the appropriate page numbers, and a statement identifying the date that FTA and FHWA approved the STIP (or STIP amendment) that contains the proposed project(s). Projects listed in the TIP and STIP must be derived from and consistent with the State's long range plan. If your project is selected and you are part of an MPO, you must submit your entire project to the local TIP. However, if you are outside of an MPO, DRPT will ensure that the project is included in the STIP.

### **Certifications and Assurances**

Applicants are strongly encouraged to review the Certifications and Assurances located in Section 5.1.1 before beginning any work on their application. The Certifications and Assurances contain various federal requirements that must be met in order for an organization's application to be approved. Therefore, by submitting an application, organizations are agreeing to abide by these requirements and are assuring that they are able to sign the Certifications and Assurances if their application is awarded funding.

Applicants whose projects are selected for JARC Program funds will be required to comply with all FTA requirements. **Specifically, the applicant will need to sign FTA's Certifications and Assurances for the specific funding programs for which their organization is applying.**

A grant applicant applying for assistance under any FTA grant program must annually submit Certifications and Assurances that are applicable to the grant applicant's grant request during the fiscal year. FTA's annual Certifications and Assurances include basic program requirements for the New Freedom program. It is DRPT's responsibility to competitively select projects and certify that they are derived from a coordinated plan and that the local applicant's authorized representative has signed the affirmation page binding the applicant's compliance.

## APPENDIX A – TECHNICAL CAPACITY

### *Grant Administration*

Local grant recipients must have procedures for managing grants and submitting timely and complete reports. The local grant recipients, and ultimately DRPT, are responsible for administration and management of the grant in compliance with the grant agreement and other incorporated documents, including the statutes, regulations, the Master Agreement, and FTA circulars. Thus, DRPT must have a mechanism to ensure continuous administration and management of the grant projects. Based on FTA requirements, DRPT requires that there be a clear line of authority and responsibility for grant administration and for preparing required reports to DRPT.

Local grant recipients are required to have fiscal control and accounting procedures sufficient to:

- Permit preparation of required reports
- Permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes.

### *Program Management*

DRPT is required by FTA to ensure that recipients of JARC and other FTA assistance comply with federal requirements.

#### 1) Vehicles and Equipment Management

FTA and DRPT encourage maximum use of vehicles funded under the Section 5316 program. Vehicles are to be used first for program related needs for which a Section 5316 grant is made, and then to meet other transportation needs of other Federal programs or project needs, provided that these other uses do not interfere with the project activities originally funded.

Organizations receiving grant funds can only title their vehicle(s) to the grant recipient. It may be beneficial for recipients to co-title vehicles with local governmental entities, in order to take advantage of blanket insurance rates or to participate in bulk purchases of fuel, maintenance, and supplies. This is permitted where it results in a direct benefit to the recipient in providing special service, and as long as the recipient maintains continuing control over the vehicle and utilizes the vehicle for its authorized purpose.

One of the state's fundamental responsibilities is to establish continuing control over section 5316 funded vehicles and accept the responsibility for continued use of the vehicles for Section 5316 purposes.

FTA guidance provides states with discretionary authority in a number of related areas including:

Establishment of useful life standards for vehicles, and;

Development of policies and procedures for replacement of vehicles.

DRPT has established the useful life of all Section 5316 vehicles at a minimum of 4 years or 100,000 miles. DRPT is the first lien holder on all FTA Section 5316 equipment.

Subrecipients can request that DRPT release the titles of Section 5316 funded vehicles that have exceeded their useful lives. Requests for title release must be made to DRPT in writing and must document vehicle year, make, model, VIN, current mileage, and type of planned disposition. DRPT may also consider title release requests for vehicles within useful life guidelines due to extraordinary circumstances such as major mechanical failure.

If the vehicle is sold, the subrecipient must update the DRPT asset inventory record by recording the disposition, sales price, and date. Additionally, the subrecipient must retain and account for proceeds from the sale. Such proceeds may only be utilized to reduce the purchase price of a replacement vehicle.

Once a vehicle has exceeded its useful life and title has been released, compliance with FTA Section 5316 circular provisions on completion and retention of maintenance records, pre-trip inspection records, and ridership reporting requirements lapse. If the vehicle will be retained by the agency DRPT strongly recommends that the agency evaluate and determine through policy what record keeping remains required. For example, ADA compliance and continuing insurance coverage may require ongoing documentation of preventive maintenance etc.

If a subrecipient no longer needs the vehicle for the purpose for which it was acquired, and requests a title for a vehicle that is not past its useful life, then DRPT will seek to have the vehicle transferred to another eligible subrecipient. The original subrecipient will be reimbursed for 20 percent of the fair market value of the vehicle by the new subrecipient. If DRPT cannot find an eligible subrecipient for the vehicle and DRPT approves the sale of the vehicle by the original subrecipient, 80 percent of the proceeds of the vehicle sale must be returned to DRPT.

Subrecipients are required to report to DRPT when a 5316 funded vehicle is involved in a reportable incident.

A reportable incident is a safety or security incident that results in one or more of the following conditions:

- A fatality confirmed within 30 days of the incident;
- An injury requiring immediate medical attention away from the scene for one or more persons;
- Theft of the 5316 funded vehicle;
- Property damage equal to or exceeding \$5,000;
- Criminal charges filed against the subrecipient vehicle's driver

## 2) Governance

Grantees must have the legal capacity to receive federal and state grants. Grantees must have a designated body legally responsible for the overall organization, management and operation of the transportation system. The Board should be both representative of the community to provide management with community advice and bring management and other expertise from which transit management can draw. The Board should meet regularly and must conduct business in an open and transparent manner. The Board should set policy, goals, and objectives for the system and not involve itself in day-to-day operations.

## 3) Financial Management

Grantees must have sufficient local resources to provide the required match and carry out the proposed project. At least 20 percent of the local share must come from non-federal sources for capital costs and at least 50 percent of the local share must come from non-federal sources for operating costs. Grantees must also have the financial management systems to account for and report on JARC assistance. Grantees must maintain financial records for at least 3 years from the expiration date DRPT closes out the grant project in TEAM.

## 4) Satisfactory Continuing Control

Grantees must use FTA-funded equipment to provide transportation as described in the application. Grantees must maintain a combined single limit of insurance coverage of at least \$1 million on FTA-funded vehicles and must submit proof of insurance annually. Grantees must carry enough insurance to replace any FTA funded equipment such as, bus lifts, etc. Grantees must obtain prior written approval from DRPT before selling, leasing, or disposing of vehicles, equipment or facilities that have remaining federal interest. Grantees must have procedures to prevent loss, damage, or theft of FTA-funded property and inventory.

## 5) Personnel

Grantees should have Board-approved, personnel policies. Current job descriptions should be on file for every position. Maintain records for every transportation employee, including annual employee performance evaluation.

## 6) Equal Employment Opportunity (EEO)

Grantees may not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. Grantees must take affirmative action to ensure that applicants and employees receive fair treatment without regard to race, color, creed, national origin, sex, disability, or age. Grantees must post in conspicuous and accessible places and make available to employees and applicants for employment notices setting forth an EEO policy.

## 7) Maintenance

Grantees must have the managerial capability to maintain FTA-funded equipment and facilities. Grantees must have a written maintenance plan for vehicles and facilities and facility-related equipment. Grantees must maintain project equipment and facilities at a high level of cleanliness, safety, and mechanical soundness. Grantees must maintain all accessibility features and equipment in good operating condition. Grantees must have procedures to track when preventive maintenance inspections are due (by manufacture standards) and to schedule preventive maintenance inspections in a timely manner.

Grantees must have a pre-trip inspection program that addresses vehicle condition, appearance, cleanliness, and safety. Deficiencies noted in a pre-trip inspection must be repaired in a timely manner and properly reviewed by management.

Grantees must repair accessibility features promptly and take reasonable steps to continue service to persons with disabilities while repairs are being made. Grantees must maintain a file on each piece of equipment that contains daily logs, inspection checklists, and repair records.

## 8) Service Provision

Grantees should have effective procedures in order to ensure quality service delivery to the public. A comprehensive training program is a key component of a quality assurance program. Grantees should collect and use financial and operating data to monitor the effectiveness and efficiency of operations. Grantees should report key financial and operating data to their Boards.

## 9) Safety and Security

Grantees must document that drivers have a valid operator's license, have a safe driving record, and receive adequate training. DRPT recommends that all drivers have at least six hours of documented safety training per year. All safety devices must be in operative condition. All vehicles must have a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters. Drivers and in some instances passengers must wear seat belts.

Smoking is prohibited on all vehicles. Drivers must focus on driving and limit distractions when vehicles are in motion.

Drivers and other personnel must understand the need for vigilance in transportation settings to help prevent terrorism and – equally important – to deter crime and increase safety throughout transit systems.

#### 10) Americans with Disabilities Act (ADA)

Titles II and III of the Americans with Disabilities Act of 1990 (ADA) provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility. FTA sub-recipients must provide service for people with disabilities who are eligible for the agencies services.

#### 11) Meal Delivery and Incidental Use

Grantees may provide incidental service, including meal delivery, with FTA-funded vehicles but the service must not interfere with the provision of transit service and grantees must bear the costs of providing such incidental services.

#### 12) Title VI – Nondiscrimination in the Delivery of Service

FTA and DRPT prohibit discrimination on the grounds of race, color, national origin, sex, age, physical or mental disability, or religion in the delivery of transportation services. FTA also prohibits discrimination on the grounds of low-income status. Title VI complaints must be reported in writing (email is acceptable) to DRPT within 24 hours of receipt of the complaint.

## APPENDIX B - ELIGIBLE PROJECTS

According to FTA guidance funds from the JARC program can support capital, planning, and operating expenses that support the development and maintenance of transportation services designed to transport low-income individuals to and from jobs and activities related to their employment. (Due to scarcity of funds DRPT anticipates only supporting operating expenses)

Eligible projects may include, but are not limited to capital, planning, and operating assistance to support activities such as:

- a. Late-night and weekend service;
- b. Guaranteed ride home service;
- c. Shuttle service;
- d. Expanding fixed-route public transit routes;
- e. Demand-responsive van service;
- f. Ridesharing and carpooling activities;
- g. Transit related aspects of bicycling (adding bicycle racks to vehicles to support individuals that bicycle a portion of their commute or providing bicycle storage at transit stations);
- h. Local car loan programs that assist individuals in purchasing and maintaining vehicles for shared rides;
- i. Promotion, through marketing efforts, of the:
  - (1) use of transit by workers with non-traditional work schedules;
  - (2) use of transit voucher programs by appropriate agencies for welfare recipients and other low-income individuals;
  - (3) development of employer-provided transportation such as shuttles, ridesharing, carpooling; or
  - (4) use of transit pass programs and benefits under Section 132 of the Internal Revenue Code of 1986;
- j. Supporting the administration and expenses related to voucher programs. This activity is intended to supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Vouchers can be used as an administrative mechanism for payment to providers of alternative transportation services. The JARC program can provide vouchers to low income individuals to purchase rides, including (1) mileage reimbursement as part of a volunteer driver program, (2) a taxi trip, or (3) trips provided by a human service agency. Providers of transportation can then submit the

voucher to the JARC project administering agency for payment based on pre-determined rates or contractual arrangements. Transit passes for use on fixed route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense which requires a 50/50 (Federal/local) match;

- k. Applying Geographic Information System (GIS) tools;
- l. Implementing Intelligent Transportation Systems (ITS), including customer trip information technology;
- m. Integrating automated regional public transit and human service transportation information, scheduling and dispatch functions;
- n. Deploying vehicle position-monitoring systems;
- o. Establishing regional mobility managers or transportation brokerage activities. This includes supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a non-profit agency could receive JARC funding to share services it provides to its own clientele with low-income individuals and coordinate usage of vehicles with other non-profits. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:
  - (1) The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, older adults, and low income individuals;
  - (2) Support for short term management activities to plan and implement coordinated services;
  - (3) The support of State and local coordination policy bodies and councils;
  - (4) The operation of transportation brokerages to coordinate providers, funding agencies and customers;
  - (5) The provision of coordination services, including employer-oriented Transportation Management Organizations' and Human Service Organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;
  - (6) The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and
  - (7) Operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of

Geographic Information Systems (GIS) mapping, Global Positioning System technology, coordinated vehicle scheduling, dispatching and monitoring technologies as well as technologies to track costs and billing in a coordinated system and single smart customer payment systems (acquisition of technology is also eligible as a stand alone capital expense).

## APPENDIX C – COORDINATED PLANNING REQUIREMENTS

The following excerpt is from the U.S. DOT/FTA – Proposed Circular: Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions – FTA C 9070.1 G – posted by FTA on July 9, 2013. (Note: At the time of Application Guidance document publication, the Proposed Circular had not been finalized. The following proposed language represents the most current FTA guidance available, as of the publication date).

### COORDINATED PLANNING

4. THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLAN. Federal transit law, as amended by MAP-21, requires that projects selected for funding under the Section 5310, program be “included in a locally developed, coordinated public transit-human services transportation plan” and that the plan be “developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human services providers and other members of the public.” The experiences gained from the efforts of the Federal Interagency Coordinating Council on Access and Mobility (CCAM), and specifically the United We Ride (UWR) Initiative, provide a useful starting point for the development and implementation of the local public transit-human services transportation plan required under the Section 5310 program. Many States have established UWR plans that may form a foundation for a coordinated plan that includes the required elements outlined in this chapter and meets the requirements of 49 U.S.C. 5310.
5. DEVELOPMENT OF THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLAN.
  - a. Overview. A locally developed, coordinated public transit-human services transportation plan (“coordinated plan”) identifies the transportation needs of individuals with disabilities, seniors, and people with low incomes, provides strategies for meeting those local needs, and prioritizes transportation services for funding and implementation. Local plans may be developed on a local, regional, or statewide level. The decision as to the boundaries of the local planning areas should be made in consultation with the State, designated recipient, and the MPO, where applicable. The agency leading the planning process is decided locally and does not have to be the State or designated recipient.
6. In urbanized areas where there are multiple designated recipients, there may be multiple plans and each designated recipient will be responsible for the selection of projects in the designated recipient’s area. A coordinated plan should maximize the programs’ collective coverage by minimizing duplication of services. Further, a coordinated plan must be developed through a process that includes participation by seniors, individuals with disabilities,

representatives of public and private and non-profit transportation and human services transportation providers, and other members of the public. While the plan is only required in communities seeking funding under the Section 5310 program, a coordinated plan should incorporate activities offered under other programs sponsored by Federal, State, and local agencies to greatly strengthen its impact.

Required Elements. Projects selected for funding shall be included in a coordinated plan that minimally includes the following elements at a level consistent with available resources and the complexity of the local institutional environment:

- (5) An assessment of available services that identifies current transportation providers (public, private, and non-profit);
- (6) An assessment of transportation needs for individuals with disabilities and seniors. This assessment can be based on the experiences and perceptions of the planning partners or on more sophisticated data collection efforts, and gaps in service;
- (7) Strategies, activities, and/or projects to address the identified gaps between current services and needs, as well as opportunities to achieve efficiencies in service delivery; and
- (8) Priorities for implementation based on resources (from multiple program sources), time, and feasibility for implementing specific strategies and/or activities identified.

Local Flexibility in the Development of a Local Coordinated Public Transit-Human Services Transportation Plan. The decision for determining which agency has the lead for the development and coordination of the planning process should be made at the State, regional, and local levels. FTA recognizes the importance of local flexibility in developing plans for human service transportation. Therefore, the lead agency for the coordinated planning process may be different from the State or the agency that will serve as the designated recipient for the Section 5310 program. Further, FTA recognizes that many communities have conducted assessments of transportation needs and resources regarding individuals with disabilities and seniors. FTA also recognizes that some communities have taken steps to develop a comprehensive, coordinated, human service transportation plan either independently or through United We Ride efforts. FTA supports communities building on existing assessments, plans, and action items. As new Federal requirements must be met, communities may need to modify their plans or processes as necessary to meet these requirements. FTA encourages communities to consider inclusion of new partners, new outreach strategies, and new activities related to the targeted programs and populations.

Plans will vary based upon the availability of resources and the existence of populations served under these programs. A rural community may develop its plans based on perceived needs emerging from the collaboration of the planning partners, whereas a large urbanized community may use existing data sources to conduct a more formal analysis to define service gaps and identify strategies for addressing the gaps.

This type of planning is also an eligible activity under four other FTA programs—the Metropolitan Planning (Section 5303), Statewide Planning (Section 5304), Formula Grants for Rural Areas (Section 5311), and Urbanized Area Formula (Section 5307) programs, all of which may be used to supplement the limited (10 percent) planning and administration funding under this program. Other resources may also be available from other entities to fund coordinated planning activities. All “planning” activities undertaken in urbanized areas, regardless of the funding source, must be included in the Unified Planning Work Program (UPWP) of the applicable MPO.

Tools and Strategies for Developing a Coordinated Plan. States and communities may approach the development of a coordinated plan in different ways. The amount of available time, staff, funding, and other resources should be considered when deciding on specific approaches. The following is a list of potential strategies for consideration:

- (6) Community planning session. A community may choose to conduct a local planning session with a diverse group of stakeholders in the community. This session would be intended to identify needs based on personal and professional experiences, identify strategies to address the needs, and set priorities based on time, resources, and feasibility for implementation. This process can be done in one meeting or over several sessions with the same group. It is often helpful to identify a facilitator to lead this process. Also, as a means to leverage limited resources and to ensure broad exposure, this could be conducted in cooperation, or coordination, with the applicable metropolitan or statewide planning process.
  
- (7) Self-assessment tool. *The Framework for Action: Building the Fully Coordinated Transportation System*, developed by FTA and available at [www.unitedwerride.gov](http://www.unitedwerride.gov), helps stakeholders realize a shared perspective and build a roadmap for moving forward together. The self-assessment tool focuses on a series of core elements that are represented in categories of simple diagnostic questions to help groups in States and communities assess their progress toward transportation coordination based on standards of excellence. There is also a *Facilitator’s Guide* that offers detailed advice on how to choose an existing group or construct an ad hoc group. In addition, it describes how to develop elements of a plan, such as identifying the needs of targeted populations, assessing gaps and duplications in

services, and developing strategies to meet needs and coordinate services.

- (8) Focus groups. A community could choose to conduct a series of focus groups within communities that provides opportunity for greater input from a greater number of representatives, including transportation agencies, human service providers, and passengers. This information can be used to inform the needs analysis in the community. Focus groups also create an opportunity to begin an ongoing dialogue with community representatives on key issues, strategies, and plans for implementation.
- (9) Survey. The community may choose to conduct a survey to evaluate the unmet transportation needs within a community and/or available resources. Surveys can be conducted through mail, e-mail, or in-person interviews. Survey design should consider sampling, data collection strategies, analysis, and projected return rates. Surveys should be designed taking accessibility considerations into account, including alternative formats, access to the Internet, literacy levels, and limited English proficiency.
- (10) Detailed study and analysis. A community may decide to conduct a complex analysis using inventories, interviews, Geographic Information Systems (GIS) mapping, and other types of research strategies. A decision to conduct this type of analysis should take into account the amount of time and funding resources available, and communities should consider leveraging State and MPO resources for these undertakings.

4. PARTICIPATION IN THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLANNING PROCESS. Recipients shall certify that the coordinated plan was developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human services providers, and other members of the public. Note that the required participants include not only transportation providers but also providers of human services, and members of the public who can provide insights into local transportation needs. It is important that stakeholders be included in the development and implementation of the local coordinated public transit-human services transportation plan. A planning process in which stakeholders provide their opinions but have no assurance that those opinions will be considered in the outcome does not meet the requirement of "participation." Explicit consideration and response should be provided to public input received during the development of the coordinated plan. Stakeholders should have reasonable opportunities to be actively involved in the decision-making process at key decision points, including, but not limited to, development of the proposed coordinated plan document. The following possible strategies facilitate appropriate inclusion:

- e. Adequate Outreach to Allow for Participation. Outreach strategies and potential participants will vary from area to area. Potential outreach strategies could include notices or flyers in centers of community activity, newspaper or radio announcements, e-mail lists, website postings, and invitation letters to other government agencies, transportation providers, human services providers, and advocacy groups. Conveners should note that not all potential participants have access to the Internet and they should not rely exclusively on electronic communications. It is useful to allow many ways to participate, including in-person testimony, mail, e-mail, and teleconference. Any public meetings regarding the plan should be held in a location and time where accessible transportation services can be made available and adequately advertised to the general public using techniques such as those listed above. Additionally, interpreters for individuals with hearing impairments and English as a second language and accessible formats (e.g., large print, Braille, electronic versions) should be provided as required by law.
- f. Participants in the Planning Process. Metropolitan and statewide planning under 49 U.S.C. 5303 and 5304 require consultation with an expansive list of stakeholders. There is significant overlap between the lists of stakeholders identified under those provisions (e.g. private providers of transportation, representatives of transit users, and representatives of individuals with disabilities) and the organizations that should be involved in preparation of the coordinated plan.

The projects selected for funding under the Section 5310 program must be “included in a locally developed, coordinated public transit-human services transportation plan” that was “developed through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human services providers and participation by other members of the public.” The requirement for developing the local public transit-human services transportation plan is intended to improve services for people with disabilities and seniors. Therefore, individuals, groups, and organizations representing these target populations should be invited to participate in the coordinated planning process. Consideration should be given to including groups and organizations such as the following in the coordinated planning process if present in the community:

(1) Transportation partners:

- (a) Area transportation planning agencies, including MPOs, Councils of Government (COGs), Rural Planning Organizations (RPOs), Regional Councils, Associations of Governments, State Departments of Transportation, and local governments;
- (b) Public transportation providers (including ADA paratransit providers and agencies administering the projects funded under FTA urbanized and rural programs);

- (c) Private transportation providers, including private transportation brokers, taxi operators, van pool providers, school transportation operators, and intercity bus operators;
- (d) Non-profit transportation providers, including volunteer programs;
- (e) Past or current organizations funded under the Section 5310, JARC, and/or the New Freedom programs; and
- (f) Human service agencies funding, operating, and/or providing access to transportation services.

Passengers and advocates:

- (g) Existing and potential riders, including both general and targeted population passengers (individuals with disabilities and seniors);
- (h) Protection and advocacy organizations;
- (i) Representatives from independent living centers; and
- (j) Advocacy organizations working on behalf of targeted populations.

Human service partners:

- (k) Agencies that administer health, employment, or other support programs for targeted populations. Examples of such agencies include but are not limited to Departments of Social/Human Services, Employment One-Stop Services, Vocational Rehabilitation, Workforce Investment Boards, Medicaid, Community Action Programs (CAP), Agency on Aging (AoA); Developmental Disability Council, Community Services Board;
- (l) Non-profit human service provider organizations that serve the targeted populations;
- (m) Job training and placement agencies;
- (n) Housing agencies;
- (o) Health care facilities; and
- (p) Mental health agencies.

Other:

- (q) Security and emergency management agencies;
- (r) Tribes and tribal representatives;

- (s) Economic development organizations;
- (t) Faith-based and community-based organizations;
- (u) Representatives of the business community (e.g., employers);
- (v) Appropriate local or State officials and elected officials;
- (w) School districts; and
- (x) Policy analysts or experts.

Note: Participation in the planning process will not bar providers (public or private) from bidding to provide services identified in the coordinated planning process. This planning process differs from the project selection process, and it differs from the development and issuance of a Request for Proposal (RFP) as described in the common grant rule (49 CFR part 18).

- g. Levels of Participation. The suggested list of participants above does not limit participation by other groups, nor require participation by every group listed. Communities will have different types of participants depending on population and size of community, geographic location, and services provided at the local level. FTA expects that planning participants will have an active role in the development, adoption, and implementation of the plan. Participation may remain low even though a good faith effort is made by the lead agency to involve passengers, representatives of public, private, and non-profit transportation and human services providers, and others. The lead agency convening the coordinated planning process should document the efforts it utilized, such as those suggested above, to solicit involvement.

In addition, Federal, State, regional, and local policy makers, providers, and advocates should consistently engage in outreach efforts that enhance the coordinated process because it is important that all stakeholders identify the opportunities that are available in building a coordinated system. To increase participation at the local levels from human service partners, State Department of Transportation offices are encouraged to work with their partner agencies at the State level to provide information to their constituencies about the importance of partnering with human service transportation programs and the opportunities that are available through building a coordinated system.

- h. Adoption of a Plan. As a part of the local coordinated planning process, the lead agency in consultation with participants should identify the process for adoption of the plan. A strategy for adopting the plan could also be included in the State's State Management Plan (SMP) and the designated recipient's Program Management Plan (PMP) further described in Chapter VII.

FTA will not formally review and approve coordinated plans. The recipient's

grant application (see Appendix A) will document the plan from which each project listed is derived, including the lead agency, the date of adoption of the plan, or other appropriate identifying information. This may be done by citing the section of the plan or page references from which the project is derived.

## 5. RELATIONSHIP TO OTHER TRANSPORTATION PLANNING PROCESSES.

- a. Relationship Between the Coordinated Planning Process and the Metropolitan and Statewide Transportation Planning Processes. The coordinated plan may either be developed separately from the metropolitan and statewide transportation planning processes and then incorporated into the broader plans, or be developed as a part of the metropolitan and statewide transportation planning processes. If the coordinated plan is not prepared within the broader process, the lead agency for the coordinated plan should ensure coordination and consistency between the coordinated planning process and metropolitan or statewide planning processes. For example, planning assumptions should not be inconsistent.

Projects identified in the coordinated planning process, and selected for FTA funding must be incorporated into both the TIP and STIP in urbanized areas with populations of 50,000 or more; and incorporated into the STIP for rural areas under 50,000 in population. In some areas, where the coordinated plan or project selection is not completed in a timeframe that coincides with the development of the TIP/STIP, the TIP/STIP amendment processes will need to be utilized to include selected projects in the TIP/STIP before FTA grant award.

The lead agency developing the coordinated plan should communicate with the relevant MPOs or State planning agencies at an early stage in plan development. States with coordination programs may wish to incorporate the needs and strategies identified in local coordinated plans into statewide coordination plans.

Depending upon the structure established by local decision-makers, the coordinated planning process may or may not become an integral part of the metropolitan or statewide transportation planning processes. State and local officials should consider the fundamental differences in scope, time horizon, and level of detail between the coordinated planning process and the metropolitan and statewide transportation planning processes. However, there are important areas of overlap between the planning processes, as well. Areas of overlap represent opportunities for sharing and leveraging resources between the planning processes for such activities as: (1) needs assessments based on the distribution of targeted populations and locations of employment centers, employment-related activities, community services and activities, medical centers, housing, and other destinations; (2) inventories of transportation providers/resources, levels of utilization, duplication of service and unused capacity; (3) gap analysis; (4) any eligibility restrictions; and (5) opportunities for increased coordination of transportation

services. Local communities may choose the method for developing plans that best fits their needs and circumstances.

- e. Relationship Between the Requirement for Public Participation in the Coordinated Plan and the Requirement for Public Participation in Metropolitan and Statewide Transportation Planning. Title 49 U.S.C. 5303(i)(6) and 5304(f)(3), as amended by MAP-21, require MPOs and States to engage interested parties in preparing transportation plans, TIPs, and STIPs. “Interested parties” include, among others, affected public agencies, private providers of transportation, representatives of users of public transportation, and representatives of individuals with disabilities.

MPOs and/or States may work with the lead agency developing the coordinated plan to coordinate schedules, agendas, and strategies of the coordinated planning process with metropolitan and statewide planning in order to minimize additional costs and avoid duplication of efforts. MPOs and States must still provide opportunities for participation when planning for transportation related activities beyond the coordinated public transit-human services transportation plan.

- f. Cycle and Duration of the Coordinated Plan. At a minimum, the coordinated plan should follow the update cycles for MTPs (i.e., four years in air quality nonattainment and maintenance areas and five years in air quality attainment areas). States, MPOs, designated recipients, and public agencies that administer or operate major modes of transportation should set up a cycle that is conducive to and coordinated with the metropolitan and statewide planning processes, to ensure that selected projects are included in the TIP and STIP, to receive funds in a timely manner.
- g. Role of Transportation Providers that Receive FTA Funding Under the Urbanized and Rural Area Formula Grant Programs in the Coordinated Planning Process. Recipients of Section 5307 and Section 5311 assistance are the “public transit” in the public transit-human services transportation plan and their participation is assumed and expected. Further, 49 U.S.C. 5307(b)(5), as amended by MAP-21, requires that, “Each recipient of a grant shall ensure that the proposed POP provides for the coordination of public transportation services ... with transportation services assisted from other United States Government sources.” In addition, 49 U.S.C. 5311(b)(2)(C)(ii) requires the Secretary of DOT to determine that a State’s Section 5311 projects “provide the maximum feasible coordination of public transportation service ... with transportation service assisted by other Federal sources.” Finally, under the Section 5311 program, States are required to expend 15 percent of the amount available to support intercity bus service. FTA expects the coordinated planning process in rural areas to take into account human service needs that require intercity transportation.

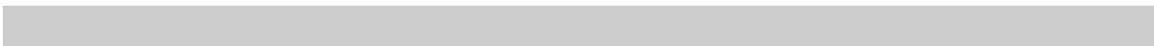
## APPENDIX D - PUBLIC NOTICE REQUIREMENTS

The grant applicant must provide an adequate opportunity for public review and comment on capital projects. This notice must be advertised in the local newspaper and should appear **AT LEAST 14 DAYS** before the application submittal deadline. In other words, the public notice should be advertised by **January 15, 2013**.

### Sample Public Notice

The Agency X, Inc. from Leesburg, Virginia proposes to provide transportation for developmentally disabled individuals in the county of Loudoun for the purpose of transporting developmentally disabled individuals to and from training, and other community integration and socialization projects. Funds are being requested from the Commonwealth of Virginia to purchase a 9-passenger van with a wheelchair lift through the FTA Job Access and Reverse Commute (JARC) Program (Section 5316). The goal of the JARC program is to improve access to transportation services to employment and employment related activities for welfare recipients and eligible low-income individuals and to transport residents of urbanized areas and nonurbanized areas to suburban employment opportunities. The vehicle will be used to transport wheelchair participants and ambulatory participants from their homes in Loudoun County to Agency X. and back to their homes from 6:00am to 6:00pm of the We invite any interested public or private transit or paratransit operator in the Leesburg-Loudoun area to comment on the proposed services by sending a written notice by **February 1, 2013** to Department Rail and Public Transportation – Public Transportation Division, 600 East Main Street, Suite 2102, Richmond, Virginia 23219, and to Agency X.P. O. Box 0000, Leesburg, Virginia 22075.

Note: An actual copy or reasonable facsimile of the notice as it appeared in the newspaper must be included in the application.



## 5.8 FTA Section 5317 New Freedom

### 5.8.1 Description

The New Freedom Program was authorized under the provisions set forth in the Safe, Accountable, Flexible, Efficient Transportation Equity Act, a Legacy for Users (SAFETEA-LU), enacted in 2005, as codified at 49 U.S.C. 5317. The Governor of Virginia has designated the Virginia Department of Rail and Public Transportation (DRPT) as the recipient of the New Freedom Program funds that are provided by the Federal Transit Administration (FTA) for areas of the Commonwealth with populations under 200,000 persons. MAP-21 repealed Section 5317 and made New Freedom projects eligible for funding under Section 5310. Additionally, FTA interim guidance indicates that unobligated funds appropriated or authorized in FY12 and prior years remain available for obligation, following program specific requirements established under SAFETEA-LU and prior authorizations. Consequently, DRPT is maintaining the New Freedom grant program and will assign any funded projects to the appropriate funding source.

Limited New Freedom Program funds are available for capital (limited to mobility management services) and operating expenses that support new public transportation services beyond those required by the Americans with Disabilities Act of 1990 (ADA), and new public transportation alternatives beyond those required by the ADA, designed to assist individuals with disabilities with accessing transportation services.

For the purpose of the New Freedom Program, **“new” service is any service or activity that was not operational before August 10, 2005 and did not have an identified funding source as of August 10, 2005, as evidenced by inclusion in the Transportation Improvement Plan (TIP) or the State Transportation Improvement Plan (STIP).** In other words, if not for the New Freedom Program, these projects would not have consideration for funding and proposed service enhancements would not be available for individuals with disabilities.

Both new public transportation services and new public transportation alternatives are required to go beyond the requirements of the ADA and must (1) be targeted toward individuals with disabilities; and (2) meet the intent of the program by removing barriers to transportation and assisting persons with disabilities with transportation, including transportation to and from jobs and employment services.

### 5.8.2 Eligible Recipients

DRPT is the designated recipient for Virginia's FTA Section 5317 program and, under MAP-21, can utilize Section 5310 funds to support projects meeting the former Section 5317 (New Freedom) requirements. Eligible applicants may submit applications to DRPT for evaluation and selection. There are three categories of eligible subrecipients of FTA New Freedom/Section 5310 funds under this grant program:

a. Private non-profit organizations. A non-profit organization is a corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501(c), which is exempt from taxation under 26 U.S.C. 501(a), or one which has been determined under State law to be non-profit and for which the designated State agency has received documentation certifying the status of the non-profit organization; and

b. Public operators of public transportation services..

c. Private operators of public transportation services. Private operators of public transportation services can partner with an eligible subrecipient and receive Federal funds; however they cannot be a direct subrecipient.

### 5.8.3 Eligible Expenses

There are three categories of eligible expenses: operating, administrative and capital. Below is a detailed description of the eligible expenses for each category.

- **Operating Expenses.** Eligible operating expenses include items such as fuel, oil, replacement tires, replacement parts, maintenance and repairs, driver's and mechanic's salaries and fringe benefits, dispatcher's salaries and fringe benefits, and licenses. Net operating expenses are those expenses that remain after operating revenues are subtracted from eligible operating expenses. At a minimum, operating revenues must include fare box revenues. Operating revenues are all revenues accrued to the benefit of the project and may include fare box revenue (passenger fares) and revenues from charter service. Fare box revenues include fares paid by passengers who are later reimbursed by a human service agency, or other user-side subsidy arrangements, but do not include payments made directly to the transit provider by human service agencies. The federal share of operating expenses may not exceed 50 percent.
- **Administrative Expenses** Eligible administrative expenses include items such as project director's salary, secretary and bookkeeper salaries, marketing expenses, office supplies, vehicle insurance and facility rental. The federal share of administrative expenses may not exceed 50 percent. Administrative expenses are including in each sub recipients operating expenses budget. DRPT does not create a separate administrative expense budget.

Mobility Management Expenses. Eligible expenses are limited to costs associated with mobility management projects. Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a non-profit agency could receive New Freedom funding to share services it provides to its own clientele with other individuals with disabilities and coordinate usage of vehicles with other non-profits. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. (See appendix b for additional discussion of eligible expenses).

#### 5.8.4 Match Ratio and Limits of Funding

Federal funds can be used to support up to 80 percent of the cost of mobility projects, and not more than 50 percent of the cost of operating assistance projects. Non-DOT federal funds and local and private funds can be used as a match.

Funds available to support New Freedom Projects are limited and competition for funding is expected to be intense. Applicants should completely justify all requested expenses and document that other funding is unavailable and that project costs represent a cost effective investment which will significantly assist individuals with disabilities with accessing public transportation services and alternatives.

Non-U.S. DOT Federal funds and local and private funds can be used to provide required matching funds (20% or 50%) . Sources for Non-DOT Federal funds include Temporary Assistance for Needy Families, Medicaid, employment training programs, Rehabilitation Services, and Administration on Aging. Examples of sources of local match which may be used for any or all of the local share include: State or local appropriations; dedicated tax revenues; private donations; revenue from human service contracts; toll revenue credits; and net income generated from advertising and concessions.

Projects demonstrating significant local investment, including cash match exceeding the required amount and demonstrating detailed cost assumption plans will receive funding preference.

#### 5.8.5 Application Evaluation Process

As the designated recipient of FTA Section 5317 program funds in areas under 200,000 in population and Section 5310 funds available to support New Freedom projects, DRPT is responsible for evaluating and selecting projects on a competitive basis. Once it has been established by DRPT that an applicant meets eligibility requirements, the application is evaluated for conformance with program criteria. DRPT uses the following criteria to allocate FTA Section 5317/5310 funds:

- **First Priority.** The first funding priority is to continue operating and mobility management assistance to current Section 5317/5311 recipients where there exists a continuing demand for public transportation service and/or mobility management initiatives, a need for government subsidy, and a commitment of local financial and administrative support.
- **Second Priority.** The second priority is the funding of operating and mobility management projects for new transportation systems.

DRPT will evaluate applications by validating the expenses and revenue sources submitted on the application, determining the eligibility of listed expenses based upon the criteria noted above in 5.8.3, requesting additional data or clarification

from applicants if necessary, and reviewing data submitted by the applicant for the previous year and any audited financial statements.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocations in the Draft Six Year Improvement Program. The CTB approves the release of the draft program to the public for comment. Following receipt of public comments, the CTB approves the final Six Year Improvement Program.

### **5.8.6 Application Procedure**

Applications for all programs are made online on DRPT's On-Line Grant Application system (OLGA) at: <https://olga.drpt.virginia.gov>.

All applicants shall provide the following documents during the application process:

- Certification that the project is part of the coordinated public transit-human services plan
- Completed New Freedom application
- Signed FTA certifications and assurances

Applications must meet a number of requirements which are detailed below:

#### **Coordinated Plan Requirements**

MAP-21 repealed Section 5317 and made New Freedom projects eligible for funding under Section 5310. Additionally, FTA interim guidance indicates that unobligated funds appropriated or authorized in FY12 and prior years remain available for obligation, following program specific requirements established under SAFETEA-LU and prior authorizations. FTA guidance implementing SAFETEA-LU requires that projects selected for funding under New Freedom programs be "derived from a locally developed, coordinated public transit-human services transportation plan" and that the plan be "developed through a process that includes representatives of public, private, and non-profit transportation and human services providers and participation by members of the public." In order to continue to most effectively meet the needs of individuals with disabilities, older adults, and people with low incomes and in order to maximize flexibility to use all available funds, all New Freedom applicants should address the coordinated planning process as described in Appendix C and reference appropriate components of the current Coordinated Human Services Mobility Plan for their region. The most recent Coordinated Human Services Mobility Plans can be found at [http://www.drpt.virginia.gov/activities/Transit\\_ref\\_materials.aspx](http://www.drpt.virginia.gov/activities/Transit_ref_materials.aspx).

#### **Public Notice**

Applicants are to develop and publish a public notice of intent to apply for a FTA Section 5310/New Freedom grant. This notice must be advertised in the local newspaper and should appear **AT LEAST 14 DAYS** before the application submittal deadline. In other words, the public notice should be advertised by January 17, 2014.

A copy of your public notice printed in your local paper must be attached to the application.

### **STIP/TIP Requirement**

To be eligible for funding, New Freedom projects in urbanized areas must be included in the Metropolitan Transportation Plan prepared and approved by the metropolitan planning organization (MPO), the Transportation Improvement Program (TIP) approved jointly by the MPO and the Governor, and the Statewide Transportation Improvement Program (STIP) developed by a State and jointly approved by FTA and Federal Highway Administration (FHWA). Projects outside urbanized areas must be included in the STIP. If your project is selected and you are part of an MPO, you must add your project to the local TIP. However, if you are outside of an MPO, DRPT will ensure that the project is included in the STIP.

### **Certifications and Assurances**

Applicants are strongly encouraged to review the Certifications and Assurances located in section 5.1.1 before beginning any work on their application. The Certifications and Assurances contain various requirements that must be met in order for an organization's application to be approved. Therefore, by submitting an application, organizations are agreeing to abide by these requirements and are assuring that they are able to sign the Certifications and Assurances if their application is awarded funding.

Applicants whose projects are selected for New Freedom Programs funds will be required to comply with all FTA requirements. **Specifically, the applicant will need to sign FTA's Certifications and Assurances for the specific funding programs for which their organization is applying**

A grant applicant applying for assistance under any FTA grant program must annually submit Certifications and Assurances that are applicable to the grant applicant's grant request during the fiscal year. FTA's annual Certifications and Assurances include basic program requirements for the New Freedom program. It is DRPT's responsibility to competitively select projects and certify that they are derived from a coordinated plan and that the local applicant's authorized representative has signed the affirmation page binding the applicant's compliance.

## APPENDIX A – TECHNICAL CAPACITY

### *Grant Administration*

Local grant recipients must have procedures for managing grants and submitting timely and complete reports. The local grant recipients, and ultimately DRPT, are responsible for administration and management of the grant in compliance with the grant agreement and other incorporated documents, including the statutes, regulations, the Master Agreement, and FTA circulars. Thus, DRPT must have a mechanism to ensure continuous administration and management of the grant projects. Based on FTA requirements, DRPT requires that there be a clear line of authority and responsibility for grant administration and for preparing required reports to DRPT.

Local grant recipients are required to have fiscal control and accounting procedures sufficient to:

- Permit preparation of required reports
- Permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes.

### *Program Management*

DRPT is required by FTA to ensure that recipients of New Freedom and other FTA assistance comply with Federal requirements.

#### 1) Vehicles and Equipment Management

FTA and DRPT encourage maximum use of vehicles funded under the Section 5317 program. Vehicles are to be used first for program related needs for which a Section 5317 grant is made, and then to meet other transportation needs of other Federal programs or project needs, provided that these other uses do not interfere with the project activities originally funded.

Organizations receiving grant funds can only title their vehicle(s) to the grant recipient. It may be beneficial for recipients to co-title vehicles with local governmental entities, in order to take advantage of blanket insurance rates or to participate in bulk purchases of fuel, maintenance, and supplies. This is permitted where it results in a direct benefit to the recipient in providing special service, and as long as the recipient maintains continuing control over the vehicle and utilizes the vehicle for its authorized purpose.

One of the state's fundamental responsibilities is to establish continuing control over section 5317 funded vehicles and accept the responsibility for continued use of the vehicles for Section 5317 purposes.

FTA guidance provides states with discretionary authority in a number of related areas including:

Establishment of useful life standards for vehicles, and;

Development of policies and procedures for replacement of vehicles.

DRPT has established the useful life of all Section 5317 vehicles at a minimum of 4 years or 100,000 miles. DRPT is the first lien holder on all FTA Section 5317 equipment.

Subrecipients can request that DRPT release the titles of Section 5317 funded vehicles that have exceeded their useful lives. Requests for title release must be made to DRPT in writing and must document vehicle year, make, model, VIN, current mileage, and type of planned disposition. DRPT may also consider title release requests for vehicles within useful life guidelines due to extraordinary circumstances such as major mechanical failure.

If the vehicle is sold, the subrecipient must update the DRPT asset inventory record by recording the disposition, sales price, and date. Additionally, the subrecipient must retain and account for proceeds from the sale. Such proceeds may only be utilized to reduce the purchase price of a replacement vehicle.

Once a vehicle has exceeded its useful life and title has been released, compliance with FTA Section 5317 circular provisions on completion and retention of maintenance records, pre-trip inspection records, and ridership reporting requirements lapse. If the vehicle will be retained by the agency DRPT strongly recommends that the agency evaluate and determine through policy what record keeping remains required. For example, ADA compliance and continuing insurance coverage may require ongoing documentation of preventive maintenance etc.

If a subrecipient no longer needs the vehicle for the purpose for which it was acquired, and requests a title for a vehicle that is not past its useful life, then DRPT will seek to have the vehicle transferred to another eligible subrecipient. The original subrecipient will be reimbursed for 20 percent of the fair market value of the vehicle by the new subrecipient. If DRPT cannot find an eligible subrecipient for the vehicle and DRPT approves the sale of the vehicle by the original subrecipient, 80 percent of the proceeds of the vehicle sale must be returned to DRPT.

Subrecipients are required to report to DRPT when a 5317 funded vehicle is involved in a reportable incident.

A reportable incident is a safety or security incident that results in one or more of the following conditions:

- A fatality confirmed within 30 days of the incident;
- An injury requiring immediate medical attention away from the scene for one or more persons;
- Theft of the 5317 funded vehicle;
- Property damage equal to or exceeding \$5,000;
- Criminal charges filed against the subrecipient vehicle's driver

## 2) Governance

Grantees must have the legal capacity to receive Federal and State grants. Grantees must have a designated body legally responsible for the overall organization, management, and operation of the transportation system. The Board should be both representative of the community to provide management with community advice and bring management and other expertise from which transit management can draw. The Board should meet regularly and must conduct business in an open and transparent manner. The Board should set policy, goals, and objectives for the system and not involve itself in day-to-day operations.

## 3) Financial Management

Grantees must have sufficient local resources to provide the required match and carry out the proposed project. At least 10 percent of the local share must come from non-federal sources for capital costs and operating costs. Grantees must also have the financial management systems to account for and report on New Freedom assistance. Grantees must maintain financial records for at least 3 years from the expiration date of the grant.

## 4) Satisfactory Continuing Control

Grantees must use FTA-funded equipment to provide transportation as described in the application. Grantees must maintain a combined single limit of insurance coverage of at least \$1 million on FTA-funded vehicles and must submit proof of insurance annually. Grantees must carry enough insurance to replace any FTA funded equipment such as, bus lifts, etc. Grantees must obtain prior written approval from DRPT before selling, leasing, or disposing of vehicles, equipment or facilities that have

remaining Federal interest. Grantees must have procedures to prevent loss, damage, or theft of FTA-funded property and inventory.

#### 5) Personnel

Grantees should have Board-approved personnel policies. Current job descriptions should be on file for every position. The Grantee should maintain records for every transportation employee, including annual employee performance evaluation.

#### 6) Equal Employment Opportunity (EEO)

Grantees may not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. Grantees must take affirmative action to ensure that applicants and employees receive fair treatment without regard to race, color, creed, national origin, sex, disability, or age. Grantees must post notices in conspicuous and accessible places and make available to employees and applicants for employment notices setting forth an EEO policy.

#### 7) Maintenance

Grantees must have the managerial capability to maintain FTA-funded equipment and facilities. Grantees must have a written maintenance plan for vehicles and facilities and facility-related equipment. Grantees must maintain project equipment and facilities at a high level of cleanliness, safety, and mechanical soundness. Grantees must maintain all accessibility features and equipment in good operating condition. Grantees must have procedures to track when preventive maintenance inspections are due (by manufacture standards) and to schedule preventive maintenance inspections in a timely manner.

Grantees must have a pre-trip inspection program that addresses vehicle condition, appearance, cleanliness, and safety. Deficiencies noted in a pre-trip inspection must be repaired in a timely manner and properly reviewed by management.

Grantees must repair accessibility equipment promptly and take reasonable steps to continue service to persons with disabilities while repairs are being made. Grantees must maintain a file on each piece of equipment that contains daily logs, inspection checklists, and repair records.

## 8) Service Provision

Grantees should have effective procedures in order to ensure quality service delivery to the public. A comprehensive training program is a key component of a quality assurance program. Grantees should collect and use financial and operating data to monitor the effectiveness and efficiency of operations. Grantees should report key financial and operating data to the Board.

## 9) Safety and Security

Grantees must document that drivers have valid operator's licenses, have safe driving records, and receive adequate training. DRPT recommends that all drivers have at least six hours of documented safety training per year. All safety devices must be in operative condition. All vehicles must have a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters. Drivers and in some instances passengers must wear seat belts. Smoking is prohibited on all vehicles. Drivers must focus on driving and limit distractions when vehicles are in motion.

Drivers and other personnel must understand the need for vigilance in transportation settings to help prevent terrorism and – equally important – to deter crime and increase safety throughout transit systems.

## 10) Americans with Disabilities Act

Titles II and III of the ADA provides that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility. FTA sub recipients must provide service for people with disabilities who are eligible for the agency service.

## 11) Meal Delivery and Incidental Use

Grantees may provide incidental service, including meal delivery with FTA-funded vehicles, but the service must not interfere with the provision of transit service and the grantee must bear the costs of providing such incidental services.

## 12) Title VI – Nondiscrimination in the Delivery of Service

FTA and DRPT prohibit discrimination on the grounds of race, color, national origin, sex, age, physical or mental disability, or religion in the delivery of transportation services. FTA also prohibits discrimination on

the grounds of low-income status. Title VI complaints must be reported to DRPT within 24 hours of receipt of the complaint.

## APPENDIX B - ELIGIBLE PROJECTS

Both new public transportation services and new public transportation alternatives are required to go beyond the requirements of the ADA and must (1) be targeted toward individuals with disabilities; and (2) meet the intent of the program by removing barriers to transportation and assisting persons with disabilities with transportation, including transportation to and from jobs and employment services.

**Applicants may not terminate paratransit enhancements or other services funded as of August 10, 2005, in an effort to reintroduce the services as “new” and then receive New Freedom funds for those services.**

**a. New Public Transportation Services Beyond the ADA. The following activities are examples of eligible projects meeting the definition of new public transportation.**

(1) Enhancing public transportation services beyond minimum requirements of the ADA. Paratransit services can be eligible under New Freedom in several ways as long as the services provided meet the definition of “new:”

- (a) Expansion of paratransit service parameters beyond the  $\frac{3}{4}$  mile required by the ADA;
- (b) Expansion of current hours of operation for paratransit services that are beyond those provided on the fixed-route services;
- (c) The provision of same day service;
- (d) Enhancement of the level of service by providing escorts or assisting riders through the door of their destination;
- (e) Acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for common wheelchairs under the ADA and labor costs of aides to help drivers assist passengers with over-sized wheelchairs. This would permit the acquisition of lifts with a larger capacity, instead of just modifications to lifts with a 600 lb design load, as well as the acquisition of heavier-duty vehicles for paratransit and/or demand-response service; and
- (f) Installation of additional securement locations in public buses beyond what is required by the ADA.

(2) Feeder services. New “feeder” service (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA.

(3) Making accessibility improvements to transit and intermodal stations not designated as key stations. Improvements for accessibility at existing transportation facilities that are not designated as key stations established under 49 CFR 37.47, 37.51, or 37.53, and that are not required under 49

CFR 37.43 as part of an alteration or renovation to an existing station, so long as the projects are clearly intended to remove barriers that would otherwise have remained. New Freedom funds are eligible to be used for new accessibility enhancements that remove barriers to individuals with disabilities so they may access greater portions of public transportation systems, such as fixed-route bus service, commuter rail, light rail, and rapid rail. This may include:

- (a) Building an accessible path to a bus stop that is currently inaccessible, including curbcuts, sidewalks, accessible pedestrian signals, or other accessible features,
- (b) Adding an elevator or ramps, detectable warnings, or other accessibility improvements that are not otherwise required under the ADA to a non-key station,
- (c) Improving signage, or wayfinding technology, or
- (d) Implementation of other technology improvements that enhance accessibility for persons with disabilities.
- (e) Travel training. New training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services.

**b. New Public Transportation Alternatives Beyond the ADA. The following activities are examples of projects that are eligible as new public transportation alternatives beyond the ADA under the New Freedom program:**

(1) Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs. New Freedom funds can be used to purchase and operate accessible vehicles for use in taxi, ridesharing and/or van pool programs provided that the vehicle has the capacity to accommodate a passenger who uses a "common wheelchair" as defined under 49 CFR 37.3, at a minimum, while remaining in his/her personal mobility device inside the vehicle, and meeting the same requirements for lifts, ramps and securement systems specified in 49 CFR part 38, subpart B.

(2) Supporting the administration and expenses related to new voucher programs for transportation services offered by human service providers. This activity is intended to support and supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Only new voucher programs or expansion of existing programs are eligible under the New Freedom program. Vouchers can be used as an administrative mechanism for payment of alternative transportation services to supplement available public transportation. The New Freedom program can provide vouchers to individuals with disabilities to purchase rides, including: (a) mileage reimbursement as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Providers of transportation can then submit the voucher for reimbursement to

the recipient for payment based on pre-determined rates or contractual arrangements. Transit passes for use on existing fixed-route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense which requires a 50/50 (Federal/local) match.

(3) Supporting new volunteer driver and aide programs. New volunteer driver programs are eligible and include support for costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, and other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs. The costs of new enhancements to increase capacity of existing volunteer driver programs are also eligible. FTA notes that any volunteer program supported by New Freedom must meet the requirements of both “new” and “beyond” the ADA. FTA encourages communities to offer consideration for utilizing all available funding resources as an integrated part of the design and delivery of any volunteer driver/aide program.

(4) Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation, through existing staff or personnel. Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a non-profit agency could receive New Freedom funding to share services it provides to its own clientele with other individuals with disabilities and coordinate usage of vehicles with other non-profits. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:

- (a) The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, older adults, and low income individuals;
- (b) Support for short-term management activities to plan and implement coordinated services;
- (c) The support of State and local coordination policy bodies and councils;
- (d) The operation of transportation brokerages to coordinate providers, funding agencies and customers;
- (e) The provision of coordination services, including employer-oriented Transportation Management Organizations’ and Human Service Organizations’ customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;
- (f) The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and

- (g) Operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of Geographic Information Systems (GIS) mapping, Global Positioning System technology, coordinated vehicle scheduling, dispatching and monitoring technologies as well as technologies to track costs and billing in a coordinated system and single smart customer payment systems (acquisition of technology is also eligible as a stand alone capital expense).

### **Regional Mobility Coordinator (RMC)**

The RMC would be an organization with overall regional responsibility for the arrangement and delivery of transportation services for older adults, people with disabilities, and people with lower incomes in their region. In this role, the RMC may facilitate transportation through local transportation operators, or provide all or part of services in the region directly.

While DRPT will work with interested and qualified providers on the pilot program specifics, overall objectives for the RMC would include:

- Creating a single regional system to provide general public and human service transportation without regard to jurisdictional boundaries.
- Providing simple, easily accessible means of making transportation arrangements.
- Establishing a single point of contact for obtaining information on existing transportation options.
- Maximizing use of the various Federal and State funding programs that fund public and human service transportation.
- Exploring opportunities for coordinating the use of Medicaid transportation funding.
- Increasing efficiencies and improving service quality, including use of centralized trip scheduling and making use of all available vehicles.
- Supporting emergency preparedness for potential assistance in evacuation or meeting other emergencies.

It is anticipated that initial RMC activities would include:

- Gathering appropriate data from agencies providing transportation services to identify duplication of services and opportunities for the RMC to provide coordinated services.

- Working with local providers and agencies to quantify unmet transportation needs in the region.
- Conducting an inventory of available vehicles for providing community transportation services.
- Working with local human service agencies to help determine transportation costs and explore opportunities to provide transportation through the RMC.
- Identifying and implementing ridesharing, vehicle sharing, joint maintenance, and other coordination opportunities.

The RMC Pilot Program will build upon existing coordination efforts and established organizational structures with sufficient technology capabilities. Therefore, eligible project expenses are limited to expenses related to the expanded responsibilities for serving as the RMC. It is anticipated that these would include administrative expenses for completing the initial activities and for operating coordinated transportation services.

Applicants for the RMC Pilot program should have the following program characteristics that will be used to select appropriate regional providers, and highlight and detail in their application:

- Current organizational structure and operational capacity to implement coordinated transportation services.
- Sufficient software for scheduling, dispatching, billing, and reporting trips funded through multiple sources.
- Capability to accept, arrange, and provide additional trips and to expand service hours as needed.
- High level of existing interagency coordination.
- Support from agencies and providers to serve as a RMC pilot

## APPENDIX C – COORDINATED PLANNING REQUIREMENTS

The following excerpt is from the U.S. DOT/FTA – Proposed Circular: Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions – FTA C 9070.1 G – posted by FTA on July 9, 2013. (Note: At the time of Application Guidance document publication, the Proposed Circular had not been finalized. The following proposed language represents the most current FTA guidance available, as of the publication date).

### COORDINATED PLANNING

#### 7. THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLAN.

Federal transit law, as amended by MAP-21, requires that projects selected for funding under the Section 5310, program be “included in a locally developed, coordinated public transit-human services transportation plan” and that the plan be “developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human services providers and other members of the public.” The experiences gained from the efforts of the Federal Interagency Coordinating Council on Access and Mobility (CCAM), and specifically the United We Ride (UWR) Initiative, provide a useful starting point for the development and implementation of the local public transit-human services transportation plan required under the Section 5310 program. Many States have established UWR plans that may form a foundation for a coordinated plan that includes the required elements outlined in this chapter and meets the requirements of 49 U.S.C. 5310.

#### 8. DEVELOPMENT OF THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLAN.

a. Overview. A locally developed, coordinated public transit-human services transportation plan (“coordinated plan”) identifies the transportation needs of individuals with disabilities, seniors, and people with low incomes, provides strategies for meeting those local needs, and prioritizes transportation services for funding and implementation. Local plans may be developed on a local, regional, or statewide level. The decision as to the boundaries of the local planning areas should be made in consultation with the State, designated recipient, and the MPO, where applicable. The agency leading the planning process is decided locally and does not have to be the State or designated recipient.

9. In urbanized areas where there are multiple designated recipients, there may be multiple plans and each designated recipient will be responsible for the selection of projects in the designated recipient’s area. A coordinated plan should maximize the programs’ collective coverage by minimizing duplication of services. Further, a coordinated plan must be developed through a process that includes participation by seniors, individuals with disabilities,

representatives of public and private and non-profit transportation and human services transportation providers, and other members of the public. While the plan is only required in communities seeking funding under the Section 5310 program, a coordinated plan should incorporate activities offered under other programs sponsored by Federal, State, and local agencies to greatly strengthen its impact.

Required Elements. Projects selected for funding shall be included in a coordinated plan that minimally includes the following elements at a level consistent with available resources and the complexity of the local institutional environment:

- (9) An assessment of available services that identifies current transportation providers (public, private, and non-profit);
- (10) An assessment of transportation needs for individuals with disabilities and seniors. This assessment can be based on the experiences and perceptions of the planning partners or on more sophisticated data collection efforts, and gaps in service;
- (11) Strategies, activities, and/or projects to address the identified gaps between current services and needs, as well as opportunities to achieve efficiencies in service delivery; and
- (12) Priorities for implementation based on resources (from multiple program sources), time, and feasibility for implementing specific strategies and/or activities identified.

Local Flexibility in the Development of a Local Coordinated Public Transit-Human Services Transportation Plan. The decision for determining which agency has the lead for the development and coordination of the planning process should be made at the State, regional, and local levels. FTA recognizes the importance of local flexibility in developing plans for human service transportation. Therefore, the lead agency for the coordinated planning process may be different from the State or the agency that will serve as the designated recipient for the Section 5310 program. Further, FTA recognizes that many communities have conducted assessments of transportation needs and resources regarding individuals with disabilities and seniors. FTA also recognizes that some communities have taken steps to develop a comprehensive, coordinated, human service transportation plan either independently or through United We Ride efforts. FTA supports communities building on existing assessments, plans, and action items. As new Federal requirements must be met, communities may need to modify their plans or processes as necessary to meet these requirements. FTA encourages communities to consider inclusion of new partners, new outreach strategies, and new activities related to the targeted programs and populations.

Plans will vary based upon the availability of resources and the existence of populations served under these programs. A rural community may develop its plans based on perceived needs emerging from the collaboration of the planning partners, whereas a large urbanized community may use existing data sources to conduct a more formal analysis to define service gaps and identify strategies for addressing the gaps.

This type of planning is also an eligible activity under four other FTA programs—the Metropolitan Planning (Section 5303), Statewide Planning (Section 5304), Formula Grants for Rural Areas (Section 5311), and Urbanized Area Formula (Section 5307) programs, all of which may be used to supplement the limited (10 percent) planning and administration funding under this program. Other resources may also be available from other entities to fund coordinated planning activities. All “planning” activities undertaken in urbanized areas, regardless of the funding source, must be included in the Unified Planning Work Program (UPWP) of the applicable MPO.

Tools and Strategies for Developing a Coordinated Plan. States and communities may approach the development of a coordinated plan in different ways. The amount of available time, staff, funding, and other resources should be considered when deciding on specific approaches. The following is a list of potential strategies for consideration:

- (11) Community planning session. A community may choose to conduct a local planning session with a diverse group of stakeholders in the community. This session would be intended to identify needs based on personal and professional experiences, identify strategies to address the needs, and set priorities based on time, resources, and feasibility for implementation. This process can be done in one meeting or over several sessions with the same group. It is often helpful to identify a facilitator to lead this process. Also, as a means to leverage limited resources and to ensure broad exposure, this could be conducted in cooperation, or coordination, with the applicable metropolitan or statewide planning process.
  
- (12) Self-assessment tool. *The Framework for Action: Building the Fully Coordinated Transportation System*, developed by FTA and available at [www.unitedweride.gov](http://www.unitedweride.gov), helps stakeholders realize a shared perspective and build a roadmap for moving forward together. The self-assessment tool focuses on a series of core elements that are represented in categories of simple diagnostic questions to help groups in States and communities assess their progress toward transportation coordination based on standards of excellence. There is also a *Facilitator’s Guide* that offers detailed advice on how to choose an existing group or construct an ad hoc group. In addition, it describes how to develop elements of a plan, such as identifying the needs of targeted populations, assessing gaps and duplications in

services, and developing strategies to meet needs and coordinate services.

- (13) Focus groups. A community could choose to conduct a series of focus groups within communities that provides opportunity for greater input from a greater number of representatives, including transportation agencies, human service providers, and passengers. This information can be used to inform the needs analysis in the community. Focus groups also create an opportunity to begin an ongoing dialogue with community representatives on key issues, strategies, and plans for implementation.
- (14) Survey. The community may choose to conduct a survey to evaluate the unmet transportation needs within a community and/or available resources. Surveys can be conducted through mail, e-mail, or in-person interviews. Survey design should consider sampling, data collection strategies, analysis, and projected return rates. Surveys should be designed taking accessibility considerations into account, including alternative formats, access to the Internet, literacy levels, and limited English proficiency.
- (15) Detailed study and analysis. A community may decide to conduct a complex analysis using inventories, interviews, Geographic Information Systems (GIS) mapping, and other types of research strategies. A decision to conduct this type of analysis should take into account the amount of time and funding resources available, and communities should consider leveraging State and MPO resources for these undertakings.

5. PARTICIPATION IN THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLANNING PROCESS. Recipients shall certify that the coordinated plan was developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human services providers, and other members of the public. Note that the required participants include not only transportation providers but also providers of human services, and members of the public who can provide insights into local transportation needs. It is important that stakeholders be included in the development and implementation of the local coordinated public transit-human services transportation plan. A planning process in which stakeholders provide their opinions but have no assurance that those opinions will be considered in the outcome does not meet the requirement of "participation." Explicit consideration and response should be provided to public input received during the development of the coordinated plan. Stakeholders should have reasonable opportunities to be actively involved in the decision-making process at key decision points, including, but not limited to, development of the proposed coordinated plan document. The following possible strategies facilitate appropriate inclusion:

- i. Adequate Outreach to Allow for Participation. Outreach strategies and potential participants will vary from area to area. Potential outreach strategies could include notices or flyers in centers of community activity, newspaper or radio announcements, e-mail lists, website postings, and invitation letters to other government agencies, transportation providers, human services providers, and advocacy groups. Conveners should note that not all potential participants have access to the Internet and they should not rely exclusively on electronic communications. It is useful to allow many ways to participate, including in-person testimony, mail, e-mail, and teleconference. Any public meetings regarding the plan should be held in a location and time where accessible transportation services can be made available and adequately advertised to the general public using techniques such as those listed above. Additionally, interpreters for individuals with hearing impairments and English as a second language and accessible formats (e.g., large print, Braille, electronic versions) should be provided as required by law.
  
- j. Participants in the Planning Process. Metropolitan and statewide planning under 49 U.S.C. 5303 and 5304 require consultation with an expansive list of stakeholders. There is significant overlap between the lists of stakeholders identified under those provisions (e.g. private providers of transportation, representatives of transit users, and representatives of individuals with disabilities) and the organizations that should be involved in preparation of the coordinated plan.

The projects selected for funding under the Section 5310 program must be “included in a locally developed, coordinated public transit-human services transportation plan” that was “developed through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human services providers and participation by other members of the public.” The requirement for developing the local public transit-human services transportation plan is intended to improve services for people with disabilities and seniors. Therefore, individuals, groups, and organizations representing these target populations should be invited to participate in the coordinated planning process. Consideration should be given to including groups and organizations such as the following in the coordinated planning process if present in the community:

(1) Transportation partners:

- (a) Area transportation planning agencies, including MPOs, Councils of Government (COGs), Rural Planning Organizations (RPOs), Regional Councils, Associations of Governments, State Departments of Transportation, and local governments;
  
- (b) Public transportation providers (including ADA paratransit providers and agencies administering the projects funded under FTA urbanized and rural programs);

- (c) Private transportation providers, including private transportation brokers, taxi operators, van pool providers, school transportation operators, and intercity bus operators;
- (d) Non-profit transportation providers, including volunteer programs;
- (e) Past or current organizations funded under the Section 5310, JARC, and/or the New Freedom programs; and
- (f) Human service agencies funding, operating, and/or providing access to transportation services.

Passengers and advocates:

- (g) Existing and potential riders, including both general and targeted population passengers (individuals with disabilities and seniors);
- (h) Protection and advocacy organizations;
- (i) Representatives from independent living centers; and
- (j) Advocacy organizations working on behalf of targeted populations.

Human service partners:

- (k) Agencies that administer health, employment, or other support programs for targeted populations. Examples of such agencies include but are not limited to Departments of Social/Human Services, Employment One-Stop Services, Vocational Rehabilitation, Workforce Investment Boards, Medicaid, Community Action Programs (CAP), Agency on Aging (AoA); Developmental Disability Council, Community Services Board;
- (l) Non-profit human service provider organizations that serve the targeted populations;
- (m) Job training and placement agencies;
- (n) Housing agencies;
- (o) Health care facilities; and
- (p) Mental health agencies.

Other:

- (q) Security and emergency management agencies;
- (r) Tribes and tribal representatives;

- (s) Economic development organizations;
- (t) Faith-based and community-based organizations;
- (u) Representatives of the business community (e.g., employers);
- (v) Appropriate local or State officials and elected officials;
- (w) School districts; and
- (x) Policy analysts or experts.

Note: Participation in the planning process will not bar providers (public or private) from bidding to provide services identified in the coordinated planning process. This planning process differs from the project selection process, and it differs from the development and issuance of a Request for Proposal (RFP) as described in the common grant rule (49 CFR part 18).

- k. Levels of Participation. The suggested list of participants above does not limit participation by other groups, nor require participation by every group listed. Communities will have different types of participants depending on population and size of community, geographic location, and services provided at the local level. FTA expects that planning participants will have an active role in the development, adoption, and implementation of the plan. Participation may remain low even though a good faith effort is made by the lead agency to involve passengers, representatives of public, private, and non-profit transportation and human services providers, and others. The lead agency convening the coordinated planning process should document the efforts it utilized, such as those suggested above, to solicit involvement.

In addition, Federal, State, regional, and local policy makers, providers, and advocates should consistently engage in outreach efforts that enhance the coordinated process because it is important that all stakeholders identify the opportunities that are available in building a coordinated system. To increase participation at the local levels from human service partners, State Department of Transportation offices are encouraged to work with their partner agencies at the State level to provide information to their constituencies about the importance of partnering with human service transportation programs and the opportunities that are available through building a coordinated system.

- l. Adoption of a Plan. As a part of the local coordinated planning process, the lead agency in consultation with participants should identify the process for adoption of the plan. A strategy for adopting the plan could also be included in the State's State Management Plan (SMP) and the designated recipient's Program Management Plan (PMP) further described in Chapter VII.

FTA will not formally review and approve coordinated plans. The recipient's

grant application (see Appendix A) will document the plan from which each project listed is derived, including the lead agency, the date of adoption of the plan, or other appropriate identifying information. This may be done by citing the section of the plan or page references from which the project is derived.

## 6. RELATIONSHIP TO OTHER TRANSPORTATION PLANNING PROCESSES.

- a. Relationship Between the Coordinated Planning Process and the Metropolitan and Statewide Transportation Planning Processes. The coordinated plan may either be developed separately from the metropolitan and statewide transportation planning processes and then incorporated into the broader plans, or be developed as a part of the metropolitan and statewide transportation planning processes. If the coordinated plan is not prepared within the broader process, the lead agency for the coordinated plan should ensure coordination and consistency between the coordinated planning process and metropolitan or statewide planning processes. For example, planning assumptions should not be inconsistent.

Projects identified in the coordinated planning process, and selected for FTA funding must be incorporated into both the TIP and STIP in urbanized areas with populations of 50,000 or more; and incorporated into the STIP for rural areas under 50,000 in population. In some areas, where the coordinated plan or project selection is not completed in a timeframe that coincides with the development of the TIP/STIP, the TIP/STIP amendment processes will need to be utilized to include selected projects in the TIP/STIP before FTA grant award.

The lead agency developing the coordinated plan should communicate with the relevant MPOs or State planning agencies at an early stage in plan development. States with coordination programs may wish to incorporate the needs and strategies identified in local coordinated plans into statewide coordination plans.

Depending upon the structure established by local decision-makers, the coordinated planning process may or may not become an integral part of the metropolitan or statewide transportation planning processes. State and local officials should consider the fundamental differences in scope, time horizon, and level of detail between the coordinated planning process and the metropolitan and statewide transportation planning processes. However, there are important areas of overlap between the planning processes, as well. Areas of overlap represent opportunities for sharing and leveraging resources between the planning processes for such activities as: (1) needs assessments based on the distribution of targeted populations and locations of employment centers, employment-related activities, community services and activities, medical centers, housing, and other destinations; (2) inventories of transportation providers/resources, levels of utilization, duplication of service and unused capacity; (3) gap analysis; (4) any eligibility restrictions; and (5) opportunities for increased coordination of transportation

services. Local communities may choose the method for developing plans that best fits their needs and circumstances.

- h. Relationship Between the Requirement for Public Participation in the Coordinated Plan and the Requirement for Public Participation in Metropolitan and Statewide Transportation Planning. Title 49 U.S.C. 5303(i)(6) and 5304(f)(3), as amended by MAP-21, require MPOs and States to engage interested parties in preparing transportation plans, TIPs, and STIPs. “Interested parties” include, among others, affected public agencies, private providers of transportation, representatives of users of public transportation, and representatives of individuals with disabilities.

MPOs and/or States may work with the lead agency developing the coordinated plan to coordinate schedules, agendas, and strategies of the coordinated planning process with metropolitan and statewide planning in order to minimize additional costs and avoid duplication of efforts. MPOs and States must still provide opportunities for participation when planning for transportation related activities beyond the coordinated public transit-human services transportation plan.

- i. Cycle and Duration of the Coordinated Plan. At a minimum, the coordinated plan should follow the update cycles for MTPs (i.e., four years in air quality nonattainment and maintenance areas and five years in air quality attainment areas). States, MPOs, designated recipients, and public agencies that administer or operate major modes of transportation should set up a cycle that is conducive to and coordinated with the metropolitan and statewide planning processes, to ensure that selected projects are included in the TIP and STIP, to receive funds in a timely manner.
- j. Role of Transportation Providers that Receive FTA Funding Under the Urbanized and Rural Area Formula Grant Programs in the Coordinated Planning Process. Recipients of Section 5307 and Section 5311 assistance are the “public transit” in the public transit-human services transportation plan and their participation is assumed and expected. Further, 49 U.S.C. 5307(b)(5), as amended by MAP-21, requires that, “Each recipient of a grant shall ensure that the proposed POP provides for the coordination of public transportation services ... with transportation services assisted from other United States Government sources.” In addition, 49 U.S.C. 5311(b)(2)(C)(ii) requires the Secretary of DOT to determine that a State’s Section 5311 projects “provide the maximum feasible coordination of public transportation service ... with transportation service assisted by other Federal sources.” Finally, under the Section 5311 program, States are required to expend 15 percent of the amount available to support intercity bus service. FTA expects the coordinated planning process in rural areas to take into account human service needs that require intercity transportation.

## APPENDIX D - PUBLIC NOTICE REQUIREMENTS

### Sample Public Notice

The XYZ, Inc. from \_\_\_\_\_, Virginia proposes to provide mobility management services consisting of short-range planning and management activities and projects for improving coordination among public transportation and other transportation service providers Funds are being requested from the Commonwealth of Virginia through the FTA Section 5317 Program We invite written public comment on the proposed mobility management services from any interested party, including public or private transit or paratransit operators in the \_\_\_\_\_ area. Comment letters should be sent by February 3, 2014 to the Virginia Department Rail and Public Transportation – Public Transportation Division, 600 E. Main Street, Suite 2102, Richmond, Virginia 23219, and to XYZ , Inc. P. O. Box 123 , \_\_\_\_\_, Virginia 22075.

Note: An actual copy or reasonable facsimile of the notice as it appeared in the newspaper must be included in the application.

