Fiscal Year 2014
Section 5310 Application

Federal Transit Administration (FTA) Assistance Application For:
Section 5310 Enhanced Mobility Of Seniors And Individuals With Disabilities

Type of Organization (Mark all that are applicable):

☐ Rural Transit District ☐ Urban Transit District

☐ Private Non-Profit Organization ☐ Private For-Profit Organization

Provider (Applicant) Legal Name:		
Organizational Unit (if applicable):		
Physical Address – No P.O. Box:		
City:	State:	Zip Code:
Fax Number:	E-Mail Address:	
Website Address:	County:	
Name of person to be contacted on matters involving this application:		Phone:
Name of person to be contacted in an emergency:		Phone:
Applicant's Payee Identification (PIN) Number (14 digits):		
Applicant's D-U-N-S number:		

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APPLICATION INSTRUCTIONS

Organizations applying for Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Funding Must turn in a completed application including: the Targeted Population Demographics Table, page 8, a completed "Obligation Certification", page 13 and the TxDOT Budget sheet.

Each page of a submitted application must be numbered. A page is defined as 11 or 12 point type, in Arial, Times New Roman, Calibri or Cambria font. **Any application that does not meet any or all of the above or below criteria may be rejected. We recommend that applicants review their applications for completeness and clarity.**

The local Public Transportation Coordinator will provide the schedule of due dates for the application and any other pertinent material not included in these instructions.

TERMS and ACRONYMS

Code of Federal Regulations – CFR

Department – The Texas Department of Transportation (TxDOT)

Director – The director of the TxDOT Public Transportation Division (PTN)

Federal Transit Administration – FTA

Metropolitan Planning Organization – MPO. The state and federally recognized policy board that makes transportation planning decisions in urbanized areas of 50,000 population or more and carries out an on-going transportation planning process.

Public Transportation Coordinator - (PTC). A PTN staff member assigned to oversee public transportation activity in a specific TxDOT district

Texas Administration Code – TAC

United States Code – U.S.C.

United States Department of Transportation (US DOT)

FY 2014 SECTION 5310 APPLICATION

The following information is derived from the Texas Administrative Code §31.31. This information includes the "key §5310 application concepts" for the State of Texas' §5310 program. All projects selected by the local stakeholders should take the §5310 goals and objectives and the "key §5310 application concepts" into consideration as they develop the local program of projects.

PROGRAM INFORMATION

Purpose

Section 5310, Federal Transit Act (49 U.S.C. §5310), authorizes the Secretary of the U.S. DOT to make grants for the provision of transportation services meeting the special needs of seniors and individuals with disabilities. The Texas Department of Transportation has been designated by the governor to administer the §5310 program. The Public Transportation Division, through its local Public Transportation Coordinators (PTCs), carries out an annual, local project selection process. PTCs also oversee the daily administration of §5310 grants.

Goal and Objectives

The department's goal in administering the §5310 program is to promote the availability of cost-effective, efficient, and coordinated passenger transportation services planned, designed and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate or unavailable, using the most efficient combination of financial and other resources. To achieve this goal, the objectives of the department are to:

1) Promote the development and maintenance of a network of transportation services for seniors and individuals with disabilities throughout the state, in partnership with local stakeholders;
2) Fully integrate the § 5310 program with other federal, state, and local resources and programs that are designed to serve similar populations;
3) Promote public transportation projects that exceed the requirements of the Americans with Disabilities Act (ADA);
4) Promote public transportation projects that decrease the reliance of individuals with disabilities on ADA complementary paratransit services;
5) Promote and encourage local participation, especially by seniors and individuals with disabilities or their advocates, in decision-making;
6) Improve the efficiency, effectiveness, and safety of §5310 transit systems through the provision of technical assistance; and
7) Include private sector operators in the overall plan to provide transportation for seniors and individuals with disabilities.

Eligibility

1) Existing rural transit districts and urban transit districts serving a population of less than 200,000 will be the primary recipients of funds for their respective service areas.
2) For an area not covered by a transit provider or for which the existing provider is not willing or able to provide the transportation, the PTN director may choose a local public entity or a private organization as an alternate recipient to receive §5310 funds. 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 also eligible alternate recipients.
3) In urbanized areas with a population of 200,000 or more, where the department selects projects, eligible recipients are transit authorities, other public transportation operators, or eligible alternate recipients under this program.

Administrative Expenses

Administrative expenses are not reimbursable.

Capital Expenses

1) The following categories of capital expenses are eligible for federal reimbursement under the §5310 program. With department concurrence, eligible items include:
   a) buses;
   b) vans or other paratransit vehicles;
   c) the acquisition of transportation services under a contract, lease or other arrangement;
   d) mobility management;
   e) curb cuts, sidewalks, pedestrian signals or other accessible features;
   f) radios and communication equipment;
   g) vehicle shelters;
   h) wheelchair lifts and restraints;
   i) vehicle rehabilitation, remanufacture, or overhaul;
   j) microcomputer hardware and software;
   k) initial component installation costs;
   l) vehicle procurement, testing, inspection, and acceptance costs;
   m) vehicle extended warranties that do not exceed industry standards;
   n) the lease of equipment, provided that the local recipient determines a lease is more cost effective than the purchase of equipment after considering management efficiency, availability of equipment, staffing capabilities and guidelines on capital leases as contained in 49 CFR Part 639;
   o) transit-related intelligent transportation systems;
   p) the introduction of new technology, through innovative and improved products, into mass transportation; and.
   q) the acquisition of preventive maintenance services and vehicle parts associated with preventive maintenance services.
2) Federal funds may be used to defray up to 80% of the cost of eligible capital expenditures.
3) The federal share may increase to up to 85 percent of the net project cost for a project that involves acquiring vehicles for the purpose of complying with the Americans with Disabilities Act or the Clean Air Act.
4) The federal share may increase to up to 90% for incremental costs related to compliance with the Clean Air Act in areas of air quality non-attainment or with the Americans with Disabilities Act of 1990, with concurrence from the department.

Operating Expenses

1) Operating expenses are costs that are directly tied to transit operations, such as costs for fuel; oil; replacement parts; and driver, mechanic, and dispatcher salaries.
2) Operating expenses may be reimbursed at 50 percent of net operating expense. Net operating expenses are those expenses that remain after fare box revenues are subtracted from eligible operating expenses.

NOTE: Regardless of type, all expenses are reimbursed, that is, the applicant must incur the cost before it can ask for grant funds.

Local Share Requirements

1) Eligible sources to satisfy local share requirements may be derived from the following:
   a) An undistributed cash surplus, or a replacement or depreciation cash fund or reserve;
   b) A service agreement with a state or local social service agency, or a private social service organization;
   c) Amounts appropriated or otherwise made available to a U.S. department or agency that are eligible to be expended for transportation;
   d) Funds to carry out the federal lands highway program established by 23 U.S.C. Section 204;
   e) Funds available under Section 403(a)(5)(C)(vii) of the Social Security Act (4 U.S. C. 603(a)(5)(C)(vii);
   f) In-kind contributions, volunteer services and donations attributable to the project if the value is documented and previously approved by the department;
   g) Transportation development credits, with prior department approval.
2) Funds from any other U.S. DOT program are not eligible for use as local matching funds.

APPLICATION REQUIREMENTS

Purpose

A prospective applicant must submit an application for §5310 grant funds at the time specified by the department. The application must document the need and demand for passenger transportation services for seniors and individuals with disabilities, and also must document inclusion of the project in the coordinated public transit-human service transportation plan.

Project Selection

To select projects, the department will consult with all local parties, including metropolitan planning organizations, and follow the procedures set out below.

1) Public Transportation Coordinators will establish, after consultation with local stakeholders, processes for local planning and project development, and public outreach. In an effort to streamline decision-making processes and maximize coordination opportunities, the department may choose to combine contiguous department district boundaries for stakeholder engagement, project selection, and public outreach. The stakeholder groups should include representatives of the following groups, further defined in draft FTA Circular 9070.1G, ("Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions") or its latest version:
   a) Transportation partners;
   b) Passengers and advocates;
   c) Human service and work force agencies; and
   d) Others, such as emergency management agencies.
2) ***In recommending projects, stakeholder groups should consider the program goals and objectives and consider projects that:***
   a) Leverage existing resources and promote innovation;
   b) Are the only public transportation option for the proposed service area;
   c) Are sustainable over time;
   d) Demonstrate efficient use of resources;
   e) Involve partnerships that include other organizations and for-transportation providers; or
   f) Provide service continuity.

3) Not more than 45 percent of the funds allocated by district boundaries or combination of district boundaries may be used for operating expenses. This cap applies to both urbanized areas and rural areas, respectively.

4) The following requirements apply to all projects recommended for funding.
   a) There must be a demonstrated need for any capital purchases. Examples of items that may be used to demonstrate need include a needs assessment[1] that documents the demand for new services, a vehicle inventory that establishes the need for replacement of older equipment, dispatcher logs that document requests for service that cannot be met with existing equipment, and purchase of service contracts that substantiate the need for additional vehicles.
   b) The proposed applicant must be able to demonstrate its financial and managerial capability to carry out the project. Examples of items that may be used to demonstrate the capability include audited financial statements and review letters from grantor agencies.
   c) Consideration should be given to the applicant's past efforts to coordinate services and related activities with other local entities. Examples showing those efforts include contracts that outline purchase of service agreements, shared maintenance or dispatching functions, and joint training initiatives.
   d) There should be evidence of local support for the proposal. Examples of that evidence include resolutions by local governing bodies and endorsement letters from other organizations or individuals.
   e) The project must be included in the coordinated public transit-human service transportation plan[2].
5) Based on stakeholder input[3], the PTC will rank projects in priority order.
6) Following Transportation Commission approval, the department will negotiate a contract with the selected local entities and organizations to implement the projects selected for funding.

NEW FROM MAP 21:
Projects selected in urbanized areas *must* have a letter of support from the MPO director stating that the project is consistent with the long range transportation plan and will be amended into the Transportation Improvement Program (TIP) when so directed by TxDOT.

[1] The locally developed coordinated public transit-human service transportation plan may be used to document the need for capital purchases.
[2] According to the draft FTA §5310 Circular 9070.1G "inclusion" means an activity, strategy, goal or objective.
[3] For the §5310 process, stakeholder input and project evaluation is the primary methodology for project selection.

TARGET POPULATION DEMOGRAPHICS

Per Draft FTA Circular 9070.1G, "Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions", demographic information targets a specific population that is to be served by addressing gaps in service that would not otherwise be available.

An applicant who cannot provide demographic information is not eligible for Section 5310 funding. The Federal Transit Administration defines the following:

Senior is defined as an individual who is 65 years of age or older**.**

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

Provide your current demographic information. Exact counts are preferred, but estimates are acceptable.

Note 1: A passenger is counted only once.

Note 2: National origin information is not evaluated; it is collected and reported to the FTA.

Per FTA Circular, provide the total number of passengers **currently** served by your agency's transportation program	Per FTA Circular, provide the percent of national origins **currently** served by your program. (Total 100%)
Number of seniors _____%	American Indian & Alaska Native _____%
Number of persons w/disabilities _____%	Asian _____%
Number of elderly w/disabilities _____%	Caucasian _____%
General Public Transportation _____%	Black or African American _____%
	Hispanic or Latino _____%
Total must be 100 _____%	Native Hawaiian & Other _____%
	All Other _____%
	Total must be 100 _____%

EVALUATION CRITERIA

Please indicate which of the following 5310 key concepts best describes the project that the funding being applied for represents:

☐ **The project will be sustainable over time.**
☐ **The project will provide service continuity.**
☐ **The project demonstrates efficient use of resources.**
☐ **The project represents the only public transportation option for the proposed service area.**
☐ **The project leverages existing resources and promotes innovation;**
☐ **The project involves partnerships that include other organizations and for-profit transportation providers.**

When preparing responses to the evaluation criteria, pay careful attention to the goals and objectives of the §5310 program and take into consideration the "key §5310 concepts" referenced above.

SECTION I – Project Description. Limit 1 page[4] (0 points)

Provide a description of the proposed project. The project description will not be scored; however it should be clear and concise. The response to this section should include, but is not limited to, answers to the following questions:

1. What is the relationship of the project to the §5310 objectives and the §5310 key concepts (referenced above)?

2. What population does the project target?

3. What is the general geographic area served by the project?

4. What are the project's proposed origins/destinations?

5. Who are the proposed project partners?

SECTION II – Inclusion in the Coordinated Public Transit-Human Service Transportation Plan and Vehicle Use. Limit 1 page (Maximum 20 points)

The response to this section should include the answers to the following questions regarding coordination with other local agencies.

1. Is the proposed project consistent with the coordinated public transit-human service transportation plan? Show the specific reference in the coordinated plan.

2. Explain how the proposed project addresses gaps/barriers identified in the coordinated public transit-human service transportation plan.

3. Explain how the project will coordinate the use of the vehicle(s) or equipment requested for the project. If the project does not coordinate with another entity, identify attempts that have been made to coordinate with another agency and explain why coordination isn't possible.

[4] A page is defined as 11 or 12 point type, single spaced, on 8.5" x 11" paper.

SECTION III – Project Need Requirement. Limit 2 pages (Maximum 40 points)

Provide a description of evidence of an applicant's need for service and/or equipment. Describe how the proposed project maintains or improves mobility for seniors and persons with disabilities in the community. For example was the need based on customer input; a request from a local agency that serves the targeted population(s); a gap in service that the project would fill; a project that maintains existing service; or a project that is the only public transportation option for the service area? The need for a project is not limited to these examples.

Provide enough information in the application to demonstrate a clear need for the proposed project including, but not limited to:

1. An explanation as to how the need for the project was determined.

2. Why your proposed service is needed. Describe the passengers you will serve and their travel needs. Indicate why this project is needed in addition to existing services. What changes in service, if any, will be made as a result of this grant?

3. An explanation of how the project relates to the 5310 key concepts: is sustainable over time; provides service continuity; demonstrates efficient use of resources; is the only public transportation option for the proposed service area; leverages existing resources; promotes innovation; and/or involves partnerships that include other organizations and for-profit transportation providers.

Need for Operating and Purchase of Service

4. If the project is for operating funds or purchase of service, include in the project description:
   a) Days of service for the proposed project,
   b) Projected service hours per week for the proposed project,
   c) How the project is coordinated with other transportation service in the local area, and
   d) The projected number of one way trips. A trip is counted each time a passenger boards a vehicle. There may be multiple boardings between the origin and ultimate destination.

Need for Vehicles

5. If the application is requesting vehicle(s), explain why:
   a) Your organization needs this grant to buy vehicles rather than purchase service from other firms or agencies that already own vehicles. Address the condition of your current fleet and discuss why your agency wishes to acquire vehicles.
   b) You are requesting the number and type of vehicles. This explanation should be based on the volume of rides, service hours and miles operated, the cost of service, and accessibility needs.

Need For Other Capital Equipment.
Other equipment includes, but is not limited to: Radios, Computers and Computer Hardware/Software, Preventive Maintenance, etc. If your application includes the need for additional equipment answer the following questions:

6. How the determination was made that other equipment will provide critical support to the applicant's transportation program; and/or increase or maintain service to seniors and individuals with disabilities?

7. An explanation of how the "other equipment" need is critical or that the "other equipment" provides an important component to a coordinated system.

8. If related to vehicles, the number of vehicles the proposed equipment is expected to serve.

SECTION IV – Financial and Managerial Capability. Limit 1 page (Maximum 25 points)

Provide documentation that the applicant has the financial and managerial capability to provide efficient and effective public transportation services. Information in this section should include, but is not limited to:

1. A description of the applicant's experience providing existing specialized transportation services for seniors and persons with disabilities or

2. The experience the applicant has providing social services (non-transportation) for seniors or individuals with disabilities.

   Include as attachments the applicant's annual budget or other funding sources. Additional information demonstrating financial capability may also be included.

SECTION V – Local Support for the Proposed Project. Limit 2 pages (Maximum 15 points)

In this section provide information and documentation regarding local support for the proposed project. Documentation in this section should include but is not limited to the following:

1. List the sources of funds to be used to match the federal grant. When funds are to be provided by a third party, include evidence of their willingness to supply these funds (i.e., letter from third party CEO).

2. Provide evidence that the applicant participates in the local coordinated public transit-human service transportation planning process,

3. Letters of support for the proposed project should be provided from representatives of the local senior and persons with disabilities communities, local public bodies or local elected officials, and

4. Provide a description of how the community will provide continuing input on the proposed project, if selected; or provide a description of how the community provided input on the proposed project.

5. **NEW: Projects selected in urbanized areas *must* have a letter of support from the MPO director stating that the project is consistent with the long range transportation plan and will be amended into the Transportation Improvement Program (TIP) when so directed by TxDOT.**

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BUDGET

Provide a **detailed** Project Budget as to how the applicant intends to spend requested grant funds. Excel Project Budget Worksheets are available at http://www.txdot.gov/inside-txdot/division/public-transportation/local-assistance.html

When using the TxDOT Excel Project Budget(s):

1. Input information in white cells only, Do not change the spreadsheet format or internal codes in any way.

2. Input individual unit cost and the number of units (if applicable) to show the total project cost for each line item.

3. Input the federal funds requested and the match amounts for each line item.

   NOTE: The spreadsheet will validate the percentage of match automatically based on the total in column F. For instance, if the total for one vehicle is $100,000 and you are requesting $85,000 in federal funds and have a match amount of $15,000 the spreadsheet will show 85% Fed% and 15% Match%.

4. If Transportation Development Credits (TDC) are requested as all or part of the match

   - Select Yes or No from the drop down box in the TDC column to indicate TDC are being requested as match. Make sure the full cost of the capital item (minus any local match if any) is shown in the in the "Requested Federal Funds" in the Application Budget Workbook or in the "Total" for the State Planning Assistance workbook.

   - TxDOT will calculate the appropriate TDC amount. More information on TDCs can be found at 43 TAC Chapter 5 at http://info.sos.state.tx.us/pls/pub/readtac$ext.ViewTAC?tac_view=5&ti=43&pt=1&ch=5&sch=H&rl=Y

5. The budget sheet has a column for FTA ALI codes which define the type of expense. For more information on ALI codes refer to FTA at http://www.fta.dot.gov/documents/ALI_tree_March30_2006.pdf

   PTCs can also provide assistance with finding the appropriate ALI code.

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Obligation Certification

As an authorized official of the _____
(Organization Name)

I certify to the following:

1. The information presented in the application is true and accurate to the best of my knowledge.
2. I have not intentionally made any misstatements or misrepresented the facts.
3. The organization has the resources and technical capacity to support the project.
4. The organization has the resources to provide the required match.
5. The organization uses generally accepted accounting standards for its financial recordkeeping functions.
6. The organization will participate in a continuous, comprehensive dialogue throughout the life of the project including but not limited to:

    - On-site monitoring by TxDOT personnel
    - Timely submission of required reports
    - Timely written notification of events that will affect the outcome of the project.

7. The organization will comply with all applicable federal, state and local laws and regulations. This includes but is not limited to:

    - Annual Federal Certifications and Assurances.
    - Master grant agreements
    - Project grant agreements
    - Applicable federal program circulars and similar federal guidance

8. **Applicant Affirmation:** Compensation has not been received for participation in the preparation of the specifications for this call for projects.

Signed: _____

Printed/Typed Name: _____

Title: _____

Date: _____