Coordinated Mobility Program

Section 5310

Enhanced Mobility of Seniors and Individuals with Disabilities

Grant Guidebook

FY 2016

Arizona Department of Transportation
Multimodal Planning Division
206 South 17th Avenue, Mail Drop 340B
Phoenix, AZ 85007

**This version supersedes all previous versions of this guide. This Guidebook is a 2016 interim update.*

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SECTION I. OVERVIEW

A. INTRODUCTION

The Multimodal Planning Division (MPD) of the Arizona Department of Transportation (ADOT) administers several Federal Transit Administration (FTA) grant programs for the State of Arizona. This guidebook details the program requirements for the FTA Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities grant program. ADOT refers to this program as the "Coordinated Mobility Program."

The Coordinated Mobility Program, FTA Section 5310, is a grant program that provides funding to assist with costs for mobility management activities, the purchase of capital equipment, and operations to meet the mobility needs of seniors (sixty five years and over) and individuals with disabilities of any age. Funds are primarily used to support mobility management activities that provide innovative and coordinated transportation services and to purchase vehicle for agencies that work within a coordinated framework of service provision for seniors and individuals with disabilities. ADOT puts an emphasis on the mobility management concept to encourage the best use of available resources.

ADOT works closely with regional transportation planning agencies to solicit, review and award grant applications under the Coordinated Mobility Program. In rural areas of Arizona these agencies are Council of Governments (COG). In urbanized areas, Metropolitan Planning Organizations (MPO) fill this role.

In previous years, ADOT managed three grant programs as part of the Coordinated Mobility Programs, to include the Section 5316 (Job Access and Reverse Commute) and the Section 5317 (New Freedom) programs. New federal requirements under the federal transportation law, MAP-21, repealed both of these grant programs and these grant funds for operating projects are no longer available. Because the Coordinated Mobility Program now only offers grant assistance through one grant program, 2016 continues to be a transition year in which ADOT, the COGs/MPOs, and the agencies who previously received 5316 and 5317 funding for program operations will need to work together to develop and fund operating projects that best meet coordination and mobility management objectives statewide.

This Guidebook serves as interim guidance to administering and carrying out the 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance. The President signed the FAST Act (Fixing America's Surface Transportation Act) on December 4, 2015 creating a new Federal Transportation Law, effective for Federal Fiscal Year (FFY) 2016 funding. The Statutory Reference for this guidance can be found in 49 U.S.C. section

5310/ FAST Act Section 3006. The State of Arizona plans to utilize both MAP 21 (FFY 2015 funding Federal Transportation Law) and FAST Act funding in FFY 2017. This guidebook will be updated once the FAST Act 5310 Circular is released by the Federal Transit Administration.

This Guidebook provides all the basic information needed to understand what is required to apply for Section 5310 grant funds as well as what the program responsibilities are once funded.

It is the responsibility of every grantee and sub-recipients of 5310 Federal Transit Administration funds, distributed by and through the State of Arizona, to understand and adhere to the guidance herein.

B. COG/MPO RESPONSIBILITIES

As stated in the previous section, ADOT works closely with the COG or MPO in each region and these organizations have significant responsibilities in the assisting ADOT in managing the Section 5310 grant process.

Major responsibilities include:

- Developing and maintaining each regional Coordinated Public Transit - Human Services Transportation Plan.
- Prioritizing regional project funding recommendations based on Coordination Plan defined goals and objectives, as well as funding availability.
- Reviewing and approving all eligible applications in E-Grants prior to submission to ADOT for state review.
- Providing technical assistance to applicants and subsequent grant subrecipients in each region in meeting federal and state grant requirements.
- Coordinating transportation activities in the region, within a mobility management framework.
- Any and all duties and deliverables associated with the scope of work attached to every Mobility Management contract.

Applicants are to work directly with their local COG or MPO staff on Section 5310 application requirements. The COG or MPO is responsible for managing regional coordination councils, which, in turn, develop regional coordination plans and prioritize projects to be funded in each region. Applicants should participate actively in a regional coordinating council in order for projects to be considered for funding.

C. PROGRAM UPDATES – NEW FOR 2016

The application and subsequent documents are managed through E-Grants. The application and all subsequent documents used to manage grant funds are offered online through an electronic system called E-Grants. All applicants are required to obtain login information to access the system, and then create both organization and user profiles and submit application forms and documents within the E-Grants system. *Hard copy applications are not accepted.*

ADOT continues to provide technical assistance in the form of workshops, webinars, and written instruction to assist applicants. One method of assistance is a user manual entitled "Section 5310 Application Instructions." This manual explains how to access, complete and submit an application through the system and provides step-by-step instruction. Go to azdot.gov, Planning, Transit Programs and Grants, Program Handbooks, Applications and Awards to access the Section 5310 Application Instructions manual.

Increased Coordination Plan emphasis*.* New federal guidance and subsequent state emphasis now requires all projects applied for under the Section 5310 program to be "included in" the most recent version of a region's Coordinated Public Transit – Human Service Transportation Plan. See Section II, 5310 Grant Program, Part I, Eligibility Requirements, Subsection B, for more information on Coordination Plan requirements.

ADOT is now the primary agency that scores applications and determines funding decisions. In the past, ADOT worked in conjunction with the regional COGs and MPOs to score 5310 applications and make funding decisions. Starting with the FY 2015 Application Cycle, the COGs and MPOs will no longer be responsible for scoring and ranking submitted 5310 applications in each region. Instead, COGs and MPOs are primarily responsible for keeping their Regional Coordination Plans current by submitting annual updates to ADOT which include 5310 projects applied for in each region and a prioritization of those projects within the context of the region's overall coordination plan goals and objectives. ADOT will take the prioritization list provided by the COGs/MPOs and compare this information with the applications submitted and the scores derived during its internal application evaluation process to help determine funding awards, in line with FTA requirements. Mobility Managers located within a COG and/or an MPO will be required to review and certify that every 5310 application in their region are eligible recipients, the project is located in the Human Service Coordinated Plan and that the project is recommended for funding on the project prioritization list. This certification process will be done through E-grants before the application is given to ADOT for review and approval.

Maxivan With Lift no longer available*.* As of the FY 2014 application cycle, vehicle manufacturers no longer produce the type of vehicle ADOT considered a Maxivan With Lift. To compensate, ADOT now provides two different passenger capacity Cutaways With Lift, 9 passenger and 14 passenger. See Section II, 5310 Grant Program, Part I Eligibility

Requirements, Subsection D, for more information on the types of vehicles ADOT procures.

Single Audit Requirements. Starting with FY 2013 contract awards forward, per the ADOT Grant Agreement Section 13: "Audit," ADOT requires subrecipients that expend $500,000 or more in funding from *all* federal agencies in a fiscal year to submit to ADOT the annual "Single Audit" conducted in accordance with CFR 200, subpart F. Please note that starting January 1, 2015, the revised threshold has increased from $500,000 to $750,000 and the new rules take effect of fiscal years beginning on or after January 1, 2015. Any subrecipient agency receiving FTA funding through ADOT, regardless of the FTA award amount received from ADOT, *who meets the threshold*, must submit a copy of a completed Single Audit as well as any other related communication between the subrecipient and the auditor, to ADOT offices annually. Please follow the submission instructions provided in your Grant Agreement or submit audits to ADOT via email: singleaudit@azdot.gov. See Section III, Program Requirements, Part I State Oversight, Subsection G, for more information on audit requirements.

D. FY 2016 TIMELINE

COG/MPO Mobility Management staff / Coordinating Councils prepare Coordination Plan updates to include prioritized FY 2015 projects; submit to ADOT. **Prioritization lists should reflect 2015 proposed 5310 project applications to be submitted in each region and prioritization of those projects based on Coordination Plan goals and strategies.	January 2015 – April 2015. Plan updates/project prioritization due to ADOT **April 6, 2016**
ADOT conducts application / federal requirements workshops.	February 2016
ADOT posts the Notice of Funding Availability (NOFA).	March 2016
ADOT releases application forms and subsequent guidebook/guidance.	March 2016
Applications due through E-Grants system.	April, 2016
ADOT evaluates applications for threshold requirements. ADOT contacts applicants if missing threshold items, provides time to rectify.	April 2 – April 10, 2016
ADOT convenes evaluation review committee and scores projects in E-Grants. Takes into consideration COG/MPO project prioritization. Drafts FY 2015 award list.	April 15 - May 2016

ADOT sends out official award notification to applicants.	June 2016
Deadline for subrecipients to appeal award decision.	June 30, 2016
ADOT sends out contractual Exhibit A for approval, local match money required for ADOT led procurement capital awards.	September 2016
ADOT orders vehicles and other capital for ADOT led procurements.	November – December 2016
Capital equipment is built, inspected, delivered, and titled.	January – July 2017

****Timeframes are approximate and subject to change.***

E. CONTACT INFORMATION

ARIZONA DEPARTMENT OF TRANSPORTATION
Multimodal Planning Division
206 South 17th Avenue, MD 310B
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For FTA Section 5310 program and training related inquiries please contact:

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For contract or related federal requirement inquiries please contact:

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WEBSITE

Dedicated ADOT web pages for the Coordinated Mobility Program can be accessed at azdot.gov under Planning, Transit Programs and Grants, Enhanced Mobility of Seniors and Individuals with Disabilities.

The website provides valuable information for those interested in learning more about ADOT's public transit programs. This Guidebook is available on the website along with information on related programs and initiatives.

CIVIL RIGHTS CONTACT INFORMATION

For detailed information pertaining to civil rights, including Title VI and Americans with Disabilities Act (ADA) requirements, please contact:

ARIZONA DEPARTMENT OF TRANSPORTATION

Civil Rights Office
206 South 17th Avenue, MD 155A
Phoenix, AZ 85007
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Title VI Compliance: Lucy Schrader (lschrader@azdot.gov)
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BECO OFFICE CONTACT INFORMATION

The Business Engagement and Compliance Office (BECO) is responsible for ensuring that ADOT, its subrecipients, contractors and consultants achieve full compliance with all applicable federal regulations related to disadvantaged and small business inclusion, and equal and fair employment opportunity in contracting. For detailed information pertaining to Disadvantaged Business Enterprise (DBE) and Local Public Agency (LPA) Contract Management System requirements, please contact:

ARIZONA DEPARTMENT OF TRANSPORTATION

Business Engagement and Compliance Office
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http://azdot.gov/business/business-engagement-and-compliance/dbe-compliance/LPA-subrecipient-overview

REGIONAL PROGRAM CONTACTS

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SECTION II. 5310 GRANT PROGRAM

This section provides information on the Section 5310 program including eligibility and application requirements and applicant responsibilities.

PART I. ELIGIBILITY REQUIREMENTS

A. OVERVIEW AND PURPOSE

The overall goal of the FTA Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities grant program, which ADOT refers to as the "Coordinated Mobility Program," is to provide and strengthen the transportation services available to meet the mobility needs of seniors and the disabled. It is recognized that these populations have transportation needs which are often not met by conventional automobile or public transportation, and require specialized assistance in order to access services, employment, and medical care.

All Section 5310 projects must provide service to seniors (65 years and over) and/or persons with disabilities of all ages. Agencies may transport a broader range of clientele, and agencies are encouraged to use their vehicles in a coordinated manner, but the focus of the program is transporting seniors and/or individuals who have disabilities.

B. PLANNING

REGIONAL TRANSPORTATION COORDINATION PLAN

All projects funded under the Coordinated Mobility Program must be "included in" (specifically described in and consistent with) a locally developed, coordinated public transit-human services transportation planning process developed with and approved by the local area's: seniors; individuals with disabilities; representatives of public, private, and nonprofit transportation and human service providers; and other members of the public. Coordination is a key element of FTA programs. In order to be awarded grant assistance, successful applicants must be included in the Regional Coordination Plan for their area.

If applying for a project that is consistent with the Coordination Plan but not specifically described or prioritized in the text, note that such projects need to be listed in the annual amendment to the plan containing the current project list in order to be considered eligible for funding. It is anticipated that any newly added projects will then become part of the ongoing planning process and included automatically in future coordination plan project lists. Those who are unsure as to whether their proposed project is eligible based

on these planning requirements should contact their regional Council of Governments (COG) or Metropolitan Planning Organization (MPO) contact person(s).

The state of Arizona is divided into twelve planning regions. Four are rural regions, covering the Central, Northern, Southeastern and Western portions of the state; six are small urban areas: Central Yavapai – Prescott; Flagstaff; Lake Havasu City; Sun Corridor – Casa Grande; Sierra Vista; and Yuma; and two are large urban areas: Phoenix-Mesa in Maricopa County and Tucson in Pima County. The COG/MPO in each of these planning regions is expected to develop a Coordinated Public Transit - Human Services Transportation Plan. The key elements of this plan include the following:

Stakeholder involvement;

An inventory of available services and resources including: transportation providers and their services, fleet inventories and availability, and key human service programs and how transportation is provided to those human service clients;

An assessment of transportation needs for targeted groups of people, including supporting demographic and employment data;

An evaluation of areas of redundant transportation service and gaps in service;

Identification of coordination actions and strategies to eliminate or reduce duplication in services, to improve customer access to services, and to improve utilization of resources;

Priorities for projects, strategies and actions (including vehicle replacement plans); and,

An annual listing of projects eligible for funding in the region.

Coordination Plans meeting all standards will be approved for four years with an annual update that includes projects eligible and prioritized for funding for the upcoming Coordinated Mobility Program grant cycle. Note that a region's Coordination Plan may be updated as needed to reflect the implementation of a mobility management program and/or changes in strategies.

METROPOLITAN AND STATEWIDE TRANSPORTATION PLANNING

Projects identified in the coordination planning process and selected for FTA funding must be incorporated into both the Transportation Improvement Program (TIP) and Statewide Transportation Improvement Program (STIP) in Urbanized Areas (UZAs) with populations of 50,000 or more; and incorporated into the STIP for rural areas under 50,000 in population.

C. ELIGIBLE APPLICANTS

ELIGIBLE AGENCY TYPES

Eligibility for Section 5310 funds is limited *primarily* to private nonprofit organizations; however, public and private agencies are eligible in certain circumstances described further below.

5310 "Traditional" Project Eligibility (Capital and Mobility Management)

Private Nonprofit Organizations when publicly operated mass transportation services are unavailable, insufficient, or inappropriate. Evidence of nonprofit status is demonstrated by submittal of a certified copy of the Articles of Incorporation or by an Internal Revenue Service (IRS) 501(c)(3) Federal income tax exemption letter.

Governmental Authorities

- **City, County, Town and Tribal Governments including other related public bodies/Tribal community agencies** providing transportation service to seniors and/or persons with disabilities can apply if they certify to ADOT that no private nonprofit organization(s) is readily available in the service area to provide the needed service. The operational definition of "readily available" implies agencies that are also "capable and willing." Evidence of this certification is demonstrated by submittal of contact letters, support letters, outreach materials, coordination plan meeting minutes, etc. to verify the agency is the only entity in the service area willing to provide the specific service requested and there are no nonprofit organizations readily available in the area to provide the needed service. Under FAST Act funding, a State or local government entity that operates a public transportation service and that is eligible to receive direct grants under 5311 or 5307 is now an eligible direct recipient for Section 5310 funds.
- **Public Agencies such as Council of Governments (COGs) or Metropolitan Planning Organizations (MPOs)** providing oversight and administration (not necessarily transportation service) for a project that is conducted in the interest, or strongly supportive, of local, regional, and/or State coordination objectives, such as a COG conducting regional mobility management activities. For a governmental authority to take a lead role in overseeing such a project the State must approve this role and it must be reflected in regional coordination planning activities. Evidence of this approval is demonstrated by submittal of contact letters, support letters, outreach materials, coordination plan meeting minutes, etc. documenting the agency is the lead agency.

5310 "Other" Project Eligibility (Operating)

Private Nonprofit Organizations when publicly operated mass transportation services are unavailable, insufficient, or inappropriate. Evidence of nonprofit status is demonstrated by submittal of a certified copy of the Articles of Incorporation or by an Internal Revenue Service (IRS) 501(c)(3) Federal income tax exemption letter.

Governmental Authorities

- **City, County, Town and Tribal Governments including other related public bodies/Tribal community agencies** providing transportation service to seniors and/or persons with disabilities can apply if they certify to ADOT that no private nonprofit organization(s) is readily available in the service area to provide the needed service. The operational definition of "readily available" implies agencies that are also "capable and willing." Evidence of this certification is demonstrated by submittal of contact letters, support letters, outreach materials, coordination plan meeting minutes, etc. to verify the agency is the only entity in the service area willing to provide the specific service requested and there are no nonprofit organizations readily available in the area to provide the needed service.

Operators of Public Transportation may receive 5310 funds directly through the State through application for FAST Act 5310 funding, or indirectly through another eligible recipient for MAP-21 funding.

Private Taxi Operators as Eligible 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 general public 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.

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 funds to purchase accessible taxis under contract with a State, designated recipient or eligible subrecipient such as a local government or nonprofit organization.

Eligibility Certification

Applicants will be required to certify eligibility in two ways. The first is through the annual application process (see more information in the Section 5310 Application Instructions manual). In the application, applicants are required to both identify what type of agency they are and also submit the appropriate documentation to verify eligibility. ADOT, through the initial application review process, will evaluate certifications and documents to authenticate eligibility.

The second verification method is through the regional Coordination Planning process. This process requires that a list of eligible Section 5310 projects be determined at a regional level, prioritized in light of the plan's goals and objectives, and included in the plan annually. Regions will be required, while determining this list, to ensure that only eligible organizations will be providing Section 5310 services and also to ensure there is no duplication of services. In addition, this planning process includes determining the roles and responsibilities of the regional mobility manager and any sub-regional mobility managers. Documentation of these roles will assist with the verification of the roles governmental agencies have when applying for Section 5310 funding.

ELIGIBLE REGIONS

The federal transportation legislation, MAP-21, has changed the way the Section 5310 program can be administered and this regulation was rolled into the FAST Act transportation legislation as well Federal guidelines now allow large urbanized areas (UZAs) to directly administer Section 5310 funds. Arizona has two urbanized areas: the Phoenix–Mesa UZA, located in the MAG region and the Tucson UZA, located in the PAG region.

For the 2016 application cycle, all regions in the State, with the exception of the Phoenix-Mesa UZA, which is a part of the MAG region, are eligible to apply through ADOT for Section 5310 funds. The Phoenix-Mesa UZA **does not** use ADOT to administer their Section 5310 funding, and applicants formally under ADOT's jurisdiction in this urbanized area ***now*** apply directly through the City of Phoenix, in coordination with MAG, for this funding source. Please note that applicants providing more than 50% of their service in the rural and small urbanized areas of the MAG region still apply to ADOT for 5310 funds.

Conversely, the Tucson UZA ***will continue*** to use ADOT to administer Section 5310 funding for their urbanized area, which falls under the PAG region. Applicants will continue to apply through ADOT for these funds, as in previous years. Although ADOT is administering the program, the Tucson UZA is provided a specific amount to fund on projects and in coordination with PAG, will dictate how these funds are to be spent in line with their regional Coordination Plan goals and objectives.

Urbanized areas are designated by boundaries dictated by the 2010 US Census. In Appendix A, an urbanized area map for the Phoenix-Mesa region is provided to help determine if your agency should apply to ADOT or to the City of Phoenix directly for FY 2015 Section 5310 funds. If after review, there still remains any question as to what service area or primary agency address falls within the Phoenix-Mesa UZA, please contact your local regional MPO staff person or the ADOT Section 5310 Program Manager.

D. ELIGIBLE ACTIVITIES / PROJECTS

FTA Section 5310 funding is available to fund costs for mobility management activities, the purchase of capital equipment (e.g., vehicles, dispatch software), and operations for transportation services that address the mobility needs of seniors and individuals with disabilities.

The primary focus of the program remains funding mobility management activities and capital project expenses, primarily for nonprofit agencies, with the intent of providing services to meet the mobility needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable.

Under the MAP-21 and FAST Act transportation legislation, project operating costs are also eligible for specific types of projects, but these projects must be: 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 ADA-complementary paratransit services; or public transportation projects that provide alternatives to public transportation that assist seniors and individuals with disabilities with transportation. The expanded eligibility provisions are a result of the consolidation of the Section 5317 program, which was repealed by the federal government, with the Section 5310 program.

CAPITAL - MOBILITY MANAGEMENT

Mobility Management is considered a capital project and expense under the Section 5310 program. Mobility Management projects consist of several different types of activities, to include mobility manager staff positions and related program costs, short range planning or demonstration projects, and technology such as scheduling software and hardware.

Mobility Management projects are intended to build coordination among existing public transportation providers and other transportation service providers with the result of *expanding the availability of service*.

Grant projects that support the coordination of transportation services, public or otherwise; is one of the top priorities for ADOT under the Section 5310 program. With that as a basis, starting with FY 2012, ADOT committed to fund one regional staff Mobility Manager position in each of the four rural regions of the state. Those staff positions are tasked with: 1) undertaking the necessary planning work required to manage the regional Coordination Planning process, 2) forming transportation provider partnerships, 3) implementing coordination actions through formation and oversight of local coordination councils, 4) developing and providing information and referral services, 5) overseeing sub-regional coordination activities, and 6) monitoring performance; all to achieve the regional and state priorities for mobility management. These tasks will also form a basis for determining what other projects agencies in these regions should be applying for under the Section 5310 program at both the regional and sub-regional levels.

In addition, as a basis for making the most appropriate capital equipment and operations funding decisions, given limited funding resources at the regional and state level, the regional mobility manager positions are tasked with establishing mechanisms to share resources, whether this is a vehicle, joint training, or other services and supplies. They are also to identify the most appropriate regional fleet size required to serve local and regional transportation needs and how best to keep this fleet maintained in a state of good repair *(see definition of this concept in Part II, Applicant Responsibilities)*.

Applicants for mobility management projects in the regions with existing mobility managers (FMPO, CAG, NACOG, PAG, SEAGO, WACOG, and YMPO) should only apply when their project or idea has evolved and been appropriately vetted through the coordination planning process and regional mobility management program evaluation measures.

ADOT welcomes applications for mobility management projects from other regions in the state that either look to fund a regional mobility manager, or regional mobility management project, that has been determined to be in the best interest of the region and in line with the region's coordination plan goals and objectives.

ADOT has previously funded mobility management projects at the sub-regional level and will continue to evaluate those projects on a case-by-case basis. However, applications for sub-regional projects will continue to be limited in FY 2016 as the state focus for mobility management remains the funding of regional mobility manager positions and supporting these positions until they are successfully achieving the tasks referenced in this section. ADOT will look to prioritize funding both regional and sub-regional projects in regions that are making appropriate strides towards effective resource and mobility management.

Applications for mobility management projects, either regional or sub-regional, in the PAG region should follow regional Coordination Plan objectives. PAG and the City of Tucson will be evaluating and determining which projects to fund in the Tucson UZA. PAG and ADOT will be evaluating and determining which projects to fund in the other related (rural and/or small urbanized) PAG region areas based on regional defined coordination needs.

Applications for mobility management projects in the MAG region, outside the Phoenix-Mesa UZA, should be included in the MAG regional coordination plan.

The following are examples of eligible Mobility Management projects. Note that projects other than mobility management staffing will generally only be considered for regions in which the mobility management function is underway and operating well.

- Mobility management staffing and related program costs. Costs can include salary, travel, printing and promotional materials, advertising and marketing, and website design.
- Professional services such as IT, web design, or consulting to assist in the planning and implementation of travel training programs, transportation brokerages, one-call centers, etc.
- Intelligent Transportation Systems (ITS) capital equipment costs for scheduling software and hardware, as well as support equipment such as Automatic Vehicle Locators (AVL), Geographic Information Systems (GIS) mapping, Geographic Positioning System (GPS) technology, and other IT (computers, radios) equipment for the purpose of developing or supporting joint scheduling and dispatch centers or one-call / one-click centers. Any request for this type of capital funding must be supported by an assessment of technology and equipment needed in the form of a documented planning study, etc.

CAPITAL EQUIPMENT

Examples of eligible capital equipment projects include:

Vehicles* (see note and further information below)

Fleet Maintenance Equipment

Vehicle Equipment/Parts (Wheelchair Lifts and Restraints Bought Individually)

Vehicle Rehabilitation or Overhaul

Operations and Maintenance Structures (Vehicle Shelters, Maintenance Structures)

Radios and Communication Equipment; Computer Hardware/Software

Transit Related Intelligent Transportation Systems (ITS); Dispatch Systems

While many types of capital can be requested under the Section 5310 program, ADOT's primary role for many years has been to replace or expand vehicle fleets. Vehicle replacements have been the primary funding request under the Section 5310 program. For FY 2016, ADOT will continue to prioritize vehicle requests above all other capital requests as long as those vehicle requests support coordinated regional efforts. Other capital requests will be considered but ADOT is not supportive of single radio or computer requests, unless that request is tied to a need for coordinated dispatch services.

Agencies can apply for software, hardware, computers, AVLs, etc. to either support a single agency's needs or to support a coordinated dispatch and scheduling effort. However, coordinated dispatch center equipment must be applied for under the mobility management section of the application and be supported by an assessment of the technology and equipment needed in the form of a documented planning study, etc.

Vehicle Requests

***Vehicle Note:** ADOT conducts 95% of the procurements for Section 5310 funded capital. Therefore vehicle types and sizes obtained through the Section 5310 program are *usually* predetermined by ADOT at the time of application.

Agencies can apply for a different type of vehicle outside of ADOT's vehicle list, but the rationale for that vehicle type must be well supported by documentation of local, regional, and coordinated transportation needs. In addition, the agency must have the resources in place in order to procure this other type of vehicle and meet all FTA and State procurement guidelines. ADOT does not provide funding to purchase used vehicles or equipment, 15 passenger vans, standard pickup trucks or SUVs, or standard passenger cars. Vehicles must be able to transport individuals for the purpose of specialized transportation and not be used as staff support vehicles.

One important objective of mobility management is to improve the cost effectiveness of service delivery. "Right-sizing" the fleet is an important part of this goal. If the capital costs (and related operating costs, such as insurance) can be minimized, more funding can go to providing service. When requesting a vehicle for replacement or expansion, applicants should consider how many miles are accrued on each vehicle in a year. At the low end, vehicles should be used for at least 18,000 to 20,000 miles per year. This is in line with ADOT's lien policy, which will remove ADOT funded vehicles from an agency's service that are not averaging 18,000 to 20,000 miles per year. It is also important to consider peak hour needs as well as geographic coverage; how many vehicles are needed, and in what areas, to provide efficient service delivery; and how many accessible vehicles are required to meet the needs of the community.

The types of vehicles ADOT procures and subrecipients regularly apply for are:

Cutaway With Lift - 14 Passenger - Raised-roof "body-on-chassis cutaway" with wheelchair lift, seats up to fourteen (14) ambulatory passengers and has 2 wheelchair positions (less ambulatory capacity with wheelchair occupancy);

Cutaway With Lift - 9 Passenger - Raised-roof "body-on-chassis cutaway" with wheelchair lift, seats up to nine (9) ambulatory passengers and has 2 wheelchair positions (less ambulatory capacity with wheelchair occupancy);

Minivan With Ramp: Minivan with one (1) wheelchair position and manual accessibility ramp, seats up to five (5) ambulatory passengers (less or no ambulatory capacity with wheelchair occupancy). Since this has limited seating, requests for this type of vehicle will reviewed on a case-by-case basis;

Maxi-van No Lift: A Twelve (12) passenger (including driver) standard van without a wheelchair lift/ramp; and

Minivan No Ramp: A Seven (7) passenger (including driver) minivan without a wheelchair lift/ramp.

Vehicle brand and configuration will be determined by ADOT during the state's procurement process.

Vehicle Accessibility: Providing wheelchair and other mobility device accessibility to local areas is also a high priority under the Section 5310 Program, in order to meet the growing needs of individuals of all ages with mobility-impairments. However, applications for non-accessible vehicles will also be considered by ADOT if that type of vehicle best meets an agency's needs. In order to acquire a non-accessible vehicle, applicants must assure adequate ADA-compliant "Equivalent Service."

Equivalent service means that in order to obtain a non-accessible vehicle, an applicant must already have in its fleet or under contract, regular, guaranteed availability of an ADA-compliant wheelchair-accessible vehicle(s), in reliable and safe operating condition, to serve the area targeted by the application, as well as qualified drivers to operate it. The agency must be able to provide accessible service on a scheduling and capacity basis that is equal to that provided by non-accessible vehicles. If equivalent service is by contract, the contractor must have a back-up plan in order to ensure that equivalent service is available. The Certificate of Equivalent Service is included in this Guidebook as an attachment.

Eligible Trip Purpose

Equipment provided through this program may be used for all trip purposes for seniors and disabled populations. This includes but is not limited to transportation of people to:

Medical appointments

Meals (not meal delivery)*

Social services and facilities

Employment

Rehabilitation services

Shopping

Recreational and social activities

Trip Purpose Exceptions:

*Vehicles and related equipment may not be used **primarily** for the delivery of meals to persons in their homes. Subrecipients may coordinate and assist in regularly providing meal delivery service for homebound individuals, as long as the delivery service does not conflict with providing public transportation service or reduce service to public transportation passengers.

The Section 5310 program is not intended to provide emergency medical transport or ambulance service on a regular basis.

Section 5310 vehicles are also not to engage in regularly scheduled school bus service. Section 5310 subrecipients may operate multi-functional vehicles that meet the safety requirements for school transportation, but may not provide exclusive school service.

Applicants are encouraged to coordinate their services with public transit operators, and others, especially when it supports the mobility of seniors and individuals with disabilities.

OPERATIONS

Eligibility for funding to support operating costs is a new category under MAP-21. The expanded eligibility provisions are a result of the consolidation of the Section 5317 program, which was repealed by the federal government, with the Section 5310 program. Agencies applying for funds to operate Section 5310 projects must work with their regional COG or MPO to make sure their project is included in and consistent with their region's Coordination Plan.

As stated previously, operating projects must be for public transportation services that address one of the following three purposes:

- Exceed the minimum requirements of the ADA.

- Improve access to fixed-route service and decrease reliance by individuals with disabilities on complementary ADA paratransit service.
- Provide alternatives to public transportation that assist seniors and individuals with disabilities with transportation.

Projects provided operating funds must be targeted toward meeting the transportation needs of seniors and individuals with disabilities, although they may be used by the general public. FTA encourages projects that are open to the public as a means of avoiding unnecessary segregation of services.

Under the new federal transportation law, Section 5310 funding spent on operating projects can be ***at maximum*** no more than 45% of the entire Section 5310 funding available in a given year. There is no federal requirement to spend any program funds on operating projects, only a ceiling of 45%. Until ADOT has experience with how far the available funds will stretch, awards for operating funds will be cautious. Regions in which operating funds are allocated must show that the vehicle fleets are in a state of good repair and that operations funding leverages the resources of other programs.

Examples of Eligible Operating Projects

Public Transportation Projects that Exceed the Requirements of the ADA

- Expansion of paratransit service parameters beyond the three-fourths mile required by the ADA;
- Expansion of current hours of operation for ADA paratransit services that are beyond those provided on the fixed route services;
- The incremental cost of providing same day service;
- The incremental cost (if any) of making door-to-door service available to all eligible ADA paratransit riders, but on a case-by-case basis for individual riders in an otherwise curb-to-curb system; and
- Enhancement of the level of service by providing escorts or assisting riders through the door of their destination.

Public Transportation Projects that Improve Accessibility to Fixed Route Systems

- Travel Training

- 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.

Public Transportation Alternatives that Assist Seniors and Individuals with Disabilities

- ***Supporting the administration and expenses related to 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. Vouchers can be provided to purchase rides for: a) mileage reimbursement as part of a volunteer driver program; b) taxi trips; or c) trips provided by a human service agency. Transit passes or vouchers for use on existing fixed-route or ADA complementary paratransit service are not eligible.
- **Supporting volunteer driver and aide programs.** Volunteer driver programs are eligible and include support for costs associated with administration, management of driver recruitment, safety, background checks, scheduling, mileage reimbursement, and insurance associated with volunteer driver programs.

E. ELIGIBLE PROJECT EXPENSES

ELIGIBLE COSTS

ADOT's policy is that eligible costs applied for under both operating and mobility management projects must be considered ***direct*** project costs. The only exception is for those agencies with approved Indirect Cost Allocation Plans (ICAP) that have been accepted by ADOT. Applicable indirect costs can be applied for under operating and mobility management projects by agencies with an approved and submitted ICAP.

Direct costs are those expenses that can be associated on a one-to-one basis with a given service. Examples are driver wages, fuel, and maintenance costs. Many of the direct costs of transportation are variable costs. Variable costs are those that **do** change with the amount of service provided. In Appendix B, there is an example list of eligible direct cost categories. Vehicle operations costs are usually the bulk of direct costs considered for Section 5310 program reimbursement. But please note that administrative costs, such as the time a bookkeeper spends directly working on a Section 5310 transportation project, can also be included as a direct expense.

Indirect costs are those which cannot be associated on a one-to-one basis with a given transportation service. Some public transit systems, such as units of local government, or multi-purpose nonprofit organizations, perform many departmental or program functions and would likely incur indirect expenses. In these cases, the expenditures benefit not only transit but also other programs and departments. The majority of these shared or indirect costs are administrative costs. These costs cover items such as planning, accounting, and legal services. Shared costs are generally fixed costs. Fixed costs are those that **do not** change with the amount of service provided.

ADOT allows agencies to apply and be reimbursed for costs that are considered shared or indirect, but again, only when the applicant has a federal cognizant agency approved ICAP on file with ADOT. Indirect costs are normally charged to Federal grants by the use of an indirect cost rate based on an approved indirect cost allocation plan.

ADOT allows both operating and administrative costs to be considered as direct costs. Administrative costs are only eligible if they are direct costs that support transportation service or mobility management specific duties. If an administrative cost is shared and an agency can **clearly** document through timesheets and other related documentation the amount of time spent on transit related activities, then this cost will be considered in the application for funding and reimbursement. There still has to be a direct one-to-one relationship though with the shared administrative cost for it to be eligible.

Administrative costs that are considered indirect costs (not directly related to the transportation project or derived from a indirect cost allocation plan) **are not** eligible expenses without an approved ICAP on file with ADOT.

The table on the next two pages illustrates the type of costs that can be included in the budget expense categories provided in the application.

Your agency's chart of accounts may show different account codes that will need to transfer into grant expense line items. Below are hints on how to translate from expenses from your financial system to the grant budget.	
Expense Item	**Description**
Labor	Salaries and wages for drivers, dispatchers, or other operational staff. Include volunteer drivers in this line item under in-kind expenses.
Benefits	Employee related expenses (ERE). Include health insurance and similar benefits here.
Insurance	Vehicle insurance. Put other agency general insurance under "Administrative" or "Other."

Fuel	Fuel for operating vehicles. If fuel is received as an in-kind donation from a county or city, put the value of that donation in this line item under in-kind expenses.
Utilities	Gas, electric, and other utilities.
Materials and Supplies	This covers items used in both operations (schedules, uniforms, first aid kits, etc.) and maintenance (tires, lubricants, parts). Maintenance supplies may also be included in the next line item if they are purchased through a vendor as part of a service bill.
Vehicle Maintenance and Repair Services	Labor and parts purchased from a vendor.
Contract or Purchased Transit Services	Any transportation purchased from another provider. This could be vouchers, mileage reimbursement to volunteers, or amounts paid to another vendor to carry agency clients.
Leases and Rentals	Rent for your facility or leases for office, operational, or maintenance items. (i.e.: a projector for a training class)
License Fees and Taxes	Vehicle license and registration fees.
Administrative Costs	Telephone, internet services or cloud storage, advertising, training, travel, meetings, direct administrative salaries (such as a portion of a bookkeeper's time) and indirect costs for agencies with an approved indirect cost allocation plan.
Other:	Items that do not fit cleanly under any other category, or which are large enough that specifying them separately presents a clearer picture of your program costs.

In the FY 2016 application, under the operating project request, there are two line item budgets that must be completed for each project to show what the total costs of the project are, one for the current year's expenses and one for the proposed project year of expenses. Under the mobility management project request, only the proposed project year of expenses are to be defined. Under either budget category (current year or proposed project), the applicant is requested to provide budget numbers for the **total project cost**, using the line items in the application. Below the budget in the application narrative, applicants can then define which expense categories Section 5310 funds should be

assigned to if awarded. Assignment of 5310 request funds to a specific set of expense line items eases the administrative burden for both ADOT and the subrecipient when seeking for reimbursement.

COST REIMBURSEMENT CRITERIA

To be allowable for reimbursement under the Coordinated Mobility Section 5310 Program, costs must also meet the following general criteria:

- Be necessary and reasonable for proper and efficient performance and administration of the project;
- Be an eligible expense;
- Be treated consistently. A cost may not be assigned to the grant as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to a grant as an indirect cost;
- Be determined in accordance with generally accepted accounting principles;
- Not be included as a cost or used to meet cost sharing or matching requirements of any other Federal award in either the current or a prior grant period;
- Be the net of all applicable credits; and
- Be adequately documented in a system generated financial summary, or Excel spreadsheet, accompanied by appropriate backup documentation (i.e. invoices, payroll, etc.), which identifies an expense amount, matching that shown on the invoice.

PART II. 2016 FUNDING AND APPLICATION REQUIREMENTS

A. OVERVIEW

Both federal and state guidelines for Section 5310 funds emphasize increased program management and accountability. The MAP-21 legislation (and carried into the current FAST Act legislation) provides a framework for this approach, with additional emphasis on maintaining vehicles in a state of good repair, using stronger performance measures, and continuing coordination activities in support of a strategic use of resources. As such, ADOT has revised its application and oversight process to increase the level of management and accountability on the part of the applicant. A vehicle capital inventory sheet is now included in every 5310 application and must be completed for funding consideration.

B. FUNDING AVAILABILITY AND PRIORITES

URBANIZED AREA FUNDING AVAILABILITY

FAST Act has changed the way funding is distributed and the level of funding that is available to the State for the Section 5310 Program. Along with allowing large urbanized areas to directly administer Section 5310 funds, FAST Act also allocates a specific amount to those urbanized areas. Those funds are set aside specifically for those regions of the state to use based on their Coordination Plan priorities.

While the Phoenix-Mesa UZA will administer its own Section 5310 program, ADOT will still administer the Section 5310 program for the Tucson UZA. The Tucson UZA however, is provided a specific amount of funding for projects and the PAG region will dictate how those funds are to be spent in line with its Coordination Plan goals and objectives. The amount provided to the Tucson UZA in FY 2016 for Section 5310 is ***approximately*** $836,337 with ***approximately*** $376,351 available for operating funds.

STATE FUNDING AVAILABILITY

ADOT uses two types of Section 5310 funding to support eligible projects, Section 5310 ***Formula*** funds and Section 5310 ***STP*** funds. Formula funds can be used for all eligible Section 5310 projects in both the rural and urbanized areas of the state. STP funds can be used for capital equipment and mobility management projects and *only* in the rural areas of the state.

For 5310 ***Formula* funds, the following amounts are based on estimated FY 2016 federal apportionments for Arizona by federally designated census population area.

- **Rural:** approximately $742,818 ($334,268 approx. available for operating)
- **Small Urban:** approximately $1,137,216 ($511,747 approx. available for operating) ,

For FY 2016 5310 ***STP*** funds, 1.5 million dollars is available for capital (capital equipment, facilities, and mobility management) projects in the rural areas of the state.

POPULATION AREA DESIGNATIONS

Reference is made above to rural areas and large and small-urbanized areas. The Census Bureau generally defines these population areas of the state as follows:

- A non-urbanized (rural) area is an area with a population under 50,000. This includes all areas outside of an urbanized area.

- A small-urbanized area (UZA) is an area with a population between 50,000 and 200,000. In Arizona, the small-urbanized areas are Avondale – Goodyear, Casa Grande, Flagstaff, Lake Havasu City, Prescott Valley – Prescott, Sierra Vista, and Yuma.

- A large UZA is an area with a population of over 200,000. In Arizona, the large UZAs are Phoenix - Mesa and Tucson.

There is a section in the online application that requires agencies to locate their primary area(s) of service via an ADOT map website link and to provide information as to what percentage of their service is located in either the non-urbanized, small-urbanized, or large-urbanized areas of the state. Because Section 5310 funding is now provided based on these designations, the information provided by the applicant is very important in order for ADOT to determine how best to allocate project funds by population designated service area.

STATE PRIORITIES

Over the past three years, ADOT has begun to refocus the Coordinated Mobility Program to include a stronger emphasis on coordination of transportation activities both at the regional and state level.

,In order to accomplish this, ADOT has invested in regional mobility managers. A regional mobility manager is responsible for building partnerships and consensus about how best to use available resources to improve mobility and access for persons requiring specialized transportation (seniors and the disabled).

Along with the establishment of regional mobility managers, ADOT has developed the following five objectives as the guiding program management principles.

1. **Build a foundation of mobility management activities in ADOT's small urban and rural regions.** These activities should include:
   - Maintaining a regional mobility manager in each of the rural and small urban regions.
   - Establishing partnerships among human service agencies, transit providers, and other stakeholders.
   - Developing measures to report progress toward mobility management goals.
   - Administering a transportation coordination planning process that results in active and engaged Regional Coordinating Councils and a Coordination Plan that reflect goals, objectives, and activities in the region.
2. **Ensure information and referral is available in the region and its sub-regions.**
   - Information and referral refers primarily to developing resources and staff capacity to assist passengers in obtaining trips.
3. **Capital investment decisions are made within the mobility management framework.**
   - Within each region, procedures are to be in place to optimize the fleets of vehicles for service to seniors or individuals who have disabilities. This results in finding balance between fleets that are adequate enough to meet the peak requirements of service provision in the entire geographic area of a region and minimizing the capital investment in vehicles and operating expense for insurance and maintenance.
   - Replacement or expansion vehicles are selected based on the use of the vehicle, coordination with other providers, and maintaining the region's vehicles in a state of good repair.
4. **Regional and sub-regional mobility management priorities have been established and strategies and projects are identified for achieving these priorities.**
   - Strategies may include maintaining existing service levels, supporting volunteer driver programs, travel training, advocacy for local transit services, etc.

5. **Ensure that program subrecipients have the capacity to provide services and effectively manage their grant funds from a program and financial perspective.**

Application questions and evaluation criteria are designed to support these guiding principles. COG and MPO regions are to prioritize applications within this framework and funding decisions at the state level will support mobility management activities, capital equipment, and service operations that best meet the state defined objectives for the Section 5310 program.

C. APPLICATION REQUIREMENTS

GRANTS MANAGEMENT SYSTEM

The application and subsequent documents used to manage grant funds are offered online through an electronic system called E-Grants: azdot.gov/egrants. Applicants must have approved login information from ADOT before accessing the E-Grants system. Once login information is authorized, applicants must create both organization and user profiles to submit application forms and documents using the system. *Hard copy applications are not accepted.*

All previous FY 2015 applicants and existing subrecipients should already have login information. If login information is needed, it can be obtained by completing the New User Registration page, which is located under the login information on the main E-Grants home page.

There is a user manual entitled "Section 5310 Application Instructions" that accompanies this guidebook. This set of instructions explains how to access, complete and submit the application in the system and provides step-by-step instructions, as well as in depth information on how to obtain login information.

There is also an E-Grants help desk available from 8:00 am to 5:00 pm (MST) to answer questions. The phone number and email address to contact the help desk are provided under the "Show Help" section on the E-Grant's home page and also provided below. If an applicant has a question after hours, the Help Desk returns all calls and emails immediately the following day.

- Phone: 1-866-449-1425
- Email: azhelpdesk@agatesoftware.com

Applicants should contact the help desk with any system related issues, such as resetting passwords and form errors. Applicants should contact ADOT for any specific program related questions.

E-GRANTS USER ROLES

All agencies are required to create and update their agency user roles in E-Grants. The following roles are in E-Grants:

Organization Administrator - The Organization Administrator is the person responsible for ensuring that their organization information and the users access stays current. If an employee leaves the Organization Administrator can remove their access. This role can perform all other functions allowable in the system including starting, writing, and submitting grants, reports, and reimbursement requests.

Authorized Official - This role can perform all functions allowable in the system including starting, writing, and submitting grants, reports, and reimbursement requests. This role cannot modify or eliminate access for the organization in the system, but can do all other functions.

Financial officer - This role can start, and write grants and reimbursement requests. (Financial Officers cannot submit grants, but can submit reimbursement requests.)

Grant Writer - This role can start, and write grants. Grant Writers are limited to the application function.

View access - This role can see applications, but not any other portion of the system and cannot actively save to the system.

Attorney - This role was designed to allow an attorney access to the contracts for signature purposes. Attorneys can save and view the contracts. They also receive notices pertaining to the contracts, such as a completed contract when it is executed. Attorneys can see all of the application, and may be actively participating, but they cannot submit the contract or work on reimbursement requests.

COG/MPO - This role serves a review function and is assigned to specific applications and documents. ADOT assigns this role to enable coordination with MPO's and COG's. COG/MPO staff will be assigned one of the above roles within their organization within E-Grants.

APPLICATION PROCESS

Per the timeline provided in Section 1, ADOT releases this Guidebook and subsequent Application Instructions, along with the application forms available in the E-Grants system on March 1, 2016.

Applicants must complete all required application and contract forms in the E-Grants system, as well as upload all required supporting documentation, by Monday, April 4, 2016 . Applicants will have approximately 30 days to complete the entire application process. During this time, applicants may contact either COG/MPO regional contacts or ADOT staff, listed in this document, for advice on particular program or application requirements.

APPLICATION REVIEW

Mobility Managers will first conduct a review and certify that applications are complete and are included in the Coordinated Human Services Plan. ADOT staff will then conduct an initial review of applications, reviewing application submissions for completeness and contacting applicants if any other basic requirements still need to be met. Once the threshold review is complete and applicants update/correct any missing requirements, ADOT will be convene an evaluation committee to review and score project applications.

COG and MPO application review responsibilities have changed since the last application. The COG or MPO no longer pulls together evaluation committees and scores applications. Instead, a COG or MPO only prioritizes projects in light of the regional coordination plan goals, objectives, and strategies, and submits to ADOT a recommended project funding list with their annual Coordination Plan update that is based solely on the priorities defined in each regional coordination plan. This is due within 3 days of the 5310 application deadline in April 2016.

ADOT now pulls together and manages an Evaluation Review Committee to evaluate and score applications according to the evaluation criteria contained in this document. Therefore, it is important that the applicant refers to these criteria when answering the questions in the application.

Once evaluations are completed at the state level, with ADOT taking into consideration project prioritization lists submitted by the COGs and MPOs, ADOT will finalize awards based on funding availability. PAG region applicants that fall within the Tucson UZA will be funded solely based off of the evaluation decisions made by PAG and the City of Tucson.

PROJECT EVALUATON AND SELECTION

Applications will be considered for funding based on the evaluation and selection criteria provided in this section. Specific criteria guide the development of the Coordinated Mobility Program and are related to the federal and state goals defined for the Section 5310 program. In order to ensure fair and equitable distribution of FTA funds, the criteria listed are used as the basis for review and selection of applications for program funding.

Please note that the information submitted in the application as well as information documented in the region's coordination plan and the applicant's previous performance using prior year's grant funds for a project (as appropriate), will all be considered when reviewing and prioritizing a funding request. This approach includes placing additional emphasis on accountability and program management on the part of the applicant in the evaluation process.

The final decision on project selection and funding will be made by ADOT, with the exception of applications under the Tucson UZA in which the final decision on project selection and funding will be made by the City of Tucson and PAG. ADOT retains sole discretion in determining which projects will be funded and the amount of funds awarded to any given project, except in the Tucson UZA.

Project Threshold Criteria

Applications are first reviewed to ensure that all basic eligibility requirements are met. If an application does not meet basic threshold requirements, it may not be forwarded onto the ADOT Evaluation Review Committee for further evaluation and scoring. The threshold criteria are as follows:

- Application materials were submitted on time and complete.
- Applicant attended the ADOT Section 5310 program workshop.
- Applicant certified and verified agency eligibility requirements.
- Project(s) applied for are eligible projects per FTA guidelines.
- Project(s) applied for are consistent with, and listed in, the Regional Coordination Plan.

Project Evaluation Criteria

There are three main project evaluation criteria categories, with multiple subcategories, which the ADOT Evaluation Review Committee must evaluate to determine an overall score for a project application. The three main categories are:

- Project Management;
- Coordination; and
- Project Specific Criteria.

Under Project Specific Criteria, there are subcategories for each type of project, Mobility Management, Capital Equipment, and Operating. Each main category holds a specific

percentage weight and combined they make up a total application project score (totaling 100%). Subcategories also are weighted and make up a category score total.

Note that the criteria reflect ADOT's long-term vision, and ADOT realizes it may take some time before applicants score well under all of the criteria. The criteria is being implemented, with this thought in mind, in order to illustrate how agencies should improve projects, agency oversight activities, and subsequently competitive ranking over time.

In addition, some of the selection criteria include standards that must be met for continued funding. If these criteria are only partially met (e.g. in one part of region but not others) and an applicant is showing reasonable progress, justification can be provided for why funding should be continued. This information will be considered on a case-by-case basis.

The following is a general list of the evaluation categories and subcategories with weights and the evaluation focus of each category.

Project Management Criteria – 20%

- Current program subrecipients are on track to fulfill their ADOT Contractual Exhibit A scope requirements and submitting timely project progress reports.
- Current program subrecipients are submitting timely, complete, and accurate project reimbursement requests and expending funds during the contract period.
- New applicants have the staff, resources, and accounting systems necessary to manage federal funds.
- Applicants properly document the availability, source, and commitment of local match.

Coordination Criteria – 40%

- Participation in regional coordination activities.
- Board support for transportation coordination.
- Integration of coordination into transportation program activities through policies, budget, and staffing authorizations.
- Applicant's level of involvement in coordinating services or resources with other agencies.

Project Specific Criteria – 40%

Mobility Management

- Foundation for Mobility Management
- Information and Referral
- Capital Investment Decisions
- Regional and Sub-Regional Priorities

Capital Equipment

ADOT is transitioning to evaluation of vehicles based on regional management of resources with the ability to maintain the necessary fleet in a state of good repair. As mobility management efforts progress, the region's ability to operate services with a minimum fleet size will result in more funds being available for other activities, including operating projects. Funds for expansion vehicles are limited to regions showing expansions are necessary based on an evaluation of regional vehicle resources and that vehicle-sharing agreements are in place to maximize the use of existing vehicles.

Replacement Vehicles or Equipment:

- Age
- Mileage
- Need Based on Maintaining Regional Fleet in a State of Good Repair
- Local Vehicle Availability and Regional Resource Utilization

New/Expansion Service Vehicles or Equipment:

- New/Expansion Service Needs
- Existing Fleet Capacity
- Project Ability to Enhance Regional Coordination Efforts
- Project Useful Life Sustainability

Operations

Existing Service:

- Documentation of Need and Project Benefits
- Project Effectiveness and Performance Indicators
- Financial Hardship, Project Budget, Project Sustainability

New/Expansion Service:

- Documentation of Need and Project Benefits
- Service Implementation Plan
- Project Effectiveness and Performance Indicators
- Financial Hardship, Project Budget, Project Sustainability

AWARD AND APPEAL PROCESS

ADOT will notify all applicants in writing of final funding decisions made for FY 2016 grants. This notification will come by formal letter and a list of ranked projects by priority and by region.

Applications submitted for FY 2016 FTA funds will be awarded and contracted for Federal Fiscal Year 2017 (October 2016 through September 2017), with a project and contract start date of October 1, 2016.

Applicants may appeal the ADOT MPD funding recommendations. Appeals can be made for one of three reasons: 1) The award does not accurately reflect the application submitted and/or regional coordination priorities; 2) ADOT overlooked vital information during the review process; and 3) Agency eligibility requirements.

In order to submit an appeal based on one of the first two reasons, the applicant must submit a formal appeal letter stating the issue and also submit appropriate documentation or verification as to what information in the application or regional coordination plan was either overlooked or misrepresented.

With respect to the third reason, agency eligibility requirements, a governmental authority may have been awarded funds to provide a service that either can be or is already being provided by a nonprofit organization in the same service area and there is perceived competition for the same service. The nonprofit organization can appeal this decision and provide information as to what services are being duplicated.

The applicant must use the following process in order for its appeal to be recognized as valid.

- Prepare and submit a formal appeal letter that clearly identifies the project description, grounds for appeal, and what rectification is being sought.
- Attach any supporting documentation to substantiate the appeal.
- Submit the appeal letter and supporting documentation to ADOT by June 30, 2016.

The Section 5310 Program Manager will review the appeal and notify the applicant in the system of his/her decision by July 15, 2016.

If the applicant is not satisfied with the Program Manager's response, the appeal may be forwarded to the ADOT Multimodal Planning Transit Programs Director. This appeal must be submitted by August 1, 2016. The Multimodal Planning Transit Programs Manager will then provide a written response to the applicant within 30 days of receipt of the appeal.

D. LOCAL MATCH REQUIREMENTS

CAPITAL

Capital projects funded under the Coordinated Mobility Program predominantly* (see below) utilize a local match ratio of 20% of the final invoice for all projects, including Mobility Management. In years past, an additional administrative fee was added for capital equipment procurements conducted by ADOT on behalf of the subrecipient. This administrative fee has been waived until further notice.

*ADOT can provide two different capital and mobility management match ratios, depending on the type of funding awarded. 5310 **Formula** funding is awarded at an 80% federal match ratio and a 20% local match ratio. 5310 **STP** funding may be awarded at a 90% federal match ratio and a 10% local match ratio. Applicants will apply for all capital and mobility management projects at an 80% federal and 20% local match ratio. At the time of award, ADOT will determine which projects can be moved to STP funding and the ratios will be adjusted at the time contract accordingly.

All ***capital equipment*** project local match funds must be in ***cash***. This includes all scheduling software related mobility management capital expenses. It is important to note that local match for capital equipment procurements conducted by ADOT on behalf of the subrecipient (usually all vehicles) must be in monetary form, such as an agency check or Cashier's Check, and submitted to ADOT at the time the Exhibit A portion of the contract is executed.

Mobility Management local match share can be either in cash ***or*** in-kind resources. Assurance of the availability of dedicated local funds in the form or cash match or in-kind resources is required at the time of application.

OPERATIONS

Projects funded under the Coordinated Mobility Program utilize a local match ratio of 50% for ***operating*** expenses. The federal share, which is also at a 50% ratio, cannot exceed 50% of the *total net operating deficit* of the service, which is defined as total operating expenses minus operating revenues (e.g., fares, donations in lieu of fares).

The equation to identify the total net operating deficit is:

Total operating expenses (minus) unallowable expenses (minus) fare-box and other operating revenue = Net Operating Expenses.

Unallowable expenses could include indirect cost expenses not supported by an approved indirect cost allocation plan.

Please note, while 50% of the net operating expense is eligible for FTA funding, 5310 program operating funding levels provided to Arizona are not sufficient to cover this level of operating assistance for most applicants.

Operating local match share can be either in cash ***or*** in-kind resources. Assurance of the availability of dedicated local funds in the form or cash match or in-kind resources is required at the time of application.

More information on sources of local match and the requirements involved with submitting in-kind as local match are described in greater detail below.

LOCAL MATCH SOURCES

Cash Revenue

Although some revenue (income) can be used as local match, not all types of revenue can be used. As described above, fare-box or donation revenue from passengers to ride the service is not eligible local match revenue.

Revenue Overview

There are four major categories of revenue for transportation services:

- Fares
- Agency Contracts
- Grants and Other Governmental Payments
- Other Sources

Fares

Fare-box revenue includes fares paid by passengers, pre-paid fare media used by passengers including multi-ride passes and tokens, route guarantees, pre-paid passes or other fare media purchased by a human service agency for distribution to its clients, and user-side subsidy arrangements. Fare-box revenues also include "private pay" fares where the customer pays the full cost of the service.

Fare-box revenues do not include payments made to the transit provider by human service agencies under the terms of a purchase of service agreement or agency contract.

Agency Contracts

Contract revenues are monies received from an entity (such as a human service agency, a hospital or medical plan, or a business) which contracts with a transit system to provide transportation for the passengers specified by the agency. Section 5310 subrecipients have the option to use income from contracts to provide human service transportation to either 1) reduce the net operating project cost (use as fare revenue); or 2) provide as local match for Section 5310 operating assistance. The manner in which an agency applies income from these contracts affects the calculation of net operating expenses and, therefore, the amount of Section 5310 operating assistance the agency is eligible to receive.

This contract revenue is a valuable source of local matching funds. Transportation providers may be involved with many contracts, generally lasting for one year and negotiated annually. Funds received for agency contracts with a state, local social service agency, or a private social service organization may be treated as local match rather than federal funds, even though the original source of such funds may have been from another Federal program.

Grants and Other Governmental Payments

Grants or payments from sources other than the US Department of Transportation (DOT) can be used as local matching funds. Sources include Older Americans Act Title III, Temporary Assistance for Needy Families, and Community Service Block Grant funds. Any grant coming from the USDOT though, including Section 5311 and Veterans Transportation and Community Living Grants, **cannot** be used as local match.

Other Sources

Other sources of local match include local government appropriations, tax revenues, private donations not given in lieu of paying a fare for a ride (for example a cash donation from an individual or group that values the agency's services and wants to support the organization), and net income from advertising or concessions. Although, it must be noted that advertising on 5310 funded vehicles is not permitted by ADOT.

Eligible and Ineligible Cash Revenue as Local Match

The following categories of cash revenue **can** be used as local match:

- Local government appropriations;
- Local dedicated tax revenues;
- Private donations, other than for rides;
- Net income generated from advertising and concessions;
- Agency contracts such as human service program funding; and
- Non-DOT federal funds.

The table on the next page provides examples of Non-DOT federal program funds that can be used as local match.

U.S. Department of Health and Human Services	o Community Services Block Grant o Head Start o Older Americans Act Title III o Temporary Assistance for Needy Families (TANF)
U.S. Department of Labor	o Retired Senior Volunteer Program (RSVP) o Senior Companions
U.S. Department of Interior – Bureau of	o Indian Reservation Roads Program

Indian Affairs	
U.S. Department of Housing and Urban Development	o Community Development Block Grant

Cash revenue that ***cannot be used*** as local match includes: fare revenue and Federal DOT program funds, including Section 5311 funds.

Non-Cash (In-Kind) Revenue

Non-cash, or in-kind, match, such as donated goods and volunteer services, may be used as local match ***only*** if the applicant formally documents and can verify determination of the value of each non-cash match amount. Any non-cash match must represent a cost that would be eligible under the project, cannot be used to match another Federal grant, and must be applicable to the grant period to which the cost is applied.

At the time of application, applicants are required to provide three budgets, an actual 2015 agency transportation program budget, a current 2016 transportation project(s) budget and a proposed 2017 transportation project(s) budget for which FY 2016 5310 funds will support. All budgets require identification and explanation of local match sources, to include in-kind match sources.

In-Kind Match Valuation Proposal

If in-kind revenue sources are listed as match for a FY 2016 application proposed project budget, the applicant is required to submit, in addition to the application, an ***In-Kind Match Valuation Proposal***. This is formal documentation of how the value(s) of the in-kind match was determined. ADOT is providing a form, in Appendix C, to complete and attach to the application for **every** third party contributed in-kind good or service listed as in-kind match in the application's proposed project budget.

The **In-Kind Match Valuation Proposal** must only include goods and services donated for the project that represent eligible grant activities. For each third party good or service, the applicant must list the:

- Donor name;
- Item(s) or service(s) donated;
- Identification if the item donated is a "good" or "service";

- Fair market value (FMV).
- How the fair market value was determined. (See below for information how to determine FMV.)

The **In-Kind Match Valuation Proposal** will need to provide necessary rationale and back-up documentation to show how costs are determined. Back-up documentation for goods and services should include donation receipts stating the donor, the item donated, and its fair market value. Volunteer time should include time cards and be charged at either the prevailing wage or the wage rate paid to an employee performing similar duties.

Please note: In-kind match must come directly from an outside third-party source, i.e.: **not** from the applying agency.

In-kind match should not be confused with indirect or overhead costs associated with the agency providing transportation service. In-kind match costs are not costs from within the agency that are shared amongst different departments or individuals doing multiple tasks. In-kind match is donated time or items coming from a third party contributor not involved with the agency in a paid manner.

Services provided by an applicant's staff, regardless of their duty status, are valued at the actual cost to the agency *for cash match* and these costs are not considered in-kind contributions.

Determining Fair Market Value (FMV)

There are multiple ways to determine the FMV of donated goods or services. This guidance is based on the Code of Federal Regulations, Title 49 Section 18.24, *Match or Cost Sharing*, which is the U.S. Department of Transportation's regulations for match, in-kind match, and cost sharing.

For Donated Services:

Volunteers - Unpaid services provided to an applicant by an individual are valued at the pay for similar work in the applicant's organization. Request a valuation by your personnel staff of the job or, if the job is foreign to your agency, use minimum wage or seek private market value of the work. There are websites that provide values for volunteer time, one such site is: independentsector.org/volunteer time. A reasonable amount may be included for fringe benefits.

Employees of other organizations - When another organization furnishes, free of charge, the services of an employee in that employee's line of work, the services are valued at the employee's regular rate of pay exclusive of fringe benefits and overhead costs. If the

services are in another line of work, then the value is calculated in the same manner as that for volunteers.

For Donated Use of Equipment/Space/Property (Title is retained by the donor):

Equipment or space - Equipment or space is valued at its fair market rental rate. State motor pool rates may be used for vehicles and rolling stock.

Land - If only the use of the land is required, and ownership is not necessary for grant purposes, then fair market rental of the land is used as the in-kind match amount.

For Donated Supplies/Equipment/Real Property (Title passes to the Applicant):

Supplies - Supplies are valued at their market value at the time of donation.

Equipment and buildings - The fair market value of equipment and buildings at the time of donation may be used for in-kind match.

Land or Buildings - If fee title ownership of land is necessary for the accomplishment of grant purposes, the appraised market value of the land may be counted as match.

FMV Examples

Below are examples of how to estimate and document the value of in-kind match.

Equipment/Goods: A 2012 Dodge Caravan with 30,000 miles is donated to Agency X, a nonprofit organization that provides rides for their grant-funded specialized senior transportation program. Using Kelly Blue Book or a National Auto Dealership of America (NADA) Used Car Value Guide, both of which can be located on the Internet, determines the fair market value (FMV) of the donated van.

The condition of the van is considered "Good"; therefore, the value of the van via Kelley Blue Book is $14,000.

Services: Maria Smith, an attorney who normally charges $160 per billable hour, donates her services to Agency X. If she provides 10 hours of legal services, the in-kind market value would be $1,600 (10 hours @ $160/hour).

On occasion, Maria Smith volunteers her time to drive Agency X clients to appointments. In this case, the fair market value is based on the rate the agency pays its employed drivers. It is not her normal billable rate as an attorney. If the drivers' hourly rate is $12.50/hour and she spends 4 hours driving for the agency, the in-kind value is $50 (4 hours @ $12.50/hour).

E. APPLICANT RESPONSIBILITIES

There are other requirements an applicant is responsible for, in addition to the basic eligibility and application requirements, in order to successfully receive and manage FTA Section 5310 grant funds. These additional requirements stem from MAP-21 and FAST Act, as well as a strengthened project coordination and oversight focus by ADOT.

COORDINATION ACTIVITIES

Coordination with other transportation providers is a key requirement of the Coordinated Mobility Section 5310 program. In order to be awarded grant assistance, successful applicants must be included in the Regional Coordination Plan for their area and must participate in local and/or regional efforts to coordinate transportation services and manage mobility. The objective of these coordination efforts is to make the best use of transportation resources in Arizona.

Local coordination efforts will vary by region, but all will be guided by the coordinated planning process carried out by the regional COG or MPO. As part of this process, local or regional coordinating councils are established in each region, and participation on these committees is a requirement of all subrecipients.

Applicants are expected to not only participate in meetings but to actively participate in mobility management efforts and to coordinate with other agencies. This can take on many forms including: sharing information and referrals; joint training; and sharing of maintenance facilities, insurance, drivers, and even vehicles. One of the primary objectives of mobility management activities is for agencies within a region or subregion to work together to identify how to make the best use of scarce operating and capital resources. This is a significant change from the past when applicants identified their program needs and submitted applications independently, without regard for other resources or needs in the region.

Applicants for and existing subrecipients receiving capital equipment such as vehicles should be aware that they need to participate in activities related to their region's coordination plan even if they are not applying for grant assistance for a particular year(s) ***and*** as long as they have a vehicle(s) on lien or other Coordinated Mobility Program grant assistance that is still active. In addition, subrecipients are encouraged to continue to participate regardless of their status (i.e., even when vehicles are past their lien requirements), especially if this agency is still providing the same or similar special needs transportation (or are partners with others that provide this service for them). The regional transportation coordination plans are not intended just for ADOT subrecipients, and therefore should not be viewed as just an ADOT function, but are for *all* public and

human service transportation agencies and their partners, including private-for-profit providers.

Applicants for ongoing mobility manager funding are expected to both lead the region's mobility management and coordination efforts and also show that they have substantially met the scope of work defined for their program, which includes showing progress in meeting mobility management objectives.

PROJECT MANAGEMENT

The applicant must demonstrate its ability to successfully manage its existing or proposed Section 5310 project, meeting both ADOT requirements and those of the FTA. Successful project management means being able to meet federal and state requirements for appropriate 1) *financial management* of project funds, 2) *asset management* of capital equipment, and 3) *safe provision* of transportation service, with related appropriate training of drivers and staff.

Financial Management

ADOT requires financial accountability. Applicants must be able to submit appropriate and accurate documentation to support project budgets during the application process and subsequently after the project is funded for reimbursement of grant funds. Financial management means to have strong systems in place to use, and account for, grant funds properly. For existing applicants, this includes being in good standing with ADOT, with a history of successfully receiving and managing grant funds; and completing the scope of work for each project with submission of timely progress reports.

There are six fundamentals to a good financial system:

- **Financial Reports** that completely disclose all allowable expenses.
- **Accounting Records** that can easily track day-to-day expenses and revenue.
- **Internal Control** that ensures assets are used for authorized purposes only.
- **Budget Control** that ensures expenses are in line with the original budget and budgets are tied to agency performance measures.
- Agencies only submit reimbursements for **Allowable Costs** as defined by the federal government.

- Agencies support accounting records with **Source Documentation**, such as cancelled checks, paid bills, and timesheets.

In order to maintain a strong financial management system, the applicant must develop strong internal controls for accounting and compliance with grant terms and conditions in order to demonstrate that funds are expended for eligible and allocable activities. The applicant should also be able to track receipts, disbursements, assets, liabilities, and balances and track and report program income. Internal control procedures should address the following: cash management, fixed assets, procurement, accounts payable, payroll, overhead, budget controls, grants management, project management and information technology.

Asset Management – State of Good Repair

Federal Focus

In recent years, FTA has put a greater emphasis on grant recipients keeping vehicle fleets and related transit equipment and facilities in a "State of Good Repair." This can be accomplished through Transit Asset Management.

In general, State of Good Repair is the ability to maintain assets in a condition in which they perform well. For example, if a vehicle is older than it's intended useful life, has high mileage, and is breaking down frequently, costing the agency a significant amount of unbudgeted funds to maintain and continue use of the vehicle, then that vehicle would not be in a state of good repair.

Transit Asset Management is a strategic and systematic approach to managing physical assets. Assets are considered physical equipment and infrastructure owned by a transit agency, including software. Asset Management focuses on the processes for allocating and using resources, with the objective of better decision-making based upon quality information and well-defined objectives.

Through MAP-21 and the FAST Act, FTA is required to implement an asset management system with policies and procedures that move towards determining how to best restore and replace aging transportation infrastructure. FTA is tasked with defining "state of good repair" and creating objective standards for measuring the condition of capital assets, including equipment, rolling stock, infrastructure, and facilities. All FTA recipients will then be required to set performance targets and report on the progress towards meeting those targets. Once a final rule defining state of good repair is adopted, FTA recipients will be required to develop transit asset management plans. At this point it is still not known what will occur at the state or regional level. However, ADOT will be focusing on the

maintenance of transit assets and subrecipients should anticipate participating in such efforts.

Once FTA provides final guidance on State of Good Repair and Asset Management, ADOT will begin to assist applicants and subrecipients with meeting new FTA requirements.

State Focus

ADOT has required subrecipients to maintain vehicles at an optimal level for many years through the ADOT annual vehicle inspection program. All vehicles purchased with Coordinated Mobility Program grant funding must be regularly maintained and serviced in order to provide safe operations. Subrecipients must document routine maintenance including but not limited to oil/fluid changes, tire condition, wheelchair lift inspections (if applicable), and maintain all aspects of the vehicle in accordance with the manufacturers' recommended maintenance standards.

If awarded a vehicle, not only are applicants required to maintain that vehicle, but the subrecipient is also required to take the vehicle to an ADOT location for annual inspection. During that inspection, ADOT determines if the vehicle is being maintained at an optimal level. If not, ADOT has the right to ground the vehicle until it is properly repaired and/or subsequently move the vehicle out of service if the agency neglects its responsibilities. ADOT sees this important oversight activity as a first step in building on the new FTA initiative to promote vehicle fleets in a state of good repair statewide.

In addition, ADOT strongly supports the State of Good Repair and Asset Management federal initiative by incorporating the concept of State of Good Repair at a regional level by determining appropriate fleet levels, and how to achieve those fleet levels, through coordination and mobility management activities. FY 2016 applications for vehicles will be reviewed taking into consideration how vehicle fleets are being managed at the regional level, what vehicles need to be replaced in order to keep both local and regional fleets in optimum working order, and what assistance can be provided at both the state and regional level to assist applicants in maintaining vehicle fleets in a state of good repair.

Safety & Training

Federal Focus

The FAST Act places a stronger focus on safety and requires FTA recipients, among other safety requirements, to develop comprehensive agency safety plans that at a minimum include methods for identifying and evaluating safety risks, strategies to minimize exposure to hazards and unsafe conditions, and performance targets for safety performance criteria.

Agency safety plans will also need to identify an adequately trained safety officer who reports directly to the subrecipient's chief executive and provides a comprehensive staff training program for operations personnel and personnel directly responsible for safety. The staff training program must include completion of a safety training program and continuing safety education and training.

Once FTA provides final guidance on the new Safety Plan requirements, ADOT will begin to assist applicants and subrecipients in meeting these requirements.

State Focus

A commitment to operating safe services is a core requirement of the Coordinated Mobility Program. Drivers must be trained to proficiency not only in the safe operation of vehicles and equipment but also in how to assist and relate to passengers with special needs.

All drivers and other safety-sensitive personnel operating vehicles or equipment should be trained to proficiency including, but not limited to, the following:

Defensive driving techniques;

ADA accommodations/wheelchair securement and passenger sensitivity;

Emergency evacuation; and

Basic first aid/CPR.

ADOT's 5310 Program Manager is available to assist subrecipients with training needs, whether it is setting up Rural Transit Assistance Program (RTAP) based training locally or providing other resources. Please refer to the ADOT RTAP website for more information. http://www.nationalrtap.org/azdot/Home.aspxb

PERFORMANCE REPORTING

Applicants will have various reporting requirements required of them if awarded project funds. For example, the federal government requires information to be supplied by the state DOT on each of its subrecipients annually in regards to service performance. Current federal performance measure requirements include reporting the number of trips provided in a given year and the service area those trips were provided in. MAP-21 alters performance measure reporting requirements and ADOT will communicate any updated requirements with subrecipients when it receives final guidance from FTA.

If awarded funds, applicants must also submit quarterly performance measure information to ADOT in the form of quarterly performance or progress reports. These will be submitted along with grant reimbursement requests. Performance reports are specific to capital and operating project awards. Progress reports are specific to mobility management projects.

ADDITIONAL REQUIREMENTS

Limitation of out-of-country and out-of-state travel

No ADOT-funded vehicle or other capital asset may be taken across an international boundary without prior written approval from ADOT. Cross-state boundary travel is permitted as long as it is consistent with the objectives of the Coordinated Mobility Program.

Charging fares for senior and disabled transportation services

Fares may be charged for senior and disabled transportation services as long as the fares do not exceed those required to operate service. In determining fair and reasonable charges, service providers should keep in mind the primary end-user/clientele group utilizing the services and their income status. The operator may require fares that exceed the "normal" fare if it is providing general public service to others outside the core end-user group.

SECTION III. PROGRAM ADMINISTRATION

PART I. STATE OVERSIGHT

The following is an overview of the policies and procedures ADOT has implemented in order to ensure awarded grant funds are being used in accordance with federal and state requirements.

A. CONTRACTS WITH ADOT

Each successful applicant is provided funds through a Grant Agreement with ADOT that has specific terms and conditions. The Agreement: identifies the responsibilities of ADOT and the subrecipient; lists the performance expectations and contract deliverables; and includes all Federal requirements. This Agreement is entered into at the time of application. By signing the Agreement at the time of application, the applicant is committing to a legal binding Agreement with ADOT if awarded funding.

A final funding commitment that defines the project(s) award description, Agreement eligibility dates, funding participation, and match requirements, after the application and Agreement documents are submitted and award is made by ADOT, is documented in the form of an Exhibit A. Previously, this Exhibit was sent to the applicant for signature and was required to be signed by both ADOT and the subrecipient before the Agreement was valid, but the signature process is no longer required *unless* the award amount in Exhibit A exceeds the amount of funding requested in the application.

Once an Exhibit A is generated, signed and the Agreement is finalized, subrecipients can start billing for expenses under their Agreement. Agencies with an umbrella organization and various satellite service locations across the state should be aware that ADOT only issues **one** Agreement to the umbrella organization. The Exhibit A will then list all projects awarded by satellite location and region.

Awarded applicants, separate from the Exhibit A, and at the time of award, will receive a Budget and Scope form that finalizes the applicant's proposed project budget in accordance with awarded 5310 funding. The scope of the project, based on the application scope of work, will also be finalized at this time. The Budget and Scope form is to be the basis for reimbursable costs to ADOT, as well as documenting project progress, and can be negotiated and modified over the life of the Agreement with prior approval from the Coordinated Mobility Program Manager.

The target timeframe for Agreements to be effective is from October 1 to September 30 each year, consistent with the Federal fiscal year. The ultimate date(s) of Agreement eligibility will be identified in Exhibit A and costs can be reimbursed for up to 12 months after the effective date. Any costs submitted for reimbursement before the eligibility dates stated in Exhibit A are ineligible. The final invoice for expense reimbursement can be submitted up to 30 days after the Agreement end date.

Approved subrecipients are responsible for all expenses incurred prior to the eligible date established in Exhibit A. No Federal funds will be available until the Agreement is executed.

B. EXPENSE REIMBURSEMENT

For operations and mobility management expenses, subrecipients must submit reimbursement requests to ADOT on a Quarterly basis. Reimbursement Request, Performance, and Progress Report excel forms will be provided by ADOT to each subrecipient for this purpose. No other reporting forms will be accepted (i.e. PDF or Word). At minimum, detailed back-up documentation in the form of a draw–down of expenses/ system-generated ledger report must be included for each invoice submitted. In the event a system-generated ledger cannot be provided, it is acceptable to use a manually created spreadsheet ledger. However, in this case, all support documentation must also be submitted.

Although the only back-up documentation ADOT currently requires to accompany a reimbursement request is a system-generated general ledger, the subrecipient must maintain detailed support documentation at the agency's main location and provide to ADOT if requested or audited through an on-site visit.

In-kind expenses submitted to meet local match eligibility requirements must be documented in a format so ADOT can easily determine cost eligibility. This documentation must be in line with the In-Kind Match Valuation Proposal submitted at the time of application. Sample forms are provided in Appendix D for tracking in-kind match costs on a monthly basis and submitting to ADOT for reimbursement.

C. PERFORMANCE AND PROGRESS REPORTS

OPERATING AND MOBILITY MANAGEMENT PROJECTS

Subrecipients receiving operating funds must submit, along with the Reimbursement Request Form, a *Performance* Report form. This excel form provides information about performance to include budget and ride data. Reporting will be completed on a template provided by ADOT and submitted in the same excel format.

Subrecipients receiving mobility management funds must submit, along with the Reimbursement Request Form, a *Progress* Report form. This form provides information about the quarterly progress of the project in comparison to the stated goals and objectives defined in the award scope of work. Reporting will be completed on a template provided by ADOT.

CAPITAL EQUIPMENT PROJECTS

For subrecipients receiving capital equipment such as vehicles, a quarterly Performance Report is required. The report will ask for information such as: the number of one-way

passenger trips provided; service miles provided; types of clients served; and the geographic areas covered using a vehicle purchased with Coordinated Mobility Program funding.

Subrecipients are required to submit a quarterly Performance Report every quarter for *all* vehicles used by the subrecipient even if not purchased with ADOT funding during the useful life of the lien. Therefore, subrecipients may be submitting quarterly capital performance reports even though they may not have a current year award with ADOT.

D. PROCUREMENT

ADOT conducts the procurement for most vehicle purchases. Subrecipients should be aware that for any specialized vehicles awarded or other types of equipment not normally procured by ADOT, the subrecipient must follow the requirements specified in ADOT's FTA Capital Procurement Handbook (February 2010 version). The Capital Procurement Handbook provides the framework for purchases outside the ADOT direct procurement system. The Handbook is available online at azdot.gov under Planning, Transit Programs and Grants, bottom of the page under 2012 State Management Plan, Appendix C.

Applicants who procure equipment on their own must comply with all steps associated with major capital procurements, including, but not limited to, selecting an appropriate method of solicitation, advertisement, conducting a federally approved bidding process, contracting, and obtaining appropriate federal Buy America, Bus Testing, Lobbying and Debarment certifications.

Subrecipients are advised to contact the ADOT Coordinated Mobility Section 5310 Program Manager **prior to** engaging in any procurement activity, **as all** procurements require final ADOT approval. Reimbursement of capital expenses may not be provided if the procurement method and process was not approved in advance by ADOT.

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

E. ASSET MANAGEMENT

VEHICLE TITLE AND LIEN

ADOT, in conjunction with vehicle vendors (dealers), conducts all vehicle title and registration activities for the subrecipient as a part of the ADOT led procurement process. To allow ADOT to act on behalf of the subrecipient for these transactions, a signed Power

of Attorney form may be requested at the time of vehicle delivery to complete the process. The Power of Attorney form is used exclusively for titling and registering vehicles awarded through the Section 5310 program. A signed Power of Attorney form is no longer required at the time of application.

In order to ensure proper use of grant funded equipment throughout its useful life, ADOT holds a first lien on all equipment in the amount of the federal share of the equipment cost. The lien extends through the useful life of the capital equipment, until the remaining asset value is less than $5,000. For vehicles, the lien will remain in effect for 100,000 miles.

Vehicles will be released off lien at 100,000 miles. The lien release will occur at the time of ADOT annual inspection when ADOT Equipment Services is provided with the mileage for the vehicle in question. Subrecipients can request a lien release if the vehicle has reached the 90,000 mile mark. Vehicles will no longer be released off lien based solely on the age of the vehicle. Vehicles can be released off lien if they are at 90,000 miles or above. The only reason that a vehicle at or near 100,000 miles would not immediately be released off lien is in the case of an inspection failure. If the vehicle fails ADOT's annual inspection, the subrecipient will have to resolve the failure issues before the vehicle lien is released.

For subrecipient planning purposes, ADOT conducted an analysis of how long the various vehicle types ADOT procures should remain on lien based on: 1) the cost of the vehicle, 2) the amount of time FTA designates for "useful life" (4 years for minivans, maxi-vans, and trucks; 5 years for cutaways), and 3) a subtraction of the $5,000 threshold that FTA designates as the useful life threshold. Based on this analysis, vehicles procured under the Section 5310 program should be considered under "useful life" and on lien as identified below.

- Cutaway with Lift: 4.5 years and/or 100,000 miles
- Maxivan With Lift: 4 years and/or 100,000 miles
- Minivan With Ramp: 3.5 years and/or 100,000 miles
- Suburban or SUV: 3.5 years and/or 100,000 miles
- Minivan No Ramp: 3.25 years and/or 100,000 miles
- Maxivan No Lift: 3.25 years and/or 100,000 miles
- Crew Cab Trucks: 3.25 years and/or 100,000 miles

Subrecipients should use the above guidelines to estimate how long it will take each vehicle type to reach 100,000 miles and be released off lien.

Subrecipients should ***not*** have vehicles on lien past the number of years stated in the useful life guidelines above. Therefore, at annual inspection, if a vehicle has been used for less than:

- 20,000 miles a year for minivans, maxi-vans, trucks, SUVs, etc.
- 18,000 miles a year for cutaways

ADOT Equipment Services will notify the Section 5310 Program Manager and the subrecipient will be scheduled for an immediate site visit or desk review.

During the site visit or desk review, service records for the vehicle in question will be examined to determine whether there has been appropriate use of the vehicle. If the site visit or desk review reveals the subrecipient is underutilizing the vehicle (either in service type or time in service), ADOT has the right to remove the vehicle from the subrecipient and transfer it to another agency that can use the vehicle more effectively. This may include moving the vehicle into a regional pool or shared vehicle situation based on regional coordination and mobility management needs.

If a transfer occurs due to underutilization, the subrecipient's future vehicle funding requests will be highly scrutinized and may not be funded based on past performance.

INSURANCE REQUIREMENTS

Minimum Required Insurance Coverage

Subrecipients are responsible for acquiring and maintaining current, appropriate insurance on their vehicles and other large capital equipment assets while under ADOT lien. In addition, ADOT must be listed as the *loss payee* and *additional insured* when ADOT is either listed as the vehicle owner or lien holder.

Subrecipients must maintain adequate property and liability insurance coverage. The current minimum requirement for automobile liability insurance is based on vehicle size, as shown below:

VEHICLE SEATING CAPACITY	LEVEL OF INSURANCE COVERAGE
Carryingthree (3) passengers or less	Combined Single Limit (CSL) of $1,000,000
Carrying four (4) to fifteen (15) passengers	Combined Single Limit (CSL) of $2,000,000
Carrying sixteen (16) or more passengers	Combined Single Limit (CSL) of $5,000,000

In addition, subrecipients must maintain collision and comprehensive insurance coverage for the full Fair Market Replacement Value of each vehicle under lien. The deductible for this coverage should not exceed $5,000.

**Subrecipients must ensure and be able to document that up-to-date insurance is obtained and on file. This information must be readily available for review by ADOT and its auditors. A current insurance card must also be located in vehicles at all times.

ADOT Verification of Coverage

As part of the title and registration process, a Certificate of Insurance will be requested from the subrecipient prior to taking delivery of a vehicle(s). When submitting the insurance certificate, the subrecipient must include the appropriate Agreement number and project description. In addition, a current copy of the Certificate must be submitted at the time of Annual Vehicle Inspection. A breakout of coverage, effective insurance dates, and ADOT being listed as Additional Insured/Loss Payee and lien holder is verified by ADOT at the time of submission.

Subrecipients and/or insurance carriers (on behalf of the subrecipient) will be required to submit ongoing Certificate of Insurance renewals and cancellation notices to MVD1@azdot.gov and list Transit in the subject line of the e-mail. ADOT should be provided with thirty days written notice of any changes to a subrecipient's insurance coverage.

VEHICLE MAINTENANCE

Subrecipients must maintain all project equipment at a high level of cleanliness, safety, and mechanical soundness. As evidence that required maintenance has been performed, subrecipients are required to document all vehicle maintenance activities in a format that is readily available for review if requested by ADOT and includes copies of purchase orders, invoices, etc.

Vehicles must be maintained per the manufacturer's suggested maintenance guidelines. Each subrecipient must establish a maintenance program that, at a minimum, meets those recommendations. ADOT has the right, and obligation, to review the subrecipient's maintenance and safety programs and to conduct periodic inspections of equipment and facilities purchased with FTA funds.

Prior to vehicles being placed in revenue service, ADOT also requires that subrecipients have a pre-trip/post-trip inspection program set up to ensure that safety and operational standards are consistently met for each vehicle, including all vehicle accessibility features. ADOT requires that daily pre-trip/post-trip inspections be documented and included as part of the permanent file for each vehicle funded by the Coordinated Mobility Program.

Specific additional ADA maintenance guidelines subrecipients are required to follow. Those are outlined in detail in Part II, Federal Requirements, Subsection B, Civil Rights.

ANNUAL VEHICLE INSPECTION

Central to the management responsibilities a subrecipient undertakes when awarded a vehicle is the commitment to comply with required annual vehicle inspections. ADOT's statewide Equipment Services Division (EQS) staff conducts annual vehicle inspections. For each vehicle, an appointment for the inspection will be made by EQS and an email will be sent to the subrecipient as notification. Annual vehicle inspections are a requirement throughout the entire useful life and lien period of the vehicle. If a subrecipient is not contacted annually by EQS for a vehicle inspection time, the subrecipient is required to contact EQS and set up an appointment.

When a vehicle is brought in for an inspection, EQS staff inspects the vehicle and completes an annual inspection form. A sample form is provided in Appendix E. Inspections use a pass/fail system. Once the inspection is complete, the subrecipient's driver or representative must sign the form to formally agree to the inspection results. If the vehicle fails inspection, EQS immediately contacts the Section 5310 Program Manager by email with information on the vehicle that failed and a corresponding work order detailing the failure(s) and needed repair(s). According to Federal inspection criteria, if there is a failure with the brakes, HVAC system, safety equipment, wheelchair lift, or the tires; the vehicle cannot transport passengers until the shortcomings are addressed.

The Section 5310 Program Manager then notifies the subrecipient of the failure by both letter and email including the comments regarding failure from EQS. The letter provided to the subrecipient is a standard cure letter stating the vehicle is not to be operated until the vehicle repair(s) is completed. The subrecipient has thirty (30) business days to both complete the repairs and send back up documentation to verify a certified mechanic has completed the repair. Documentation is to be sent to EQS via email.

Upon receipt of the subrecipient's repair documentation, EQS will review the documentation for compliance. EQS then notifies the Section 5310 Program Manager as to the status of repair compliance.

If the repaired vehicle passes inspection, the Section 5310 Program Manager will send the subrecipient notification and the matter is closed.

If the vehicle continues not to pass inspection, EQS will call the subrecipient and discuss what is needed in order to complete the repair.

Conversely, if in 30 business days, ADOT has not received the repair documentation from the subrecipient, the Section 5310 Program Manager will contact the subrecipient by letter stating the consequences of non-compliance and providing ten (10) additional business days to complete the repair and send verification via email. Consequences for non-compliance include:

- Permanently removing the vehicle from service; and
- Removing the vehicle from the subrecipient's fleet, making the necessary repairs, and relocating the vehicle to another subrecipient agency.

ASSET INVENTORY MANAGEMENT

MAP-21 requirements include the implementation of new reporting requirements for 5310 subrecipients. The National Transit Database (NTD) program's Asset Inventory Module (AIM) is designed to collect basic information on assets and infrastructure applied by U.S. agencies delivering service. The purpose of assembling a nationwide inventory is to improve the Federal Transit Administration's (FTA's) ability to protect capital costs for replacement (and necessary capital renewal activities) of existing transit assets in the future. This information supports the FTA biennial report to the U.S. Congress regarding cost estimates of transit capital. These estimates directly influence the FTA annual budget request submitted for the federal fiscal year.

Subrecipients will be required to submit yearly asset information to their Mobility Manager regarding their assets regardless of whether or not they were procured using FTA grant funds:

- Agency Identification
- Administrative and Maintenance Facilities
- Passenger and Parking Facilities

- Service vehicle inventory
- Revenue vehicle inventory

The report will be completed in the form prescribed by ADOT.

ADOT manages an inventory of vehicle information for all vehicles funded under the Coordinated Mobility Program. This asset management system promotes proper vehicle maintenance and use and identifies problems or issues related to fleet defects or improper vehicle management.

ACCIDENT REPORTING

Subrecipients must report a vehicle incident, accident or casualty to the Section 5310 Program Manager within 48 hours of the occurrence.

Vehicles that are damaged and can be repaired, must be repaired to an equal or better condition comparable to the condition prior to the incident.

If the vehicle is deemed a total loss, the following documentation must be submitted to the Section 5310 Program Manager within ten (10) working days of the incident:

- Vehicle Identification Number (VIN);
- The model year;
- The vehicle make and model;
- The mileage at the time of the incident;
- The Exhibit A contract number the vehicle was originally purchased
- The vehicle purchase match ratio (federal and local share)
- Arizona Accident Report or Incident Report forms; and
- Correspondence from the insurance company indicating the amount of the settlement of proceeds.

Based on the information received, the 5310 Program Manager will work with the subrecipient and insurance company to determine the proper course of action. If the

vehicle is still on lien, because ADOT is listed as the loss payee and additionally insured, the insurance proceeds will be released to ADOT, not the subrecipient. It is unlikely that the subrecipient will be able to secure a replacement vehicle with the insurance proceeds after a total loss accident occurs. However, the following procedures will be following for the replacement vehicle or if the subrecipient chooses not to purchase a new vehicle:

Should the subrecipient wish to purchase a new vehicle, ADOT will hold the federal and local share of the insurance proceeds and determine the new cost for the vehicle. A revised Exhibit A will be provided and a request for the additional match funds will be sent to the subrecipient.

Should the subrecipient not wish to purchase a new vehicle, ADOT will take the original federal share portion (e.g.: 90% federal share) of the proceeds and return those funds back to FTA. The remaining local share portion (e.g.: 10% local share) of the proceeds would be returned to the subrecipient.

CHANGE IN EQUIPMENT STATUS OR CONDITION

Any extraordinary change in the status or condition of a vehicle or other capital equipment (including damage, operational failure, non-use or legal involvement), must be reported to ADOT within five (5) working days, even if satisfactory repair can be made within this period. Items such as flat tires, minor glass and paint scratches, minor "parking-lot dings," other incidental body dents, and regular, non-accident related repair or normal replacement items are not subject to this requirement unless a vehicle is out of service for more than 24 hours.

VEHICLE TRANSFERS

Subrecipients that need to transfer a vehicle still on lien in the Coordinated Mobility Grant Program must seek permission from ADOT and their mobility manager before a vehicle can be transferred either between agency site locations or to another agency within the same COG or MPO region.

Reasons for allowable vehicle transfers include:

- Current underutilization of a vehicle (not meeting annual usage requirements);
- Regional needs determine a better use for the vehicle elsewhere;
- The agency location is going out of business or is no longer providing transportation service;

- Agency site consolidation; and
-

Vehicle Transfer Subrecipient Procedure

Contact the 5310 Program Manager and the appropriate Mobility Manager for the region the vehicle is being used by email with the request to transfer the vehicle. Clearly state the reason for the transfer and when the vehicle was last in service.

The 5310 Program Manager and the Mobility Manager will review the reason and determine if it is appropriate to consider the transfer. If the transfer reason is accepted, the subrecipient is to submit a formal email request, with the following information:

NOTE: All parts of this process will be handled in the E-Grants system in the future.

- Agency Name
- ADOT Identified Vehicle Type (i.e. cutaway with lift)
- Vehicle Make and Model (i.e. Startrans Supreme Senator)
- Vehicle Model Year
- Current Mileage
- Delivery Date/Date Put Into Service
- Date Removed From Service
- Original Funding Year (Year of Award/Agreement)
- Original Purchase Cost, with identified Federal and Local Match Ratios
- Original Agreement Number
- Approved Reason for Transfer

In addition to the email request, the subrecipient must also provide:

1) The Agency's Board of Directors or other appropriate authority approves relinquishing the vehicle while still under contract and on lien. A board resolution, copy of minutes approving the transfer, or other appropriate legal correspondence should also be submitted with the information defined above; and

2) An updated asset inventory to reflect the vehicle is no longer part of the agency's fleet.

The formal email request, along with the documentation of board approval, and a revised asset inventory must be submitted to ADOT and the appropriate Mobility Manager for the region the vehicle is being used within one week of receiving approval for the transfer.

After submitting the documentation for transfer, the subrecipient must coordinate with ADOT to determine the appropriate vendor the vehicle will be delivered so ADOT can inventory, service, and prepare the vehicle for transfer to another agency. If the vehicle is accessible with a ramp or wheelchair lift, the current vendor is Creative Bus Sales. If the vehicle is a non-accessible vehicle, the agency will return the vehicle to the closest ADOT Equipment Services (EQS) Division location, where the vehicle is taken for annual inspection.

Vehicle Transfer ADOT Procedure

Once the formal request is submitted by the subrecipient relinquishing the vehicle, ADOT will request the Mobility Manager or regional contact reach out to other eligible subrecipients under the Section 5310 program and determine the best location to transfer the vehicle. In determining the best location for the vehicle, the Mobility Manager or regional contact will take into consideration: 1) regional vehicle needs; 2) the age and condition of the vehicle; and 3) the current coordination plan. ***NOTE: The receiving agency must have a current year Agreement in place.*** **Agencies that have never submitted a grant application to ADOT will not be considered for the transferred vehicle.** The regional contact will provide a vehicle transfer location to ADOT within two weeks of initial contact.

ADOT will then complete internal paperwork to determine the remaining federal interest and local match value for the vehicle. ADOT will modify and send out revised Exhibit A's to both agencies involved and require the receiving agency to sign the revised Exhibit A and return the local match money due to ADOT. Once local match money is received from the recipient agency, ADOT will refund the agency returning the vehicle.

VEHICLE / EQUIPMENT DISPOSITION

Local public agencies may adopt their own rules and procedures for disposing of federally-funded surplus property as long as the disposal or sale is conducted in an open, public process. Revenues from the sale of property must be reinvested in the transit program for the same purpose. For example, proceeds from a vehicle sold are used for purchasing a replacement vehicle; proceeds from office equipment would go towards purchase of new equipment.

Vehicles should be used in the manner they were prescribed until they reach the end of their useful life. A lien-released vehicle does not provide an agency with the opportunity to trade in or sell the vehicle without prior approval from ADOT.

The following requirements must be met when disposing of federally funded property:

- If the intention is to trade in or sell the vehicle, approval from ADOT is required.
- If the vehicle is going to be sold, three quotes for the estimated value must be obtained and provided to ADOT prior to the sale for approval.
- If the vehicle is sold at auction, copies of the sales information must be provided to ADOT.
- If the proceeds from the sale or auction exceed $5,000, the federal share must be returned to ADOT.
- If the vehicle is traded in for a new vehicle, the trade in value would lower both the federal and local share of the vehicle equally based on the match ratio used when vehicle was originally purchased. Documentation from the sale must be provided to ADOT for record-keeping.
- Additionally, once a vehicle is placed in back-up or reserve status, the vehicle is not eligible for replacement through a grant request. Only active status vehicles can be replaced through a grant request.

F. RECORD KEEPING

Records must be maintained in an auditable manner during the period of contractual obligation to ADOT as well as for five years after the date of Agreement completion and/or release of the ADOT lien. A subrecipient may be audited without notice at any time during this period.

Records to be maintained for the period specified above include all records related to the Agreement, especially those required during a financial audit. The types of records to keep for this period are: application materials submitted, executed Agreement documents, any forms received from ADOT related to the application/Agreement, reimbursement request documents and related backup information, audits, any Agreement associated procurement files, DBE LPA records/submissions, Title VI complaint logs, and EEO complaint logs. If vehicle equipment is awarded, records to keep for this period also include ADOT related vehicle delivery/acceptance documents, vehicle registration, ADOT annual vehicle inspection documents, and insurance certificates.

In addition, subrecipients must maintain records regarding ridership data/trip logs; vehicle pre/post trip inspections; driver training records/incidents, vehicle regular/major maintenance and repair files, and regional coordination plan inclusion. These listed records are not required to be kept for the entire period specified above, but should be kept according to the subrecipient's specific document retention procedures.

Site Reviews will include an assessment of the record retention capacity by reviewing source documents and records kept by the subrecipient.

G. AUDITS

A financial audit ("Single Audit") is required of subrecipients each year an agency expends over $750,000* in federal financial assistance (including FTA funds from ADOT) in accordance with CFR 200, subpart F. Subrecipients are required to submit those audits, along with any material findings and plans to correct those findings, to ADOT in accordance with the terms, conditions, and timelines outlined in the Grant Agreement (Section 13), and may also submit information via email singleaudit@azdot.gov . If the amount of FTA funds from ADOT granted to a subrecipient in a particular year alone does not trigger the requirement for the CFR 200, subpart F audit, but the cumulative amount of federal funds an agency expends does, ADOT still requires the subrecipient to submit the audit per the Grant Agreement instructions.

If the subrecipient expends less than the CFR 200, subpart F audit threshold annually, then a Single Audit is not required. However, if the subrecipient still decides to have a CFR 200, subpart F compliant audit conducted, the cost of the audit must be paid for with non-Federal sources.

As recipients of federal funds and/or state assistance, in any given year ADOT, or federal auditors, may choose to review financial records of subrecipients. These actions are designed to ensure tighter budget-process control, asset inventory management, and enhanced ADOT-FTA reporting capability.

H. SITE VISITS

In depth management reviews / site visits of all agencies receiving Coordinated Mobility Program funds are completed periodically, at least once every three years.

These reviews / site visits focus on program compliance, vehicle use, maintenance, insurance, and safety. Representative topics include:

Recent Program Changes (administrative and service)

Compliance with Work Scope (i.e., is the vehicle still being used in accordance with the description in the subrecipient's original or revised application?)

In addition, ADOT reviews compliance with FTA requirements, including:

Program Management - written internal organization policies and procedures;

Financial Management - procedures, recent audits, etc.;

Vehicle Use, including insurance coverage reviews (if applicable);

Vehicle Maintenance & Safety (if applicable); and

Civil Rights, including Americans With Disabilities Act (ADA) Service Provisions; Title VI; Limited English Proficiency (LEP); Equal Employment Opportunity (EEO); Disadvantaged Business Enterprise (DBE) participation, and other related activities.

If site visits reveal consistent deficiencies, ADOT will provide technical assistance and training as needed.

PART II. FEDERAL REQUIREMENTS

As a Federal program, Federal legislation and a variety of Federal regulations form the foundation of how the Coordinated Mobility Program is managed. ADOT has developed procedures on how some of the Federal provisions are enacted in Arizona. In other cases, the requirement and language is straight from the Federal legislation and regulations.

In this section, the basic Federal and State requirements are summarized. In addition to reading the abbreviated summaries in this guidebook, applicants and subrecipients are urged to read the applicable FTA Program and Office of Management and Budget Circulars for a more in-depth description of the Federal requirements.

A. FTA CERTIFICATIONS AND ASSURANCES

All applicants and subrecipients must comply with various Federal requirements. FTA certifications and assurances, which are required to be signed by both an authorized public official and authorized attorney are incorporated as part of the grant funding application and Agreement signature process. ADOT is submitting all certifications and assurances through DocuSign, an electronic signature. Please make sure that you are able to receive emails from DocuSign to collect and sign for the certifications and assurances.

On an annual basis, any subrecipient with an active FTA capital or operating project must continue to provide signature confirming ongoing compliance with applicable FTA certifications and assurances. An attorney must attest to subrecipient signature, please see your contract for more information.

ADOT MPD, when submitting State grant applications to FTA, is also required to execute certifications and assurances both on behalf of the State and with respect to local subrecipients. ADOT annually agrees to comply with all requirements of the Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements.

B. CIVIL RIGHTS

All recipients of FTA assistance are responsible for compliance with all Civil Rights requirements applicable to transit related projects, including 49 U.S. 5332 (Nondiscrimination), Title VI of the Civil Rights Act of 1964, Equal Employment Opportunity (EEO), Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, Disadvantaged Business Enterprise (DBE) program requirements, and Limited English Proficiency (LEP) requirements. Subrecipients must also include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA. Subrecipients are also required to have internal agency written policies in place to address compliance with these requirements.

Applicants and subrecipients must comply with current DBE, EEO, LEP and ADA regulation requirements, as identified in the respective assurances enclosed in the application/Agreement package. Failure by the subrecipient to carry out the terms of the DBE, EEO, LEP and ADA programs will be treated as a violation of the Grant Agreement.

DISADVANTAGED BUSINESS ENTERPRISE (DBE)

Recipients of Coordinated Mobility Program funds should take affirmative steps to ensure that socially and economically disadvantaged business enterprises (DBEs) participate in the performance of contracts and subcontracts. This may mean as actual transportation service providers, or as suppliers of commodities or services needed in the operation of transportation service.

DBE Policy

The Arizona Department of Transportation's policy is to ensure that DBEs as defined in 49 CFR Part 26 have an equal opportunity to receive and participate in DOT-assisted contracts. To achieve this, ADOT will strive:

To ensure nondiscrimination in the award and administration of USDOT-assisted contracts in the Department's construction, procurement and professional service contracts in the areas of highway, transit and airport financial assistance;

To create a level playing field on which DBEs can compete fairly for USDOT-assisted contracts;

To ensure that the DBE participation is narrowly tailored in accordance with applicable law;

To ensure that only firms that fully meet 49 CFR Part 26 eligibility standards are counted as DBEs;

To help remove barriers to the participation of DBEs in USDOT-assisted contracts; and

To assist in the development of firms that can compete successfully in the market place outside the DBE program.

DBE Program Compliance Statement

Each LPA (Local Public Agency, Local for-Profit Agency, or Local non-Profit Agency) and subrecipient must complete and have its executive officer sign a subrecipient DBE Program Compliance Statement. By signing the statement, the LPA/subrecipient agrees to: use solicitation language provided by ADOT defining DBE requirements for all construction, professional services, and procurement contracts; submit DBE goal requests using the ADOT DBE Goal Request Form; conduct post-award monitoring and reporting using the online DBE data collection and reporting system (https://arizonalpa.dbesystem.com); ensure commercially useful function compliance post-award; and designate a single point of contact for DBE compliance purposes.

Nondiscrimination Assurance

Subrecipients (including vehicle recipients) or subcontractors should not discriminate against anyone in connection with the award and performance of any USDOT-assisted contract or in the administration of its DBE program on the basis of race, color, sex or national origin.

DBE Data Collection

LPAs and subrecipients agree to collect information regarding solicitations in which a DBE contract goal has been established. Information to collect includes: names and contact information of DBE firms that will participate in the contract; a description of the work that each DBE will perform; the dollar amount of the participation of each DBE firm participating; written and signed documentation of commitment to use a DBE subcontractor whose participation is being used to meet a contract goal; written and signed confirmation from the DBE that it is participating in the contract as provided in the prime contractors commitment; and if the contract goal is not met, evidence of good faith efforts.

DBE Reporting

LPAs and subrecipients are to report on Coordinated Mobility funded projects (other than vehicle purchases) with competitive contracting opportunities outside the organization (such as operating and mobility management) through the Arizona Local Public Agencies DBE Reporting System at www.arizonalpa.dbesystem.com

The subrecipient must complete semi-annual report data for ADOT to use in a report to FTA by May 1st of each year for the October 1st through March 31st report period and by November 1st of each year for the April 1st through September 30th report period. ADOT then prepares the FTA required semi-annual DBE report and submits this report to FTA twice a year.

TITLE VI – NONDISCRIMINATION

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

Title VI of the 1964 Civil Rights Act, Section 601.

Title VI Regulation, 49 CFR, Part 21.

FTA Circular 4702.1B, "Title VI Requirements and Guidelines for FTA Recipients," outlines specific State and subrecipient requirements.

Applicants for, and subrecipients receiving, funds or equipment from the Federal government through ADOT, are required to provide a concise description of any lawsuits or complaints alleging discrimination in service delivery and the status or outcome of those lawsuits or complaints as part of their application and annually thereafter to the ADOT Civil Rights Office as complaints are filed and the outcome(s) is determined (copies of final investigation report), as long as a federal interest remains in their equipment or program.

In addition, applicants and subrecipients must also have and provide evidence in the application of:

- A Title VI Program;
- A Title VI Policy;

- A published nondiscrimination complaint policy and procedure; and
- A published Title VI notice and instructions to the public regarding how to file a Title VI complaint including a copy of the complaint form.

LIMITED ENGLISH PROFICIENCY (LEP)

Limited English Proficiency (LEP) stems from Presidential Executive Order 13166 - fta.dot.gov/documents/LEP_Executive_Order.doc - and functions as a supporting element of Title VI Nondiscrimination. It is a provision which protects individuals utilizing services associated with these federally-assisted programs who do not speak English as their primary language; that is, they cannot speak, write or understand English to the degree they have difficulty understanding the program, or are otherwise uncomfortable communicating and interacting with persons administering or utilizing these programs. A number of indicators provide an operational definition of a person who is limited in their English proficiency for any particular region or locale; these factors and related information can be found at: fta.dot.gov/documents/Newlepguidance.doc. An excerpt reads:

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

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

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

During the application process, applicants are required, if available, to provide ADOT with a copy of their LEP Policy and LEP Plan.

EQUAL EMPLOYMENT OPPORTUNITY (EEO)

The Federal Transit Laws, 49 U.S.C. 5332(b), provide that "no person in the United States shall on the grounds of race, color, religion, national origin, sex, or age be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any project, program or activity funded in whole or in part through financial assistance under this Act." This applies to employment and business opportunities and is considered to be in addition to the provisions of Title VI of the Civil Rights Act of 1964.

The applicant and subsequent subrecipient agrees that it will not discriminate against any participant on the grounds of race, color, creed, gender, disability, age, or national origin and also agrees to take affirmative action to ensure applicants and employees are treated without regard to race, color, creed, gender, disability, age, or national origin. Such actions shall include, but not be limited to the following: employment, upgrading, demotion or transfer, recruitment or advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training. FTA Circular 4704.1, Equal Employment Opportunity Program Guidelines for FTA Recipients, outlines FTA EEO objectives. A copy of this and other FTA circulars is available from the ADOT Multimodal Planning Division.

To comply with EEO requirements, the application process requires applicants to provide proof of an EEO policy, an EEO public notice, and contact information of the agency's EEO coordinator.

AMERICANS WITH DISABILITIES ACT (ADA)

All ADOT subrecipients must comply with the Americans with Disabilities Act of 1990. The ADA was enacted by Congress as a national mandate for the elimination of discrimination against individuals with disabilities. In addition, any new construction of public access facilities must have accessible features incorporated to provide accessibility to persons who are mobility-impaired. Subrecipients can stay apprised of ongoing ADA requirements by visiting the following website and subscribing to the online ADA newsletter published by the FTA at: fta.dot.gov/civilrights/12325.html

Service Provisions: The ADA requires a number of specific service provisions be in place and operational for transportation providers. During management reviews / site reviews, ADOT will interview subrecipients regarding the status of the following ADA transportation service provisions:

Procedures to ensure wheelchair lift equipped vehicle availability;

Wheelchair lift/ramp and securement use;

Vehicle identification mechanisms in accordance with ADA;

Maintenance of accessible features on vehicles;

Lift deployment at stops, where requested;

Adequate time for vehicle boarding and disembarking (what actions are taken to ensure that reasonable time is provided?);

Announcement of stops (where applicable);

Service animals (what policies and procedures are in place which are in accordance with ADA?);

Service to persons using respirators or portable oxygen;

Public information/communications (what actions are taken to apprise the disability community of transportation services available, and to otherwise ensure that persons with disabilities are given maximum opportunity to participate in the provision of services?); and

Driver and related staff training as to ADA requirements, wheelchair securement and sensitivity to passengers.

Subrecipients should undertake all reasonable means to provide for the needs of sight and hearing-impaired individuals in their communication regarding transportation services provided. Braille-etched sign and other forms of written communication as well as telephone devices for the hearing impaired are some examples of facility improvements, covered under the ADA.

ADA Vehicle Maintenance Guidelines: During the course of a subrecipient's participation in the ADOT Section 5310 program, maintenance of a grant funded vehicle(s) is a critical component of stewardship. The Section 5310 Grant Agreement, which must be agreed to and signed at the time of application, indicates that the signing party will abide by, or exceed, all manufacturers' recommendations related to vehicle servicing and other maintenance, including accessibility-related components and equipment. The ADA requires that:

- Public and private entities providing transportation services shall maintain in operative condition those features of facilities and vehicles that are required to make them readily accessible to and usable by, individuals with disabilities. These features include but are not limited to, lifts and other means of access to vehicles, securement devices, signage and systems to facilitate communications with persons with impaired vision or hearing.

- Accessibility features shall be repaired promptly if they are damaged or out of order. When an accessibility feature is out of order, the subrecipient must take reasonable steps to accommodate individuals with disabilities who would otherwise use the feature.

- A system of regular and frequent maintenance checks of lifts is required. If a lift fails to operate when in service, the ADA requires the vehicle be taken out of service before the beginning of the vehicle's next service day. The lift must then be repaired before the vehicle returns to service. If a contract operator is used for ADA-related service, the subrecipient must ensure the contractor notifies the subrecipient immediately of any failure of the lift to operate in service.

- If there is no spare vehicle to take the place of a vehicle with an inoperable lift, the subrecipient may keep the vehicle in service for no more than five (5) days if it serves an area of 50,000 or less population or three (3) days if it serves an area of 50,000 or more population.

C. DRUG-FREE WORKPLACE PROGRAM

In accordance with the Drug-Free Workplace Act of 1988, each subrecipient is required to maintain a drug-free workplace for all employees and have an anti-drug policy and awareness program.

The subrecipient is required to certify it provides a drug-free workplace by:

- Publishing a *statement* notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use a controlled substance is prohibited in the workplace and specifying the actions that will be taken against employees for violation of such prohibition.

- Establishing an ongoing drug-free awareness program to inform employees about: the dangers of drug abuse in the workplace; the agency's policy of maintaining a drug-free workplace; any available drug counseling, rehabilitation, and employee assistance programs; and the penalties that may be imposed upon employees for drug abuse violations in the workplace.

- Making it a requirement that each employee to be engaged in the performance of the Grant Agreement be given a copy of the statement referenced above.

Additional requirements of the subrecipient regarding employee notification and corrective action when an employee violates drug-free workplace requirements is identified in the Grant Agreement, Section IX. Drug Free Workplace.

Substance Abuse Testing Requirements

Subrecipients only receiving Section 5310 funding are not required to have in place a drug and alcohol testing program and other extensive monitoring.

Holders of commercial driver's licenses (CDLs) who operate Commercial-class vehicles *are subject* to Federal Motor Carrier Safety Administration (FMCSA) rules for drug and alcohol testing. The vast majority of Coordinated Mobility Program funded projects use vehicles that do not require commercial licenses of drivers to operate. However, if vehicles require drivers with CDLs, FMCSA drug testing requirements apply.

Subrecipients may develop their own drug testing and monitoring policies and procedures as long as they comply with civil rights and other state and federal regulations governing such testing programs. All equipment operators must comply with state regulations regarding post-accident and reasonable cause testing which may be required of all motor vehicle operators by state and local law enforcement.

D. SCHOOL BUS REQUIREMENTS

Under FTA school bus requirements, set out under 49 U.S.C. 5323(f) and 49 CFR Part 605, subrecipients may not engage in school bus operations exclusively for the transportation of students. These provisions derive from 49 U.S.C. 5302(a), which authorizes FTA assistance for mass transportation, but specifically exclude school bus service from such Federal assistance.

Providing Section 5310 vehicles for special needs schools, often referred to as schools for exceptional children, typically serving youth with mental and/or severe learning disabilities, is a popular and permitted use. In these circumstances, the applicant and subrecipient must be aware of any other state or federal school transportation requirements that may prohibit use of a Section 5310 funded vehicle.

E. LOBBYING

Lobbying is defined as influencing or attempting to influence an officer or employee of any Federal department or agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with obtaining a federal grant, cooperative agreement, or any other federal award.

Applicants, as well as current subrecipients, must certify that no Federal funds have been used to influence Federal employees or Federal elected officials. Subrecipients must also certify that if non-Federal funds have been used for this purpose, then the subrecipient has filed appropriate Federal disclosure forms of this activity.

F. DEBARMENT AND SUSPENSION

To prevent fraud, waste and abuse in federal transactions, persons or entities that, by defined events or behavior, potentially threaten the integrity of federally administered programs are excluded from participation in FTA-assisted programs.

To verify potential applicants and current subrecipients are not excluded, in accordance with USDOT regulations on Government wide Debarment and Suspension, 49 CFR 25.510, applicants and subrecipients must certify they are not debarred or suspended from any Federal agency. This is accomplished through signature of the application, Grant Agreement, and FTA certifications and assurances.

G. LABOR PROTECTION

Title 49 U.S.C. 5333 (b) requires that, as a condition of FTA financial assistance, fair and equitable arrangements must be made to protect the interests of employees affected by such assistance. The Department of Labor (DOL) is responsible under federal law for the administration of Section 5333(b).

Section 5333(b) conditions, as determined by the Secretary of Transportation, are not necessary and appropriate to subrecipients of the Section 5310 program. Therefore, ADOT is not required to collect or submit information to the Department of Labor in relation to the Section 5310 program application.

SECTION IV: DEFINITIONS / APPENDIX

PART I. DEFINITIONS

Advertising Revenues: The revenue earned from displaying advertising materials on transportation agency vehicles and property. The amounts should be net of any fees paid to advertising agencies, which place the advertisement with the transit agency.

Americans with Disabilities Act (ADA): Public Law 336 of the 101st Congress, enacted July 26, 1990. The ADA prohibits discrimination and ensures equal opportunity for persons with disabilities in employment, state and local government services, public accommodations, commercial facilities, and transportation.

Annual Operating and Administrative Expenses: The recurring costs of providing public transportation service. They include: all employees' wages and salaries; fringe benefits; operating supplies such as fuel, and oil; contractors' charges for services; taxes; repair and maintenance services, parts, and supplies; equipment leases and rentals; marketing; lease or rental costs; and insurance. Operating expenses include administrative expenses.

Operating costs exclude fixed costs such as depreciation on plant and equipment and interest paid on loans on capital equipment.

Annual Passenger Trips: The number of times a passenger boards a vehicle no matter how many vehicles individuals use to travel from their origin to their destination. Trips should be counted regardless of whether an individual fare is collected for each leg of travel. It includes passenger trips on volunteer vehicles. A passenger traveling to the hospital, then receiving a return trip home constitutes two passenger trips.

Brokerage System: An association of transportation providers managed by broker or agent who makes transportation arrangements for a specific clientele such as seniors and persons with disabilities. The transportation providers in a brokerage system are typically social service agencies and taxicab operators. The broker may be the transit agency directly or the transit agency may contract with an individual or firm to operate the brokerage system.

Bus Miles: The miles that a bus is scheduled to or actually travels from the time it pulls out from its garage to go into revenue service to the time it pulls in from revenue service. Does not include travel during non-revenue hours.

Capital: Projects related to the purchase of equipment. Equipment means an article of non-expendable tangible personal property having a useful life of more than one year and an acquisition cost which equals the lesser of the capitalization level established by the

government unit for financial statement purposes, or $5,000. Capital expenses do not include operating expenses that are eligible to use capital funds.

Capital Costs: The expenses incurred within the year related to the purchase of facilities, vehicles, and equipment.

Capital Expense: The expenses related to the purchase of equipment. Equipment means an article of non-expendable tangible personal property having a useful life of more than one year and an acquisition cost which equals the lesser of the capitalization level established by the government unit for financial statement purposes, or $5,000. Capital expenses do not include operating expenses that are eligible to use capital funds.

Charter Service: A vehicle hired for exclusive use that does not operate over a regular route, on a regular schedule and is not available to the public.

Complementary Paratransit Services: Transportation service required by the ADA for individuals with disabilities who are unable to use fixed route transportation systems. This service must be comparable to the level of service provided to individuals without disabilities who use the fixed route system and meet the requirements specified in Sections 37.123-137.133 of *Transportation Services for Individuals with Disabilities* (Part 37), CFR 49, Volume 1. The complementary services must be origin-to-destination service, demand response, or on-call demand response service to an accessible fixed route where such service enables the individual to use the fixed route bus system for their trip.

Contract Revenues: Reimbursement by any organization, government, agency, or company, through formal contractual agreement with a transportation service operator, for trips provided to a specific passenger or group of passengers.

Contractor: An individual who is compensated by the transportation agency for directly operated services, the labor expense for the individual is reported in object class 501 labor, or for purchased transportation service, the labor expense for the individual meets the same criteria as object class 501 labor.

Contributed Services: The receipt of services (not cash) from another entity where such services benefit transportation operations and the transportation agency is under no obligation to pay for the services.

Coordination Plan: See "Locally Developed Coordinated Public Transit-Human Services Transportation Plan."

Cost per Passenger-Trip: The total operating expense (including administration and maintenance) divided by the total annual number of passengers.

Deadhead (Miles and Hours): The miles and hours that a vehicle travels when out of revenue service. Deadhead includes (1) leaving or returning to the garage or yard facility; (2) changing routes; and (3) when there is no expectation of carrying revenue passengers.

Deadhead does not include charter service, school bus service, operator training, or maintenance training.

Demand Response: A transit mode comprised of passenger cars, vans, or small buses operating in response to calls from passengers or their agents to the transit operator, who then dispatches a vehicle to pick up the passengers and transport them to their destinations.

A demand response operation is characterized by the following:

- The vehicles do not operate over a fixed route or on a fixed schedule except, perhaps, on a temporary basis to satisfy a special need, and
- Typically, the vehicle may be dispatched to pick up several passengers at different pick-up points before taking them to their respective destinations. The vehicle may even be interrupted in-route to these destinations to pick up other passengers.

The following types of operations fall under the above definitions provided they are not on a scheduled fixed route basis:

- Many origins—many destinations
- Many origins—one destination
- One origin—many destinations, and
- One origin—one destination.

Demand Responsive Vehicles

Maxi-van or Standard Van: A factory-built 12 passenger vehicle (including the driver) manufactured by Ford, GM, or Chrysler. Vans can be retrofitted with wheelchair lifts or ramps and extended roofs, but the buyer must ensure the retrofit meets ADA requirements. The usual life expectancy of vans ranges from about 125,000 to 150,000 miles.

Van Conversion: Is a standard factory-built van that has been significantly altered by a specialty retrofitter after leaving the manufacturing facility. These retrofitters remove the seats and the top half of the van. Among the features are an extended height roof, a specific wheelchair entry door, a front entry door with a convenient low step for ambulatory

passengers, and new seating with a center aisle. The conversion van has three-across seating: two-person seats on the driver's side and one-person seats on the other. The usual configuration is eight ambulatory seats and one wheelchair tie-down.

Minivan: A factory-built vehicle designed to meet passenger capacity needs above that of an average car design but below that of a standard van. An example is the Dodge Caravan. This vehicle type can carry seven passengers, including the driver. A *wheelchair minivan* is one that has gone through an extensive after-factory conversion. The firms performing this after-factory work raise the roofs and drop the floor of the minivans approximately six inches, enabling the vehicle to support short wheelchair ramps, rather than wheelchair lifts. These vehicles usually hold two wheelchairs and one ambulatory passenger, in addition to the driver.

"Body-On-Chassis" or Cutaway Minibus: A specially-made body placed on a Ford or Chevy "cutaway" truck (not van) chassis. The chassis is made by Ford or Chevy, but the bodies are manufactured by companies such as Starcraft, El Dorado, and Supreme. These vehicles are wider and taller than standard vans. Like van conversions, they have walk-in, front entry doors and a center aisle, but they are wider and higher than van conversions, with interiors tall enough to allow a person to stand and four passenger across seating (two on each side of the aisle). Minibuses are made with various wheelbases, designed to accommodate 16, 20, 24 or 28 ambulatory passengers (excluding the driver). When equipped to handle 24 or more passengers, an extra rear axle, referred to as a "*tag axle*," is usually added by the manufacturer.

Depreciation: The charges that reflect the loss in service value of the agency's assets. Depreciated items have a high initial cost and a useful life of more than one accounting period. To account for the reduction in value (usefulness) of this type of asset, a portion of the cost is expensed each year of the asset's life. Depreciation and amortization include the depreciation of the physical facilities such as: tracks and roadbeds; elevated structures; passenger stations and parking facilities; revenue vehicles, operating stations; facilities (including buildings, equipment, and furnishings) for power generation and distribution; revenue vehicle movement control; data processing; revenue collection and processing, and so forth. ***FTA funds will not pay for depreciation charges.***

Deviated Fixed Route (Route Deviation) Service: Transit service that operates along a fixed alignment or path at generally fixed times, but may deviate from the route alignment to collect or drop off passengers who have requested it.

Direct Cost: An object class (e.g., labor, services, materials, and supplies) that is incurred exclusively for a particular function, mode, and type of service. For example, an operator whose time is spent solely driving a bus or a mechanic who only works on buses related to the transit service.

Elderly Individuals: Persons 60 years of age or older.

Eligible Low-Income Individual: Refers to an individual whose family income is at or below 150 percent of the poverty line (as that term is defined in section 673(2) of the Community Services Block Grant Act (42 U.S.C. 9902(2)), including any revision required by that section) for a family of the size involved (see uscode.house.gov., search for Title 42, Section 9902).

Employee(s): An individual who is compensated by the transportation agency as follows:

- For directly operated services, the labor expense for the individual is reported in object class (501) labor.
- For purchased transportation service, the labor expense for the individual meets the same criteria as object class (501) labor.
- Applies to transit employees and contractors.

Employee Work Hours: Employee labor hours, not including fringe benefit hours such as sick leave, holidays, and vacations. Work hours include only labor hours for employees of the transit agency, for both full time and part time, permanent and temporary.

Fare Revenues: All income received directly from passengers, either paid in cash or through pre-paid tickets, passes, etc. It includes donations from those passengers who donate money for the ride.

Federal Transit Administration (FTA): The agency under the U.S. Department of Transportation that provides financial assistance to develop new transit systems and improve, maintain, and operative existing systems.

Federal Award: The amount of FTA share assistance being provided subrecipients based on the approved application. This is also referred to as the Federal/FTA Share or FTA award.

Fixed Route Services: Services provided on a repetitive, fixed schedule basis along a specific route with vehicles stopping to pick up and deliver passengers to specific locations; each fixed route trip serves the same origins and destinations, such as rail and bus, unlike demand responsive and vanpool services.

Fixed Route Vehicles

Transit Bus (or Transit Coach): A bus with front and center doors, normally with a rear-mounted engine, low-back seating, and without luggage compartments or restroom facilities for use in frequent-stop service. This is found most typically on fixed route

systems. A 40-foot coach is the most common size of bus used in larger transit systems. This size vehicle can usually accommodate 42 ambulatory passengers with two wheelchair tie-downs provided. A 35-foot coach will can accommodate approximately 35 ambulatory passengers. The average service life of a transit coach chassis is about 12 years. It is common for the engine and other equipment to be rebuilt numerous times over the 12-year useful life.

Intercity Bus: (Also referred to as an over-the-road or commuter coach.) A bus with a front door only, separate luggage compartments, and usually with restroom facilities and high-backed seats for use in high-speed, long-distance service. This bus is usually 40-foot or longer, with only forward-facing, reclining seats. Most noted for being the vehicles of choice for the intercity bus industry. These buses usually accommodate approximately 40 passengers with two wheelchair locations.

Full Time Employees: Employees of the transit agency meeting the local definition of full time hours. Normally, these persons are entitled to receive full benefit packages (e.g., sick leave, vacation, and insurance benefits).

General Administration: All activities associated with the general administration of the transit agency, including transit service development, injuries and damages, safety, personnel administration, legal services, insurance, data processing, finance and accounting, purchasing and stores, engineering, real estate management, office management and services, customer services, promotion, market research, and planning.

Grantee: Also referred to as a "subrecipient," a grantee is an organization that has applied for funds, has been awarded funds, and has executed a Grant Agreement with ADOT.

Human Service Transportation: Transportation services provided by or on behalf of a human service agency to provide access to agency services and/or to meet the basic, day-to-day mobility needs of transportation-disadvantaged populations, especially individuals with disabilities, older adults, and people with low incomes.

Hybrid Vehicle: A vehicle that combines two or more sources of power that can directly or indirectly provide propulsion power, so as to increase efficiency and thereby reduce emissions. A hybrid vehicle uses a mixture of technologies such as internal combustion engines, electric motors, gasoline, and batteries.

Individual with a Disability: 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), *Definitions*).

In-Kind Contributions: In-kind contributions are goods and services donated from outside your agency. The value of noncash charges for real property and equipment, and the value of goods and services must directly benefit and be specifically identifiable to the project. To be eligible as match, the monetary value of the in-kind contribution must be documented.

In-Kind Match Valuation Report: A written proposal that identifies the sources of in-kind match and method for determining the value. Documentation for goods and services should include donation receipts stating the donor, the item donated, and its fair market value. Volunteer time should include time cards and be charged at either the prevailing wage or the wage rate paid to an employee performing similar duties.

Information Systems: Systems for processing data including computers, monitors, printers, scanners, data storage devices, and associated software that support transit operations such as general office, accounting, scheduling, planning, vehicle maintenance, non-vehicle maintenance, and customer service functions.

Insurance Premiums:

Administration: Insurance premiums related to the administrative portion of your operation. General liability, office space, and office equipment related insurance premiums, as long as they are related to the transit program's operation, are eligible for FTA participation.

Operating: Vehicle and bus maintenance/storage facility insurance premiums are both eligible for FTA participation.

Intercity Bus Service (ICB): Regularly scheduled bus service for the general public, using an over-the-road coach, that operates with limited stops over fixed routes connecting two or more urban areas not in close proximity or connecting one or more rural communities with an urban area not in close proximity, has the capacity for transporting baggage carried by passengers, and makes meaningful connections with scheduled intercity bus service to more distant points.

Locally Developed Coordinated Public Transit-Human Services Transportation Plan: A plan that identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes; provides strategies for meeting those local needs; and prioritizes transportation services for funding and implementation.

Mass Transportation or Mass Transit: Synonymous with public transportation.

Materials and Supplies: The tangible products obtained from outside suppliers or manufactured internally. Expenses including: freight-in, purchase discounts, sales taxes and

excise taxes (except on fuel and lubricants), are to be included in the cost of the material or supply.

Charges to these expense accounts will be for the materials and supplies issued from inventory for use and for the materials and supplies purchased for immediate use; i.e., without going through inventory.

Miscellaneous Expenses: The expenses that cannot be attributed to any of the other major expense categories (labor, fringe benefits, services, materials and supplies, utilities, casualty and liability costs, taxes, and purchased transportation).

Mobility Management: Eligible capital expenses consisting of short-range planning and management activities and projects for improving coordination among public transportation and other transportation service providers carried out by a recipient or subrecipient . Mobility management does not include operating public transportation services.

Nonprofit Organization: A corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501(c), *List of Exempt Organizations*, which is exempt from taxation under 26 U.S.C. 501(a), *Exemption From Taxation,*, or one which as been determined under state law to be nonprofit and for which the designated state agency has received documentation certifying the status of the nonprofit organization. See also private nonprofit organization.

Non-Urbanized Area (Non-UZA): An area (a population of fewer than 50,000) designated by the U.S. Bureau of the Census, also referred to as a rural area.

Number of Active Vehicles in Fleet: The total number of operational revenue vehicles in the fleet available for public and/or specialized transportation service, including spare or back-up revenue vehicles. The total should also include any operational revenue vehicles used by contractors in public or specialized transportation service. Non-revenue service vehicles and personal vehicles should not be included.

One-Way Passenger Trips: A trip made by one person from one origin to one destination. A "round-trip" is considered two trips. Ride = trip. ADOT is concerned only with ***one-way*** trips and does not track round trips or rides.

Operating Assistance: Operating financial funding to help cover the operating costs of providing transit services. Operating costs are classified by function or activity and the goods and services purchased. The basic functions and object classes are detailed in the Operating Expenses form (F-30) and are defined in Section 5.2 and 6.2 of the Uniform System of Accounts (USOA).

Operating Costs: Operating costs are considered those expenses necessary to operate, maintain, and manage a transit system. Operating expenses usually include such costs as driver salaries, fuel, and items having a useful life of less than one year.

The term "operating expenses" is defined as all expenses associated with the operation of an individual mode by an operator. Operating expenses do not include reconciling items such as interest expenses and depreciation. Generally, a subrecipient may call any eligible cost that is not a capital or planning cost an operating cost.

Operating Deficit: Is the calculated difference between operating expenses and revenues.

Operating Revenues: Revenues derived through the operation of a public transportation program, which includes fares, passes, rider donations, and advertising placed inside or outside a service vehicle.

Over-the-Road Bus or Coach: A bus characterized by an elevated passenger area located over a baggage compartment.

Paratransit: Types of passenger transportation services that are more flexible than conventional fixed-route transit but more structured than the private automobile. Paratransit includes demand response transportation services, shared-ride taxis, car pooling and vanpooling, and jitney services. Most often refers to wheelchair-accessible, demand response service.

Part-Time Employees: Employees of the transit agency who work less than the local definition of full time. Normally, these persons are not provided full benefit packages (e.g., sick leave, vacation and insurance benefits) associated with full time employment. Full time employees working part of their time in a function or mode are not part time employees.

Passenger Fares: The revenue earned from carrying passengers in regularly scheduled fixed route, route deviation, and demand response (DR) service. Passenger fares include base fare, zone or distance premiums, express service premiums, extra cost transfers, quantity purchase discounts applicable to the passenger's ride, and special transit fares.

Passenger-Trips per Capita: The total number of passenger boardings divided by the service area population.

Passenger-Trips per Service Hour: The ratio of passenger trips to revenue hours of service.

Private-For-Profit Provider: A nonpublic entity that provides public transportation services. For-profit entities exist primarily to generate a profit, (i.e., a surplus of revenues over expenditures).

Private Nonprofit Provider: A nonpublic entity with a tax-free status that provides transit services. Nonprofit entities exist to provide a particular service (e.g., public transportation) to the community. Nonprofit refers to a type of business—one that is organized under rules that forbid the distribution of profits to owners. Profit refers to a surplus of revenues over expenditures.

Project/Project Request: Public transportation services or public transportation alternatives proposed in an application.

Public Transportation: Congress amended the definition of "public transportation" to specify that public transportation is regular, continuing, shared-ride surface transportation service that is "open to the general public or open to a segment of the general public defined by age, disability, or low income." Public transportation does not include Amtrak service, intercity bus service, charter bus service, school bus service, sightseeing service, courtesy shuttle service for patrons of one or more specific establishments; or intra-terminal or intra-facility shuttle services.

Purchased Transportation: A transportation service provided by a public or private transportation provider based on a written contract. The provider is obligated in advance to operate public transportation services for a specific monetary consideration, using its own employees to operate revenue vehicles. Purchased transportation does not include franchising, licensing operations, management services, cooperative agreements, or private conventional bus service.

Rolling Stock: Vehicles such as buses, vans, cars, and trolleys as well as vehicles used for support services.

Route Deviation: A type of transit service that operates as conventional fixed route bus service along a fixed alignment or path with scheduled time points at each terminal point and key intermediate locations. Route deviation service is different than conventional fixed route bus service in that the bus may deviate from the route alignment to serve destinations within a prescribed distance of the route. Following an off route deviation, the bus must return to the point on the route it left.

Rural: Population under 50,000, and neither "small urbanized," nor "large urbanized."

Seniors: An individual who is 65 years of age or older. The term is used in the Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program.

Service Area: A measure of access to transportation service in terms of population served and area coverage (square miles). The reporting transportation agency determines the service area boundaries and population for most services using the definitions contained in the Americans with Disabilities Act of 1990 (ADA).

Service Area — Demand Response: As Demand Response does not operate over a fixed route but rather serves a broad area the service area cannot be measured by corridors. Therefore, the service area for demand response is the area encompassing the origin to destination points wherever people can be picked up and dropped off.

Service Vehicles: The vehicles used to support revenue vehicle operations and that are not used to carry transit passengers. Types of service vehicles include tow trucks, supervisor vans, transit police cars, and staff cars.

Social Service Agency: A public or private nonprofit organization providing specialized programs, potentially including transportation service, to a specific clientele such as seniors and persons with disabilities.

State of Good Repair: The ability to define and maintain a target asset condition in which an asset performs at the level it was intended.

State Management Plan: The document developed by ADOT and submitted to FTA on a periodic basis that details the Department's policies and procedures for administering FTA grant programs.

Subrecipient: Refers to a state or local governmental authority, nonprofit organization, or operator of public transportation services that receives a FTA grant indirectly through a recipient, such as ADOT.

Subscription Service: Shared use transit service operating in response to on-going reservations made by passengers to the transit operator, who can schedule in advance a consistent trip to pick up the passenger and transport them to their destination.

Surface Transportation Program (STP): Federal Highway Administration (FHWA) funds transferred from the Surface Transportation Program (STP) to FTA for transit projects. These funds may be used for capital projects including: ridesharing projects, bicycle and pedestrian facilities, transit safety improvements and transportation control measures; and, for planning activities including transit research and development, environmental analysis and wetland mitigation.

Temporary Employees: Employees of the transit agency working full time or part time hours, but only for a limited period of time for the completion of a set task. These persons are usually

not entitled to receive any benefits and do not have any job security rights. Persons employed through a temporary employment agency are not temporary employees of the transit agency.

Total Project Cost: Amount of FTA share assistance awarded ***plus*** the local match funds provided by the subrecipient that equals the total amount contracted for the project applied for and awarded during the application period.

Travel Training: Travel training is short-term, comprehensive, intensive instruction designed to teach students with disabilities how to travel safely and independently on public transportation. The goal is to train students to travel independently to a regularly visited destination and back. Specially trained personnel provide the travel training on a one-to-one basis.

Uniform System of Accounts (USOA): Is a structure of categories and definitions used for NTD reporting to ensure uniform data. The USOA contains:

- Various categories of accounts and records for classifying financial (Chart of Accounts) and operating data
- Definitions of the data elements included in each category
- Definitions of practices for the orderly and regular collection and recording of the data.

Urbanized Area (UZA): An area defined by the U. S. Census Bureau that includes:

- One or more incorporated cities
- Villages, and
- Towns (central place), and
- The adjacent densely settled surrounding territory (urban fringe), that together have a minimum of 50,000 persons.

Urbanized Areas, Large: Large urbanized areas have populations of 200,000 or more.

Small Urbanized Areas: Areas with populations between 50,000 and 200,000.

***Utilities*:** The payments made to various utilities for utilization of their resources (e.g., electric, gas, water, telephone, etc.). Utilities include propulsion power purchased from an outside utility company and used for propelling electrically driven vehicles, and other utilities such as electrical power for purposes other than for electrically driven vehicles, water and sewer, gas, garbage collection and telephone.

Vanpool Service: Transportation service operating as a ride sharing arrangement, providing transportation to a group of individuals traveling directly between their homes and a regular destination within the same geographical area. The vehicles shall have a minimum seating capacity of seven persons, including the driver. Vanpool(s) must also be open to the public and that availability must be made known. This does not include ridesharing coordination.

Vehicle Hours (Miles): The hours (miles) that a vehicle is scheduled to or actually travels from the time it pulls out from its garage to go into revenue service to the time it pulls in from revenue service. This does not include non-revenue hours.

Vehicle Revenue Hours: The hours that vehicles are scheduled to or actually travel while in revenue service. Vehicle revenue hours include layoverand recovery time but exclude deadhead, operator training, and vehicle maintenance testing, as well as school bus and charter services.

Vehicle Revenue Miles: The miles that vehicles are scheduled to or actually travel while in revenue service. Vehicle revenue miles include layoverand recovery time but exclude deadhead, operator training, and vehicle maintenance testing, as well as school bus and charter services.

PART II. APPENDIX

A. MAG Urbanized Area Map

B. Eligible Direct Cost Categories

C. In-Kind Match Valuation Proposal Form

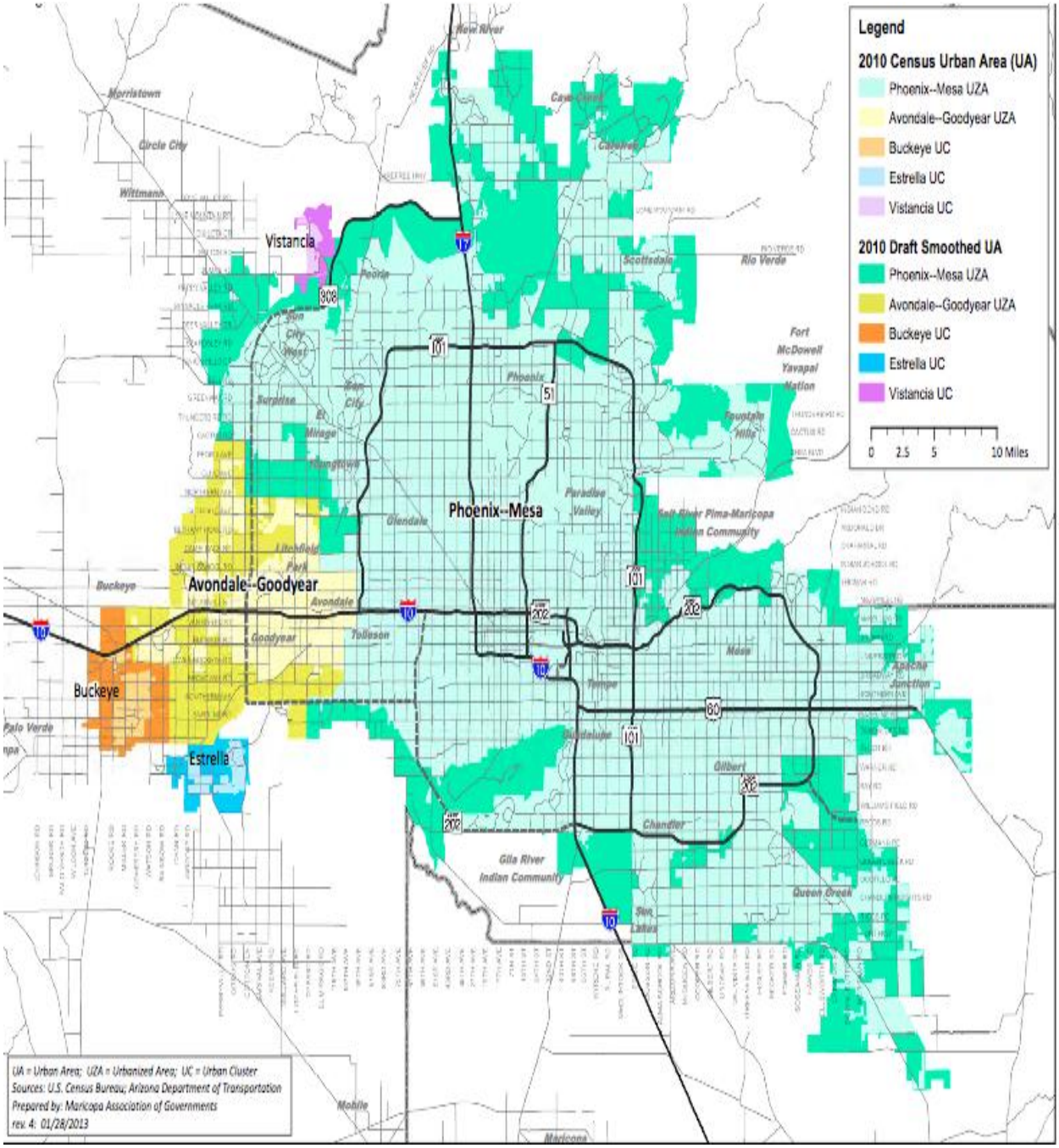
D. Sample In-Kind Match Tracking Forms

E. Sample Vehicle Inspection Form

F. Passenger Trip Calculation

G. Certification of Equivalent Service

A. MAG URBANIZED AREA MAP



B. ELIGIBLE DIRECT COST CATEGORIES

VEHICLE OPERATIONS

Dispatcher salaries: Includes all wages paid to individuals responsible for the dispatching of passenger vehicles or the value of time spent dispatching.

Driver salaries: Includes all wages paid to drivers for the operation of passenger vehicles or the value of time spent driving.

Fringe benefits: Includes the cost of fringe benefits for drivers and dispatchers.

Fuel and oil: Includes the cost of gasoline, diesel fuel, engine oil, and other lubricants.

Maintenance equipment rental: Includes costs of renting maintenance equipment and includes equipment rental costs not provided through a maintenance service contract.

Maintenance facility: Includes costs incurred by renting a facility in which vehicles are maintained by staff mechanics.

Maintenance fringe benefits: Includes the cost of fringe benefits for mechanics on staff.

Maintenance materials and supplies: Includes the cost of materials and supplies to maintain passenger vehicles. Including all materials and supplies not provided through a maintenance service contract.

Maintenance mechanic salaries: Includes all wages paid to mechanics on staff or the value of their time spent on maintenance.

Maintenance service: Includes the cost of outside contracts for maintenance of passenger vehicles.

Maintenance utilities: Includes all utility costs for maintenance facilities. If maintenance facilities are not metered separately, all utility costs should be included in the Administrative utilities costs.

Purchased service: Includes the cost of any portion of service purchased from another operator.

Tubes and tires: Includes material for the maintenance of tires and purchase of tires.

Vehicle insurance: Includes the cost of vehicle and transportation related types of insurance including liability and property damage, workmen's compensation, fire, and theft.

Vehicle lease: Includes the cost of leasing vehicles used to transport passengers.

Vehicle license: Includes the cost of licensing and/or registration tax on vehicles used to transport passengers.

ADMINISTRATION

Administrator salary: Includes all wages paid to the administrator of the agency *for time allotted to the transportation program* or the value of their time spent on transportation-type administrative duties.

Bookkeeper salary: Includes all wages paid for bookkeeping support *for the transportation program* or the value of time spent on bookkeeping duties.

Clerical/Secretary salary: Includes all wages paid for secretary/clerical support *for the transportation program* or the value of their time spent on secretarial/clerical duties.

Fringe benefits: Includes the cost of fringe benefits for the staff included in the salary categories above.

Manager salary: Includes all wages paid to the manager of the transportation program *for time allotted to the transportation program* or the value of their time spent on transportation management duties.

Materials and supplies: Includes all the costs of office materials and supplies.

Office equipment: Includes administrative costs not categorized elsewhere that contribute to the *operation of the transportation program*. All items must be specified.

Office rental: Includes the cost of renting office space *for the transportation program*.

Other staff: Includes all wages paid to other staff not categorized elsewhere *supporting the transportation program* or the value of their time. Other staff must be itemized.

Telephone: Includes all telephone rental, purchase, and installation costs.

Utilities: Includes all utilities costs for the administrative offices or for all facilities*, if they are not metered separately, that are attributed to the space allocated for transportation*.

C. IN-KIND MATCH VALUATION PROPOSAL FORM

In-Kind Match Valuation Proposal

When preparing documentation for verification of matching funds, applicants must follow the instructions provided in Section II, Part II, subsection D of the FY 2016 ADOT Coordinated Mobility Grant Program Guidebook. The use of this form is required for submission with a FY 2016 5310 Program application if the applicant intends to use in-kind resources as a source of local match. One form should be completed for **each** source of in-kind match provided that will be used as local match for the project requested.

Legal Name and Address of the Third-Party providing an In-Kind Contribution:

_____

_____

Total Value of Third-Party In-Kind Donation **for Eligible Project Purposes**:

$ _____

In the chart below for ***Third-Party In-Kind Contributions***, identify or describe the (a) item being donated, whether it is a *Good* or a *Service*, mark "G" for Good and "S" for service, (b) *nature* of the goods and/or services to be donated to the project during the grant period, (c) *when* the goods and/or services will be donated during the proposed grant period, and (d) the *value* of the goods and/or services. Organizations including the services of affiliated volunteers must follow the third-party verification requirements herein, for *each individual volunteer.*

Third-Party In-Kind Contributions

Is this a Good or Service? (G or S)	**Description of the Goods and/or Services**	**When the Goods and Services will be Donated** (month/year)	**Fair Market Value (FMV) of Goods and/or Services**
			$
			$
			$
			$
	Total Value		**$**

Will the third-party in-kind contribution be provided to the applicant during the proposed grant period?

_____Yes _____No

Describe how the Fair Market Value for each item in the table listed above was determined. Provide any necessary back-up documentation with this form that shows how the FMV was determined.

_____

_____

_____

_____

_____

_____

D. SAMPLE IN-KIND MATCH TRACKING FORMS

Match Worksheets

The forms provided allow agencies to accurately keep a record of all in-kind contributions from an independent third-party such as volunteer time, equipment, materials and supplies, consultants and contracts, and other types of contributions received during each grant period.

VOLUNTEER PERSONNEL

Volunteer Name: _____

Volunteer Primary Job Duties: _____

Hourly Rate_____

Activity (*List All Related Volunteer Activities Here)*	Date	Hours	Total Value
TOTAL FOR MONTH			

Signature of Person Completing Report: _____

Date: _____

DONATED EQUIPMENT, MATERIALS, AND SUPPLIES

DATE	DESCRIPTION	UNIT VALUE	TOTAL CONTRIBUTION
			Grand Total **$**

Notes/Explanation:

Signature of Person Completing Report_____

Title_____

Date_____

CONSULTANTS AND CONTRACTS

DATE	CONSULTANT/ CONTRACTOR	DESCRIPTION OF ACTIVITY	NUMBER OF DAYS	DAILY RATE	COMPUTA-TION OF VALUE	TOTAL CONTRIBUTION

Notes/Explanation:

Signature of Person Completing Report_____

Title_____

Date_____

E. SAMPLE VEHICLE INSPECTION FORM

FTA ANNUAL VEHICLE INSPECTION	2015	
COMPONENTS INSPECTED:		
TASK DESCRIPTION: BRAKES	**OK**	**REPAIR**
ADUSTMENT		
MECH. COMPON		
DRUM/ROTOR		
HOSE/TUBING		
LINING		
PARKING BRAKES		
OTHER: (describe)		
TASK DESCRIPTION: EXHAUST	**OK**	**REPAIR**
LEAKS		
PLACEMENT		
OTHER: (describe)		
TASK DESCRIPTION: LIGHTING	**OK**	**REPAIR**
HEADLIGHTS		
TAIL/STOP		
CLEARANCE/MARKER		
IDENTIFICATION		
REFLECTORS		
OTHER (describe)		
TASK DESCRIPTION: CAB/BODY	**OK**	**REPAIR**
ACCESS		
EQUIPMENT/LOAD SECURE		
TIE-DOWNS		
OTHER (describe)		
TASK DESCRIPTION: STEERING	**OK**	**REPAIR**
ADJUSTMENT		
COLUMN/GEAR		
AXLES		
LINKAGE		
POWER STEERING		
OTHER (describe)		
TASK DESCRIPTION: FUEL SYSTEM	**OK**	**REPAIR**
TANK(S)		
LINES		
OTHER (describe)		
TASK DESCRIPTION: SUSPENSION	**OK**	**REPAIR**
SPRINGS		
ATTACHMENTS		
SLIDERS		

OTHER (describe)		

TASK DESCRIPTION: FRAME	OK	REPAIR
MEMBERS		
CLEARANCE		
OTHER (describe)		

TASK DESCRIPTION: TIRES	OK	REPAIR
TREAD		
INFLATION		
DAMAGE		
OTHER (describe)		

TASK DESCRIPTION: WHEELS/RIMS	OK	REPAIR
FASTENERS		
DISC/SPOKES		
OTHER (describe)		

TASK DESCRIPTION: BODY/MISC	OK	REPAIR
MIRRORS		
WINDSHIELD		
WIPERS		
DECALS		
OTHER (describe)		

TASK DESCRIPTION: WHEEL CHAIR LIFT INSPECTION	OK	REPAIR
WHEELCHAIR LIFT		

COMMENTS:

WHEELCHAIR LIFT INSPECTION CHECKLIST (IF APPLICABLE)

THE FOLLOWING OPERATIONS & CONDITIONS MUST BE FUCTIONALLY VERIFIED IN ORDER FOR THE LIFT TO BE FMVSS 403/404 COMPLIANT:

1. VEHICLE MOVEMENT IS PREVENTED UNLESS THE LIFT DOOR IS CLOSED
2. LIFT OPERATION SHALL BE PREVENTED UNLESS THE VEHICLE IS STOPPED AND VEHICLE MOVEMENT IS PREVENTED.
3. THE PLATFORM WILL NOT FOLD/STOW IF OCCUPIED
4. THE INNER ROLL STOP WILL NOT RAISE IF OCCUPIED
5. THE OUTER BARRIER WILL NOT RAISE IF OCCUPIED
6. VERIFY PLATFORM LIGHTING WHEN LIFT IS DEPLOYED AND PENDANT ILLUMINATION WHEN LIFT IS POWERED
7. A WARNING WILL ACTIVATE IF THE THRESHOLD AREA IS OCCUPIED WHEN THE PLATFORM IS AT LEAST ONE INCH BELOW FLOOR LEVEL.
8. PLATFORM MOVEMENT IS PROHIBITED BEYOND THE POSITION WHERE THE INNER ROLL STOP IS FULLY DEPLOYED (UP)
9. PLATFORM MOVEMENT SHALL BE INTERRUPTED UNLESS THE OUTER BARRIER IS DEPLOYED (UP)

F. PASSENGER TRIP CALCULATION

PASSENGER TRIP CALCULATION
(To be used in conjunction with related application questions)

This appendix document explains the way passenger trips are calculated for the Section 5310 program. Use the following formulas as a guideline in calculating passenger trip numbers for the application. Subrecipients are required to track the number of passenger trips carried. Applicants for new projects may estimate the anticipated ridership using the following guidelines.

In ADOT programs a passenger "trip" is a **one-way trip**, where a passenger boards the vehicle, is taken to a destination and gets off the vehicle at the destination, discounting incidental stops such as a one minute letter drop off or a restroom break as part of a primary trip purpose.

Human service programs may require that agencies track the number of round-trips provided (two one-way trips for a single passenger is a "round-trip"), the number of clients served, or the unique individuals served. As a result, programs receiving funding from human service programs will need to consider reporting requirements from other agencies when developing their tracking forms. In the following examples the number of individuals served is identified as this may assist in understanding how human service agency reporting requirements compare to the ADOT definition of a passenger trip.

Two options are provided for some of the calculations.

Trip Examples:

- 4 people board a van at a local senior center and then get off at the local grocery store. This routing counts as 4 passenger trips. The van is idle until it picks up the same people at the grocery store later and returns them to the senior center. This return route counts as an additional 4 trips. This van has provided 8 one-way trips for 4 individuals.
- 1 person boards a van and is taken to the doctor. (1 trip). The driver then picks up 3 people at the adjacent clinic and takes them to the senior center (3 more trips). The driver returns to pick up the person visiting the doctor and returns her to the senior center (1 more trip). This vehicle has provided 5 one-way passenger trips for 4 individuals. Three people each made one one-way trip and one person made two one-way trips.
- 10 people are picked up at the agency's rehabilitation center in the morning and taken on a driving field trip where the only stop is a brief restroom break. The van returns these 10 individuals to the center at the end of the excursion. 10 one-way passenger trips were made by the van this day.

ADOT Certification of Equivalent Service

The (name of agency) certifies that its demand responsive service offered to individuals with disabilities, including individuals who use wheelchairs, is equivalent to the level and quality of service offered to individuals without disabilities. Such service, when viewed in its entirety, is provided in the most integrated setting feasible and is equivalent with respect to:

(1) Response time;

(2) Fares;

(3) Geographic service area;

(4) Hours and days of service;

(5) Restrictions on trip purpose;

(6) Availability of information and reservation capability; and

(7) Constraints on capacity or service availability.

In accordance with 49 CFR 37.77, public entities operating demand responsive systems for the general public which receive financial assistance under section 18 of the Federal Transit Act must file this certification with the appropriate state program office before procuring any inaccessible vehicle. Such public entities not receiving FTA funds shall also file the certification with the appropriate state program office. Such public entities receiving FTA funds under any other section of the FT Act must file the certification with the appropriate FTA regional office. This certification is valid for no longer than one year from its date of filing.

Name of Authorized official Title

Signature:

MPO Certification of Paratransit Plan

The (name of Metropolitan Planning Organization) hereby certifies that it has reviewed the ADA paratransit plan prepared by (name of submitting entity(ies), as required under 49 CFR part 37. 139(h) and finds it to be in conformance with the transportation plan developed under 49 CFR part 613 and 23 CFR part 450 (the FTA/FHWA joint planning regulation). This certification is valid for one year.

Name of Authorized official Title

Signature Date

Existing Paratransit Service Survey

This is to certify that (name of public entity(ies) has conducted a survey of existing paratransit services as required by 49 CFR 37.137 (a).

Name of Authorized official Title

Signature Date

Included Service Certification

This is to certify that service provided by other entities but included in the ADA paratransit plan submitted by (name of submitting entity(ies) meets the requirements of 49 CFR part 37, subpart F providing that ADA eligible individuals have access to the service; the service is provided in the manner represented; and, that efforts will be made to coordinate the provision of paratransit service offered by other providers.

Name of Authorized official Title

Signature Date

Joint Plan Certification I

This is to certify that (name of entity covered by joint plan) is committed to providing ADA paratransit service as part of this coordinated plan and in conformance with the requirements of 49 CFR part 37, subpart F.

Name of Authorized official Title

Signature Date

Joint Plan Certification II

This is to certify that (name of entity covered by joint plan) will, in accordance with 49 CFR 37.141, maintain current levels of paratransit service until the coordinated plan goes into effect.

Name of Authorized official Title

Signature Date

State Certification that Plans have been Received

This is to certify that all ADA paratransit plans required under 49 CFR 37.139 have been received by the Arizona Department of Transportation, Multimodal Planning Division.

Name of Authorized official Title

Signature Date