



GoRaleigh 2015

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5310 Program Management Plan

Prepared for:



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1. Program Management Plan Overview

1.1 Introduction

This Program Management Plan (PMP) describes GoRaleigh policies and procedures for administering the Federal Transit Administration (FTA) Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program. GoRaleigh developed this PMP in accordance with current Federal Transit Laws and regulations as well as Circular 9070.1G. The 5310 Program Management Plan (PMP) outlines the 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program requirements for the Raleigh-Cary Urbanized Area.

1.2 Goals and Objectives

The goal of this PMP is to describe the process for managing the Federal Transit Administration (FTA) 5310 program within the Raleigh-Cary Urbanized Area. Toward this goal, FTA provides financial assistance for transportation services planned, designed, and carried out to meet the special transportation needs of elderly individuals and individuals with disabilities. The program requires coordination with other federally-assisted programs and services in order to make the most efficient use of federal resources. As part of this process, the following objectives will be completed:

- Ensure the plan meets MAP-21 requirements and meets the intent of the Section 5310 funding program.
- Establish a framework by which proposed projects requesting Section 5310 funding can be solicited and selected through a fair and equitable process.
- Identify, contact and inform public agencies, community organizations and non-profit and eligible private for profit organizations providing service for seniors and persons with disabilities, as to the availability of 5310 program grant funds;
- Establish, promote and outline a process for soliciting and evaluating 5310 program funding proposals;
- Assure that proposals selected for funding are responsive to one or more of the needs identified in the locally adopted Coordinated Transportation Plan;
- Establish the requirements for the selected projects to enter into grant agreements; and,
- Summarize the requirements for managing and reporting the progress for implementing the funded projects.

This PMP is a living document. It will be updated, as needed, to incorporate any expansions and enhancements of the 5310 program, as well as any revisions to the programs' management, requirements, or guidelines. The locally adopted coordinated plan is available online at [Wake County Human Services Transportation Services' Website](#).

1.3 Funding Programs

Under the Moving Ahead for Progress in the 21st Century Act (MAP-21) federal transportation authorization legislation, 5310 program funds are allocated directly to designated recipients in Urbanized Areas with populations greater than 200,000. In the Raleigh-Cary Urbanized Area, the 5310 program funds are directed to City of Raleigh (GoRaleigh), who is the designated recipient appointed by the Governor. A map of the urbanized area is shown in Appendix A. As the designated recipient, GoRaleigh is the direct recipient and will apply to FTA for funds awarded under this program. If funds are to be passed through by GoRaleigh to other agencies or organizations, it will be done so through a competitive selection process; with the awardees being sub-recipients of GoRaleigh. GoRaleigh is responsible for developing a Program Management Plan, advertising and rewarding the funding, and managing applicants who are awarded funding.

Previous funding programs under the prior legislation included:

Transportation for Elderly Persons and Persons with Disabilities (Section 5310), which provided federal funds to help private nonprofit agencies and certain governmental authorities fund capital items that supported the special transportation needs of seniors and people with disabilities. In the past, funding was used to purchase vehicles for transportation of seniors and people with disabilities.

New Freedom Program (Section 5317), which provided federal funds to expand transportation mobility options for people with disabilities. MPOs in large urbanized areas exceeding 200,000 in population, received a direct allocation of funding under the program. These funds could be used by private non-profit agencies, state and local governments, and public and private transportation operators for capital purchases and operating expenses associated with services that went beyond the requirements of the Americans with Disabilities Act (ADA).

The new law – MAP-21 – consolidated the two programs (*Transportation for Elderly Persons and Persons with Disabilities-Section 5310* and *New Freedom Program-Section 5317*) to create the Enhanced Mobility of Seniors and Individuals with Disabilities Program (Section 5310 program). This new program continues to enhance mobility for seniors and people with disabilities, and the activities that were eligible for funds under the former New Freedom Program are now eligible for Section 5310 funding.

Under SAFETEA-LU and previous legislation, Section 5310 program funds were apportioned to states for distribution to subrecipients, whereas currently under MAP-21:

- Funds are apportioned specifically to Urbanized Areas with population over 200,000.
- The Section 5310 program funds apportioned to large urban areas are now allocated using American Community Survey (ACS) 5-year data based on each area's share of seniors (i.e., persons 65 and older) and people with disabilities.

Although MAP-21 consolidated the former Section 5310 and 5317 programs, it specifies that at least 55 percent of program funds be used for traditional Section 5310 capital projects for seniors and people with disabilities. This is discussed in more detail later in the PMP. The remaining funds (up to 45%) may be used for former Section 5317-type projects that seek to reduce barriers to transportation services and expand the transportation mobility options available to people with disabilities beyond the

requirements of the Americans with Disabilities Act (ADA) of 1990. Funding is available for the Federal Fiscal Year for which it is awarded plus two additional years.

1.4 Purpose

Each direct recipient is required to have an approved PMP on file with the appropriate FTA regional office and to update it regularly to incorporate any changes in program management or new requirements. The PMP provides essential information for the understanding and implementation of the Federal Transit Administration (FTA) Section 5310 grant program managed and administered by the City of Raleigh and GoRaleigh.

FTA Circular 9070.1G – Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions provides guidance for Section 5310 projects. It covers project requirements, administration procedures, and other relevant components of the federal Section 5310 program. This PMP serves as a local companion to Circular FTA C 9070.1G, describing the roles and mechanisms for carrying out policies and procedures in the urbanized area, satisfying the FTA requirement for a Program Management Plan.

The FTA will review and approve the PMP. It will be kept on file with the FTA regional office and updated regularly to incorporate any changes in program guidelines or new requirements. The PMP will also be reviewed by the FTA as part of its triennial review of the GoRaleigh.

2. Coordinating and Related Plans

2.1 Coordinated Human Service Transportation Plan

Proposals for 5310 program funding must meet a need or fill a service gap identified in the local Coordinated Human Services Transportation Plan. Wake County's Coordinated Plan was updated in 2013 and is available on [Wake County Human Services Transportation Services' Website](#). The plan identified transportation needs for low income populations, individuals with disabilities and seniors. The plan development included survey outreach and a public workshop that was marketed to transportation providers, non-profit groups and transit customers.

Prior to MAP-21, the Coordinated Plan was used to award funding to the Job Access Reverse Commute (JARC) Section 5316 Program and New Freedom Section 5317 Program funds, in addition to the 5310 program. MAP-21 dissolved the JARC program into the 5307 Urbanized Area Formula Grant and bundled the New Freedom program with the 5310 program. As a result, the 5310 Program includes projects that were eligible under the New Freedom program. Appendix J of the Coordinated Plan summarizes the needs and service gaps identified at the public workshop and notes of service priorities from the public workshop participants.

2.2 Transportation Improvement Program (TIP)

Projects awarded 5310 program funding must be reflected in the Capital Area Metropolitan Planning Organization's (CAMPO) Metropolitan Transportation Improvement Program (TIP). The TIP is a program of projects receiving federal transportation funding in the metropolitan area. The project may be included in the TIP under a generalized or more detailed project description. Some needs in the Coordinated Plan, particularly needs alignments with JARC goals, may not meet 5310 eligible activities.

2.3 5310 Program Management Plan Development

Developing the 5310 Program Management Plan included outreach and coordination with diverse stakeholders. The coordination included interviews with stakeholders, grant application workshops and email announcement seeking input on the draft Program Management Plan and advertising the Call for Projects. The TIP will need to be updated if a project is selected and awarded and not already accounted for in the TIP.

3. Section 5310 Program Performance Measures

The Government Performance Results Act (GPRA) requires the FTA to establish performance goals and indicators to be used in measuring relevant outputs, service levels, and outcomes for each of its programs. The performance measures described here are designed to fulfill FTA's obligations under this Act. These measures will be used at a program level, and will not be used to assess individual grants. The reporting and data collection measures for the Section 5310 Program will be prescribed in the grant agreements with subrecipients. The Circular 9070.1G presents the program measures in Chapter II, at page II-2 and in Chapter VI, at page VI-17.

The following measures are targeted to capture overarching program information as part of the annual report that each state and designated recipient submits to FTA. The designated recipient should submit both quantitative and qualitative information as available on each of the following measures.

3.1 Traditional Section 5310 Projects

- A. Gaps in Service Filled. Provision of transportation options that would not otherwise be available for seniors and individuals with disabilities measured in numbers of seniors and people with disabilities afforded mobility they would not have without program support as a result of traditional Section 5310 projects implemented in the current reporting year.
- B. Ridership. Actual or estimated number of rides (as measured by one-way trips) provided annually for individuals with disabilities and seniors on Section 5310–supported vehicles and services as a result of traditional Section 5310 projects implemented in the current reporting year.

3.2 Other Section 5310 Projects

- A. Increases or enhancements related to geographic coverage, service quality, and/or service times that impact availability of transportation services for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year.
- B. Additions or changes to physical infrastructure (e.g., transportation facilities, sidewalks, etc.), technology, and vehicles that impact availability of transportation services for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year.
- C. Actual or estimated number of rides (as measured by one-way trips) provided for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year.

The designated recipient should ensure that the above information is reported for all recipients and subrecipients of Section 5310 funding in projects selected by the designated recipient. Subrecipients will be required to report these performance measures on a quarterly basis and on an annual basis as required by the GoRaleigh and the FTA. The designated recipient may consolidate information for all projects in an annual report for any open Section 5310 grant awarded to the designated recipient. If Section 5310 funds have been awarded to other designated recipients pursuant to a supplemental agreement with the designated recipient, that direct recipient may report on behalf of itself and any subrecipients.

4. Annual Program of Projects Development and Approval Process

GoRaleigh will adhere to the schedule below in developing a Program of Projects for the 5310 program.

Action	Tasks
Advertise 5310 Program Funding Availability	Notify public and private transportation providers, non-profit groups and other relevant stakeholders of funding availability
Call for Projects	GoRaleigh will accept applications within a four (4) week application window
Review Applications	GoRaleigh will forward eligible applications to the project review team. The review team will score applications according to the selection criteria noted in the Program Management Plan
Develop Program of Projects	GoRaleigh will submit the Program of Projects to FTA

5. Eligible Subrecipients

Under the federal guidelines, eligible subrecipients under Section 5310 include:¹

- State and local governmental agencies
- Public and private transportation providers
- Social service agencies
- Tribal governments
- Non-profit organizations.

To be eligible for funding from the 5310 programs, proposed projects must be located within or a destination within the Raleigh-Cary Urbanized Area. Additional detailed information for typical subrecipients is outlined below.

5.1 Private Non-Profit Organization

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

Applicants qualifying as private non-profit organizations must provide current verification of the applicant's incorporation number and current legal standing as a private non-profit from the state of North Carolina or show proof that they are a corporation or association determined by the U.S. Treasury to be tax-exempt under 26 U.S.C. 501(c).

5.2 Governmental Authority

A Governmental Authority subrecipient may be of two types:

1. Is approved by the state to coordinate services for elderly individuals and individuals with disabilities; or
2. Certifies that no nonprofit corporations or associations are readily available in an area to provide the service.²

5.3 Private Taxi Operators as Subrecipients

Private operators of public transportation are eligible subrecipients. The definition of "public transportation" includes "... shared-ride surface transportation services ..." Private taxi companies that provide shared-ride taxi service to the general public on a regular basis are operators of public transportation, and therefore eligible subrecipients. "Shared-ride" means two or more passengers in the

¹ Further information regarding eligible sub-recipients can be found on FTA Circular 9070.1G, Chapter III, Sections 5 - 7.

² 49 U.S.C. 5310(b)(1) and (b)(2).

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. The taxi company may hold title to the accessible vehicle(s) as long as the agreement between the state, designated recipient, or subrecipient and the taxi company is sufficient to establish satisfactory continuing control. Acceptable means of establishing satisfactory continuing control could include a state, designated recipient, or subrecipient's lien on the vehicle, or contract provisions that require the accessible taxi to be used to provide transportation for seniors and people with disabilities, and that the vehicle may not be removed from service or disposed of prior to the end of its useful life without the express written consent of the FTA recipient or subrecipient.

6. Subrecipient Monitoring and Oversight

The purpose of this section is to assist GoRaleigh and its subrecipients in maintaining compliance for federally funded projects, and understanding the requirements and responsibilities of being a Direct Recipient, Subrecipient, Third Party Contractor or Lessee receiving funds through federally funded projects. All grant management will be conducted in accordance with FTA C 5010.1D.

Any grantee under FTA programs is required to comply with all applicable Federal civil rights statutes and with the implementing regulations for the statutes. FTA implements the Civil Rights Act of 1964 by prohibiting discrimination under projects, programs or activities receiving financial assistance because of race, color, creed, national origin, sex or age. The laws include: Title VI of the Civil Rights Act of 1964, Equal Employment Opportunity, Disadvantaged Business Enterprise and Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 (ADA).

The requirements for Civil Rights compliance are extended to subrecipients. Subrecipient assurances under Title VI and the other civil rights requirements are included in the application for assistance, in the required Annual Certifications and Assurances and in the contract with GoRaleigh. Subrecipient grantees are also required to identify any lawsuits or complaints alleging discrimination in service filed with the grantee. Civil rights monitoring will concentrate on how the grantee is providing service. Title VI also assures that funds are passed through to subrecipients and their project without regard to race, color, or national origin.

6.1 Definitions

A. *Direct Recipient*

The term Direct Recipient refers to a public entity legally eligible under federal transit law to apply for and receive grants directly from the Federal Transit Administration (FTA).

B. *Subrecipient*

The term Subrecipient refers to an entity that receives federal assistance awarded through an FTA Direct Recipient rather than by FTA directly. The term “subrecipient” also includes “subgrantee”, but does not include “third party contractor”.

C. *Third Party Contractor/Lessee*

The term Third Party Contractor/Lessee refers to any entity that is awarded a contract, purchase order, or lease agreement from the Direct Recipient or Subrecipient financed in whole or in part with federal assistance awarded by FTA.

6.2 Application and Award Process

Both the direct recipient and all subrecipients are required to follow all federal requirements when using funds from federal grants. When subrecipients are involved, the FTA requires the direct recipient monitor the project to ensure the use of federal funding by the subrecipient adheres to all federal rules and regulations.

6.2.1 Budget Authorization

Prior to any applications for a request to receive and use federal funds, the project needs to demonstrate that it meets all local, state and FTA requirements and that it is eligible to receive federal funds. At this time, all matching funds must be identified and approved. Local match funding requirements and percentages can vary. Any match funding source outside the standards established by FTA must receive written approval from FTA to be used. Match funding should adhere to the following:

- A. Must be from an eligible funding source under FTA guidelines;
- B. Must be available at the time of the grant award;
- C. Match funding must be spent to qualify as a match;
- D. No federal funds may be drawn without authorization and availability of a sufficient match funding source;
- E. Subrecipients must certify the use of local match with the submission of each invoice;
- F. Subrecipients are required to provide quarterly reports that account for the use of local funds as match.

6.2.2 Grant Application Process

- A. During the Application process, subrecipients shall submit the following:
 - 1. Complete forms for project description/detail and budget and timeline/milestones.
 - 2. FTA Certifications and Assurances, which should be completed annually for each new federal fiscal year, beginning on October 1.
 - 3. Proof of acceptable audit in accordance with the latest Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) if more than \$500,000 of federal funds are received on an annual basis (includes all federal sources).
 - 4. Construction projects/environmental requirements (e.g., Categorical Exclusions, State Historic Preservation Office, etc.).
 - 5. List of any revenue vehicles and/or changes to existing fleet plan.
- B. A letter from the direct recipient to the subrecipient shall be provided (see Appendix C).

6.2.3 Grant Award

- A. Once a federal grant is awarded, the direct recipient shall identify a project manager responsible for grant administration and oversight. Subrecipients also shall establish a project manager responsible for grant administration and oversight. The project manager for GoRaleigh shall work closely with the subrecipient project manager to monitor all grant activity. The project manager will serve as the main point of contact with the FTA. All grant management will be conducted in accordance with FTA C 5010.1D.

- B. Upon execution of the federal grant, a Subrecipient Grant Agreement (SGA) shall be created and signed by all applicable parties. The subrecipient shall complete the FTA's Annual Certifications and Assurances, provide a copy of an acceptable audit in accordance with the latest Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), if it has received over \$500,000 of federal funding from all sources, or audited financial statements if the \$500,000 threshold has not been met, and provide copies of other documents as GoRaleigh and/or FTA requires. The SGA shall specify all applicable federal requirements including, but not limited to:
1. Procurement;
 2. Disadvantaged Business Enterprise (DBE);
 3. Program-specific concerns;
 4. Prior approvals;
 5. Reporting requirements;
 6. Invoicing;
 7. Allowable activities per the work scope;
 8. Allowable costs for the work scope per the approved budget.
- C. The Subrecipient is responsible for adhering to the work scope and budget as approved by FTA and as outlined in the SGA. Prior approvals are required for some activities even if they are included in the work scope and budget. In order to receive full reimbursement of eligible expenses, Subrecipient Project Managers should read thoroughly the SGA and any appendices to make sure all federal regulations are being adhered to.
- D. All changes to the work scope require prior written approval from the GoRaleigh Project Manager. Requests for reimbursement may begin as soon as the SGA is executed. Invoices must be for the net expense (i.e., total expense less match) actually incurred in direct support of the project. No advances or expenditures prior to the execution of the SGA are allowed.
- E. The Subrecipient must certify the use of local match with each invoice submitted. A financial report that includes a completely documented accounting of the use of local funds as match is required each quarter based on the federal fiscal year.

6.3 Subrecipient Monitoring

- A. Quarterly monitoring of subrecipients shall be conducted to ensure that all federal guidelines are being adhered to when using federal funds. A project progress report is required along with a detailed accounting of the expenditure of the local match.
- B. In addition to State or Federal program specific monitoring requirements, all monitoring activities should address the following areas:

1. All applicable requirements of Title VI of the *Civil Rights Act of 1964*, as defined in the current Title VI Compliance Commission Advisory Memorandum.
2. The applicable core monitoring areas, as defined by the Uniform Guidance. Currently, the core monitoring areas include but are not limited to:
 - a. Activities allowed or unallowed;
 - b. Allowable costs/cost principles;
 - c. Cash management;
 - d. Davis-Bacon Act; eligibility;
 - e. Equipment and real property management;
 - f. Period of availability of funds;
 - g. Procurement, suspension and debarment;
 - h. Program income;
 - i. Buy America Requirements;
 - j. Equal Employment Opportunity (EEO);
 - k. Disclosure form to Report Lobbying;
 - l. Real property acquisition and relocation assistance;
 - m. Reporting and special tests and provisions.

C. At least annually, GoRaleigh will collect updated information and documentation on subrecipients' financial processes and controls, through either the Uniform Guidance or an annual financial statement when the subrecipient is excluded from Uniform Guidance audit requirements. In addition, GoRaleigh may perform desk audits of a sample of sub-invoices, site visits to review processes, systems and controls, or other procedures as deemed appropriate.

1. If it has been determined that there has been an unfavorable audit report from a subrecipient, the appropriate GoRaleigh Project Manager will complete the Audit Findings Review Checklist (Appendix D) to confirm that the subrecipient has provided sufficient documentation and has taken appropriate and timely corrective action. If there is not sufficient documentation, a request will be made to the subrecipient to provide additional documentation.
2. Examples of Corrective Action that can be taken as a result of unfavorable audit reports include but may not be limited to the following:
 - a. Corrective Action Plan;
 - b. Discuss need for special monitoring with Program personnel;
 - c. Ask for extra contact between Program leads;
 - d. Ask for more frequent technical reporting;
 - e. Add more detailed or frequent invoicing requirements;
 - f. Add requirement for expenditure backup materials;

- g. Tie receipt of technical progress reports or other deliverables to payments;
- h. Require on-site monitoring (technical and financial);
- i. Add more stringent termination or stop-work language for failure to comply with requirements.

7. Eligible Projects

Section 5310 funds are available for capital and operating expenses to support the provision of transportation services to meet the specific needs of seniors and individuals with disabilities. All projects must either be situated in the Raleigh-Cary Urbanized Area or may also originate in a rural area but have a final destination located in the urbanized area to qualify for Section 5310 Urbanized Area funds.

This means that at least 55 percent of any rural, small urbanized area, or large urbanized area's annual apportionment must be utilized for public transportation capital projects that are planned, designed, and carried out to meet the specific needs of seniors and individuals with disabilities. It is not sufficient that seniors and individuals with disabilities are merely included (or assumed to be included) among the people who will benefit from the project.

Eligible projects for the required 55 percent of capital projects include the capital cost of contracting for the provision of transit services for seniors and individuals with disabilities and other specialized shared-ride transportation services. The purchase of rolling stock for or the acquisition of ADA-complementary paratransit service are eligible capital expenses that may also qualify as public transportation capital projects planned, designed, and carried out to meet the specific needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable, or inappropriate, provided the projects are carried out by eligible subrecipients (see section 5, above) and these projects are included in the area's coordinated plan.

In addition to the above required capital projects, up to 45 percent of an area's apportionment may be utilized for additional public transportation projects that:

1. Exceed the ADA minimum requirements,
2. Improve access to fixed-route service and decrease reliance by individuals with disabilities on ADA-complementary paratransit service, or
3. Provide alternatives to public transportation that assist seniors and individuals with disabilities with transportation.

Such projects must be targeted toward meeting the transportation needs of seniors and individuals with disabilities, although they may be used by the general public. It is not sufficient that seniors and individuals with disabilities are included (or assumed to be included) among the people who will benefit from the project. FTA encourages projects that are open to the public as a means of avoiding unnecessary segregation of services.

Recipients must clearly identify the projects that are part of the required 55 percent capital projects as part of the grant activity line item narrative descriptions. Many projects may be eligible under both the required and optional criteria, but a discrete set of projects that meet the required criteria constituting at least 55 percent of the grant amount, exclusive of administrative expenses, must be identified.

Alternatively, the grant application may assign less than the required 55 percent to such projects if other grants in the same fiscal year utilize more than the required 55 percent, so long as at least 55 percent of the total annual apportionment will be used for required projects. In such cases, a list of the other grants and the funding amounts must be included within the new grant application.

7.1 Traditional Capital Expenses

Funds for the Section 5310 program are available for capital expenses as defined in Section 5302(3) to support public transportation capital projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable, or inappropriate. Examples of capital expenses that meet the 55 percent requirement, which must be carried out by an eligible recipient or subrecipient as described in section 5 of this chapter above, include, but are not limited to:

A. Rolling stock and related activities for Section 5310-funded vehicles

1. Acquisition of expansion or replacement buses or vans, and related procurement, testing, inspection, and acceptance costs;
2. Vehicle rehabilitation; or overhaul;
3. Preventive maintenance;
4. Radios and communication equipment; and;
5. Vehicle wheelchair lifts, ramps, and securement devices.

B. Passenger facilities related to Section 5310-funded vehicles

1. Purchase and installation of benches, shelters and other passenger amenities.

C. Support facilities and equipment for Section 5310-funded vehicles

1. Extended warranties that do not exceed industry standard;
2. Computer hardware and software;
3. Transit-related intelligent transportation systems (ITS);
4. Dispatch systems; and
5. Fare collection systems.

D. Lease of equipment when lease is more cost effective than purchase. Note that when lease of equipment or facilities is treated as a capital expense, the recipient must establish criteria for determining cost effectiveness in accordance with FTA regulations, "Capital Leases," 49 CFR part 639 and OMB Circular A-94, which provides the necessary discount factors and formulas for applying the same;

E. Acquisition of transportation services under a contract, lease, or other arrangement. This may include acquisition of ADA-complementary paratransit services when provided by an eligible

recipient or subrecipient as defined in section 5 of this chapter, above. Both capital and operating costs associated with contracted service are eligible capital expenses. User-side subsidies are considered one form of eligible arrangement. Funds may be requested for contracted services covering a time period of more than one year. The capital eligibility of acquisition of services as authorized in 49 U.S.C. 5310(b)(4) is limited to the Section 5310 program;

- F. Support for mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. Mobility management is an eligible capital cost. Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a nonprofit agency could receive Section 5310 funding to support the administrative costs of sharing services it provides to its own clientele with other seniors and/or individuals with disabilities and coordinate usage of vehicles with other nonprofits, but not the operating costs of service. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:
1. The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, seniors, and low-income individuals;
 2. Support for short-term management activities to plan and implement coordinated services;
 3. The support of state and local coordination policy bodies and councils;
 4. The operation of transportation brokerages to coordinate providers, funding agencies, and passengers;
 5. The provision of coordination services, including employer-oriented transportation management organizations' and human service organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;
 6. The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and
 7. Operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of geographic information systems (GIS) mapping, global positioning system technology, coordinated vehicle scheduling, dispatching and monitoring technologies, as well as technologies to track costs and billing in a coordinated system, and single smart customer payment systems. (Acquisition of technology is also eligible as a standalone capital expense).
- G. Capital activities (e.g., acquisition of rolling stock and related activities, acquisition of services, etc.) to support ADA-complementary paratransit service may qualify toward the 55 percent

requirement, so long as the service is provided by an eligible recipient/subrecipient as defined in section 5, above, and is included in the coordinated plan.

Section 5310(b) provides that of the amounts apportioned to states and designated recipients, not less than 55 percent shall be available for traditional Section 5310 projects—those public transportation capital projects planned, designed, and carried out to meet the specific needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable, or inappropriate. Notably, this 55 percent is a floor, not a ceiling—recipients may use more than 55 percent of their apportionment for the types of project listed above. For example, mobility management and ITS projects may be eligible under both categories; the difference to note, in order for the project to qualify toward the 55 percent requirement, is that the project must meet the definition of a capital project, be specifically geared toward the target population, and carried out by an eligible subrecipient, which is limited for this category of projects. The list of eligible activities is intended to be illustrative, not exhaustive. FTA encourages recipients to develop innovative solutions to meet the needs of seniors and individuals with disabilities in their communities and discuss proposed projects with FTA regional staff to confirm eligibility.

7.2 Other Eligible Capital and Operating Expenses

Up to 45 percent of 5310 funds may be used for operating expenses that provide transportation services that exceed the requirements of the ADA or improve access to fixed route services and decrease reliance by individuals with disabilities on ADA complementary transit service.³

- A. Public transportation projects (capital only) planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable;
- B. Public transportation projects (capital and operating) that exceed the requirements of ADA;
- C. Public transportation projects (capital and operating) that improve access to fixed route service and decrease reliance by individuals with disabilities on ADA-complementary paratransit service; or;
- D. Alternatives to public transportation (capital and operating) that assist seniors and individuals with disabilities with transportation.

7.2.1 Projects that Exceed the Requirements of the ADA (previously Section 5317 Program)

The following activities are examples of eligible projects meeting the definition of public transportation service that is beyond the ADA or former Section 5317 projects.

³ Further information regarding eligible activities can be found on FTA Circular 9070.1G, Chapter III, Sections 13. – 15.

- A. Enhancing paratransit beyond minimum requirements of the ADA. ADA-complementary paratransit services can be eligible under the Section 5310 program in several ways:
1. Expansion of paratransit service parameters beyond the three-fourths mile required by the ADA;
 2. Expansion of current hours of operation for ADA paratransit services that are beyond those provided on the fixed-route services;
 3. The incremental cost of providing same-day service;
 4. The incremental cost (if any) of making door-to-door service available to all eligible ADA paratransit riders, but not on a case-by-case basis for individual riders in an otherwise curb-to-curb system;
 5. Enhancement of the level of service by providing escorts or assisting riders through the door of their destination;
 6. Acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for wheelchairs under the ADA regulations, 49 CFR part 38 (i.e., larger than 30" × 48" and/or weighing more than 600 pounds), and labor costs of aides to help drivers assist passengers with oversized wheelchairs. This would permit the acquisition of lifts with a larger capacity, as well as modifications to lifts with a 600-pound design load, and the acquisition of heavier duty vehicles for paratransit and/or demand-response service in order to accommodate lifts with a heavier design load; and
 7. Installation of additional securement locations in public buses beyond what is required by the ADA.
- B. Feeder services. Accessible "feeder" service (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA.

7.2.2 Public Transportation Projects that Improve Accessibility

The following activities are examples of eligible projects that improve accessibility to the fixed-route system.

- A. Making accessibility improvements to transit and intermodal stations not designated as key stations. Improvements for accessibility at existing transportation facilities that are not designated as key stations established under 49 CFR 37.47, 37.51, or 37.53, and that are not required under 49 CFR 37.43 as part of an alteration or renovation to an existing station, so long as the projects are clearly intended to remove barriers that would otherwise have remained. Section 5310 funds are eligible to be used for accessibility enhancements that remove barriers to individuals with disabilities so they may access greater portions of public transportation systems, such as fixed-route bus service, commuter rail, light rail, and rapid rail. This may include:

1. Building an accessible path to a bus stop that is currently inaccessible, including curb cuts, sidewalks, accessible pedestrian signals, or other accessible features;
2. Adding an elevator or ramps, detectable warnings, or other accessibility improvements to a non-key station that are not otherwise required under the ADA;
3. Improving signage or wayfinding technology; or
4. Implementation of other technology improvements that enhance accessibility for people with disabilities including ITS.
5. 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.

7.2.3 Public Transportation Projects that Assist Seniors and Individuals with Disabilities with Transportation

The following activities are examples of projects that are eligible public transportation alternatives.

- A. Purchasing vehicles to support accessible taxi, ride-sharing, and/or vanpooling programs. Section 5310 funds can be used to purchase and operate accessible vehicles for use in taxi, ride-sharing, and/or vanpool programs provided that the vehicle meets the same requirements for lifts, ramps, and securement systems specified in 49 CFR part 38, subpart B, at a minimum, and permits a passenger whose wheelchair can be accommodated pursuant to part 38 to remain in his/her personal mobility device inside the vehicle.
- B. 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 used as an administrative mechanism for payment of alternative transportation services to supplement available public transportation. The Section 5310 program can provide vouchers to seniors and individuals with disabilities to purchase rides, including: (a) mileage reimbursement as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Providers of transportation can then submit the voucher for reimbursement to the recipient for payment based on predetermined rates or contractual arrangements. Transit passes or vouchers for use on existing fixed-route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense which requires a 50/50 (federal/local) match.
- C. Supporting volunteer driver and aide programs. Volunteer driver programs are eligible and include support for costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs. The costs of enhancements to increase capacity of volunteer driver programs are also eligible. FTA encourages communities to offer consideration for utilizing all available funding resources as an integrated part of the design and delivery of any volunteer driver/aide program.

7.3 Administration, Planning and Technical Assistance

Up to 10 percent of the recipient's total fiscal year apportionment may be used to fund program administration costs including administration, planning, and technical assistance for projects funded under this program. Recipients may pass any portion of funds available for administrative expenses, up to the allowable 10 percent, on to subrecipients for the same purpose. Program administration costs may be funded at 100 percent federal share.

The state and the designated recipient in urbanized areas have pre-award authority to incur administrative costs for Section 5310. Because the program is continuously managed, oldest funds available are drawn first regardless of the year of award for program activity. FTA encourages recipients to identify all the available Section 5310 administrative funds they intend to use routinely in each annual grant application. However, recipients may choose to accumulate Section 5310 administrative funds within their period of availability to augment the funds available for a special administrative need in a subsequent year. Recipients may accumulate Section 5310 administrative funds in the year of apportionment plus two years.

If a recipient includes program administration expenses in excess of the 10 percent in its grant application, it must document the unused Section 5310 administrative funds from prior years available to augment the amount of Section 5310 administrative funds in the current apportionment. The recipient must document the availability of Section 5310 administrative funds in each grant application. The grant application should include a list of all other grants for administrative expenses that utilize funds from the same apportionment. The list must include the total amount of administrative funds included in each grant and the fiscal year in which the funds were apportioned. The list should account for all funds for administrative expenses added through grant budget revisions or amendments. The list should include all other pending grant applications, budget revisions, or amendments that include administrative expenses that utilize funds from the same apportionment.

Allowable administrative costs may include, but are not limited to, general administrative and overhead costs, staff salaries, office supplies, and development of specifications for vehicles and equipment. Guidance on eligible costs is in Office of Management and Budget (OMB) Circular A-87 (codified at 2 CFR part 225). The program administration budget line item may also include technical assistance and planning activities, including allocations to subrecipients to support the local coordinated planning process. Any general overhead costs must be supported by an indirect cost allocation plan that has been approved by FTA or another cognizant federal agency.

These eligible program administrative costs may be used directly by the designated recipient or may be passed through by the designated recipient to subrecipients for administration, planning, or technical assistance purposes. The funds can be obligated before the completion of the coordinated planning process and project selection process in order to assist with either activity.

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assistance purposes. The funds can be obligated before the completion of the coordinated planning process and project selection process in order to assist with either activity.

8. Funding

8.1 Federal Share of Costs / Local Match

Section 5310 funds may be used to finance capital and operating expenses. The federal share of eligible capital costs shall be in an amount equal to 80 percent of the net cost of the activity. The federal share of the eligible operating costs may not exceed 50 percent of the net operating costs of the activity. Recipients may use up to 10 percent of their apportionment to support program administrative costs including administration, planning, and technical assistance, which may be funded at 100 percent federal share.

The local share of eligible capital costs shall be not less than 20 percent of the net cost of the activity, and the local share for eligible operating costs shall be not less than 50 percent of the net operating costs. The local share may be provided from an undistributed cash surplus, a replacement or depreciation cash fund or reserve, a service agreement with a state or local service agency or private social service organization, or new capital. Some examples of these sources of local match include: state or local appropriations; dedicated tax revenues; private donations; revenue from service contracts; transportation development credits; and net income generated from advertising and concessions. Non-cash share such as donations, volunteered services, or in-kind contributions is eligible to be counted toward the local match as long as the value of each is documented and supported, represents a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget.

Income from contracts to provide human service transportation may be used either to reduce the net project cost (treated as revenue) or to provide local match for Section 5310 operating assistance. In either case, the cost of providing the contract service is included in the total project cost. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service. All sources of local match must be identified and described in the grant application at the time of grant award.

In addition, the local share may be derived from federal programs that are eligible to be expended for transportation, other than DOT programs, or from DOT's Federal Lands Highway program. Examples of types of programs that are potential sources of local match include: employment, training, aging, medical, community services, and rehabilitation services. Specific program information for other types of Federal funding is available at www.unitedweride.gov.

8.2 Exceptions to Local Match Requirements

The federal share may exceed 80 percent for certain projects related to ADA and Clean Air Act (CAA) compliance as follows

- A. **Vehicles.** The federal share is 85 percent for the acquisition of vehicles for purposes of complying with or maintaining compliance with ADA (42 U.S.C. 12101 et seq.) or the CAA. A revenue vehicle that complies with 49 CFR part 38 may be funded at 85 percent federal share.

- B. **Vehicle-Related Equipment and Facilities.** The federal share for project costs for acquiring vehicle-related equipment or facilities (including clean-fuel or alternative-fuel vehicle-related equipment or facilities) for purposes of complying or maintaining compliance with the CAA, 42 U.S.C. 7401 et seq), or required by the ADA, is 90 percent. FTA considers vehicle-related equipment to be equipment on and attached to the vehicle.

8.3 Funds Availability

Section 5310 funds are available for obligation during the fiscal year of apportionment plus two additional years. Thus, for example, funds apportioned in FY 2013 are available until the end of FY 2015 (September 30, 2015). Any funds remaining unobligated at the end of the period of availability are added to the next year's program apportionment and are reapportioned among all areas.

8.4 Transfer of Funds

- A. **Transfer to Other FTA Programs.** Transfers of Section 5310 funds to other programs are not permitted.
- B. **Transfer to Other Areas within the Program.** A State may use funds apportioned for small urbanized and rural areas for projects serving another area of the State if the Governor of the State certifies that all of the objectives of the Section 5310 program are being met in the specified areas. For example, if all objectives of the Section 5310 program are being met in rural areas, funds designated for rural areas may be transferred to urbanized areas of less than 200,000 in population. Funds apportioned to small urbanized and rural areas may also be transferred for use anywhere in the State, including large urbanized areas, if the State has established a statewide program for meeting the objectives of the Section 5310 program. A recipient may transfer apportioned funds only after consulting with responsible local officials, publicly owned operators of public transportation, and nonprofit providers in the area from which the funds to be transferred were originally apportioned. Funds apportioned to large UZAs may not be transferred to other areas.
- C. **Transfer of FHWA Flexible Funds.** Flexible funds from the Federal Highway Administration (FHWA) may be transferred to the Section 5310 program for use by the recipient. The funds will be treated under the Section 5310 program requirements, with the exception of the local match and the minimum requirement for 55 percent to be spent on traditional Section 5310 projects. The FHWA funds will maintain the FHWA eligible match, including the application of the sliding scale for a higher federal share. The funds are available for obligation by the state for two additional years after the year in which they are transferred.
- D. For transfers of flexible funds to Section 5310, the recipient must notify both FHWA and FTA and request FHWA to transfer the funds to the appropriate FTA account. The transfer must be completed prior to grant award.

9. Selection Criteria

FTA allows but does not require the use of selection criteria for awarding 5310 funding. Selection criteria were developed to guide application review and project selection. The following criteria were developed and are consistent with GoRaleigh's past JARC/New Freedom Program Management Plan (2008), Wake County's Coordinated Plan (2013), FTA's 5310 guidance and review of peer agency Program Management Plans.

A. Statement of Needs (20 points)

Project applications should clearly state the need for the project and demonstrate how the project is consistent with the objectives of the grant program. The project application should indicate how the project will enhance transportation for the urbanized area's elderly and disabled populations, as well as, the connection between the project and the Coordinated Plan should be clearly described in the application.

B. Project Planning and Implementation (20 points)

For all projects, applicants must provide a well-defined service operations plan and/or capital procurement plan, and describe the implementation steps and timelines for carrying out the plan. The applicant's plan should include coordination, eligibility determination, marketing and service delivery details.

C. Project Budget and Grants Management (15 points)

Applicants must submit a complete project budget, indicating anticipated project expenditures and revenues, including documentation of matching funds. The application should address long-term efforts and identify potential funding sources for sustaining the service beyond the grant period.

D. Program Effectiveness and Evaluation (20 points)

The project will be scored based on the applicant's identification of clear, measurable outcome-based performance measures, including customer satisfaction, to track the effectiveness of the service. The applicant should monitor and evaluate the service throughout the period of performance.

E. Organizational Preparedness and Technical Capacity (25 points)

Projects should be a good fit in the applicant's organization. The applicant must demonstrate that it has staff with the technical experience to manage or operate a transportation service, such as correct levels of insurance for operations. In addition, the applicant must show that they are prepared to monitor and provide safe services.

Project Evaluation Criteria	Possible Points (100 Maximum)
1. Project Needs	20
Is the project consistent with the 5310 grant program's objectives?	0 or 5
To what degree will the project increase or enhance the availability of transportation for the Raleigh-Cary Urbanized Area's elderly and disabled populations?	0 – 5
Does the project address a need identified in the Coordinated Plan?	0 or 5
Does the project provide a service that otherwise would not be available?	0 or 5
2. Project Planning and Implementation	20
Does the project include coordination and/or partnerships with transportation providers or other relevant stakeholders?	0 or 5
Is the project timeline realistic?	0 or 5
To what extent does the applicant include plans to market to the target group and promote public awareness of their project?	0 - 5
Is there evidence the applicant has done all the necessary planning and is ready to begin the project upon being funded?	0 - 5
3. Project Budget	15
Were all the necessary budgets completed and submitted?	0 or 5
Are the certified local match sources for the project also listed in the budget as matching funds?	0 or 5
How does the agency propose to continue commitment to the life of the project beyond the availability of the requested grant resources?	0 - 5
4. Program Effectiveness and Evaluation	20
Did the applicant mention collecting data and/or documenting the delivery and utilization of services?	0 or 10
Does the applicant propose monitoring measurable indicators of success?	0 or 10
5. Organizational Preparedness	25
How closely does the proposed project align with the organization's mission and objectives?	0 - 5
How experienced is the applicant staff in managing transportation projects and/or operating passenger transportation?	0 - 5
How experienced is the agency with financial responsibilities such as, quarterly reporting, annual audits, and/or other forms of financial reporting?	0 - 10
Does the applicant propose training, vehicle maintenance, inspection or monitoring to manage risk and to provide safe services?	0 - 5
Total Score	0-100

10. Other Provisions

10.1 Private Sector Participation

Federal law requires the public to be involved in the transportation planning process, and specifically requires that private providers be provided an opportunity to be consulted in developing transportation plans and programs in both urbanized and rural areas. Public involvement processes must be proactive and provide complete information, timely public notice, full public access to key decisions, and opportunities for early and continuing involvement throughout the transportation planning and programming process.

Therefore, each applicant for funds from GoRaleigh's Section 5310 program must describe their plans to comply with this policy and provide documentation of these planned efforts in their application.

10.2 Civil Rights

The recipient agrees to comply with all applicable civil rights statutes and implementing regulations including, but not limited to, the following:

- A. **Nondiscrimination—Title VI.** The recipient agrees to comply, and assures the compliance of each third party contractor and each subrecipient at any tier of the project, with all of the following requirements under Title VI of the Civil Rights Act of 1964:
 - 1. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d *et seq.*), provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.
 - 2. U.S. DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation—Effectuation of Title VI of the Civil Rights Act," 49 CFR part 21.
 - 3. FTA Circular 4702.1B "Title VI Requirements and Guidelines for Federal Transit Administration Recipients." This document provides FTA recipients and subrecipients with guidance and instructions necessary to carry out DOT Title VI regulations (49 CFR part 21), and DOT Policy Guidance Concerning Recipient's Responsibilities to Limited English Proficient (LEP) Persons.
 - 4. U.S. DOT Policy Guidance Concerning Recipients' Responsibilities to Limited English Proficient (LEP) Persons (70 FR 74087, December 14, 2005). This guidance clarifies the responsibilities of recipients of federal financial assistance from DOT and assists them in fulfilling their responsibilities to LEP persons, pursuant to Title VI of the Civil Rights Act of 1964 and Executive Order 13166.

5. FTA Circular 4703.1 “Environmental Justice Policy Guidance for Federal Transit Administration Recipients.” This document provides FTA recipients and subrecipients with guidance and instructions necessary to carry out U.S. DOT Order 5610.2 to Address Environmental Justice in Minority Populations and Low-Income Populations, and Executive Order 12898 on Environmental Justice that describes the process that the Office of the Secretary of Transportation and each operating administration will use to incorporate environmental justice principles into existing programs, policies, and activities.
6. U.S. DOT Order to Address Environmental Justice in Minority Populations and Low-Income Populations. DOT Order 5610.2 describes the process that the Office of the Secretary of Transportation and each operating administration will use to incorporate environmental justice principles (as embodied in Executive Order 12898 on Environmental Justice) into existing programs, policies, and activities.

Contractors and subcontractors are not required to submit a Title VI report. However, they are responsible for complying with the Title VI Program of the recipient with whom they are contracting. Recipients and subrecipients are responsible for ensuring that their contractors are complying with their Title VI Program and Title VI regulations.

- B. **Nondiscrimination in Federal Transit Programs.** The recipient agrees to comply, and assures the compliance of each third party contractor at any tier and each subrecipient at any tier under the project, with the provisions of 49 U.S.C. 5332. These provisions prohibit discrimination on the basis of race, color, religion, national origin, sex, age, and disability, and prohibit discrimination in employment or business opportunity.
- C. **Nondiscrimination on the Basis of Disability.** The recipient agrees to comply, and assures the compliance of each third party contractor and each subrecipient at any tier of the project, with the applicable laws and regulations, discussed below, for nondiscrimination on the basis of disability.
 1. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), prohibits discrimination on the basis of disability by recipients of federal financial assistance.
 2. ADA, as amended (42 U.S.C. 12101 et seq.), prohibits discrimination against qualified individuals with disabilities in all programs, activities, and services of public entities, as well as imposes specific requirements on public and private providers of public transportation.

3. DOT regulations implementing Section 504 and the ADA include 49 CFR parts 27, 37, 38, and 39. Among other provisions, the regulations specify accessibility requirements for the design and construction of new transportation facilities and vehicles; require that vehicles acquired (with limited exceptions) be accessible to and usable by individuals with disabilities, including individuals using wheelchairs; require public entities (including private entities “standing in the shoes” of a public entity as a subrecipient or under a contract or other arrangement) providing fixed-route service to provide complementary paratransit service to individuals with disabilities who cannot use the fixed-route service; and include service requirements intended to ensure that individuals with disabilities are afforded equal opportunity to use transportation systems.

Providers of demand responsive service must utilize accessible vehicles, as defined at 49 CFR 37.7 or meet the applicable equivalent service standard. For private and public entities, the service must be equivalent in regard to schedules, response times, geographic areas of service, hours and days of service, availability of information, reservations capability, constraints on capacity or service availability, and restrictions based on trip purpose.

Providers of fixed-route service must generally utilize accessible vehicles. Private entities may utilize nonaccessible vehicles if they can provide equivalent service in terms of schedules and headways, in addition to the equivalent service requirements described above for demand responsive service. Public entities must also provide complementary paratransit service to fixed-route service as defined in 49 CFR 37.121.

4. In addition, recipients of any FTA funds should be aware that they also have responsibilities under Titles I, II, III, IV, and V of the ADA in the areas of employment, public services, public accommodations, telecommunications, and other provisions, many of which are subject to regulations issued by other federal agencies.

D. **Disadvantaged Business Enterprise (DBE).** To the extent required by federal law, regulation, or directive, the recipient agrees to take the following measures to facilitate participation by DBEs:

1. The recipient agrees and assures that it will comply with MAP-21 Section 1101(b) (23 U.S.C. 101 note), which directs the Secretary of Transportation to expend not less than 10 percent of authorized federal funds with DBEs. This 10 percent national goal is aspirational and is used by DOT to help monitor and evaluate DBE participation in DOT-assisted contracting opportunities.
2. The recipient agrees and assures that it will comply with DOT regulation, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs,” 49 CFR part 26. Among other provisions, this regulation requires

certain recipients of DOT federal financial assistance, namely state and local transportation agencies, to establish goals for the participation of disadvantaged entrepreneurs and certify the eligibility of DBE firms to participate in their DOT-assisted contracts.

3. The recipient agrees and assures that it shall not discriminate on the basis of race, color, sex, or national origin, in the award and performance of any third party contract, or subagreement supported with federal assistance derived from DOT, or in the administration of its DBE program, and will comply with the requirements of 49 CFR part 26. The recipient agrees to take all necessary and reasonable steps set forth in 49 CFR part 26 to ensure nondiscrimination in the award and administration of all third party contracts and subagreements supported with federal assistance derived from DOT. As required by 49 CFR part 26 and approved by DOT, the recipient's DBE program is incorporated by reference and made part of the grant agreement or cooperative agreement. The recipient agrees that implementation of this DBE program is a legal obligation, and that failure to carry out its terms shall be treated as a violation of the grant agreement or cooperative agreement. Upon notification by DOT to the recipient of a failure to implement its approved DBE program, DOT may impose sanctions as provided for under 49 CFR part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001, and/or the Program Fraud Civil Remedies Act, (31 U.S.C. 3801 *et seq*).

For further guidance, refer to the federal laws, regulations, and executive orders cited in this chapter. FTA's regional civil rights officers or headquarters civil rights staff will also provide current guidance upon request.

- E. **Equal Employment Opportunity (EEO)**. GoRaleigh and Section 5310 Program subrecipients must ensure that no person in the United States shall on the grounds of race, color, religion, national origin, sex, age, or disability be excluded from participating in, or denied the benefits of, or be subject to, discrimination in employment under any project, program, or activity receiving federal financial assistance under the federal transit laws.

Each Section 5310 Program contract between GoRaleigh and a subrecipient for the provision of FTA funding shall contain language that requires the subrecipient to comply with FTA regulations related to EEO. In addition, private providers under contract with subrecipients are required to comply with these regulations.

10.3 Assurances

GoRaleigh annually signs the FTA Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements, which binds GoRaleigh to all civil rights requirements.

Through annual grant agreements, subrecipients agree to comply with all applicable civil rights statutes and regulations. These include Title VI of the Civil Rights Act, Equal Employment Opportunity, and

Americans with Disabilities Act. As subrecipients to GoRaleigh, Section 5310 Program subrecipients must comply with the FTA's Annual List of Certifications and Assurances as stated in their grant agreements with GoRaleigh.

10.4 Buy America

Title 49 U.S.C. 5323(j) provides that with limited exceptions, FTA may not obligate funds for a public transportation project unless the steel, iron, and manufactured goods used in the project are produced in the United States. Section 5310 recipients and subrecipients must comply with FTA regulations, 49 CFR part 661. FTA's Buy America requirements at 49 CFR part 661 differ from Federal Buy American regulations at 48 CFR part 25. The former applies to all purchases, including materials or supplies funded as operating costs when funded by FTA, if the purchase exceeds the threshold for small purchases (currently \$100,000), whereas the latter applies to direct federal procurements. FTA strongly advises recipients to review 49 CFR part 661 as well as the current FTA Circular 4220.1, "Third Party Contracting Guidance," before undertaking any procurement. In addition, 49 U.S.C. 5323(j)(9) allows a party adversely affected by an FTA action the right to seek review. FTA has created a Buy America website to provide an overview of these requirements as well as policies, procedures, and letters of interpretation: <http://www.fta.dot.gov/buyamerica>.

10.5 Drug and Alcohol Testing

Recipients or subrecipients that receive only Section 5310 program assistance are not subject to FTA's drug and alcohol testing rules, but must comply with the Federal Motor Carrier Safety Administration (FMCSA) rule for all employees who hold commercial driver's licenses (49 CFR part 382). Section 5310 recipients and subrecipients that also receive funding under one of the covered FTA programs (Section 5307, 5309, or 5311) should include any employees funded under Section 5310 projects in their testing program.

An FTA compliant testing program, as required by the receipt of FTA operating or capital funding (5307, 5309, 5311), may be used for Section 5310 employees; there is no need to have separate testing programs. Employees of a subrecipient of Section 5310 funds from a state or designated recipient of another FTA program (e.g., 5307 or 5311) should also be included in the designated recipient's testing program.

States and designated recipients that receive funds for Sections 5307, 5309, or 5311, in addition to Section 5310, should consult FTA's regulation at 49 CFR part 655, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations." The regulation applies to recipients of funds identified above. The regulation requires that FTA recipients follow the drug and alcohol testing procedures found in applicable FTA (49 CFR part 655) and DOT (49 CFR part 40) regulations.

Technical assistance materials and training information to help recipients implement the rules are available at FTA's website <http://www.fta.dot.gov> or through contacting the FTA Office of Safety and Oversight, FTA Headquarters.

10.6 Restrictions on Lobbying

Federal financial assistance may not be used to influence any member of Congress or an officer or employee of any agency in connection with the making of any federal contract, grant, or cooperative agreement. The state, subrecipients, and third party contractors at any tier awarded FTA assistance exceeding \$100,000 must sign a certification so stating and must disclose the expenditure of nonfederal funds for such purposes (49 CFR part 20).

Other federal laws also govern lobbying activities. For example, federal funds may not be used for lobbying congressional representatives or senators indirectly, such as by contributing to a lobbying organization or funding a grass-roots campaign to influence legislation (31 U.S.C. 1352). These laws do not prohibit general advocacy for transit. Providing information to legislators about the services a recipient provides in the community is not prohibited, nor is using nonfederal funds for lobbying, so long as the required disclosures are made.

10.7 School Bus Transportation

Title 49 U.S.C. 5323(f) prohibits the use of FTA funds for exclusive school bus transportation for school students and school personnel. The implementing regulation (49 CFR part 605) does permit regular service to be modified to accommodate school students along with the general public ("tripper service"). For the purpose of FTA's school bus regulation, Head Start is considered a social service, not a school program. Rules for the Head Start program limit the types of vehicles that may be used to transport children participating in a Head Start program.

11. Section 5310 Program Management

11.1 Maintenance

Consistent with federal requirements, each subrecipient must maintain its facilities (and substantial facility components), vehicles, and other substantial assets.

Sub-recipients would be required to submit an annual Owned Rolling Stock Inventory. The inventory will include the following information:

- 1) Year/Make/Model or other ID
- 2) Vehicle Identification Number
- 3) Agency Vehicle Number
- 4) Condition
- 5) Age
- 6) Remaining Useful Life
- 7) Replacement Cost
- 8) ADA Accessibility

The information obtained from these inventories will become part of the inventory record.

Recipients and sub-recipients shall maintain equipment maintenance and inspection records for equipment procured with 5310 funds. Recipients will be required to service the vehicle(s) and equipment, at a minimum, in accordance with the maintenance schedules, and to keep records to show that service was completed. Each recipient will submit certification that service is completed at least as scheduled per the owner's manuals. Request for certification will be sent out annually by GoRaleigh. During an annual inspection, and/or audit, GoRaleigh will request maintenance records and will randomly pick maintenance reports to review to ensure compliance with these provisions and all applicable FTA requirements.

11.2 Procurement

General. When procuring property, supplies, equipment, or services with funds from an FTA grant, designated recipients that are not states and their subrecipients must comply with FTA procurement requirements at 49 CFR part 18 and guidance contained in the current FTA Circular 4220.1.

11.3 Pre-Award and Post-Delivery Reviews

Procurements for vehicles, other than sedans or unmodified vans, must be audited in accordance with 49 CFR part 663, "Pre-Award and Post-Delivery Audits of Rolling Stock Purchases." Additional guidance is available in the manual, "Conducting Pre-Award and Post-Delivery Reviews for Bus Procurement" on FTA's website: www.fta.dot.gov/legislation_law/12921_5424.html. The regulation requires any recipient or subrecipient that purchases rolling stock for use in revenue service with funds

obligated after October 24, 1991, to conduct a pre-award and post-delivery review to ensure compliance with its bid specifications, Buy America requirements, and federal motor vehicle safety requirements, and to complete specific certifications. Purchase of more than twenty vehicles for use in areas under 200,000 in population (more than ten, for large urbanized areas), other than unmodified vans or sedans, requires in-plant inspection. In the case of consolidated state procurements on behalf of multiple subrecipients, the in-plant inspection requirement is triggered only if a single subrecipient will receive more than ten or more than twenty vehicles, depending on area size.

References

Cape Fear Public Transportation Authority Program Management Plan 49 U.S.C. Section 5310, March 2015

City of Durham/Durham-Chapel Hill-Carrboro Metropolitan Planning Organization Section 5310 Program Management Plan

City of Raleigh/Capital Area Metropolitan Planning Organization, Program Management Plan for Job Access Reverse Commute and New Freedom Funds

Fresno Council of Governments FTA Section 5310 Program Management Plan

Hidalgo County Metropolitan Planning Organization Funding Application
FY 2015 5310 Program – Enhanced Mobility of Seniors and Individuals With Disabilities

NCDOT Program Overview Enhanced Mobility of Seniors and Individuals with Disabilities Program (Federal Section 5310)

Puget Sound Regional Council, Program Management Plan for 49 USC Section 5310

US Department of Transportation, Federal Transit Administration, Circular FTA C9070.1G

Wake Coordinated Transportation Services/TRACS Human Services/Public Transportation Plan 2013

Appendices

Appendix A: Cary-Raleigh Urbanized Area

Appendix B: Section 5310 Application Form

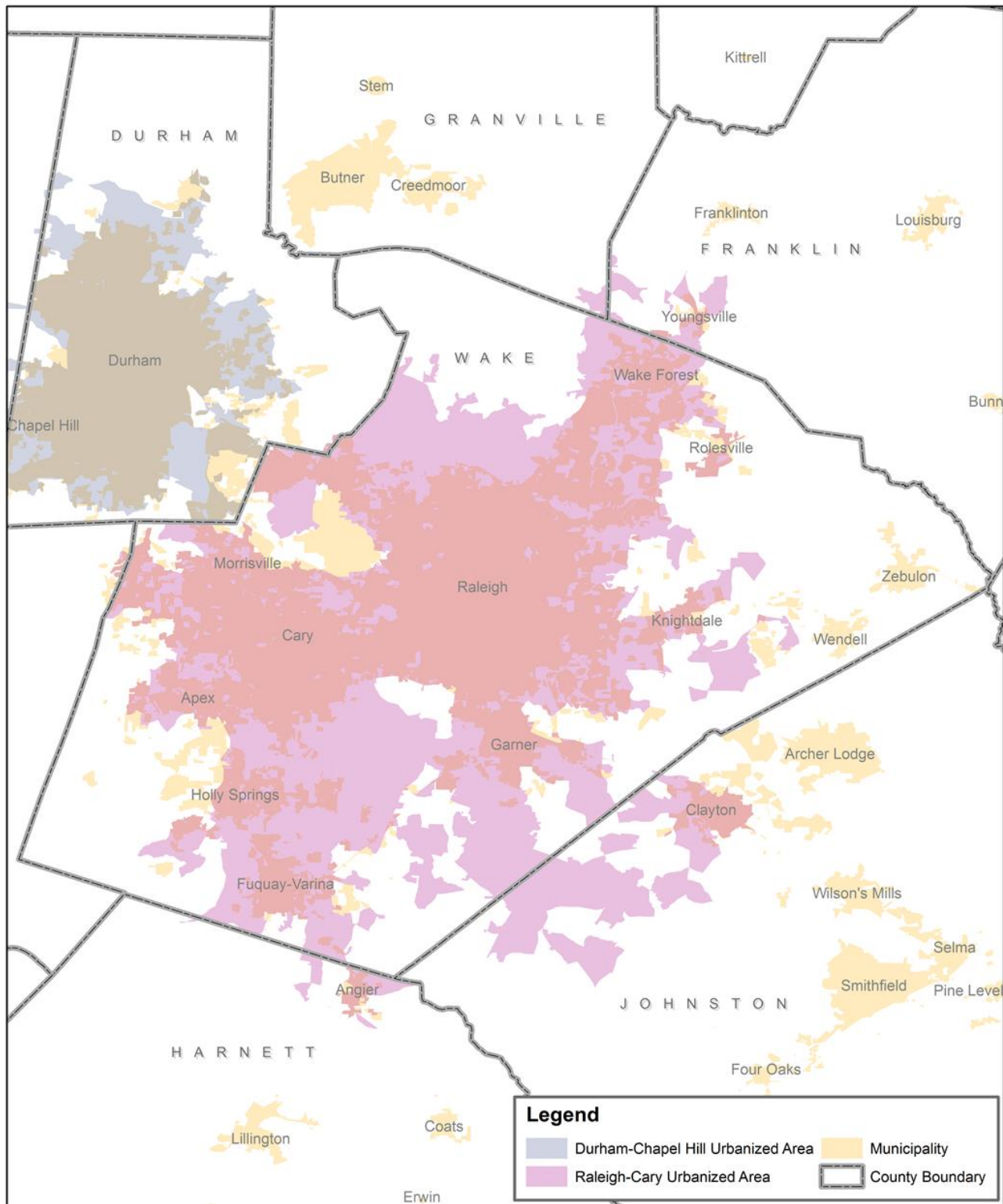
Appendix C: Subrecipient Application Letter

Appendix D: Checklist for Project Manager Review of Uniform Audit Requirements for Federal Awards
(Uniform Guidance)

Appendix E: Definitions

Appendix F: Governing Documents

Appendix A: Cary-Raleigh Urbanized Area



Appendix B: Section 5310 Application Form

5310 Funding Program Application

Please complete Parts I-III of the 5310 Funding Program Application. Return the completed application to GoRaleigh as noted in the Application Process section.

Part I – Funding Request

Applicant Information

Organization Name: _____

Contact Person: _____

Address: _____

City, State, Zip: _____

Telephone: _____ Fax: _____

Email: _____ Website: _____

Project Description

Title: _____

Brief Description: _____

Project Type: _____ Traditional _____ Other

Service days/hours (if applicable): _____

Estimated Cost per One-Way Trip (if applicable): _____

Estimated Daily Riders per Weekday/Weekend (if applicable): _____

Part II – Project Narrative

Please complete the Project Narrative questions below for your application. These questions closely align with the Project Selection Criteria included in the 5310 Program Management Plan and 5310 Application Package.

Expanded Project Description

Please use this space to expand on your project description beyond the brief description provided in Part I of the application if needed.

Project Needs

How is the proposed project consistent with eligible 5310 program activities and objectives of the 5310 funding program?

Describe how the project will increase or enhance the availability of transportation for the elderly and disabled populations in the Raleigh-Cary Urbanized Area?

What need(s) does the project address in the [Coordinated Human Services Transportation Plan](#)? Please provide the page number(s) in the [Coordinated Human Services Transportation Plan](#).

Does the project provide a service or investment that otherwise would not be available? If so, please explain.

Project Planning and Implementation

Describe how the proposed project might coordinate or link with other transportation providers or transportation stakeholders?

Describe the project timeline and project lifespan?

Please note how you plan to market your proposed project? If an existing service, note how your service is currently marketed?

When could your project begin upon receiving funding? Describe the process your organization would take to implement the project.

Project Budget

In addition to filling out the Proposed Project Budget, note any plans for continued investment and/or maintenance for the proposed project after the 5310 funds are spent.

Program Effectiveness and Evaluation

How does your organization plan to collect information to monitor quality control and customer satisfaction related to implementing the proposed project? Include in your description any measurable indicators you propose to use.

Organizational Preparedness

Describe how your proposed project aligns with the overarching mission of your organization?

Describe the staffing plan for this project. Who would be the primary staff person responsible for managing the grant? What other staff would be involved? Describe any relevant past experience these staff have in working on the type of project proposed.

Please note any experience your organization has with financial reporting such as quarterly reports, annual audits and/or other forms of financial reporting.

Describe any training, maintenance, inspections and/or service monitoring you plan to do focused on managing risk and providing safe services?

Part III – Proposed Project Budget

Project Funding

Local matching funds are required for all application submittals. For projects requiring operating funds the required match is 50% from non-federal transportation funds. For capital projects the required match is 20%+ from non-federal transportation funds. Some potential capital match exceptions are noted in the FTA guidance and the GoRaleigh 5310 Program Management Plan.

Total Project Budget	\$ _____	
Capital Federal Share	\$ _____	_____ %
Capital Local Match	\$ _____	_____ %
Operating Federal Share	\$ _____	_____ %
Operating Local Match	\$ _____	_____ %

Local Match Fund Source: _____

Note: The applicant must demonstrate a commitment to provide local funds and provide appropriate documentation. Documentation may be in the form of a letter or other supporting documentation noting where funds will be drawn from.

Appendix C: Subrecipient Application Letter

Date

Name

Address

City, State Zip

Re: Subrecipient Project X, Federal Transit Administration Apportionment GoRaleigh Application for Federal Transit Administration funding

Dear Subrecipient:

The City of Raleigh (GoRaleigh), as the designated recipient of Federal Transit Administration (FTA) funds for the Raleigh-Cary Urbanized Area, will make an application for FTA to support the above referenced project. By accepting these federal funds, your organization will be recognized as a subrecipient and, as such, is subject to all FTA federal requirements.

I have been assigned as GoRaleigh's project manager for project oversight and will coordinate the process with you. The subrecipient agreement will be processed concurrently with the federal application to help shorten the process; however, no agreement can be executed until the federal award is received.

As part of the application process, you will be required to complete the application form that provides the project detail, budget and milestones. You will also be required to submit your current audit in accordance with the latest Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), and sign the FTA Certifications and Assurances. No application for federal funds will be made until this information is received and accepted.

Please send all questions regarding compliance or needs for approval directly to me so I can track the required approvals or changes to your project. I will forward requests to the appropriate staff to obtain approvals or interpretations.

Please note that Certifications and Assurances must be completed annually for the duration of your active grant. All organizations are required to certify compliance with numbers one and three. If other certifications apply to this project and your organization, you also should certify those.

Once the application is processed and awarded, GoRaleigh will be able to enter into a subrecipient agreement with your organization. Until the Subrecipient agreement is signed, you do not have funding.

I look forward to working with you throughout the grant process. Regards,

Project Manager's Name

Project Manager's Title

Appendix D: Checklist for Project Manager Review of Uniform Guidance Audit Findings

Checklist for Project Manager Review of Uniform Guidance Audit Findings

Subrecipient _____

Fiscal Year _____

Project Manager _____

Please review each finding and check appropriate box based upon review of selected invoice(s) to assure charges are allowable & there is sufficient documentation to validate the expense.

Finding (List findings below)	Sufficient Documentation	Insufficient Documentation	N/A	Other

Project Manager _____

Date Reviewed _____

Appendix E: Definitions

- **Aging Population:** See “Senior.”
- **Americans with Disabilities Act (ADA)** is Public Law 336 of the 101st Congress, enacted July 26, 1990 (42 U.S.C. 12101 et seq.), and later amended January 1, 2009. 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.
- **Capital Expense** means an expenses directly related to the acquisition, construction, and improvement of facilities or equipment used for public transportation purposes, including, but not limited to, vehicles and related equipment.
- **Coordinated Human Services Transportation** means 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 lower income.
- **Designated Recipient:** An entity designated, in accordance with the planning process under sections 5303 and 5304 of title 49, United States Code, by the governor of a state, responsible local officials, and publicly owned operators of public transportation, to receive and apportion amounts under 49 U.S.C. 5336 to urbanized areas of 200,000 or more in population; or a state or regional authority, if the authority is responsible under the laws of a state for a capital project and for financing and directly providing public transportation.
- **Disability:** The term disability has the same meaning as in section 3(1) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102). The term “disability” means, with respect to an individual -
 - a physical or mental impairment that substantially limits one or more major life activities of such individual;
 - a record of such an impairment; or
 - being regarded as having such an impairment.
- **Equipment:** An article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost that equals or exceeds the lesser of the capitalization level established by the governmental unit for financial statement purposes, or \$5,000. Equipment includes rolling stock and all other such property used in the provision of public transit service.
- **Grant:** An award of financial assistance, including a cooperative agreement, in the form of money, or property in lieu of money, by the federal government to an eligible recipient or recipients. Used interchangeably with grant agreement.
- **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, seniors, and people with low incomes.
- **Individual With a Disability** means 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).

- **Job Access and Reverse Commute Program (JARC)** means the FTA formula grant program under SAFETEA-LU for projects relating to the development and maintenance of transportation services designed to transport welfare recipients and eligible low-income individuals to and from jobs and activities related to their employment, and for public transportation projects designed to transport residents of urbanized areas and nonurbanized areas to suburban employment opportunities. 49 U.S.C. 5316. This program was eliminated under MAP-21.
- **Large Urbanized Area:** An urbanized area (UZA) with a population of 200,000 or more individuals, as determined by the Bureau of the Census.
- **Local Government Agency** includes a political subdivision of a state; an authority of at least one state or political subdivision of a state; an Indian tribal government; and a public corporation, board, or commission established under the laws of a state.
Master Agreement: The FTA official document containing FTA and other cross-cutting federal requirements applicable to the FTA recipient and its project(s). The master agreement is generally revised annually in October. The master agreement is incorporated by reference and made part of each FTA grant, cooperative agreement, and amendment thereto.
- **Mobility Management** consists 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 through an agreement entered into with a person, including a government entity, under 49 U.S.C. Chapter 53 (other than Section 5309). Mobility management does not include operating public transportation services.
- **Net Project Cost:** The part of a project that reasonably cannot be financed from operating revenues (i.e., farebox recovery).
- **New Freedom Program** means the FTA formula grant program under SAFETEA-LU for new public transportation services and public transportation alternatives beyond those required by the Americans with Disabilities Act of 1990 (ADA) (42 U.S.C.12101 et seq.) that assist individuals with disabilities with transportation, including transportation to and from jobs and employment support services. 49 U.S.C. 5317. This program was eliminated under MAP-21.
- **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) which is exempt from taxation under 26 U.S.C. 501(a) or one which has 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.
- **Older Adults:** See "Senior."
- **Operating Expenses:** Those costs necessary to operate, maintain, and manage a public transportation system. Operating expenses usually include such costs as driver salaries, fuel, and items having a useful life of less than one year.
- **Paratransit** means comparable transportation service required by the ADA for individuals with disabilities who are unable to use fixed-route public transportation systems.
- **Pre-award Authority** means authority given under specific and limited circumstances to incur costs for eligible projects before a grant is made without prejudice to possible Federal participation in the cost of the project(s). Applicants must comply with all Federal requirements. Failure to do so will render a project ineligible for FTA financial assistance.
- **Program of Projects** means a list of projects to be funded in a grant application submitted to FTA by a recipient. The program of projects (POP) lists the subrecipients and indicates whether they are private non-profit agencies or local governmental authorities, designates the areas served (including rural areas), and identifies any tribal entities. In addition, the POP includes a brief description of the projects, total project costs, Federal share for each project, and the amount of funds used for program administration from the 10 percent allowed.
- **Public Transportation:** Regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability,

or low income, and does not include: intercity passenger rail transportation provided by Amtrak, intercity bus service, charter bus service, school bus service, sightseeing service, courtesy shuttle service for patrons of one or more specific establishments, or intraterminal or intrafacility shuttle services.

- **Recipient:** For purposes of this circular, a designated recipient or a state that receives a grant under Section 5310 directly.
- **Rural Area:** An area encompassing a population of fewer than 50,000 people that has not been designated in the most recent decennial census as an urbanized area by the Secretary of Commerce.
- **Senior:** An individual who is 65 years of age or older.
- **Small Urbanized Areas:** A UZA with a population of at least 50,000 but less than 200,000, as determined by the Bureau of the Census.
- **Subrecipient:** A state or local governmental authority, a private nonprofit organization, or an operator of public transportation that receives a grant under Section 5310 indirectly through a recipient.
- **Traditional Section 5310 Projects:** Those public transportation capital projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable.
- **Transportation Improvement Plan (TIP)** is a six-year program of highway and transit projects for the urbanized areas. It is a compilation of projects from the various federal, state, and local funding programs for all the cities and counties in the Region, as well as for the state DOT and the local transit agencies.
- **Urbanized Area (UZA):** An area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an urbanized area by the Secretary of Commerce.

Appendix F: Governing Documents

Federally Required Documents and Other Modal Clauses

http://www.fta.dot.gov/12831_6195.html