



**Regional
Transportation
Authority**

FY2016 & FY2017 Application
**SECTION 5310 ENHANCED MOBILITY OF SENIORS &
 INDIVIDUALS WITH DISABILITIES**
Applications Due: May 1, 2017

PROJECT TITLE: **DATE:**

APPLICANT INFORMATION			
Applicant's Legal Name:			
Contact Person/Title			
Address:			
City:	State:	Zip code:	
Telephone #:	Email Address:		
DUNS #:	Applicant Fiscal Year:		

ORGANIZATION TYPE (check all that apply)			
<input type="checkbox"/>	Local Government Authority	<input type="checkbox"/>	Private Non-Profit Organization
<input type="checkbox"/>	Public Operator of Public Transportation Services	<input type="checkbox"/>	Private Operator of Public Transportation Services

CERTIFICATIONS AND BOARD RESOLUTION (Required of All Applicants) See Appendix B. Please provide an explanation for any documentation not submitted.	
<input type="checkbox"/>	Certifying Authority
<input type="checkbox"/>	Local Share Certification
<input type="checkbox"/>	Title VI Plan Certification
<input type="checkbox"/>	EEO Certification
<input type="checkbox"/>	Single Agency Audit Certification
<input type="checkbox"/>	Traditional Project Certification Eligibility-Units of Local Government
<input type="checkbox"/>	Private Non-Profit Organizations-Certification Eligibility
<input type="checkbox"/>	Approved Board Resolution

REQUEST TYPE (check all that apply)			
<input type="checkbox"/>	Operating	<input type="checkbox"/>	Capital
<input type="checkbox"/>	Mobility Management	<input type="checkbox"/>	Administration

PROGRAM DATES	
March 1, 2017	Call for Projects
May 1, 2017	Applications Due
July 1-31, 2017	Public Comment Period
August 4, 2017	Presentation of Recommended Program of Projects (POP) to CMAP
August 24, 2017	Recommended POP Presented to RTA Board

SUBMITTAL INSTRUCTIONS (Paper or electronic applications are acceptable - All submitted applications will be published on RTA's website: <http://www.rtachicago.com/index.php/plans-programs/grants-projects/section-5310.html>.)

Email: Section5310@rtachicago.org
Mail: Section 5310 Enhanced Mobility of Seniors & Individuals with Disabilities Application
 Attn: Grants Management Division
 Regional Transportation Authority, 175 West Jackson Boulevard, Suite 1650 Chicago, Illinois 60604

TECHNICAL ASSISTANCE If you have any questions, contact Fluturi Demirovski at (312) 913-3239 or section5310@rtachicago.org. For additional information, applicants may refer to the program website <http://www.rtachicago.com/index.php/plans-programs/grants-projects/section-5310.html>. A complete list of Section 5310 subrecipients and project descriptions are available on RTAMS <http://www.rtams.org/rtams/planningProgram.jsp?id=5>.

OVERVIEW – SECTION 5310

The Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program aims to improve mobility for seniors and individuals with disabilities by removing barriers to transportation service and expanding transportation mobility options. This program supports transportation services planned, designed, and carried out to meet the special transportation needs of seniors and individuals with disabilities.

The RTA's Coordinated Public Transit-Human Services Coordinated Plan (HSTP), as required by FTA, sets forth policies and strategies for the Section 5310 program in Northeastern Illinois. Projects approved by the RTA Board for inclusion in the Section 5310 Program of Projects are incorporated into the HSTP Plan.

For a project to be considered eligible for Section 5310 funding it must be included in the locally developed Coordinated Public Transit- Human Services Coordinated Plan (HSTP). The HSTP originally developed in 2007 was updated and approved by the Regional Transportation Authority (RTA) Board in October 2013 in accordance with federal requirements. The HSTP for Northeastern Illinois includes the six-county RTA region, comprising Cook, DuPage, Kane, Lake, McHenry and Will counties, plus the urbanized portions of Kendall County, Sandwich Township (DeKalb County), Somonauk Township (DeKalb County), and Aux Sable Township (Grundy County). The HSTP is available for download from the program website: <http://www.rtachicago.com/index.php/plans-programs/grants-projects/section-5310.html>.

The Illinois Department of Transportation (IDOT) and the RTA are co-designated recipients for Northeastern Illinois. The co-designation status has been approved by the Chicago Metropolitan Agency for Planning (CMAP), the Metropolitan Planning Organization (MPO) for Northeastern Illinois. IDOT is responsible for project selection and the award of Section 5310 funded paratransit vehicles. IDOT, through its Consolidated Vehicle Program (CVP), selects and awards paratransit vehicles to eligible applicants. For information on IDOT's Section 5310 CVP program and funding cycle, refer to: <http://www.idot.illinois.gov/home/resources/Forms-Folder/p>. The RTA is responsible for all other Section 5310 projects. The RTA administers the Section 5310 program by making periodic calls for projects, leading an effort to award funds to eligible applicants, and monitoring activities of active grants.

In Northeastern Illinois, the RTA Service Boards (CTA, Metra, and Pace), as FTA Direct Recipients, are allowed to apply for and receive grants directly from the Federal Transit Administration (FTA). Once the RTA awards a Section 5310 grant to a Service Board, they in turn apply directly to the FTA for those funds. All other applicants receiving an award through the RTA-administered program become a grant subrecipient of the RTA. Subrecipients must be able to certify and demonstrate the ability to meet federal requirements regarding these programs during the application process and before expenditures can commence. Subrecipients will also be required to submit invoices and monthly project status reports, indicating performance on project scope and other items required by RTA.

All applicants are encouraged to work with other interested parties that may use or be affected by proposed projects. Projects are evaluated, in part, on an applicant's demonstrated efforts to coordinate with other parties such as government agencies, transportation providers, and social service groups. Any coordination aspects of the project should be noted in the project description and evidenced through other appropriate documentation, such as partnership agreements and cooperative

operational arrangements. Projects that do not demonstrate coordination will generally not be awarded, unless specific circumstances that prevent coordination (such as the need to transport agency clients with specific mobility assistance needs) are clearly outlined in the proposal.

Applicants are also encouraged to directly consult with the appropriate Service Board(s) on proposed projects that could affect existing transit operations or transit facilities.

CTA	Metra	Pace
Donald Gismondi Email: DGismondi@transitchicago.com	Holly Lown Waters Email: HLown@metrarr.com	Lorraine Snorden Email: Lorraine.Snorden@pacebus.com

PROJECT ELIGIBILITY

Eligible projects include those that are planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable. It may also be used for public transportation projects that exceed the requirements of the Americans with Disabilities Act of 1990 as amended (ADA) that improve access to fixed-route service and decrease reliance by individuals with disabilities on complementary paratransit, and for alternatives to public transportation that assist seniors and individuals with disabilities. Appendix A includes detailed project eligibility requirements.

FUNDING REQUIREMENTS

Applicants are required to provide a reasonable cost estimate for the project and demonstrate the ability to fund the project at the time of applying. An operating project, whether classified as a traditional Section 5310 project or not, must provide a 50% local funding match in accordance with the HSTP. Capital and mobility management projects require a 20% local match. Items classified as administrative activities are funded at 100%, requiring no local match. All of the local match must be provided from sources other than Federal DOT funds. Examples of sources of local match that may be used include the following:

- State or local appropriations
- Other non-DOT Federal funds
- Dedicated tax revenues
- Private donations
- Revenue from human service contracts
- Net income generated from advertising and concessions

Farebox revenue may not be used as local match. Farebox revenue is considered income and is deducted from total operating cost to determine the net cost of the activity.

SECTION 5310 TRADITIONAL PROJECTS

No less than 55 percent of funds awarded for Northeastern Illinois by fiscal year must be obligated to “traditional” Section 5310 projects. Traditional projects are those public transportation projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable, or inappropriate.

In order for a project to receive funding from the traditional category of funds, it must be a capital project related to 5310-funded vehicles and the sub-recipient must either be a non-profit agency or a local unit of government that certifies no non-profit organizations are readily available in the area to provide services. An operating project may also be funded from the traditional category of funds, provided the service is implemented by a non-profit agency, which contracts out services to a third party.

FUNDING AVAILABILITY

The funding available for Northeastern Illinois is based on the FY2016 apportionment and FY2017 partial apportionment and estimate.

Funding Availability by Fiscal Year

	FY2016 (actual)	FY2017 (est.)**	Total
Northeastern Illinois Apportionment	\$6,088,906	\$ 5,971,815	\$12,060,721
Traditional 5310 Projects 55% Minimum Threshold Mark*	\$3,348,898	\$ 3,284,498	\$6,633,396
All Other 5310 Projects 45% Ceiling Mark	\$2,740,008	\$ 2,687,316	\$5,427,325

Source: Federal Transit Administration - <https://cms.fta.dot.gov/funding/apportionments>

*A portion of the funds in the Traditional category will be allocated to IDOT for the purchase of paratransit vehicles. The amount will be determined in conjunction with the development of the recommended Program of Projects.

**FY2017 includes \$3,483,317 in partial apportionments and an estimated \$2,488,498 for balance of the year.

PROJECT SELECTION

All projects will be competitively selected through this open call for projects. Applications submitted will first be reviewed by RTA for eligibility and then referred to a Project Selection Team (PST) for evaluation based on the criteria included in the following section. The PST is made up of five staff: one from Illinois Department of Transportation (IDOT) and two each from RTA and the Chicago Metropolitan Agency for Planning (CMAP). Upon completion of the project evaluations, a recommended Program of Projects will be released for public comment. Following the public comment period, the RTA Board will be presented the Program of Projects for approval.

Projects may be recommended for approval at a lesser funding amount and reduced scope than originally requested, in order to achieve a fair and equitable distribution of funding and support as many eligible projects as possible for the duration of the programming period (2 years). A consultation will take place with the project applicant when a reduction in project scale is being considered by the PST. RTA staff may also contact the applicant to obtain clarification on the application as appropriate.

PROJECT EVALUATION CRITERIA

The Project Selection Team will evaluate the projects based on the following criteria taking into account the entire application as submitted.

Eligibility	Assessment
1. Proposed project addresses: (a) public transportation 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; (b) public transportation projects that exceed the requirements of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.); (c) public transportation projects that improve access to fixed route service and decrease reliance by individuals with disabilities on complementary paratransit; and (d) alternatives to public transportation that assist seniors and individuals with disabilities with transportation.	Eligible / Not Eligible
2. Project application identifies and addresses an unmet need identified in the Human Services Transportation Plan (HSTP). This should include: (1) a description of the project; (2) identification of the unmet needs (which is/are addressed by the project); (3) how the project will address the unmet need(s), e.g., in terms of serving new riders, a new area, a new day and/or times, a higher frequency, less advance notice, more driver assistance, etc.; and (4) an estimated quantification of benefits. Any additional obligations, e.g., the provision of ADA complementary paratransit as a result of implementing a new fixed bus route in a previously unserved area, should be noted.	Eligible / Not Eligible
3. Local match will be supplied.	Eligible / Not Eligible
Consistency with the HSTP and CMAP GO TO 2040 Plans	Point Value
4. Project employs one or more strategies that: <ul style="list-style-type: none"> • Improves Service Integration • Improves Accessibility • Improves Productivity • Provides Flexible Transit Services • Improve Education & Workforce Development • Improve Access to Information • Invest Strategically in Transportation • Increase Commitment to Public Transit 	0-20
5. Project markets to the target population and promotes public awareness.	0-10
Coordination	Point Value
6. Project utilizes or coordinates with existing public transportation providers and private human service agencies; or reflects partnerships with non-transit entities and/or private non-profit/for profit organizations.	0-20
Sustainability	Point Value
7. Applicant will provide more than required match.	0-15
8. Applicant currently operates a 5310-funded project.	0-15
Capability	Point Value
9. Applicant demonstrates ability to implement proposed project and manage federally-funded grants.	0-10
Performance Measures	Point Value
10. Applicant provides plan for assessing the proposed project's performance through the course of the grant.	0-10

APPLICANT QUESTIONS

The following questions should be answered for all projects, unless otherwise noted.

1. Describe the project:

Is this a new project, an existing project, or an expansion of a project?

Estimated number of individuals to be served by your project annually.

	Unduplicated Number of Riders/Users Annually		Total Number of Trips/Users Annually	
	Existing (Current Operations Only)	Projected*	Existing (Current Operations Only)	Projected*
Seniors 60 years of Age and Over (Projects Serving Seniors)				
Individuals with Disabilities				
General Public				
Total				

Definition of Unduplicated Users/Riders: Unduplicated Users/Riders are counted based on an annual basis. Each user/rider is counted only once annually, no matter how many times he/she utilizes the service or facility. If records are unavailable to accurately count the number of unduplicated users/riders, an estimate is acceptable.

***Explain how you derived your projections**

Provide the temporal and geographic scope of activities in the following table.

Day of Week	Operating Hours	Geographic Coverage	
		Core Service Area Specify Municipal and County Areas Covered	Special Destination Trips Outside of Core Service Area (if applicable)
Monday			
Tuesday			
Wednesday			
Thursday			
Friday			
Saturday			
Sunday			

2. What is your plan for assessing project performance? The assessment could be based on any number of factors, for example: number of trips; seniors served; individuals with disabilities served; quality of service; on-time performance; outreach; coordination; etc. The RTA will require detailed project status reports with performance information from all projects. Beyond that, subrecipients will be asked to provide additional performance metrics specific to their projects in status reports.

3. Who is currently operating the service or who do you plan to have operate the service? (Operating only)

4. Specify what unmet needs this project is designed to meet and what strategies will be used to address those needs by checking all applicable boxes below. Please refer to the following website links for assistance:

HSTP UNMET NEEDS	HSTP STRATEGIES	Select Regional Strategies in CMAP GO TO 2040 Plan
http://www.rtachicago.org/index.php/plans-programs/grants-projects/section-5310.html		http://www.cmap.illinois.gov/about/2040
<input type="checkbox"/> Centralized Information	<input type="checkbox"/> Improve Service Integration	<input type="checkbox"/> Improve Education & Workforce Development
<input type="checkbox"/> Spatial Limitations	<input type="checkbox"/> Improve Accessibility	<input type="checkbox"/> Improve Access to Information
<input type="checkbox"/> Temporal Limitations	<input type="checkbox"/> Tools that Improve Productivity	<input type="checkbox"/> Invest Strategically in Transportation
<input type="checkbox"/> Program Eligibility and Trip Purpose Limitations	<input type="checkbox"/> Flexible Transit Services	<input type="checkbox"/> Increase Commitment to Public Transit
<input type="checkbox"/> Service Redundancies		
<input type="checkbox"/> Service Quality and Miscellaneous Issues		
<input type="checkbox"/> Sustainability		

5. Explain how you will utilize the strategies you identified to address your unmet needs?

6. Explain how this project will utilize or coordinate with other human service agencies and/or public transportation providers. If the project will not include coordination, provide detailed explanation for the reasons that coordination cannot occur.

7. Explain how this project improves access to other transportation services that go beyond the project’s geographic boundary.

8. Explain how the target population will be given priority on all project activities, if the service is not restricted to the target population.

9. Explain how the project will be marketed to the target population. Including information on how populations with Limited English Proficiency will be apprised of the project and whether marketing materials will be available in other languages.

10. Provide a list of federal grants that your agency has administered within the last three years.

11. Project Operating Budget Request

The project operating budget estimate should be based on actual annual expenditures for existing services. Budgets for New Services without an operating history should detail the sources of their estimated budgets. Applicants who are operating their own services shall fill out Items A-D in the Budget Details. Applicants who are contracting for service should only fill out Item E.

Methodology Explanation

Budget Detail Year 1

Estimated Operating Expenses	\$
a. Wages, Salaries & Benefit	\$
b. Maintenance & Repair	\$
c. Fuel	\$
d. Insurance	\$
e. Contract Services (specify): _____	\$
Total Operating Expenses	\$
Less Estimated Revenue	\$ ()
Net Operating Cost	\$
Total Section 5310 funding request	\$
Local Share (50% of net operating cost)	\$

Budget Detail Year 2

Estimated Operating Expenses	\$
a. Wages, Salaries & Benefit	\$
b. Maintenance & Repair	\$
c. Fuel	\$
d. Insurance	\$
e. Contract Services (specify): _____	\$
Total Operating Expenses	\$
Less Estimated Revenue	\$ ()
Net Operating Cost	\$
Total Section 5310 funding request	\$
Local Share (50% of net operating cost)	\$

12. Capital Budget Request:

	<u>Federal Request</u> 80% of Total Cost	<u>Local Share</u> 20% of Total Cost	Total Cost
Facility Improvement	\$	\$	\$
Computer Software Hardware/Technology	\$	\$	\$
Total Capital Request	\$	\$	\$

- Rolling Stock is not eligible.

13. Mobility Management Budget Request:

Major Activities	<u>Federal Request</u> 80% of Total Cost	<u>Local Share</u> 20% of Total Cost	Total Cost
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
TOTALS	\$	\$	\$

- 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.

14. Administration Budget Request (itemize) :

Item	Cost	<u>Federal Request</u> 100% of Total Cost
	\$	\$
	\$	\$
	\$	\$
TOTALS	\$	\$

- All administration expenses must directly support the project and may not exceed 10% of the total federal share requested. Only direct costs are eligible for reimbursement, unless your organization has a cost allocation plan approved by your federal cognizant agency.

15. During the course of the project, do you expect to provide an overmatch? (All operating projects in the traditional category provide an overmatch). If yes, provide the source of the overmatch.

Appendix A

PROJECT ELIGIBILITY

ELIGIBLE PROJECTS

Note: Rolling stock is not considered eligible for consideration under this RTA call for projects. IDOT is responsible for project selection and the award of Section 5310 funded paratransit vehicles in Northeastern Illinois and the RTA is responsible for all other Section 5310 projects. IDOT, through its Consolidated Vehicle Program (CVP), selects and awards paratransit vehicles to eligible applicants. For information on IDOT's Section 5310 CVP program, refer to: <http://www.idot.illinois.gov/home/resources/Forms-Folder/p>

(Excerpt – FTA Circular 9070.1G)

13. ELIGIBLE ACTIVITIES. 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.

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 this type of project.

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:

- a. Exceed the ADA minimum requirements,
- b. Improve access to fixed-route service and decrease reliance by individuals with disabilities on ADA-complementary paratransit service, or
- c. 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.

14. ELIGIBLE CAPITAL EXPENSES THAT MEET THE 55 PERCENT REQUIREMENT. 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 the 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.

15. OTHER ELIGIBLE CAPITAL AND OPERATING EXPENSES.

- a. General. Up to 45 percent of a rural, small urbanized area, or large urbanized area's annual apportionment may be utilized for:
 - (1) 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;
 - (2) Public transportation projects (capital and operating) that exceed the requirements of ADA;
 - (3) 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
 - (4) Alternatives to public transportation (capital and operating) that assist seniors and individuals with disabilities with transportation.

Since the 55 percent requirement is a floor, and not a ceiling, the activities listed in section 14, above, are eligible expenses for all funds available to a recipient under Section 5310. 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.

b. Public Transportation Projects that Exceed the Requirements of the ADA. The following activities are examples of eligible projects meeting the definition of public transportation service that is beyond the ADA.

(1) Enhancing paratransit beyond minimum requirements of the ADA. ADA complementary paratransit services can be eligible under the Section 5310 program in several ways:

(a) Expansion of paratransit service parameters beyond the three-fourths mile required by the ADA;

(b) Expansion of current hours of operation for ADA paratransit services that are beyond those provided on the fixed-route services;

(c) The incremental cost of providing same day service;

(d) 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;

(e) Enhancement of the level of service by providing escorts or assisting riders through the door of their destination;

(f) 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" x 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

(g) Installation of additional securement locations in public buses beyond what is required by the ADA.

(2) 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.

c. Public Transportation Projects that Improve Accessibility. The following activities are examples of eligible projects that improve accessibility to the fixed-route system.

(1) 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:

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

(2) 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.

d. Public Transportation Alternatives that Assist Seniors and Individuals with Disabilities with Transportation. The following activities are examples of projects that are eligible public transportation alternatives.

- (1) 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.
- (2) 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.
- (3) 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.

Appendix B

CERTIFICATIONS AND BOARD RESOLUTION

CERTIFYING AUTHORITY

I am duly authorized to make the following certification on behalf of the Applicant Organization and based on my position, knowledge and experience with the Applicant Organization:

- 1) the information contained in the Application, including attachments, is true and correct;
- 2) the Applicant has the requisite fiscal, managerial, and legal capabilities to carry out the operations and maintenance of the Project in accordance with 49 U.S.C. Section 5310; and
- 3) the Applicant shall adhere to the federal, state and local requirements related to the Project.

Note: Authorized Official should be that of the official named in the Governing Board Resolution unless other documentation is provided.

Signature of Authorized Official

Date

Title

LOCAL SHARE CERTIFICATION FORM

I, the undersigned representing _____
(Insert Legal Name of Applicant) *(Insert Name of Authorized Official)*

do hereby certify to the Regional Transportation Authority, that the required \$_____ in local match funds are available and that the source of the funds are from ____(be specific)_____; and comply with local share requirements in FTA Circular 9030.1E, which are:

- a. Cash from non-governmental sources other than revenues from providing public transportation services;
- b. Non-farebox revenues from the operation of public transportation service, such as the sale of advertising and concession revenues. A voluntary or mandatory fee that a college, university, or similar institution imposes on all its students for free or discounted transit service is not farebox revenue;
- c. Amounts received under a service agreement with a State or local social service agency or private social service organization;
- d. Undistributed cash surpluses, replacement or depreciation cash funds, reserves available in cash, or new capital;
- e. Amounts appropriated or otherwise made available to a department or agency of the Government (other than the Department of Transportation); and
- f. In-kind contribution such as the market value of in-kind contributions integral to the project may be counted as a contribution toward local share.

Note: Authorized Official should be that of the official named in the Governing Board Resolution unless other documentation is provided.

Signature of Authorized Official

Date

Title

TITLE VI PLAN CERTIFICATION FORM

Title VI of the Civil Rights Act of 1964 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. The program receiving such funds, shall abide by, and is committed to ensuring that no person is excluded from participation in or denied the benefits of, its activities or services on the basis of race, color, or national origin.

I, the undersigned representing _____
(Insert Legal Name of Applicant) *(Insert Name of Authorized Official)*

do hereby certify to the Regional Transportation Authority,

- that the attached Title VI Plan, approved on _____ is in effect.
- or
- that a Title VI Plan will be developed should an award be made pursuant to this application.

- that _____ will adopt the RTA's Title VI Plan.
(Insert Legal Name of Applicant)

Signature of Authorized Official

Date

Title

**EQUAL EMPLOYMENT OPPORTUNITY (EEO)
CERTIFICATION FORM**

Agencies that have 50 or more transit-related employees are required to prepare and maintain an EEO Program. Transit-related employees are defined as all part-time employees and employees with collateral duties that support the transit program. For example, anyone who processes payments for a 5310-funded project would be considered a transit-related employee.

I, the undersigned representing _____
(Insert Legal Name of Applicant) *(Insert Name of Authorized Official)*

do hereby certify to the Regional Transportation Authority,

- This organization will not have 50 or more transit-related employees even if awarded this project.
- This organization has 50 or more transit-related employees and attached is our EEO Program.
- This organization will develop and submit an EEO Program should we be awarded a 5310 project and have more than 50 transit-related employees.

Signature of Authorized Official

Date

Title

SINGLE AGENCY AUDIT CERTIFICATION FORM

In accordance with CFR, Title 2-Subtitle A, Chapter II, Part 200, Subpart F, *Audit Requirements*, a Grantee that expends \$750,000 or more of federal funds from all sources during its fiscal year is required to have a single audit performed in accordance with CFR, Title 2, Part 200.

Please check the appropriate box:

- I certify our agency did not expend \$750,000 or more in federal awards during our most recent fiscal year ending on _____(mm/dd/yy).

- I certify our agency expended or will expend \$750,000 or more in federal awards during our most recent fiscal year ending on _____(mm/dd/yy) and has fulfilled or will fulfil the audit requirement under CFR, Title 2, Part 200.

Signature of Authorized Official

Date

Title

**TRADITIONAL PROJECT CERTIFICATION ELIGIBILITY
UNITS OF LOCAL GOVERNMENT**

Public agencies must certify that no non-profit agencies are readily available in order to be eligible for traditional 5310 project funding.

- As a unit of local government, (insert name of unit of local government) certifies that no non-profit agency is readily available in the area. The RTA will contact you to assist with the certification process.

- As a unit of local government, (insert name of unit of local government) does not wish to become a certified agency.

Signature of Authorized Official

Date

Title

PRIVATE NON-PROFIT ORGANIZATION CERTIFICATION ELIGIBILITY

Private Non-Profit Organization

As a private non-profit organization, (insert name of private non-profit organization) have attached to this application is our IRS 501(c)(3) letter establishing our eligibility for Section 5310 funding.

Signature of Authorized Official

Date

Title

GOVERNING BOARD RESOLUTION

This or a similar resolution is required of all applicants.

Resolution No.

Project Title

Resolution authorizing applications for and execution of a FY2016 and FY2017 Section 5310 grant agreement under the Regional Transportation Authority's general authority to make such Grants.

Whereas, the Regional Transportation Authority (the "Authority"), is authorized make such grants as the designated recipient of the FY2016 and FY2017 Section 5310 program for Northeastern Illinois; and

Whereas, the Authority has the power to expend funds for use in connection with FY2016 and FY2017 Section 5310 projects, and

Whereas, the Authority has the power to make and execute all contracts and other instruments necessary or convenient to the exercise of its powers, and

Whereas, approval for said funds will impose certain financial and reporting obligations upon the recipient.

NOW, THEREFORE, BE IT RESOLVED BY THE GOVERNING BOARD OF THE *[Insert Name of Applicant]*:

Section 1. That the *[Insert Authorized Official]*, *{Authorized Official Title}* and his/her successor is authorized to execute and file applications on behalf of *[Insert Name of Applicant]* with the Regional Transportation Authority for a FY2016 and FY2017 Section 5310 grant for *[Insert Project Title]*.

Section 2. That the *[Insert Authorized Official]*, *{Authorized Official Title}* and his/her successor is authorized to furnish such additional information, assurances, certifications and amendments as the Regional Transportation Authority may require in connection with this FFY 2016 and FY2017 Section 5310 grant agreement application.

Section 3. That the *[Insert Authorized Official]*, *{Authorized Official Title}* and his/her successor certify that *{Insert Name of Applicant}* will provide the required local match from *{Insert Source of Funds for Local Match}* funds.

Section 4. That the *[Insert Authorized Official]*, *{Authorized Official Title}* and his/her successor is authorized and directed on behalf of the *[Insert Name of Applicant]* to execute and deliver grant agreements and all subsequent amendments thereto between the *[Insert Name of Applicant]* and the Regional Transportation Authority for FY2016 and FY2017 Section 5310 grant, and the Secretary of the (Name of Applicant) is authorized and directed on behalf of the *[Insert Name of Applicant]* to attest said agreements and all subsequent amendments thereto.

Section 5. That the *[Insert Authorized Official]*, *{Authorized Official Title}* and his/her is authorized and directed to take such action as is necessary or appropriate to implement, administer and enforce said agreements and all subsequent amendments thereto on behalf of the *[Insert Name of Applicant]*.

PRESENTED and ADOPTED the _____ day of _____, 20____

Signature of Authorized Official

Signature of Attest

Title

Title