JOIN THE MOVEMENT.

FY 2019 Solicitation for Proposals
Federal Section 5310

May 2019
Agenda

• FTA Section 5310 Program Introduction
• Solicitation Overview
  - Funds Availability
  - Eligible Applicants/Subrecipients
  - Eligible Projects
  - Federal Share/Local Match Requirements
  - Performance Measures
  - Application Limits/Guidelines/Evaluation
• Grant Application Overview
  - Part I – Part IV
• Awardee/Subrecipient Requirements
• Questions
Program Website:
https://www.metro.net/projects/fta5310/

Federal Section 5310 Program

Overview  Coordinated Plan  Application  Workshop  Schedule of Activities

Enhanced Mobility of Seniors and Individuals with Disabilities
The Los Angeles County Metropolitan Transportation Authority (Metro) is pleased to announce the availability of funds for eligible applicants for the Fiscal Year (FY) 2019 Federal Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program. This program is funded in part by the Federal Transit Administration (FTA) as authorized under 49 U.S.C. 5310 (CFDA 20.521).

The Federal Section 5310 funds made available for the FY2019 Solicitation for Proposals include FTA funds apportioned for Federal Fiscal Year (FFY) 2018, 2019 and 2020 as authorized under the Fixing America's Surface Transportation (FAST) Act. The current application cycle will fund eligible projects that best achieve program goals and meet program requirements as detailed in the FY 2019 Solicitation for Proposals & Application Package. The solicitation is a competitive selection process that will result in the award of available federal grant funds apportioned by the FTA to eligible agencies through Metro. Approved awards will be authorized by way of fully executed funding agreements by/between successful applicants and Metro.

The Section 5310 Program provides operating and capital assistance to eligible private non-profit organizations, State or local government authorities, and/or operators of public transportation under specific conditions, for public transportation projects that: i) 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; ii) exceed the requirements of the Americans with Disabilities Act (ADA) of 1990; and/or iii) improve access to fixed route service and decrease reliance on complementary paratransit, and for alternatives to public transportation projects that assist seniors and individuals with disabilities. Total grant funding available is estimated at $10,201,938 for eligible applicants and projects.

Coordinated Plan for LA County:
Project proposal applications submitted must be consistent with goals and strategies included in the Coordinated Plan.

Resources
- United We Ride
- Coordinating Council on Access and Mobility
- Dun and Bradstreet
- System for Award Management (SAM)
- Federal Service Desk (FSD)
- California Association for Coordinated Transportation (CALACT)

Circulars

Program Management Plan

Contact Us
For workshop registration, please contact Vanessa Ward at 213.922.2831 or WardVA@metro.net
For technical assistance, please contact Ruben Cervantes at 213.922.3197 or CervantesR@metro.net, or Anne Flores at 213.922.4894 or FloresA@metro.net.
## Schedule of Activities (Tentative)

<table>
<thead>
<tr>
<th>Event</th>
<th>Date/Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notice of Funding Availability: Release Solicitation for Proposals</td>
<td>April 30, 2019</td>
</tr>
<tr>
<td>5310 Applications Due</td>
<td>July 31, 2019, 3:00 PM</td>
</tr>
<tr>
<td>Application Review and Evaluation Period</td>
<td>August 2019</td>
</tr>
<tr>
<td>Applicant Preliminary Notification of Funding Recommendations &amp; Debriefing</td>
<td>September 2019</td>
</tr>
<tr>
<td>TAC Appeal Hearings</td>
<td>October 2, 2019</td>
</tr>
<tr>
<td>Board Approval: Funding Award Recommendations</td>
<td>December/January</td>
</tr>
</tbody>
</table>
Join the Mobility Revolution with Metro

Enhanced Mobility of Seniors and Individuals with Disabilities

To improve mobility for seniors and individuals with disabilities by removing barriers to transportation services and expanding the transportation mobility options available when public transit is insufficient, inappropriate, or unavailable by:

- Exceeding the requirements of the Americans with Disabilities Act (ADA) of 1990
- Improving access to fixed route service and decreasing reliance on complementary paratransit
- Providing alternatives to public transportation
Funds Availability

- FY2019 Solicitation for Proposals: Includes FTA funds apportioned for FFY 2018, 2019 and 2020
- Project Categories: **Traditional Capital, Other Capital, and Operating** transportation projects
- Funds Available: **$10,201,958**
- LA County Urbanized Areas: **Los Angeles-Long Beach-Anaheim, Santa Clarita, and Lancaster-Palmdale**

<table>
<thead>
<tr>
<th>Urbanized Area (UZA)</th>
<th>Traditional Capital</th>
<th>Other Capital and Operating</th>
</tr>
</thead>
<tbody>
<tr>
<td>LA-LB-Anaheim</td>
<td>$7,131,784</td>
<td>$2,517,099</td>
</tr>
<tr>
<td>Lancaster-Palmdale</td>
<td>236,603</td>
<td>83,507</td>
</tr>
<tr>
<td>Santa Clarita</td>
<td>172,191</td>
<td>60,773</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$7,540,578</strong></td>
<td><strong>$2,661,380</strong></td>
</tr>
</tbody>
</table>
Eligible Applicants/Subrecipients

**Traditional Capital**

- Private nonprofit (501(c)(3)) organizations; or

- State or local governmental authorities that:
  - Certify that there are no nonprofit organizations readily available in the area to provide the service; or
  - Are approved by the state to coordinate services for seniors and/or individuals with disabilities in a particular area.

**Other Capital and Operating**

- Private nonprofit (501(c)(3)) organizations;

- State or local governmental authorities; or

- Operators of public transportation (including private taxi companies) that provide shared-ride service to the general public on a regular basis
Eligible Projects

Traditional Capital

1. Rolling stock and related activities for Section 5310 Program funded vehicles

2. Passenger facilities related to Section 5310 funded vehicles

3. Support facilities/equipment for Section 5310 funded vehicles

4. Lease of equipment when lease is more cost effective than purchase

5. Acquisition of transportation services under a contract, lease, or other arrangement

6. Support for mobility management and coordination programs

7. Capital activities to support ADA- complementary paratransit service
Eligible Projects

Other Capital and Operating

1. Public transportation projects *(capital only)* planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities

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 on ADA complementary paratransit service

4. Alternatives to public transportation *(capital and operating)* that assist seniors and individuals with disabilities with transportation
### Federal Share, TDC & Local Match Requirements

<table>
<thead>
<tr>
<th>Funding Category</th>
<th>Federal Share Eligible (max)</th>
<th>Toll Development Credits (TDC)*</th>
<th>Local Match Share Required (min)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital (Traditional &amp; Other)</td>
<td>80%</td>
<td>10%</td>
<td>10%</td>
</tr>
<tr>
<td>Capital: ADA/CAA Rolling Stock</td>
<td>85%</td>
<td>10%</td>
<td>5%</td>
</tr>
<tr>
<td>Capital: ADA/CAA Equipment &amp; Facilities</td>
<td>90%</td>
<td>10%</td>
<td>0%</td>
</tr>
<tr>
<td>Operating</td>
<td>50%</td>
<td>25%</td>
<td>25%</td>
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</tbody>
</table>

**Sources of Local Match:** Cash; In-Kind; Income from contracted transportation services; Non USDOT federal funds.
Performance Measures

• Traditional Capital Projects:
  - Gaps in Service Filled - Actual/Estimated number of seniors and people with disabilities afforded mobility annually as a result of the project
  - Ridership – Actual/Estimated annual one-way passenger trips

• Other Capital and Operating Projects:
  - Service Improvements - Increases or enhancements related to geographic coverage
  - Physical Improvements - Additions or changes to physical infrastructure
  - Ridership – Actual/Estimated annual one-way passenger trips
Application Limits/Guidelines/Evaluation

- Each agency is allowed to submit one or more applications, not to exceed the funding award limit per category:
  - **Traditional Capital:** $600,000
  - **Other Capital & Operating:** $600,000

- Original application along with five (5) additional hard copies and two (2) electronic copies (e.g. CDs, flash drives, etc.) to Metro by **3:00 pm on July 31, 2019**

- Evaluation Panel: Representatives from state, regional, and local agencies will be established to evaluate and score the proposal applications

- A minimum of **70** points per application score is required to be considered for funding

- Dun and Bradstreet ([www.dnb.com](http://www.dnb.com))

- System for Award Management (SAM) ([https://sam.gov](https://sam.gov))
Part I: General Information

Project Title:

Project Description (Brief):

Application Information
Name of Organization or Agency:
Date:
City/State/Zip:
Contact Person (Name and Title):
Email of Contact Person:
Phone (Area code + Number):

Project Category Type (Select only one application. If applying for Capital and Operating, two separate applications are required):
- Traditional Capital
- Other Capital
- Operating

Applicant Eligibility (Select only one):
- Private Nonprofit (501(c)(3)) Organization
- State or Local Government Authority
- Operator of Public Transportation

Project Service Area (Select all applicable):
- Los Angeles, Long Beach, and/or Anaheim
- Lancaster and/or Palmdale
- Santa Clarita
- Other cities and unincorporated areas within LA County not listed above
- Areas outside of LA County

Project Goal (Select all applicable):
- Refer to 2016-2019 Coordinated Public Transit - Human Services Transportation Plan for LA County
  - Fund Mobility Options
  - Address Mobility Gaps
  - Provide Support Services
  - Promote and Improve Information Portals
  - Enhance Accountable Performance Monitoring Systems
  - Other (list/describe below):

Part I: General Information continued

Description of Applicant Agency/Organization (e.g., Organization Type, Transportation Services Provided, Target Populations Served, Geographical Area Served). Follow and address all section guidelines and evaluation criteria, and include all attachments, as detailed in the FY 2015 Section 5310 Solicitation for Proposals.

Project Budget Summary (Total Across All Part III Budget Sheets and Enter Below)

FTA Section 5310
A. Total Federal Funding Request
B. Total Local Match | Source
C. Total Project Expenses

If the federal funding request is not fully awarded, would your agency/organization be amenable to implementing a reduced Scope of Work? Yes □ No □

Authorization
I, __________________________, am the person duly authorized to sign this application and associated certifications on behalf of my agency/organization. I also acknowledge that the information in this application package is true, correct, and complete. My agency/organization will comply with applicable certifications and assurances. METRO Funding Agreements, and METRO and FTA requirements if federal financial assistance is awarded.

Signature of Authorized Representative
Date

Title of Authorized Representative
Organization/Agency
1. Describe the transportation services currently provided (20 Points).
   - Attachment A (Vehicle Purchasing Schedule): Required for all vehicle purchases
   - Attachment B (Vehicle Replacement Request Form): Required for replacement vehicles
   - Attachment C (New Service or Service Expansion Vehicle Request Form): Required for new expansion vehicles
   - Attachment D (Communication/Computer Equipment Request Form): Required for equipment requests
   - For Improved Passenger Facilities: Attach two photos that show existing conditions
Part II: Project Narrative & Evaluation Criteria (A-E)

- **Attachment A (Vehicle Purchasing Schedule):** Required for all vehicle purchases

- **CalAct Vendors**
  - Creative Bus Sales: [www.creativebussales.com](http://www.creativebussales.com)
    > State Contracts > California > CalACT
    > Commercial & Shuttle Bus > CalACT

*Note: CalACT vendor information provided for informational purposes only.*
Part II: Project Narrative & Evaluation Criteria (A-E)

- Attachment B (Vehicle Replacement Request Form): Required for replacement vehicles

### Attachment B
Vehicle Replacement Request Form

<table>
<thead>
<tr>
<th>Agency:</th>
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</thead>
</table>

This form is to be completed by agencies requesting replacement vehicles. Complete the following items and chart below:

- Total number of miles traveled per day for all active vehicles in revenue service (Do not include miles traveled using backup vehicles).
- Agency's normal days and hours of operation (e.g., Monday thru Sunday 7:00 am to 7:00 pm).
- Average service hours per day.
- Current wheelchair lift users (%). (To compute, divide total number of wheelchair lift clients by total number of riders).
- Total fleet count after replacement.
- Total peak service fleet count (number of vehicles in service during peak service hours).

<table>
<thead>
<tr>
<th>Vehicle Description (Year, Make and Model)</th>
<th>Last 1 Digit of VIN</th>
<th>Original Leased Vehicle YIN</th>
<th>Current Make</th>
<th># of Own Teams</th>
<th>Passenger Capacity (积极推进 the accessibility)</th>
<th>OHM Purchased or Leased? (Symbol if leased)</th>
<th>Vehicle Description (Moving or still)</th>
<th>Registered Owner (DOT Identifiers)</th>
<th>Service Miles Per Day</th>
<th>Total One-Way Passenger Trips Per Day</th>
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</table>
Part II: Project Narrative & Evaluation Criteria (A-E)

- Attachment C (New Service or Service Expansion Vehicle Request Form): Required for expansion vehicles

Attachment C
New Service/Service Expansion Vehicle Request Form

This form is to be completed by agencies requesting vehicles to:

- Start a new transportation service, or
- Add new or additional service to their current program

To complete the chart below:

- Indicate if vehicle request is for a New (N) transportation service or Service Expansion (SE) for an existing transportation service.
- Indicate type of requested vehicle, such as Van, Small Bus, Medium Bus, etc.
- Indicate the number of days of vehicle service (e.g., Monday – Friday = 5, Monday – Sunday = 7).
- Indicate the average number of vehicle service hours per day, exclude idle time (the time the vehicle is not in direct passenger service). Use whole hours; do not use ranges of hours or portions of hours.
- Calculate vehicle service hours by multiplying number of days of vehicle service with total service hours per day (exclude idle time) (e.g., 5 days per week x 8 hours per day = 40 hours per week).
- Indicate the number or estimated number of one-way passenger trips per day (each time a passenger boards the vehicle, a round trip would be counted as two passenger trips), and of this total how many are wheelchair lift users.
- Indicate the projected average number of miles the vehicle will travel per day.
- Total fleet count with new vehicles
- Total peak service fleet count (number of vehicles in service during peak service hours)

<table>
<thead>
<tr>
<th>Type of Request</th>
<th>Vehicle Type</th>
<th>No. of Days of Vehicle Service</th>
<th>Average Service Hours Per Day</th>
<th>Total Vehicle Service Hours Per Week</th>
<th>Total One-Way Passenger Trips Per Year</th>
<th>From the One-Way Passenger Trips Per Total, Non-Motorized Wheelchair Trips</th>
<th>Projected Miles Per Day</th>
</tr>
</thead>
<tbody>
<tr>
<td>N or SE</td>
<td>Small Bus</td>
<td>5</td>
<td>8</td>
<td>40</td>
<td>5,000</td>
<td>1,200</td>
<td>400</td>
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</tbody>
</table>
Attachment D (Communication/Computer Equipment Request Form): Required for equipment requests

Attachment D
Communication/Computer Equipment Request Form

Agency:

This form is to be completed by agencies requesting:
> Computer equipment (software or hardware)
> Communications equipment (radios, base station, etc.)
> Other equipment such as wheelchair restraint or improved passenger facilities (benches, shelters, etc.)

Applicant must attach three estimates of like-kind equipment with this application. The average of the three estimates will become the requested grant amount. After grant approval, the subrecipient must receive prior approval from Metro before purchasing. The subrecipient will be responsible for purchasing the equipment and submitting invoice to Metro to be reimbursed for the federal share.

Implementation of any ITS project shall be consistent with the Regional ITS Architecture. ITS projects must comply with Metro’s Countywide ITS Policy and Procedures adopted by the Metro Board of Directors, including the submittal of a completed, signed self-certification form.

<table>
<thead>
<tr>
<th>Equipment</th>
<th>Quantity Request</th>
<th>Estimated Unit Cost</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computer Hardware</td>
<td></td>
<td></td>
<td>$ 0.00</td>
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<tr>
<td>Computer Software</td>
<td></td>
<td></td>
<td>$ 0.00</td>
</tr>
<tr>
<td>Maintenance Equipment</td>
<td></td>
<td></td>
<td>$ 0.00</td>
</tr>
<tr>
<td>Other Eligible Equipment (describe below)</td>
<td></td>
<td></td>
<td>$ 0.00</td>
</tr>
</tbody>
</table>

Complete for Requesting Communication Equipment

<table>
<thead>
<tr>
<th>Equipment</th>
<th>Quantity Request</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Station</td>
<td></td>
<td>$ 0.00</td>
</tr>
<tr>
<td>Mobile Radio</td>
<td></td>
<td>$ 0.00</td>
</tr>
</tbody>
</table>

Total Equipment Request: $ 0.00
Part II: Project Narrative & Evaluation Criteria (A-E)

A. Scope of Work, Project Need, Objectives, Coordination and Outreach, cont. (Up to 40 Points):

2. Explain how the proposed project meets and is consistent with the Section 5310 program and coordinated plan (10 points).

3. Explain how the proposed project was developed or is being implemented to ensure adequate coordination of existing and proposed transportation services (5 points).

4. Discuss how the project is or will be marketed to promote public awareness (5 points).
Part II: Project Narrative & Evaluation Criteria (A-E)

B. Project Implementation, Operating and Management Plans (Up to 20 points)

1. Describe the project’s management plan, key milestones, and schedule (8 points).

2. Describe your agency or organization’s contingency plan to avoid service disruption (8 points).

3. Describe your agency or organization’s experience and history in providing transportation services (4 points).

Part II
Project Narrative continued

B. Project Implementation, Operating, And Management Plans (Up To 20 Points)

Describe your project operating and management plans as applicable to new, continuing, and/or enhanced/expanded project proposal. Complete and attach a proposed project schedule and provide key project milestones, potential risks along with associated mitigation strategies. Follow and address all section guidelines and evaluation criteria, and include all attachments, as detailed in the FY 2019 Section 5310 Solicitation for Proposals.
C. Performance Indicators and Project Effectiveness (Up to 20 points)

1. Provide quantitative and qualitative project performance measure(s) (10 points).

2. Explain how each applicable Program performance measure will be used by the agency/organization (4 points).

3. Describe the management tools and/or procedures (6 points).
D. Project Financial Plan / Project Readiness (Up to 10 points)

1. Complete the Project Financial Plan Table

2. Include a description of how the schedule is realistic to enable project completion

Part II
Project Narrative *continued*

D. Project Financial Plan / Project Readiness (Up To 10 Points)

Project Readiness is essential in determining whether a project is ready for funding. Complete the Project Financial Plan table below. Please provide the projected expenditure amounts by quarter. Include a description of how the schedule is realistic to enable project completion based on the years or requested funding (if project is currently funded with other grants, please take that into consideration).

<table>
<thead>
<tr>
<th>Year</th>
<th>Q1 (Jul - Sep)</th>
<th>Q2 (Oct - Dec)</th>
<th>Q3 (Jan - Mar)</th>
<th>Q4 (Apr - Jun)</th>
<th>Totals</th>
</tr>
</thead>
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</table>

Description:
E. Budget Justification (Up to 10 points)

1. Assumptions used to prepare the budget

2. Identify all sources and amounts of operating revenue, and other revenue proposed to be used

3. Identify the total amount of federal funds requested

4. Specify the amount and source of non-USDOT Local Match.
   - **Cash Match:** Attach Local Match Commitment Letter
   - **In-Kind Match:** Attach In-Kind Commitment Letter
### Part III: Project Budget

#### 1. Traditional Capital (Section 5310)

<table>
<thead>
<tr>
<th>Project Expenses</th>
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</thead>
<tbody>
<tr>
<td>a. Contracted Services with Human Services Agencies</td>
<td></td>
</tr>
<tr>
<td>b. Vehicle (purchase)</td>
<td></td>
</tr>
<tr>
<td>e. Vehicle (lease)</td>
<td></td>
</tr>
<tr>
<td>d. Equipment (purchase)</td>
<td></td>
</tr>
<tr>
<td>e. Equipment (lease)</td>
<td></td>
</tr>
<tr>
<td>f. Contract/Technical Consultant Services</td>
<td></td>
</tr>
<tr>
<td>g. Mobility Management</td>
<td></td>
</tr>
<tr>
<td>h. Other (explain in Part II)</td>
<td></td>
</tr>
<tr>
<td>i. Administration (cannot exceed 5% of Total Project Expenses)</td>
<td></td>
</tr>
<tr>
<td>Total Project Expenses* (Sum a-i)</td>
<td><code>$0</code></td>
</tr>
</tbody>
</table>

*Direct costs only; net of farebox revenue

#### 2. Other Capital (Section 5310)

<table>
<thead>
<tr>
<th>Project Expenses</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Contracted Services with Human Services Agencies</td>
<td></td>
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<tr>
<td>b. Vehicle (purchase)</td>
<td></td>
</tr>
<tr>
<td>c. Vehicle (lease)</td>
<td></td>
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<tr>
<td>d. Equipment (purchase)</td>
<td></td>
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<tr>
<td>e. Equipment (lease)</td>
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<tr>
<td>f. Other (explain in Part II)</td>
<td></td>
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<tr>
<td>g. Administration (cannot exceed 5% of Total Project Expenses)</td>
<td></td>
</tr>
<tr>
<td>Total Project Expenses* (Sum a-g)</td>
<td><code>$0</code></td>
</tr>
</tbody>
</table>

*Direct costs only; net of farebox revenue

<table>
<thead>
<tr>
<th>Project Funding</th>
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<tbody>
<tr>
<td>a. Total Federal Funding Request (max. $200,000 per applicant)</td>
<td></td>
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<tr>
<td>b. Total Local Match (source and amount)</td>
<td></td>
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<tr>
<td>State Fund</td>
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<tr>
<td>Local Fund</td>
<td></td>
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<tr>
<td>Revenues from Contracts with Human Services Agencies</td>
<td></td>
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<tr>
<td>Donations</td>
<td></td>
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<tr>
<td>Applicant In-kind (e.g., property, land, office space, etc.)</td>
<td></td>
</tr>
<tr>
<td>Non-applicant In-kind (e.g., volunteer drivers, escorts, travel aides)</td>
<td></td>
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<tr>
<td>Non USDOT Federal Funding</td>
<td></td>
</tr>
<tr>
<td>Other (explain in Part II)</td>
<td></td>
</tr>
<tr>
<td>Total Local Match</td>
<td><code>$0</code></td>
</tr>
</tbody>
</table>

Total Project Funding* (Sum a+b) must equal total project expense $0
Part IV: Certifications

Private Nonprofit Organizations – Status Inquiry And Certification

1. Must complete application certification

2. Must attach “Status Inquiry” document as an appendix to the application: https://businesssearch.sos.ca.gov

3. Must attach a letter from the federal Internal Revenue Service confirming the organization’s 501(c)(3) status as an appendix to the application.
Local Government Authority - Certification

1. Must complete application certification

2. If applying for Traditional Capital Funding: Must certify that no non-profit agencies are readily available to provide the proposed service by holding a public hearing.
   - Must be completed by the due date of the application
   - Copy of the public hearing notice and letter summarizing the outcome must be attached as an appendix to the application
   - Schedule accordingly taking into consideration the minimum required 30-day public comment period
Part IV: Certifications

General Certifications and Assurances Summary

1. All applicants must sign the General Certifications and Assurances form.

2. By signing, the applicant acknowledges receipt and awareness of the list of such statutes, regulations, executive orders, and administrative requirements.
Part IV: Certifications

Civil Rights Certification

1. All applicants must attach a Civil Right Certification Letter as an appendix to the application.

2. Summary of lawsuits

3. If no lawsuits or complaints: “There were no lawsuits or complaints received or acted on in the last 12 months relating to Title VI or other relevant Civil Rights requirements.”

4. Letter should discuss your current/proposed Title VI Plan

Part IV
Certifications continued

Civil Rights Certification

Please attach a Civil Right Certification Letter describing any lawsuits or complaints against your agency or organization within the last 12 months alleging discrimination on the basis of race, color, creed, national origin, sex, age or disability. Provide a summary of the status of lawsuits and include the following information: date of complaint, lawsuit received and/or acted on, description status or outcome, corrective action taken, and date of final resolution.

If NO lawsuits or complaints were received or acted on, please include the following statement in the letter:

"THERE WERE NO LAWSUITS OR COMPLAINTS RECEIVED OR ACTED ON IN THE LAST 12 MONTHS RELATING TO TITLE VI OR OTHER RELEVANT CIVIL RIGHTS REQUIREMENTS."

In this letter, also discuss if your agency or organization has a Title VI Plan. If not, please explain why and provide a date your agency or organization anticipates completing the plan. Discuss policies and procedures to make written and oral information available to clients and potential clients in languages other than English.

This letter is to be printed on letterhead, signed by a duly authorized representative, and attached to the application.
### Current Grant Subrecipient Compliance

1. Applicants must indicate whether or not they are a current FTA Section 5310, 5316, 5317 grant recipient/subrecipient

2. If yes, applicants must indicate whether or not they are in good standing or in compliance

### Debarment/Suspension Certification

1. All applicants must certify that neither they nor their contractors have been debarred/suspended
Awardee/Subrecipient Requirements

> Funding Agreement
> Procurement Guidelines
> Reporting Requirements
  – Quarterly Reporting
  – Annual Subrecipient Self-Certification
> Other Requirements
  – Title VI
  – DBE
  – ADA Compliance
  – Transit Asset Mgmt (TAM)
  – Oversight of Maintenance Activities
Funding Agreement (FA)

• Defines Metro’s/ Subrecipient roles & responsibilities

• No reimbursable expenses can be incurred prior to the execution of the FA between Metro and the subrecipient.

• A subrecipient executing the funding agreement is committing to:
  - Comply with all applicable terms and conditions
  - Perform adequately and make sufficient progress toward completion
  - No changes to the Scope of Work or Financial Plan without prior written approval by Metro and FTA
  - Comply with all Metro, Federal, California DMV and CHP requirements and/or regulations as applicable
Procurement Guidelines

• Agencies procuring equipment, vehicles, and/or services must follow FTA Third Party Contracting Guidance (FTA Circular 4220.1F)

• Professional services, operations, rolling stock, materials & supplies, construction
  - Micro purchases ($3,000 or less) - agencies must submit documentation
  - Small purchase ($3,000.01 to $150,000) - 3 documented quotes + select FTA provisions in the contract
  - Purchases over $150,000 - requires competitive process (RFP, IFB, etc.) + FTA provisions in the solicitation and contract.
Procurement Guidelines, cont.

- Vehicle Procurements
  - Agencies are encouraged to purchase vehicles through the federally compliant CalACT/MBTA Purchasing Cooperative
  - Should agencies choose to purchase their own vehicles, the agency must follow all federal procurement requirements

- Review and Approval of Solicitation
  - Agencies must send draft solicitation documents to the Metro grant manager prior to release
  - Non-FTA compliance procurements will not be reimbursable
Reporting Requirements

• **Quarterly Progress Reports (QPRs)**
  - Subrecipients must provide updates on activities, milestones, maintenance and performance measures

• **Annual Subrecipient Self-Certification**
  - Required for all active subrecipients to ensure their compliance with all applicable FTA regulations
  - Must participate annually until project is closed out (operating), or asset is disposed of (capital).

  - Documents required may include: Annual Financial Statement, Single Audit, Title VI Plan, Maintenance Plan

  - Single Audits are required from non-federal entities that expend $750,000 or more in Federal awards in their fiscal year
Title VI Requirements

- FTA requires primary recipients and subrecipients to submit a Title VI Program every three (3) years.
- Federal Statute provides that no person on the grounds of race, color, national origin, shall be excluded from participation in, be denied the benefits of, or subjected to discrimination under any program receiving federal funds.
- California law extends the protection to many other categories including sex, disability, sexual orientation, gender identity, ethnic group identification, religion, age, etc.
- Metro is obligated to collect and review the subrecipients Title VI Programs, and ensure that all subrecipients comply with applicable requirements.
- Metro will provide its subrecipients with guidance and resources, but Metro will not develop the Title VI Program for subrecipients. Non-compliance by subrecipients puts federal funds at risk.

For Guidance Contact: Benjamin Alcazar, Director, Civil Rights Programs  
(213) 922-2634, or alcazarb@metro.net
ADA Compliance Oversight

• Metro is obligated to periodically review and monitor all subrecipients of FTA funds to ensure compliance with ADA requirements (non-compliance puts funds at risk).

• Compliance includes the establishment and implementation of procedures, policies and practices compliant with federal ADA requirements.

• To ensure subrecipients’ compliance with ADA requirements, Metro may:
  - Contact subrecipients to review their oversight process
  - Furnish subrecipients with a compliance checklist/questionnaire
  - Arrange an on-site visit to discuss responses, review facilities and/or vehicles, and recommend adjustments if needed
  - Produce a final report identifying areas to be corrected, if any

For Guidance Contact: Joanna Lemus, Accessibility Program Manager
(213) 922-4067, or lemusj@metro.net
DBE Program Requirements

• Subrecipients must sign an Implementation Agreement with Metro as a condition of receiving FTA funds.

• Execution of the Implementation Agreement commits subrecipients to:
  - Comply with the Metro’s DBE Program in accordance with 49 CFR Part 26
  - Identify a DBE Liaison Officer (DBELO)
  - Include federal clauses in subrecipient’s contracts
  - Establish DBE contract-specific goals
  - Comply with TVM reporting (for vehicle purchases)

• Subrecipients with an active procurement action must attend mandatory workshops held by Metro, and submit a Uniform Report every 6 months to report:
  - All contracts awarded with FTA funds
  - DBE commitments and participation
  - Payments on Ongoing Contracts
  - Final DBE payments upon contract completion

Technical Support Contact: Susan Mathews, GCAP Services
(714) 800-1795, or smathews@gcapservices.com
Transit Asset Management (TAM) Plan Requirements

- Some subrecipients are required by the FTA to have a Transit Asset Management Plan (a TAM Plan), or to participate in a Group TAM Plan.

- Subrecipients **are** subject to the requirement if:
  - They receive FTA Chapter 53 financial assistance (i.e. Section 5310), **AND**
  - They own/operate/lease capital assets that are used for public transportation.
  - **Public Transportation**: regular, shared-ride transportation services that are open to the general public or to a segment (i.e. local fixed-route shuttle, dial-a-ride, etc.).

- Subrecipients are **NOT** subject to the requirement if:
  - They receive FTA Chapter 53 financial assistance (i.e. Section 5310), **AND**
  - They **do not** provide any kind of public transportation service.
  - **Closed-door** transportation services are not public transportation.

**For Guidance Contact:** Teresa Wong, Senior Manager, Transportation Planning at (213) 922-2854, or wongte@metro.net
Oversight of Maintenance Activities

- Metro staff or a third party agent will conduct a site visit every two years to ensure subrecipients keep federally FTA assets in safe, operating order.

- Site visits may include the examination of staff resources, maintenance plans, maintenance records, and ADA accessibility features.

- Reviews of maintenance plans will be conducted to verify that they are adequate and being adhered to.

- Metro will reach out to you prior to a site visit to schedule a convenient time.
Questions?

Applications Deadline: 3:00 PM on July 31, 2019

Metro 5310 Program Website: https://www.metro.net/projects/fta5310

Technical Assistance:
Ruben Cervantes at 213.418.3197 or cervantesr@metro.net
Anne Flores at 213.922.4894 or floresa@metro.net
Rufina Juarez at 213.922.7405 or juarezr@metro.net