

2012-2013 CDOT Grant Application Instructions and Guidelines

CDOT-Administered Federal Transit Administration Grants



Released April 2011



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Questions or comments should be directed to Sylvia Labrucherie, 303-512-4045.

The two photographs on the right side of the cover are courtesy of Special Transit.

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INTRODUCTION AND GENERAL INSTRUCTIONS

IN THIS SECTION:

- *Application Submittal*
- *Reorg!*
- *Application Checklist*
- *Frequently Asked Questions*

These are the instructions and guidelines for completing a 2012–2013 grant application to the Colorado Department of Transportation (CDOT) for Federal Transit Administration (FTA) funds.

With this application, you can apply for funding for the following FTA transit grants:

- FTA Section 5310, Transportation for Elderly Persons and Persons with Disabilities;
- FTA Section 5311, Transportation for Rural Areas;
- FTA Section 5311(f), Intercity Bus;
- FTA Section 5316, Job Access and Reverse Commute (JARC); and
- FTA Section 5317, New Freedom

You will find details about these programs later in this guidebook. This application is the only opportunity to apply for these funds grant programs for 2012 and 2013. There will be no other opportunities to apply for these federal transit funds for these years.

The complete application package includes application forms and these instructions and guidelines. Several important sections of the application, the Agency Profile, Capital Inventory, and

Capital Request must be accessed online. However, much of the application is in MSWord documents that you can fill out and email back to CDOT.

To complete an application, submit:

- The Agency Profile (online)
- The Capital Inventory (online)
- The Capital Requests, if requesting funding for a capital purchase (online)
- “Section A, Application Section for All Applicants,” (MS Word fillable forms), and then
- One or more sub-applications that are specific to the grant you’re applying for (MS Word fillable forms).

More on these later.

If you are a new applicant requesting funding under JARC (5316) and/or New Freedom (5317), call the Transit Grants Unit before you get very far into your application(s) to make sure your project is *eligible*. First, refer to the section “Eligible Projects for FTA Grants” in these application instructions. Look for staff contact information later in this section.

Also, if you are a new applicant, please read the sections below for an overview of FTA, the Transit Grants Unit, and the grant programs and processes.

APPLICATION SUBMITTAL

Applications are due on or before **Monday, June 6, 2011, by 5:00 P.M.** *NO EXCEPTIONS!* Supporting materials, such as signature pages, certificates, and assurances, which complete the application, must be postmarked or delivered by the **June 6th deadline.**

☞ You will submit the application in three pieces:

- 1. Online:** Update and submit revisions to the Agency Profile and Capital Inventory. If you're requesting capital, complete the Capital Request section also. To access these screens, go to <http://apps.coloradodot.info/transit/>).
- 2. Email:** Email the fillable applications to CDOT. Direct emails to Sylvia.labrucherie@dot.state.co.us.

Postal Mail or Hand Delivery: Complete and sign all Certificates and Assurances pages. Mail or hand deliver those *original, signed* documents. We cannot accept faxed or emailed copies of signature pages. All the certificates and assurances are at the end of Section 6 of the Application Instruction and Guidebook at <http://www.coloradodot.info/programs/transitandrail/transit/transit-grant-programs>.

For Postal Delivery:
Sylvia Labrucherie, Grant Coordinator
Transit Unit, Division of Transit and Rail
Colorado Department of Transportation
SHUMATE BLDG
4201 E ARKANSAS AVE
DENVER CO 80222

For Hand Delivery: The Shumate building is east of CDOT headquarters at 4201 E Arkansas. Enter the complex on the south side of the big parking lot. The building is just north of the radio tower.

We will not review your application until the online Agency Profile has been updated!

INTRODUCTION AND GENERAL INSTRUCTIONS

IMPORTANT NOTES!

- ☞ The online Agency Profile and Capital Inventory must be completed or updated **before submitting the application** and by the June 6th deadline. Access the Agency Profile and Capital Inventory at <http://apps.coloradodot.info/transit/>.
- ☞ Capital requests can **ONLY** be made through the online "Capital Equipment Requests" as part of your application by the June 6th deadline. This is the **ONLY** way to request capital for all four grant programs.
- ☞ New applicants will need a **user name** and **password** to complete an Agency Profile and Capital Inventory, and Capital Request. Contact Matt Paswaters (303-757-9771).
- ☞ Signed, original, hardcopy certificates and assurances must be completed and delivered to CDOT by the June 6th Deadline. Certificates and Assurances are in MS Word fillable format and are the last section of the applications.
- ☞ Project requests must comply with CDOT planning requirements, including the local long-range transportation plan and local human service coordinated transportation plan (for Sections 5310, 5316, and 5317. If you don't know if your project meets this requirement, contact Transit Planner John Valerio at 303-757-9769.
- ☞ Applications for construction projects must have completed National Environmental Policy Act (NEPA) documentation before applying for construction funds. Contact Transit Grants Manager Eric Ellis at 303-757-9766 for information.
- ☞ Intercity Bus Applicants must complete Section A of the application and the document entitled "5311(f) Intercity Bus Application for New Projects," located on the Transit Unit's home page.

INTRODUCTION AND GENERAL INSTRUCTIONS

Submittal Requirements

Read this Application Instructions and Guidebook for important information, including certificates and assurances, explanations, step-by-step instructions, sample resolutions and contracts, and much more!

Send in all the required attachments! We've included a checklist to help you make sure you include everything that needs to be sent in.

All applicants must complete Section A of the fillable forms. The application has several sections (see the table below). Complete Section A and fill out the application sections for the specific grant(s) you're applying for.

Instruction and Guidebook

The *Application Instructions and Grant Guidelines* gives you the information and resources you need to complete the application (it's available online at <http://www.coloradodot.info/programs/transitandrail/transit/transit-grant-programs/grant-information>). The Instructions and Guidebook contains complete instructions for all forms, assurances, attachments, as well as other reference information.

You may ask for individual assistance before you submit the application. Contact one of the Transit Unit Grant Coordinators at the numbers listed below. Understand we cannot guarantee you'll be funded, even if we provide technical assistance to you.

APPLICATION SECTIONS AND NAMES WITH FTA GRANT TITLES

APPLICATION SECTION	FTA GRANT	FTA GRANT TITLE	NAME OF APPLICATION SECTION	FORMAT AND LOCATION
Agency Profile	—	—	Agency Profile, Capital Inventory, and Capital Request	ONLINE form through the Transit website.
A	—	—	Application Section for All Applicants. 2012AppSectA-All.doc;	Fillable forms, MS Word documents.
B	Section 5310; Section 5311	Transportation for Elderly Persons and Persons with Disabilities; Rural Public Transportation	Evaluation Narratives for Sections 5310 and 5311. 2012AppSectB-5310-11.doc	Obtain online through Transit website. Return via email to: Sylvia.Labrucherie@dot.state.co.us
C	Section 5311	Rural Public Transportation	Proposed Scope of Work for Section 5311 2012AppSectC-5311.doc	
D	Section 5311(f)	Intercity Bus	Information Required for 5311(f) Applicants 2012AppSectD-ICB.doc	
E	Section 5316	Job Access and Reverse Commute (JARC)	Information Required for 5316 Applicants 2012AppSectE-JARC.doc	
F	Section 5317	New Freedom	Information Required for 5317 Applicants 2012AppSectF-NF.doc	
G	Mobility Management under Sections 5310, 5316, and 5317		Mobility Management 2012AppSectG-MoMgt.doc	
H	Certificates and Assurances for all CDOT administered FTA grants 2012AppSectH-CertsAssures.doc			

INTRODUCTION AND GENERAL INSTRUCTIONS

Application Format

CDOT’s FTA grant application is in two parts: pages you complete online and as forms you can fill in through Microsoft Word and email to us. The online sections request information about your *program*, while the fillable form application asks information about the specific *project* you’re seeking funding for. Your specific funding request is a *project*. In other words, if you’re requesting capital funding for a bus or operating funds for a particular route, we consider these “projects.” (We do recognize that in some cases, an agency’s project is its program.)

The Online Database

You will access the online portion of the application through the Transit Unit website at <http://apps.coloradodot.info/transit/>. From there, log in (if you are a new applicant, contact Matt Paswaters at 303-757-9771, for a user name and password). Select the Agencies tab, then complete or update the sections Agency Profile, Existing Capital Inventory, and Capital Equipment Request (if you’re requesting capital).

You MUST complete these three online sections if you are asking for any type of capital equipment, from any of the grant programs. CDOT will not accept your funding request without them. Period.

If you are NOT requesting capital equipment, just complete the Agency Profile and Existing Capital Inventory sections.

Fillable Forms

This distinction is important because the application for *project* funding is in Microsoft Word documents you’ll fill in and email to Sylvia.labrucherie@dot.state.co.us.

The application forms are on the Transit Unit website. EVERYONE applying for funding MUST complete Section A (2012AppSectA-All.dot). The remaining sections B through G are specific to the grants you’re applying for. Fill out however many sections you’re requesting FTA funds for. For example, if you’re requesting capital out of Section 5310 and operating from 5311, you’d fill out Sections A, B, and C. If you’re requesting funds from Sections 5311 and 5316, you’ll fill out Sections A, B, C, and E.

If you have multiple project requests under one grant program, please complete and submit multiple copies of the applicable forms. For example, if you’re requesting funding for three different JARC projects, you would submit three separate Section E forms and one Section A form.

You’ll also need to complete Section H, the Certificates and Assurances, which you’ll need to submit to us in original hard copy.

File Naming Standard

As the MSWord forms are opened they are untitled documents. When you save the document for your use, PLEASE use the following naming convention:

TIMELINE	
JUNE 6, 2011	Applications for 2012–2013 are due by 5:00 PM. Submittals and attachments must be postmarked or delivered on or before this date.
JUNE 6–AUGUST	CDOT and the Interagency Review Committees review applications. CDOT begins scope of work development.
SEPTEMBER 6–9	CDOT announces awards at the CASTA/CDOT Fall Conference. Typically, agencies awarded funds for the following year are required to attend a grantee workshop on the last day of the conference.
SEPTEMBER–DECEMBER	CDOT develops contracts and routes them for approval and execution.
JANUARY 2012	Agencies begin projects <i>after contracts are fully executed</i> . The capital procurement process usually begins in January.

INTRODUCTION AND GENERAL INSTRUCTIONS

2012AppSectA-All-XYZ, where 2012AppSectA-All is the original document name and XYZ is an abbreviation of your agency's name (e.g., NECALG, NFRMPO, SCOG, SRC, etc.).

More examples:

2012AppSectC-5311-MONT

2012AppSectE-JARC-BOCO

REORG!

As most of you know, the former Transit Unit has become part of a new CDOT division: the Division of Transit and Rail (DTR). The organizational structure is being established now. The new org chart is shown below.

The Transit Grant Unit

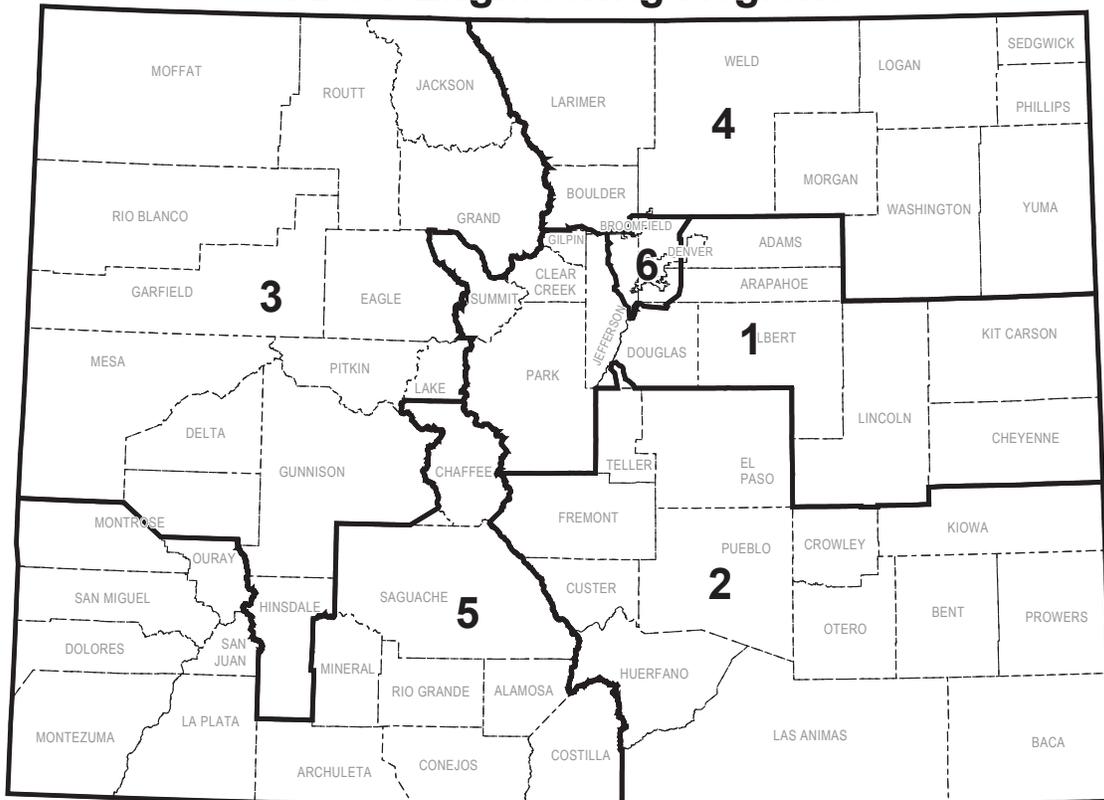
We are changing the way we do business here at the Transit Unit. To be able to provide you, our grantee, with better, more personalized customer service,

Grant Coordinator staff will be reorganized by CDOT engineering regions, and no longer by grant. You will have one Grant Coordinator as your primary point of contact. That individual will be able to help you with all your grant needs, whether the FTA "formula" grants, federal discretionary grants, or state grants.

There are six CDOT engineering regions. So if you're in Region 5 (e.g., Durango, Cortez, Pagosa Springs, Ignacio, etc.) your Grant Coordinator will be your advocate to help assess your needs, assist in planning, resolve conflicts, and manage your grant(s).

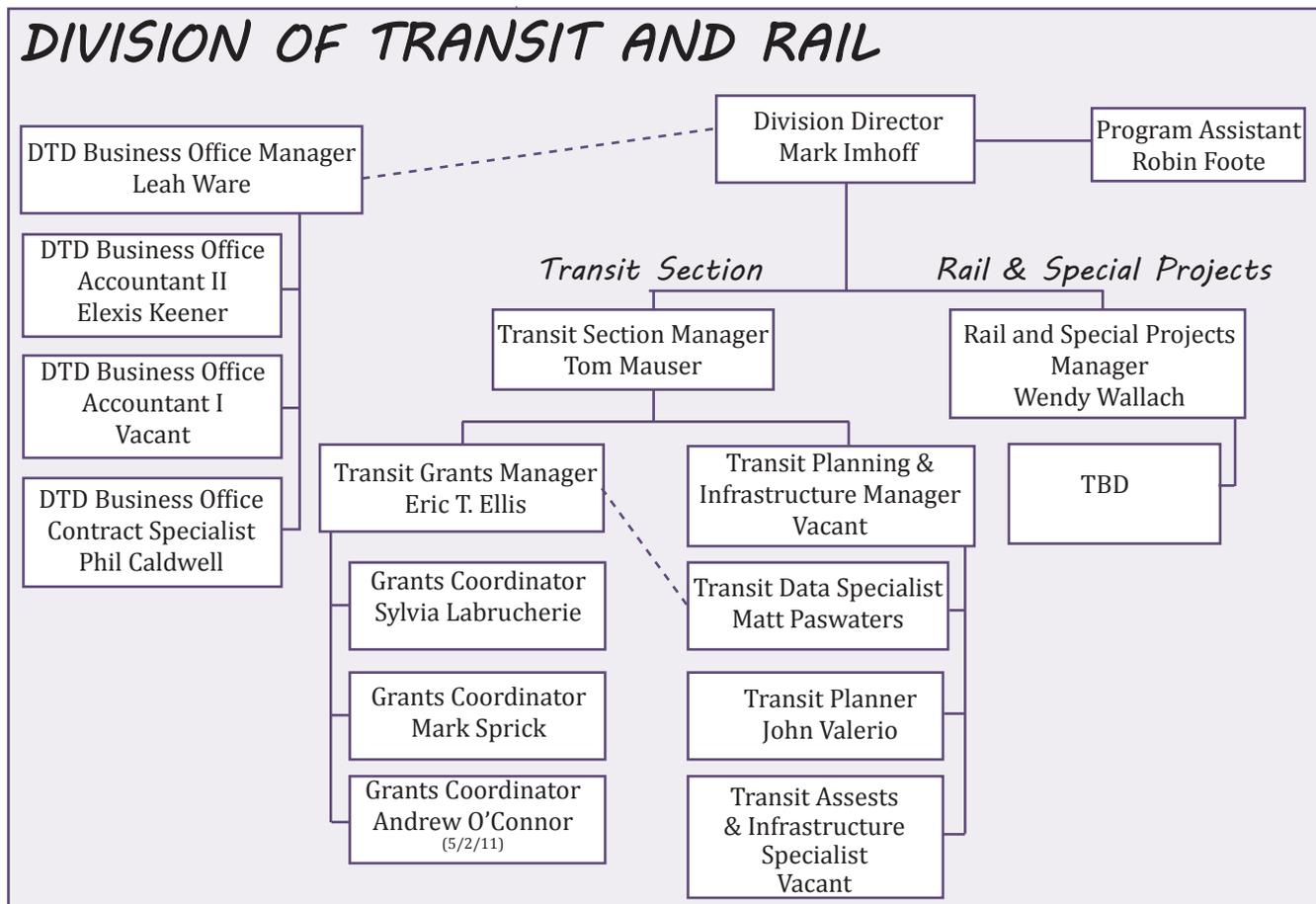
If you're in Region 3 (e.g., Mesa County, Montrose, Eagle or Routt County, Steamboat Springs, etc.), you'll have a one individual Grant Coordinator who will be focusing on your region and who will be your primary point of contact for all your FTA grant needs.

CDOT Engineering Regions



Data Source: CDOT 2009

Published: June 2010



GRANT COORDINATOR STAFF

Eric T. Ellis, Transit Grants Manager		303-757-9766	eric.t.ellis@dot.state.co.us
Region 1	Sylvia Labrucherie Grants Coordinator	303-512-4045	sylvia.labrucherie@dot.state.co.us
Region 2	Mark Sprick Grants Coordinator	303-757-9767	mark.sprick@dot.state.co.us
Region 3	Andrew O'Conner Grants Coordinator (May 2, 2011)	TBD	TBD
Region 4	Andrew O'Conner Grants Coordinator (May 2, 2011)	TBD	TBD
Region 5	Mark Sprick Grants Coordinator	303-757-9767	mark.sprick@dot.state.co.us
Region 6	Sylvia Labrucherie Grants Coordinator	303-512-4045	sylvia.labrucherie@dot.state.co.us

TRANSIT PLANNING AND INFRASTRUCTURE

Matt Paswaters Transit Data Specialist	303-757-9771	mattew.paswaters@dot.state.co.us
Vacant Transit Assets and Infrastructure Specialist	TBD	TBD
John Valerio Transit Planner	303-757-9769	john.valerio@dot.state.co.us

GRANT APPLICATION CHECKLIST

Check the boxes below after you've completed the items. Submit the applicable attachments with a copy of this Checklist to: Sylvia Labrucherie, Transit Unit/Division of Transportation Development, CDOT, SHUMATE BLDG, 4201 E ARKANSAS AVE, DENVER CO 80222.

Hard-copy, paper submittals and attachments must be delivered or postmarked NO later than June 6, 2011.

ALL APPLICANTS

<input type="checkbox"/>	Agency Profile, Capital Inventory, and Capital Request
<input type="checkbox"/>	Correct, verified application and attachment information
<input type="checkbox"/>	All federal certifications and assurances signed by the proper legal authority. <i>Follow the checklist for mandatory and program-specific assurances</i>
<input type="checkbox"/>	New applicants only: Current IRS Form W-9: for applicants who have never received FTA funding from CDOT (see Transit Unit website for link)

5310 APPLICANTS

<input type="checkbox"/>	Copies of Purchase of Service/Interagency Coordination Agreements. <i>Submit any formal copies of agreements that document coordination.</i>
<input type="checkbox"/>	Confirmation of IRS 501(c)(3) status—if nonprofit agency new applicant to CDOT.
<input type="checkbox"/>	Three copies of letter submitted to organizations in Transportation Planning Region (TPR), <i>if applying as the local public body, with no nonprofit available.</i>
<input type="checkbox"/>	Three copies of legal notice printed in newspaper, <i>if applying as the local public body, with no nonprofit available.</i>

5311 APPLICANTS

<input type="checkbox"/>	Project Budget
<input type="checkbox"/>	In-Kind Match Report (See section on federal and local match requirements)
<input type="checkbox"/>	Current bus schedule and fare information (for public transit operations)

5311(f) APPLICANTS

<input type="checkbox"/>	Service Schedule
<input type="checkbox"/>	Financial statement that supports the budget for the project
<input type="checkbox"/>	Current bus schedule and fare information (for public transit operations)

5316 (JARC) and	5317 (New Freedom) APPLICANTS
------------------------	--------------------------------------

<input type="checkbox"/>	Project Budget
<input type="checkbox"/>	In-Kind Match Report (See section on federal and local match requirements)
<input type="checkbox"/>	Current Copies of Purchase of Service/Interagency Coordination Agreements. <i>Submit any formal copies of agreements that document coordination</i>
<input type="checkbox"/>	Letters of Support for the Project (<i>Optional, from organizations directly related to project purpose</i>)

FREQUENTLY ASKED QUESTIONS

Can an Agency Apply Through Another Agency's Application?

Generally, **yes**. Agencies often work together cooperatively in the same basic geographical area to have the "lead agency" apply for a vehicle(s) on behalf of the other agency (the other agency will be considered a subcontractor or sub-applicant).

For example, if the request is for vehicles, the lead agency can either own the vehicles and lease them to the subcontractor, or the lead agency can ask CDOT to contract directly with the subcontractor. In the latter case, the subcontractor becomes a grantee of CDOT, entering into a contract with CDOT and agreeing to all the basic conditions under the lead agency's application.

Sometimes this arrangement is used to enhance the look of an agency's transportation coordination efforts, though doing so requires evidence of actual service coordination, not just an arrangement on paper.

When Can a Project Start?

You may begin work on any project, whether capital, operating, or planning, for any project you expect reimbursement from CDOT, when you have an executed contract from us. You may not bill against a contract until that contract is fully executed.

Projects that receive operating funds are typically expected to initiate service on or about January 1st of the applicable calendar year if a contract is in place. In recent years, there has been some delay having contracts executed by January 1. Even when the contract delay is CDOT's fault, you still may not bill against the contract until the contract is fully executed.

Same thing for capital projects. **You may not procure any capital equipment until a contract between you and the State of Colorado is executed and procurement procedures are agreed upon.** We can't stress this enough.

The bidding process will begin sometime after your contract is executed. It can take six months or more from the time the contract is executed to when vehicles are delivered. If part of your project request depends on delivery of a vehicle, we wouldn't expect that portion of the project to start in January.

Can a Private, Commercial, For-Profit Organization (e.g., a Taxi or Charter Operator) Apply for These FTA Funds?

No—with one exception. Under Colorado's Rules for the FTA programs, commercial entities can apply for and receive Section 5311(f) Intercity Bus program funds, but they cannot apply for any of the other program funds. Private, commercial, for-profit organizations may subcontract with eligible recipients through service contracts; they cannot be direct recipients of these funds.

Can CDOT Give New Applicants More Time to Complete the Application?

No. After the application is publically announced, you'll have at least 45 days to complete and submit the application. It's a good idea to start early.

Wait until your Contract is Executed!

You may not procure capital equipment until a contract between your agency and the State is executed and we've agreed to your procurement procedures.

You may also not bill against operating expenses until a contract between your agency and the State is fully executed!

INTRODUCTION AND GENERAL INSTRUCTIONS

How Can We Avoid Some of the Most Common Problems Applicants Encounter?

- ⇒ Allow enough time to work on the application!
- ⇒ Allow enough time to get the approval of your governing body (e.g., city council, county commissioners, or board of directors).
- ⇒ Save your work often.
- ⇒ Read the questions carefully and answer the questions that are asked! (You'd be surprised how many people don't do this.)
- ⇒ Write clearly and in plain language; be brief and objective.

FTA Transit Grants for Urbanized and Rural Areas

The Federal Transit Administration provides federal funding for transit services through various "formula" grant programs. These are not discretionary funds. FTA funds general public transportation services in Large Urbanized Areas— areas with populations over 200,000—by providing Section 5307 funds directly to the "designated recipients" of those funds (usually the sponsor of the public transportation system, e.g., the Regional Transportation District (RTD) in metro Denver).

Funding for specialized transportation services, i.e., human services transportation, is available in large urbanized areas

through Section 5310, Transportation for Elderly Persons and Persons with Disabilities. CDOT manages the Section 5310 program, so if you're in a large urbanized area, you will need to apply to us through this application.

Colorado's large urbanized areas (UZA) are the Colorado Springs, Denver-Aurora, and Fort Collins.

FTA funds Small Urbanized Areas—those areas with populations between 50,000 and 200,000—through Section 5310, Transportation for Elderly Persons and Persons with Disabilities; Section 5316, Job Access and Reverse Commute (JARC); and Section 5317, New Freedom.

Colorado's small UZAs are Boulder, Grand Junction, Greeley, Longmont, Louisville/Lafayette, and Pueblo.

FTA also funds *rural* transportation—areas with populations under 50,000—through Sections 5310; 5311, Public Transportation for Rural Areas; 5311(f), Intercity Bus; 5316, and 5317. Funds for these programs are distributed through the states (FTA refers to the states and those agencies they work with directly as "designated recipients" of program funds).

Under FTA rules, states must conduct a statewide competitive application process to determine where the funding will go and to ensure that it and the local subrecipients (grantees) follow federal laws and regulations. Once the states select who will receive the funding, the state contracts with the local grantees.

Under the JARC (5316) and New Freedom (5317) programs, however, CDOT is the designated recipient *only for rural areas and small urbanized areas*. You will apply to CDOT for these funds if you are in one of these two types of population areas.

If you are proposing a JARC or New Freedom project in a large UZA, you *cannot* apply to CDOT. You must apply to the designated recipient for your area. Check with your Metropolitan Policy Organization (MPO) if you're unsure who the designated recipient is.

URBANIZED AREAS

Colorado's Large Urbanized Areas (UZA) are the Colorado Springs, Denver-Aurora, and Fort Collins.

Colorado's Small UZAs are Boulder, Grand Junction, Greeley, Longmont, Louisville/Lafayette, and Pueblo.

APPLICATION INFORMATION

IN THIS SECTION

- Grant Types and Uses
- Capital Requests
- Program Requirements
- Eligibility and Project Selection
- Federal and Local Match Requirements



GRANT TYPES AND USES

The first table below shows purpose and population types for the FTA grants discussed in this application instructions and guidebook.

Funding Availability

The second table below lists the funding amounts from most year of the most recent transportation authorization. Exact FTA funding amounts are not available because Congress has not yet reauthorized transportation funding. Funding levels from 2012 through 2015 are assumed to be approximately the same as recent years.

CAPITAL REQUESTS

If you are requesting funding for a capital purchase (vehicles, equipment), make that request through the online Transit database at <http://apps.coloradodot.info/transit/>. This is the ONLY way you can only make capital requests for these programs. Once you've accessed the Transit website and logged in, click on the "Agencies" tab on the top menu, then select "Capital Equipment Requests." Record your capital requests there. (This does not include mobility management funding requests.)

You cannot make new capital requests using the fillable form/MS Word version of the application.

See the Definitions Section for explanations of terms.

WHAT FUNDS CAN BE USED FOR							WHO FUNDS ARE INTENDED FOR		
GRANT NUMBER	CAPITAL		OPERATING	ADMINISTRATIVE	PLANNING	MOBILITY MANAGEMENT	CLIENT TYPE		
	Vehicles/Rolling Stock	Other Capital					General Public	Elderly/Disabled	Low Income
5310	Yes	Yes	No	No	No	Yes	No	Yes	No
5311	Yes	Yes	Yes	Yes	No	No	Yes	No	No
5311(f) (Intercity Bus)	Yes	Yes	Yes	Yes	No	No	Yes	No	No
5316 (JARC)	Yes	Yes	Yes	No	Yes	Yes	No	No	Yes
5317 (New Freedom)	Yes	Yes	Yes	No	No	Yes	No	Yes	No

RURAL, NON-URBANIZED AREAS	
GRANT	2009
5310	\$ 1,680,952
5311	\$ 8,329,961

SMALL URBANIZED AREAS	
GRANT	2009
5316 (JARC)	\$ 551,795
5317 (New Freedom)	\$ 328,201

RURAL AREAS	
GRANT	2009
5316 (JARC)	\$ 311,454
5317 (New Freedom)	\$ 210,023

APPLICATION INFORMATION

See the section in this guidebook regarding capital for further instruction on how to complete a new capital request. Please note that CDOT no longer procures “Type III,” 25–35 passenger, large body on chassis vehicles. We’ll continue to consider these funding requests, but you (as the individual grantee agency) must conduct and manage the procurement.

- ➔ If you’re applying for FTA capital project funds you need to publish a legal notice at least 60 days before you apply to CDOT. See the section on Capital Management and Procurement, especially the subsection “Information Regarding Public Involvement.”

Capital budget items have:

- A cost of \$5,000 or more; and
- Useful life of more than *one* year

How do I Make a Capital Request?

You need to do three things to request funds for capital projects:

1. Update your Capital Inventory, located on the State Transit Program website: www.dot.state.co.us/App_transit. Complete and certify your agency’s capital inventory. You must do this before you will be allowed to apply for funding under the four FTA transit grant programs.

The capital inventory must include the following information:

Large Body Vehicles

CDOT no longer procures 25–35 passenger, large body-on-chassis vehicles. We will consider funding requests, but your agency will have to manage the procurement.

- A list of capital equipment purchased with federal funds that still retain federal interest.
- A complete inventory of ALL vehicles in your agency’s fleet, including vehicles for full-time, part-time, and back up service.
- A certification that any disposed vehicles have been removed from the list of current inventory. (Contact your grant coordinator to delete items from inventory pages).
- An update of mileage for all current vehicles for the most recently completed calendar year.

If your fleet has more than 50 vehicles, contact your grant manager before completing your capital inventory.

2. Request capital on the Transit Program website: www.dot.state.co.us/App_transit. Once you have completed the capital inventory, you may login to the database and make multiple capital requests for the new grant cycle. Do this under “Capital Equipment Requests” under the “Agencies” menu.

- You will be able to choose from seven inventory types, ranging from vehicles to fleet maintenance equipment. Choose the inventory type that best suits your request.
- Once you have selected the inventory type the request best falls under, the system will ask you a series of questions. ***All required questions/fields are marked with a red asterisk (*)***.

- ➔ Note: Be prepared to answer all questions in the Capital Equipment Request section. We will not consider your capital requests unless you can answer basic cost and specification questions about the capital request.

3. Answer specific questions about the *need* for the capital request in the application.

- ✓ Depending on what source of funding you are applying for (Sections 5310, 5311, 5316, or 5317) and the reason for the capital (replacement, expansion service, or new service), you will be asked a series of questions about the need for the capital request in the application.

How is a Capital Request Evaluated?

In general, keep in mind the following when making a capital request:

- ✓ CDOT usually prioritizes vehicle requests over non-vehicle requests.
- ✓ CDOT usually prioritizes replacement requests over expansion or new service requests.

Vehicle Replacement Requests

We weigh three main evaluation criteria when we evaluate vehicle replacement requests:

- ◆ Vehicle Mileage
- ◆ Vehicle Age (number of miles traveled on the vehicle per year)
- ◆ Vehicle Status in Fleet

Vehicle mileage and vehicle age are defined by the service life criteria described below. Vehicle status is defined as full time status.

CDOT prioritizes requests to replace vehicles that are currently in full time service. Requests to replace part time vehicles will have a lower priority than vehicles with full time status.

We will assume that the vehicle you're replacing has been used full time since the vehicle was new. For example, we will assume that a 2006 Ford Body on Chassis with 88,000 miles will have been operating full time for five years (2006, 2007, 2008, 2009, and 2010), at an average of 17,600 miles per year.

- ➔ If the vehicle you're replacing was put into service in a year other than it's

model year, **be sure to indicate that in your application narrative.**

There are other criteria the unit considers that may affect the score of a request. These include whether the vehicle to be replaced is ADA compliant, whether the vehicle to be replaced a backup vehicle, among other things.

CDOT *generally* goes by the service life policy for vehicles set by FTA when determining a good replacement request. Service life can be defined by either years of service *or* mileage, whichever is greater. Consider these guidelines carefully when determining which vehicles should be designated and requested as replacements in your fleet.

Service Life

Large, heavy-duty transit buses (approximately 35–40 feet in length): At least 12 years of service or at least 500,000 miles

Medium size, heavy-duty transit buses (approximately 30 feet in length): 10 years of service or 350,000 miles

Medium size, medium-duty transit buses (approximately 30 feet in length): 7 years of service or 200,000 miles

Medium size, light-duty transit buses (approximately 25–35 feet in length): 5 years of service or 150,000 miles

Other light-duty vehicles such as small buses (BOC vehicles), regular or specialized vans: 4 years of service or 100,000 miles

All vehicles identified for replacement must be listed in your capital inventory, located on the state website database. The information located in the database is vital to evaluating your request effectively.

Non-Vehicle Replacement Requests

Non-vehicle capital requests will primarily be evaluated based on need and age of replacement. Agencies will have the abil-

APPLICATION
INFORMATION



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ity, through the narrative, to explain why the request is being made.

The FTA does not clearly define service life in terms of years of service for non-vehicle capital. However, the IRS, in Publication 946, *How to Depreciate Property*, does provide some guidance as to useful life in its Alternative Depreciation System Recovery Periods. CDOT will use this information to provide for a general assessment of replacement requests.

Useful Life

Buildings, New: 40 years

Communication Equipment: 5 years

Computers: 5 years

Maintenance Equipment and Fixtures to include compressors, diagnostic equipment, lifts, engine stands, bus washers, etc.: 12 years

As with vehicles, any non vehicle capital item identified for replacement must be listed in your capital inventory, located on the state website database. The information located in the database is vital to the Transit Unit staff in evaluating your request effectively.

Expansion or New Service Requests

Vehicle and Non-Vehicle

Expansion and new service requests for vehicle or non-vehicle capital require an agency to justify the need for the service. The agency will be asked to demonstrate, in a narrative section, why there is a need for the service, and what client base the service will accommodate, including a review of ridership estimates and patterns.

We will consider requests based on proper justification, including ridership, type of service, how the scope of new/expansion service falls within the current program goals, and the ability to sustain the expansion or new service over time.

REMEMBER!!!

You must complete the capital request, capital inventory, and agency profile sections—before your application will be reviewed!
www.dot.state.co.us/App_transit/

Facility Request

While the department does not usually prioritize facility (e.g., bus garages, other shelters) requests over other capital requests, it will consider these requests with the following provisions. Capital requests must meet all requirements for construction under NEPA and FTA procurement guidelines and regulations. You must be able to prove the request has met all local planning requirements and taken into account issues regarding recovery of federal interest if the structure is used for purposes not allowed under the grant program. Contact your Grant Coordinator if you have questions.

Capital Awards

Applicants must not proceed to purchase the capital equipment awarded through this grant application process until CDOT gives explicit approval to purchase. Purchasing equipment without a signed contract between the State and the applicant is a serious violation of State regulations.

A capital budget item is an item that costs over **\$5,000** and has a useful life of a year or more. The following information outlines what purchases can be made through the State and what purchases can be made by the grantee.

Department Procurement

CDOT purchases “body on chassis” (BOC) minibus transit vehicles under a procurement agreement CDOT has with vendors. We solicit bids for an entire group of vehicles. Only under special circumstances may a grantee be awarded a BOC.

You may not request a specific vehicle make or model because state and federal procurement policies require open and free competition among vehicle vendors.

For bidding purposes, BOC vehicles are usually categorized into three different “types”: chassis size, passenger capacity, and width and length of the vehicle. See the table on this page for details.

CDOT negotiates approximately 15 add-on options grantees can choose from, for example electric passenger doors or mud and snow tires. CDOT negotiates the best set of options it can. Options are paid for with an 80 percent federal match (“share”), 20 percent local match split.

If the list of options in the approved bid package does not meet a grantee’s needs, the grantee may negotiate additional options or vehicle alterations directly with the vendor. In this case, the grantee must pay the full cost for the options and/or alterations; CDOT will not split the cost.

Although the state negotiates a price with a vendor(s) for the vehicle types listed in the table, the grantee and vendor(s) will ultimately enter into a contract for purchase of the vehicle(s). The grantee must assume all the rights and responsibilities for vendor negotiation if the product is not delivered as agreed.

The State also awards funds for ADA and non-ADA compliant minivan purchases made through the State.

It can take up to a year from the time of the DRAFT AWARD ANNOUNCEMENT (which occurs in the preceding autumn of each funding year) to take final delivery of a vehicle purchased through the state procurement system.

When you, as the grantee, request a BOC or minivan, make sure the vehicle set for replacement can maintain full time service between the time of your request and the time a vehicle from the state procurement process can be delivered.

Agency Procurement

Your agency will make all other capital purchases, i.e., purchases other than BOC vehicles and minivans. The procure-

ment process will vary depending on the capital award, but basic state and federal procurement rules and regulations will apply to all grantees, these include:

- Compliance with with third-party contracting standards under FTA guidelines defined in FTA Circular 4220.1E, *Third-Party Contracting Requirements*. Grantees must adhere to standard procurement practices in the *FTA Best Practices Procurement Manual* and the *CDOT/FTA Procurement Handbook*.
- Open and competitive procurement manner, under 49 U.S.C 5325(a), *Full and Open Competition*. Grantees must also ensure bidder compliance with the following (not all may apply, based on award and amount):
 - Americans with Disabilities Act
 - Buy America
 - Bus Testing
 - Federal Motor Vehicle Safety Standards
 - Davis Bacon Labor Standards
 - Debarment and Suspension
 - Lobbying
 - Bonding Requirements



Types of Body-on-Chassis Vehicles

Vehicle Type	I	II
Specifications	Small or Narrow Bus Body	Standard Bus Body
Lift Position**	Front	Front
Number of Ambulatory Positions	10–12	14–20
Minimum Gross Vehicle Weight (lbs)	10,700	14,500
Minimum Wheel Base (inches)	138–139	140–158
Number of Tires per Vehicle	6	6
Minimum Entrance Door Height (inches)	75	75
Minimum Clearance for Entrance Door Width (inches)	27–32	32
Minimum Alternator Amperage	104	150
Minimum Battery Reserve (minutes)	115	115
Minimum Engine Size (cubic inches)	329–400	400
Floor Type	Raised	Raised

* From Section 5 of the 2005 CDOT Procurement Package

** Front indicates that the lift position is next to the passenger entrance door and between the front and rear axle.


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- ✓ Your agency must keep a written record of your procurement history. It should include procurement planning, specifications, and pre-award and post-delivery audit requirements in compliance with FTA and State procurement regulations. Grantees must be prepared to submit these documents to CDOT at any time during the procurement process. The grantee's procurement files must be sufficiently detailed to sustain an audit by FTA or CDOT. Files should contain a paper trail that clearly documents goods or services purchased, and associated costs. FTA requires the state and its grantees to maintain procurement files and grant files for at least three years from the closing of the grant! This means that the grantee should maintain grant files for at least seven years following each purchase.

More guidance regarding these processes are in the *CDOT/FTA Procurement Handbook* (<http://www.coloradodot.info/programs/transitandrail/transit/transit-grant-programs/procurement-policies-and-practices>). CDOT provides this guide to any grantee who receives funding for a non-state procured capital purchase.

Sole Source Procurement

We will consider a sole source procurement in only the rarest of circumstances. Sole source procurement requests must be identified in the application and a strong justification must be made *in advance*, for why capital can only be acquired from a single supplier.

In most cases, CDOT will only grant a request if the compatibility of the equipment, accessories, or replacement parts is the paramount consideration of the request. If CDOT grants a capital request for sole source procurement, documentation will have to be submitted in accordance to state statute section CRS 24-103-205, *Sole Source Justification*.

Vehicle Rehabilitation Projects

Federal and CDOT policies require a rehabilitated vehicle be restored to a condition that significantly extends the vehicle's useful life. A vehicle rehabilitation project must include:

1. A complete overhaul or replacement of two or more major drive-train subsystems (engine, transmission, rear end); or
 2. A complete overhaul or replacement of one major drive-train subsystem (engine, transmission or rear end) and a thorough overhaul or rehabilitation of two or more of the following:
 - a) front suspension (must include more than shocks);
 - b) brakes (not just routine surface turning and shoe or pad replacement);
 - c) air conditioning system (must involve more than Freon recharge or leak repairs);
 - d) electrical system (must involve every subcomponent);
 - e) exterior body work and repainting (not just minor touch-up work or accident repair);
 - f) wheel bearings and axles;
 - g) interior (thorough upholstery recovering, refinishing the walls and resurfacing the floor); or
 - h) exhaust system (engine back replaced).
- ➔ **Replacement of expendables, i.e., tires, batteries, filters, lights, mufflers, or brake shoes can be part of the rehabilitation project but cannot be the predominant scope of the work.**

PROGRAM REQUIREMENTS

If you're awarded federal funding, you must agree to comply with any project monitoring requirements, particularly the following.

- You must certify you meet all standards for procurement including the FTA-required Standard Certifications and Assurances.
- All capital equipment provided with Section 5310, Section 5311, Section 5316, and Section 5317 funds must be titled to a public body or to a private non-profit organization. In the case of the 5311(f), a for-profit commercial organization may hold title.
- CDOT will be listed as first lien holder on the title of all vehicles purchased with FTA funds. CDOT will retain the vehicle's title until the lien has expired. Lien expiration is determined by the useful life of the vehicle, set by FTA and State guidelines. When CDOT releases the lien, the grantee owns the vehicle outright and may transfer the vehicle to another public agency or private nonprofit agency, or sell the vehicle by public auction or public notice with sealed bid if necessary.

- You are expected to use capital equipment for the duration of the equipment's service life. Sale or disposal of all capital equipment funded by FTA funds cannot occur until the useful life has expired for a given capital item, as determined by the State. If the grantee chooses to relinquish the equipment before the end of the useful life, the State will transfer ownership, if possible, to another eligible entity. In such cases, the original grantee will be reimbursed the pro-rated local share by the new recipient of the capital equipment.
- Federal and state interest in capital equipment requires that the grant recipient obtain property damage insurance covering 100 percent of the equipment's market value.

When a vehicle with existing federal interest has been in an accident and totaled; or can no longer be used as a safe public transit vehicle, the CDOT Transit Unit must be notified at once. Insurance information and a letter stating damages and the amount of the proposed settlement to the transit system should be forwarded to the Transit Unit. The Transit Unit must concur with the decision to total out the vehicle. The settlement funds can be used for the purchase of a vehicle

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Organizational Eligibility

GRANT NUMBER	ORGANIZATIONAL TYPE		
5310	Private non-profit organizations.	Public bodies that certify to CDOT that no nonprofit corporations or associations are readily available in an area to provide the service.	Public bodies approved by CDOT to coordinate services for elderly persons and persons with disabilities.
5311; 5311(f)	A state or local government.*	Private non-profit organizations.	Commercial, for-profit operators (5311(f) only)
5316 AND 5317	A state or local governmental entity.*	Private non-profit organizations.	Operators of public transportation services, including private operators of public transportation services.

* This term includes a political subdivision within Colorado; an authority of at least one state or political subdivision of Colorado; an Indian tribe; and a public corporation, board, or commission established under the laws of the state.



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of a similar age, mileage, capacity and condition for continued transit use until the federal interest has expired. The CDOT Transit Unit must approve any purchase. If the vehicle to purchase does not meet the replacement threshold and a replacement is not purchased, the federal share amount of the vehicle must be returned to CDOT. This amount is based on a straight line depreciation or settlement value whichever is greater.

- ➔ Federally funded capital equipment and facilities must be maintained in good operating order. Federal maintenance requirements include following manufacturer's recommended maintenance schedules, use of specific maintenance schedules, and keeping records of maintenance activities, including *proper maintenance of ADA-related equipment*. The State will provide additional assistance to agencies that have issue with standardizing maintenance requirements.

ELIGIBILITY AND PROJECT SELECTION

Organizational Eligibility

The table on the previous page will help you determine if your organization is eligible for FTA funding under Sections 5310, 5311, 5316, and 5317.

Project Selection and Interagency Review

After you submit your application, we, the Transit Grants Unit staff, will determine if you have met a number of "Threshold Criteria." We may allow you to make minor corrections (such as a missing signature) within the first two or three days after you've submitted the application. We WILL NOT extend the deadline for you or allow you to make major changes or corrections.

We will reject any application that does not meet all required Threshold Criteria. If we determine an application fails to meet the Threshold Criteria, we won't evaluate the application any further, nor will we comment on application elements other than those relating to threshold criteria.

After we're satisfied your *complete* application meets the Threshold Criteria, we will forward it to an Interagency Review Committee or IAC. The IAC reviews your application in detail. In addition to CDOT staff, the IACs consist of representatives from various state departments who have particular interest and expertise specific to these grant programs.

Agency representatives may include the Colorado Departments of Labor and Employment; Human Services (e.g., Aging and Adult Services, Division of Developmental Disabilities, Temporary Assistance for Needy Families, Vocational Rehabilitation); Local Affairs, and Regulatory Agencies (Public Utilities Commission). Other reviewers can include staff from other agencies (e.g., U.S. Health and Human Services or the U.S. Housing and Urban Development), as well as applicable non-government organizations (e.g., Easter Seals, Colorado Cross Disability Coalition, Legal Center for Individuals with Disabilities, or others.).

There are two, and sometimes three, IAC subcommittees. The primary one reviews applications for 5310, 5311(f), and 5311 funding. The other review JARC and New Freedom applications. All IACs recommend to CDOT which projects to fund; the JARC and New Freedom IAC/IACs recommend which projects to fund, as well as funding levels.

Each IAC member scores applications based on evaluation criteria that is specific to the individual grant programs. Applications are considered based on an applicant's specific financial need, as well as the specific need for any equipment being requested, and the level of funding received in the past. Scores are based on a scale from 0-3, using 0.5 intervals. Under the Sections

5310 and 5311 grant programs, Transit Grants Unit staff recommends funding for the applications that receive final, averaged scores of 1.45 or higher. Scores less than 1.45 are not eligible for funding.

Because capital funding is usually not divisible (it's unreasonable to fund just half a bus), some applicants receiving scores over 1.45 may be denied capital funds if the amount of eligible requests are greater than the funds available.

Multi-Year Applications

You will request funding for a two-year application cycle (unless special circumstances dictate otherwise). Funding requests may span both years of the two-year application cycle or you may request funds only one of the two years. However, we will only accept applications at the beginning of the application cycle. (In recent years, we've accepted new applications during the second year of the cycle for JARC and New Freedom because enough funding was available.)

Requests for funding in the second year of the cycle are independent from first year requests. This is because we can only contract for one calendar year. We cannot guarantee or commit to funding second year requests.

Our evaluation of second year funding requests is based on the information you provide in the first grant year application and the second year application update. We include the first year evaluations as we review second year funding requests, and we may adjust Merit and Item Scores second year requests.

Before providing second year funds, we will adjust the list of second year funding requests based on changes you request, your regulatory compliance of the first year project(s), and availability of federal funds.

REVIEW CRITERIA

The Transit Grants Unit uses two categories of review criteria: Threshold and Evaluation. Threshold Criteria are what gets your application in the door. They are the minimum, basic requirements your application must meet before it's evaluated in detail. The second category of review is Evaluation Criteria, which ranks and prioritizes funding requests.

Please understand we are not obligated to award you grant funds, even if your application meets the Threshold Criteria. Much depends on federal funding availability—and the quality of your application.

Threshold Criteria

Your application must meet the following Threshold Criteria. These are the minimum requirements:

- ➔ **The application is submitted on time.** The application for 2012–2013 funding cycle is due by **5:00 P.M., June 6, 2011**. Hardcopy documents, like certificates and assurances, signature pages, or other attachments must be postmarked or delivered on or before the deadline. We will reject late applications.
- ➔ **The application is complete.** A complete application includes legal documents, certificates and assurances, with original signature(s) of individuals with the authority to sign your agency's legal documents. This is usually a non-profit's president or the board of directors chairperson.

If a different individual has delegated signatory authority that individual may sign documents, but if so, you must include written verification of their signatory authority.

We will not accept faxed or emailed copies of documents that require original signatures.

- ➔ **The application request is consistent with the CDOT Regional**

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Transportation Plan (RTP). The proposed project must be described in and consistent with a locally adopted RTP. Contact Transit Planner John Valerio at (303) 757-9769 if you're not sure your project meets this requirement.

→ **The applying agency has the ability to manage public funds.** Your agency must have the fiscal capability to manage the funds you request. We will consider the following:

- If you are a new applicant (you haven't received FTA funds through CDOT within the past five years), we may request additional information to verify fiscal and managerial capability.
- If you are a current FTA grantee, but are designated "high risk," we will review reports you have submitted and determine whether your agency is working to remove this designation.
- If you are a new applicant or a "high risk" grantee, your agency or organization must be able to demonstrate that it has experience with:
 - ✗ Managing public funds; and
 - ✗ Maintaining an accounting system consistent with generally accepted accounting principles (GAAP), one that segregates funds; uses an accrual method of accounting; and can translate fiscal data into the Uniform System of Accounts (USOA) system (specified by FTA).
- If you have the ability to establish reasonable safety and risk management procedures.
- If you have the ability to comply with regulations and contractual requirements. Such compliance must be demonstrated and documented.

→ **The application shows participation in a local *Coordinated Human Services-Transportation Plan*** (Sections 5310, 5316, and 5317 in particular). To qualify for funding, FTA requires project funding requests be derived from that plan. Contact Transit Planner John Valerio at 303-757-9767 for more information.

→ **The application shows local match.** Your application must document the availability, source, and commitment of local match.

→ **The applicant agency has the ability to maintain any capital equipment requested.** This ability includes:

- ✗ Following vehicle manufacturers' minimum maintenance requirements;
- ✗ Performing regularly scheduled preventive maintenance;
- ✗ Performing unscheduled maintenance; and
- ✗ Keeping maintenance records.

Additional Threshold Criteria— Section 5310

Applicants for Section 5310 funding must meet the Threshold Criteria discussed above and be either a private nonprofit organization or a local public entity.

A Private Nonprofit Organization. Eligible, *existing* private nonprofit grantees are eligible for funding if the agency/organization is on file and in good standing with CDOT.

New applicants that are local service providers are members or affiliates of national or statewide private nonprofits must have IRS 501(c)(3) status or incorporation independent from their national or statewide organization. The national or statewide office of the private nonprofit may be the applicant *only if* the local service provider does not have or maintain its own IRS 501(c)(3) status or independent incorporation.

New applicants must include IRS 501(c)(3) documentation with their application.

A Local Public Body. A local public entity must satisfy one of the following conditions:

- **Local Public Body with a Designated Transportation Coordinator.** The local public entity must provide CDOT-approved coordinated transportation services in a given service area for elderly individuals and/or individuals with disabilities. For a local public body to coordinate services for these individuals, CDOT approval requires:
 - ✦ A formal working relationship between the local public body and the individuals or agencies with whom it will coordinate.
 - ✦ Integration of ADA and non-ADA eligible services (if applicable).
 - ✦ Effective and efficient use of requested capital equipment in line with the local coordinated plan.
- **Local Public Agency with no Private Nonprofit Transportation Provider Available.** If there are no private nonprofit transportation providers in the area that serve clients who are elderly and/or individuals with disabilities, the local public body needs to certify this fact to CDOT (this process is described in the Regional Transportation Plan (RTP)).

Complete the following and submit verifying documentation by the application deadline of June 6, 2011:

- ✦ Notify any known and applicable organizations listed in the local RTP that it intends to apply for funds.
- ✦ Provide CDOT with three copies of this communication, including any follow up correspondence from the organizations contacted.
- ✦ Provide CDOT with three copies of any legal notices published in the local newspaper about this action, along with any resulting correspondence.

If, in response to the local public agencies' correspondence or legal notices, a public nonprofit wants to apply for 5310 funds itself it must prove it is able to provide the transportation service in question as described in the regional RTP. If the private nonprofit is unable to provide these services, the local public agency may become the applicant.

For sample copies of legal notices and/or sample letters to contact the organizations listed in the RTP, contact your CDOT Transit Grant Coordinator.

Additional Threshold Criteria—Section 5311

Section 5311 provides funding for public transportation in rural, non-urbanized areas. Your application narrative needs to clearly indicate that you will provide public transportation.

- ➔ If you are a Section 5311 recipient, you cannot limit your service to a specialized population (for example, the elderly or clients of a particular agency). Section 5311-funded service must be open to the general public.

Recipients of 5311 funds need to clearly mark vehicles that the service is available to the general public. For example, a vehicle marking of "Harley-D Senior Center" wouldn't be acceptable unless it included language such as "Open to the General Public."

Additional Threshold Criteria—Section 5311(f) Intercity Bus (ICB)

ICB projects do not necessarily have to be described in a Regional Transportation Plan since most RTPs do not address ICB services. If you are interested in "small" ICB funding within one Transportation Planning Region, please submit a letter from the chairperson of the local Transportation Advisory Committee (TAC) and the Regional Planning Commission (RPC) stating:

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- the ICB services are not in conflict with the transit services described in the RTP;
- there is a need for the proposed service(s), and that;
- the TAC/RPC will include the integration of ICB services in future plan updates.

If more than one RTP area is involved, the application should describe the planning you've done, including obtaining Public Utility Commission (PUC) authorization, making connections with other operators, etc.

Evaluation Criteria—Sections 5310 and 5311

Depending on the type of request (5310 and 5311 capital requests include an Item Score), applications are evaluated on the combined scores from a Merit Score, Item Score (for Section 5310), Service Area Population Score (for Section 5311), and Performance Measures. See the following table.

Evaluation Breakdown: 5310 and 5311

Evaluation Criteria	Section 5310	Section 5311
Merit (financial, service, and coordination)	20 %	60 %
Item	60 %	N/A
Service Area Population	N/A	20 %
Performance	20 %	20 %

Merit Score—Sections 5310 and 5311

The IAC reviews applications to determine Merit Scores for Sections 5310 and 5311; they do not evaluate Item, Population, or Performance. For Section 5311 funding requests, Merit Scores are used to rank and prioritize requests if Merit awards are made.

For Section 5310 and Section 5311 capital equipment requests, the Merit Score is combined with the Item Score

and Performance Score to determine a final Total Weighted Score. The Total Weighted Score is used to rank and prioritize capital equipment requests.

The IACs evaluate applications after we've determined they've met the Threshold Criteria. The IAC for Sections 5310 and 5311 evaluates and scores applications based on *Merit*, which is the combination of three criteria: Financial Justification, Service Justification, and Coordination. The scores are summed and averaged into a Merit Score for each Section 5310 and 5311 application, using the following percentages:

Merit Score Breakdown	
Justification of Financial Need	30 %
Justification of Service Need	30 %
Coordination of Services	40 %
TOTAL MERIT SCORE	100 %

Merit scores range from 0 to 3, at 0.5 intervals. A "zero" score indicates little or no evidence of success or justification with a particular evaluation criterion. A score of one indicates that the application shows some success with an evaluation criterion, but has major room for improvement. A score of two indicates a moderate level of success or justification, while scores of three indicate applicants with significant and consistently high levels of success within the particular evaluation criterion.

After we've received the Section 5310 and 5311 application IAC scores, we weigh and average those scores to arrive at a final total Merit Score for each application.

➔ *An applicant MUST receive a minimum total Merit Score of 1.45 (with a maximum possible score being 3) to be eligible for funding. We will not fund applications that have Merit Scores below 1.45.*

We use the Merit Score from the first year of the grant cycle to evaluate and score applications in the second year.

Merit Awards—Section 5311

CDOT grants Merit Awards for applications that receive a passing Merit Score. Merit Awards are based upon the rank of your Merit score compared to the Merit scores of all eligible applicants. Merit Awards are also based on an assessment of the relative needs of each applicant.

If CDOT makes Merit Awards, it's usually to close the gap between the amount of Section 5311 administration and operating funds under Service Area Population and Performance Awards and the amount you request to fully fund your Section 5311 project—or to provide a level of funding that is consistent with your level of service.

While top-scoring applications might receive a higher percentage of their request than applications with lower scores, we also look at each application's specific financial need, historic funding levels, funding justification, and compliance history.

Merit: Justification of Financial Need

The Financial Justification is 30 percent of the Merit score and evaluates how well you demonstrate the need for the funding you request. Your application must justify financial need based on the factors below.

Financial Justification for Section 5310

- The lack of funding resources available to your agency;
- The concerted, good faith efforts to obtain funds for the project from non-U.S. DOT sources;
- The economic condition of the project's service area; and
- The level and amount of local commitment to transit.

Financial Justification for Section 5311

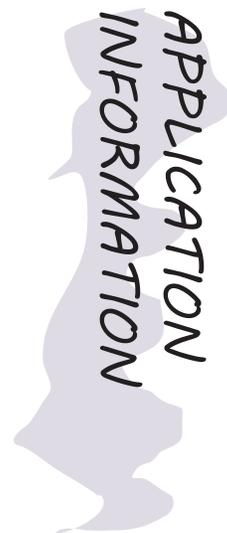
- The reasonableness of costs to operate and administer the project (excluding capital costs);
- The amount of revenue available to your agency, including contract revenue and earmarked funds;
- The proportion of project costs covered by local funds;
- The concerted, good faith effort to obtain funds for the project from non-U.S. DOT sources; and
- The economic condition of the project's service area.
- The level of local transit commitment.

Merit: Justification of Service Need

Service Justification evaluates how well the application demonstrates the need for the transit service. The Service Justification is 30 percent of the total Merit Score. At a minimum, the IAC considers the factors listed below.

Service Justification for Section 5310

- The lack of appropriate transportation alternatives as demonstrated in the application;
- The transit dependency of the population in the project's service area;
- The diversity of population served. For example, whether the service:
 - ✘ is or will be offered to a cross section of elderly persons and persons with disabilities;
 - ✘ does or will address the needs of ADA and non-ADA clientele;
 - ✘ is or will be offered for a variety of trip purposes; and,
 - ✘ is or will be provided over a wide geographic area;




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- The determination of whether the applicant provides the project on behalf of other organizations; and
- The type and total number of transit riders served and trips provided.

In general, our policy is to assign lower scores and lower priority in the Service Justification and Coordination criteria to those applicants who directly or indirectly limit or direct all or a significant part of their service to a particular clientele. This might include, for example, elderly persons, persons with developmental disabilities, residents or customers of a particular facility, etc., unless those services are operated independent from the project(s) for which funding is sought.

Service Justification for Section 5311

- The transit dependency of the population in the geographical area of the project including the general public, persons who are elderly and/or disabled, individuals with low income, and other transit dependent persons.
- The extent to which the applicant provides service to other organizations;
- The numbers of riders and types of trips provided;
- The size of the applicant's service area; and
- Other relevant factors, such as congestion mitigation, air quality improvement, or sustainability.

Merit: Coordination of Services

Coordination refers to how well the application demonstrates coordination with other agencies and organizations to promote the service and reduce service duplication, overlapping service areas, and conflicts. We also consider your good faith efforts to coordinate with private for profit operators in this criterion.

Coordination of Services accounts for 40 percent of an applicant's Merit Score.

- *Coordination of Services is **not** the same as the requirement for a locally derived, human service-transportation coordination plan.*

You won't be held to a single performance standard for coordination; coordination is related to individual circumstances. For example, we recognize there are a limited number of social service agencies in resort areas with whom resort operators can coordinate. Likewise, there is often a lack of commercial operators and human service agencies in some very rural areas with whom an applicant can coordinate.

Nonetheless, it is your responsibility to take positive steps to coordinate services in your service area. We sympathize with those of you who insist you shouldn't be punished if other organizations simply won't work cooperatively to coordinate services. Still, we emphasize that your evaluation of coordination is, to a large extent, an evaluation of an *entire* community's coordination success, and not just yours as the applicant.

Your application for Section 5310 or 5311 funds should demonstrate your ability to bring together different parties with an interest in transit services. This should be based on:

- Coordination of project services with other public and private transit providers, social services agencies, and community organizations to promote the service(s) and make it/them more efficient.
- Reduction of the total amount of vehicle miles traveled, operating expenses incurred, number of vehicles used, and lead time for passenger scheduling in administering and operating the project, as a result of such coordination.
- Absence of project and transit services duplication provided by others.
- Lack of appropriate transportation alternatives.
- Type(s) and total number of transit riders served and trips provided.

- Consideration of whether and to what extent the project will be on behalf of, or under contract with, other organizations, organizations (rather than for its own programs and purposes only).

Item Scores

Item Scores for Capital Requests—Sections 5310 and 5311

The Item score for capital requests under Sections 5310 and 5311 contributes 60 percent of the total Evaluation Criteria Score. The Item score includes several factors, particularly the following:

- **Replacement Vehicle.** If the vehicle request is intended to replace an existing vehicle, we will consider the vehicle’s age, its mileage, and its use.
 - **Expansion Vehicle.** If the vehicle request is intended to expand the existing fleet, we will consider the reasons for expansion, the size of the current fleet, the population to be served, and how well you’ve justified the need for the expansion.
- ➔ We give a higher priority to *vehicles* over non-vehicles. We also prioritize replacement vehicles over expansion vehicles.

We will not provide funds to replace or rehabilitate Body-on-Chassis vehicles that have fewer than 100,000 odometer miles. Additionally, because funds are limited and competitive, we will not fund new vehicles that you’re planning on using part-time, as a spare, or backup.

Service Area Population for Section 5311

Under Section 5311, 20 percent of Merit score is based on Service Area Population (SAP). The percent of total state-wide SAP that the service area has is used to determine the amount of Section 5311 funds that are set aside for SAP awards. See table below.

For Section 5311 applications that request *administration and/or operating funds*, the SAP is the population of non-urbanized areas that receive regular and continuing public transportation services. These services need to be described in the application.

Service Area Population Calculation			
Agency	Service Area Population	Percent of Total	Population Award
Agency X	100	20	\$ 200
Agency Y	350	70	\$ 700
Agency Z	50	10	\$ 100
Total Pop	500	100	\$ 1,000

Service Area Population is limited to incorporated areas defined by the most recent U.S. Census data; and unincorporated areas of population concentration identified as Census Designated Places (CDP). Use this link for access to Census information: http://www.dola.state.co.us/dlg/demog/census_profiles.html.

Performance Measures for Sections 5310 and 5311

We use three performance measures to evaluate Sections 5310 and 5311 applications:

- **Cost per Passenger Trip.** This is an indicator of service efficiency. It is the total operating expenses (including administration and maintenance) divided by the total annual number of passengers. Cost per passenger trip is also a reflection of the market demand for the service.
- **Passenger Trips per Revenue Service Hour.** This measures service effectiveness and is the ratio of passenger trips to revenue service hours of service.
- **Passenger Trips per Capita.** This identifies the average number of transit boardings by population. It is obtained by dividing the total number of boardings by the service area population. The number is larger in areas that emphasize public transportation and in areas where there is a greater transit dependent population. Resort areas in




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Colorado have a high number of passenger trips per capita because of the large visitor population base.

To determine “per capita” passenger trips, we use Service Area Population, which includes only incorporated cities and Census-designated places (CDP) where the applicant provides regular and continuing service.

To calculate performance scores, we divide transit systems into four sizes so we can compare those of similar sizes:

- winter resort systems,
- systems with large operating budgets,
- systems with medium operating budgets, and
- systems with small operating budgets.

We assign points based on the three performance measures within each of the four size categories. Transit systems with the highest performance measures score receive three points within their size category, systems in the middle receive two points, and those systems in the lowest group receive one point.

The total number of points awarded to all agencies is then divided into the total amount of funding allocated for Performance Awards for the upcoming year to determine a dollar value-per-point. The dollar value-per-point is then multiplied by the number of points awarded to each applicant to determine the amount of funding for the upcoming years performance award.

For Section 5310 and Section 5311 capital project requests, we average the total number of points you’ve been awarded across all performance measures to arrive at the Performance score. The Performance score is then combined with the Merit and Item Score to calculate the Total Weighted Score.

Performance Awards—Section 5311

CDOT will grant Performance Awards to applicants who receive at least the passing Merit score of 1.45. As mentioned previously, CDOT calculates performance awards using a dollar value-per-point system, whereby the amount of funding set aside for Performance Awards is divided by the total number of points awarded in the performance measures comparisons of like-sized transit systems (winter resort systems; systems with large operating budgets; systems with medium operating budgets; and systems with small operating budgets) using the three selected performance measures: cost-per-passenger trip; passenger trips-per-hour; and passenger trips-per-capita.

The highest performing transit systems in each performance measure receive three points within their category; transit systems falling in the middle receive two points; and transit systems with the lowest performance in each performance measure receive one point. The number of Performance Measure points a transit system collects determines the amount of Section 5311 administration and operating funds awarded to them for their performance award.

Project Selection—Sections 5310 and 5311

In the first year of the two-year grant funding cycle, CDOT bases grant awards on the amount of funding appropriated by Congress for that year.

For Section 5310 projects, the selection process is rather straight forward—capital requests are ranked in order of highest to lowest final Total Weighted Score. Projects are funded in this order until the amount of available funding is depleted *or* until all Section 5310 projects with a final Total Weighted Score of 1.45 are funded, which ever comes first.

- *We will not fund Section 5310 projects that have a final Total Weighted*

Score of less 1.45—even if there are funds available to do so.

Don't forget one caveat in the selection process: because most capital equipment items are not divisible—*i.e.*, you can't buy half a bus—some Section 5310 projects receiving scores above 1.45 may be denied funding because there are not enough federal funds available to cover the cost of the project.

- *CDOT's policy is generally to fund all Section 5310 projects at or near an 80 percent federal/20 percent local match ratio; overmatching is typically not allowed.*

For Section 5311 projects, funds may be allocated to the following broad categories:

- **State Administration:** Under FTA guidelines, state administration funds are deducted "off-the-top" of the annual allocation. State administration funds are used to administer the Section 5311 program and to provide technical assistance.
- **Capital Awards:** These are funds that are awarded to purchase capital equipment. Capital funds are rarely awarded under the Section 5311 program.
- **Intercity Bus Service Awards:** Funds awarded to provide intercity bus services. Under federal requirements, this is 15 percent of the amount appropriated by the FTA each year, unless the governor signs a waiver indicating ICB services have been satisfied.
- **Service Area Population Awards:** Funds awarded based upon applicants' Service Area Population. These funds may be used for operating or administrative expenses, but cannot be used for capital expenses.
- **Performance Awards:** Funds awarded based on relative scores assigned by the CDOT for applicants' level of performance based on selected performance measures. These funds may be

used only for operation or administration expenses.

- **Merit Awards:** Funds awarded based upon the relative scores assigned by the IAC to applicants based on the evaluation criteria, as described above. These funds may be used for operating or administration expenses, but may not be used for capital expenses.

Allocating Funds Based on These Six Categories

To allocate funds to these categories we first deduct the amount CDOT needs to administer the grant and provide technical assistance. This may not be more than 15 percent of the FTA annual allocation. With the funds remaining, we deduct an amount to fund the capital awards (roughly 20 percent). From this result, we deduct an amount to fund Intercity Bus. Finally, we deduct the remaining FTA funds for Service Area Population Awards (20 percent), Merit Awards (60 percent), and Performance Awards (20 percent).

To determine grant awards, we consider the total amount of FTA funds that are available under these six categories for a given year, the amounts being requested under these categories, the total number of eligible applicants for that year, and our requirement to ensure the fair and equitable distribution of FTA funds.

Capital Awards—Section 5311

Section 5311 typically funds operating projects, although we have the discretion to award capital projects out of Section 5311. If we allocate capital funds under Section 5311 funding, capital equipment requests at the top of the list are funded first. However, we also consider the application's justification of financial need, capital equipment being requested, and the level of the agency's historical funding before we recommend funding capital requests under Section 5311.

You should know the process for awarding capital under Section 5311 is slightly

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different than it is under Section 5310. Under Section 5310, applicants will be offered the opportunity to *overmatch* a capital award if some federal funds remain, but do not amount to the full 80 percent federal share of the particular capital equipment request.

Evaluation Criteria—Sections 5316 and 5317

The application sections for the Job Access and Reverse Commute (JARC) Program (Section E) and the New Freedom Program (Section F) are designed to evaluate the quality of the proposed project. We assess three factors:

- the *need* for the project,
- the *strategy* for accomplishing the project, and
- the *collaborative* and *coordinative* efforts shown surrounding the project.

The JARC and New Freedom applications follow a problem-solving format intended to encourage strategic planning. The JARC and New Freedom applications (e and F) assess need and strategy; collaboration and coordination is assessed in Section A of the application.

The “need” for the project provides 30 percent of the application’s score; the “strategy” for accomplishing the project is 30 percent to the score; and collaboration/cooperation provide the remaining 40 percent for a total percentage of 100.

- ➔ Be sure to address the specific *goals* of these programs! For example, if you’re applying for Section 5317, New Freedom funding, be certain you address both program goals of providing new transportation services or new transportation alternatives AND providing services or alternatives that go *beyond the ADA*.

The need, strategy, and collaboration/coordination scores should identify projects that best address FTA’s program goals. The IAC/IACs will judge the quality

and clarity of answers given. Projects must be well thought-out, compelling, strategic, and must articulate how the proposal meets program intent and service needs. Projects should be cost efficient, use available resources effectively, and indicate the relative success of or sustained efforts of participation in local human service-transportation coordination.

With a scoring range from 0 (“not applicable” or “non-responsive”) to 3 (“excellent”), IAC reviewers will evaluate how successful the application responds to the key criteria of need, strategy, and collaboration/coordination. Scores will be summed, and then averaged for each final JARC or New Freedom application.

For example, in the JARC or New Freedom applications, under “Project Details,” IAC reviewers will evaluate how well the answers address need-based issues.

The subsection “Project Stakeholders” also deals primarily with need-based issues. The remaining four subsections are strategy-based, relating to the proposal’s specifics, including major objectives and timelines, performance expectations, and use of funds.

Performance Measures—Sections 5316 and 5317

The applications for Sections 5316 (JARC) and 5317 (New Freedom) have a subsection on Projecting Performance measures. We ask you to project, in numerical terms, how you expect the proposed project to perform. The application asks for grant-specific performance related measures projected through the end of the two-year grant period.

FTA requires numerous performance measures for these two programs. The application asks for estimates of this data by year. However, we will ask you to submit monthly or quarterly reports once your project is in operation.

GRANT PROGRAM INFORMATION

In this section:

- *Goals of Each Grant Program*
- *Match Requirements*
- *A Few Words About Reimbursements*
- *Eligible Projects for FTA Grants*
- *Mobility Management: a Role for Public Transportation*
- *Capital Procurement and Management*
- *Sustainability for Transit Agencies*
- *FASTER: Colorado Funds Transit*

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Goals of Each Grant Program

The most recent transportation authorizing legislation, the Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Pub. L. 109-059), was enacted on August 10, 2005. The legislation provided “guaranteed funding” for federal transportation programs over six years through Federal Fiscal Year 2009. State DOTs are currently operating under a continuing resolution, set to expire August 2011. (You can find a summary of the proposed reauthorization legislation later in this guidebook.)

The legislation stated three key goals. Under SAFETEA-LU (49 CFR, Subtitle III, Chapter 53, *Public Transportation*), the federal government stated that “it is in the interest of the United States...to foster the development and revitalization of public transportation systems that—

- maximize the safe, secure, and efficient mobility of individuals;
- minimize environmental impacts; and
- minimize transportation-related fuel consumption and reliance on foreign oil.”

We want you to talk about how your proposed project(s) meet the goals stated

above *and* how it meets the goals of the grant program(s) you’re applying for.

Section 5310, Transportation for Elderly Persons and Persons with Disabilities

The goal of Section 5310, the Transportation for Elderly Persons and Persons with Disabilities Program, is *to improve mobility for the elderly and persons with disabilities.*

Section 5310 provides financial assistance for capital purchases for transportation services planned, designed, and carried out to meet the special transportation needs of the elderly and persons with disabilities. The program requires coordination of federally-assisted programs and services in order to make the most efficient use of federal resources.

CDOT and FTA encourages grant recipients to maximize the use of vehicles funded under the Section 5310 program. Purchase of vehicles with 5310 funds must first meet the program-related transportation needs of the elderly and/or persons with disabilities. Then, vehicles may provide other transportation to meet the needs of the elderly or persons with disabilities, including other federal program or project needs identified in the grant application. The general public may ride

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the vehicles if seats are available and all passengers are insured.

You may not use vehicles funded under the Section 5310 program just for meal deliveries. Vehicles may be used to provide meal delivery service for homebound persons on a regular basis—in conjunction with passenger transportation. Delivery service must not conflict with the provision of transit services or result in reduced service to transit passengers.

Section 5311, Rural Public Transportation

Section 5311, the Rural and Small Urbanized Areas Program, provides financial assistance for *public* transportation programs in non-urbanized (rural) areas. Funds may be used for operating, administrative, or capital expenses.

The goals of the program are to:

- enhance the access of people in nonurbanized areas to health care, shopping, education, employment, public services, and recreation;
- assist in the maintenance, development, improvement, and use of public transportation systems in rural and small urban areas;
- encourage and facilitate the most efficient use of all federal funds used to provide passenger transportation in nonurbanized

areas through the coordination of programs and services;

- assist in the development and support of inter-city bus transportation; and
- provide for the participation of private transportation providers in nonurbanized transportation as much as possible.

FTA defines eligible service areas for the rural 5311 program as those areas outside urbanized areas. Public transportation is defined to mean transportation by a conveyance that provides regular and

continuing, general, or special transportation to the public, but does not include school bus, charter, or sightseeing transportation. Incidental use of a Section 5311 vehicle for non-passenger transportation on a regular basis (i.e., for package delivery or meal delivery services) must not result in a reduction of service quality or availability of public transportation service. Operating costs attributable to these services should be borne by non-FTA program funds.

Section 5311-funded services may be designed to maximize use by members of the general public who are transportation disadvantaged, including elderly persons and persons with disabilities. The FTA provides 5311 funds to help make transit services available to the general public, not to substitute funding for clients to access human services under programs of the Department of Health and Human Services and other federal agencies. When a transit provider contracts to provide trips for other programs, the transit provider should recover at least the incremental costs, if not the fully allocated costs of providing the trip.

Section 5311(f), Intercity Bus

Section 5311(f), Intercity Bus, encourages fixed-route, over-the-road bus service that is regularly scheduled and serves the general public. ICB service typically operates with limited stops connecting two or more urban areas not in close proximity or connecting one or more rural communities with an urban area not in close proximity. ICB service has the capacity for transporting baggage carried by passengers and makes meaningful connections with scheduled ICB service to more distant points. FTA gives preference to private bus operators who lawfully have provided rural highway passenger transportation over the routes or within the general area of the project.

Section 5316 Job Access and Reverse Commute

Section 5316, Job Access and Reverse Commute program, is intended to improve access to transportation services to employment and employment related activities for welfare recipients and eligible low-income individuals.

Funds may be for capital, planning, and operating expenses that support the development and maintenance of transportation services to transport low-income individuals to and from jobs and job-related activities.

The program requires participation in a human service transportation coordination plan.

Section 5317 New Freedom

Section 5317, New Freedom program, seeks to expand the transportation mobility options available to persons with disabilities beyond the requirements of the Americans with Disabilities Act of 1990.

New Freedom is intended to provide additional tools to overcome existing barriers facing Americans with disabilities, to fill the gaps between human service and public transportation services and to facilitate the integration of individuals with disabilities into the workforce and full participation in the community.

New Freedom funds are available for capital and operating expenses that support new (not existing before August 10, 2005) public transportation services and/or public transportation alternatives beyond those required by the ADA. Proposed projects must be both new and beyond the requirements of the ADA.

MATCH REQUIREMENTS

This section discusses local match requirements for FTA grant programs, beginning with a few principles that apply to match for any of the grant programs.

Local match—or “share”—is your contribution to the project. Federal match is the the federal government’s contribution. Capital projects are funded with a minimum of 20 percent local match (i.e., the local contribution must be *at least* 20 percent of the project costs) and 80 percent federal match (i.e., the federal contribution won’t be more than 80 percent). Projects using operating funds are usually at a 50/50 match ratio.

The only federal funds that are considered “federal” are those that you receive *directly* from a federal agency, including the FTA (e.g., you wouldn’t use Section 5309 funds to match JARC funds).

Match is for the Project

The match you propose to use is for the project you’re requesting funding for!

Local match must be from funds that are for the project. Matching funds must have a logical relationship to the project. If you’re requesting funds for a Section 5317 New Freedom project, for example, don’t use funds from the library, crime prevention, Meals on Wheels, etc.

If you receive funding from a general, open-ended grant or appropriation, you can use part or all of it to match your FTA grant (unless those funds prohibit you from doing so). Check with the source of those funds to make sure; you don’t want future audit problems.

You may use other program funds for local match if those funds are eligible to be spent on transportation. Examples include:

- state or local appropriations
- other non-DOT federal funds
- dedicated tax revenues

- private donations
- revenue from human service contracts

Match can be Counted Once

You can count match funds only once. You cannot use the *same* dollars to match more than one program, i.e., you cannot use Title III funds from the Older Americans Act to match both a Section 5311 grant and a 5317 grants.

You can split funding from a grant to match other grants, but document this very clearly in your application materials. For example, if you want to use FASTER funds for match, describe this in detail.

Local Match in Cash or Non-Cash

For operating, administrative, or planning expenses, you may use non-cash or contributed items—donated printing or volunteer time, for example.

For *capital purchases*, however, the match must be in cash.

Match Requirements by Category

Operating expenses have a maximum match of 50 percent. In other words, FTA will fund no more than 50 percent of the project. The remaining 50 percent is your responsibility.

Capital, administrative, planning, and mobility management expenses have a minimum local match requirement of 20 percent. The FTA will fund up to 80 percent of these kinds of expenses.

Federal Funding Used as Local Match

In most federal programs, local match must come from local sources. Typically, you can't use federal funds to match other federal funds. The FTA Sections 5311, 5316, and 5317 programs are exceptions! You *can* use federal funds to match these

programs—as long as they aren't other USDOT funds. The federal departments or agencies like Health and Human Services, the Area Agency on Aging, Environmental Protection Agency, Department of Energy, Housing and Urban Development, are all examples of non-DOT funding sources.

Funds from the Federal Highway Administration (FHWA) aren't eligible as match.

To be eligible for local match for FTA funds, you must use the other federal funds for activities included in the total net project costs of the FTA grant. You cannot apply the expenditure of other federal funds for transportation outside the scope of the project as a credit for local match in the FTA grant.

Non-Federal Funds Used for Match

You may use other program funds for local match if those funds are eligible to be spent on transportation (other than funds from U.S. DOT programs). Examples include:

- state or local appropriations
- other non-DOT federal funds
- dedicated tax revenues
- private donations
- revenue from human service contracts

Federal transportation funds used for a different project than what you're applying for can't be used for part of the match.

To be eligible for local match for FTA funds, you must use the other federal funds for activities included in the total net project costs of the FTA grant. You cannot apply the expenditure of other federal funds for transportation outside the scope of the project as a credit for local match in the FTA grant.

Match Requirements for CAPITAL

The Section 5310 program is a capital program; funds are (primarily) available for capital purchases. The match must come from local sources; federal funds cannot be used for match.

Your local match—"share"—for eligible capital costs must be at least 20 percent of the net costs of the capital purchase. The federal share can be no more than 80 percent. You must document the sources of your local match and ensure that the entire local share comes from sources other than federal funds and is in cash.

Examples of non-federal sources of local match that may be used for any or all of the local share for 5310 funds include:

- state or local appropriations
- dedicated tax revenues
- private donations

Section 5311 Match Requirements

Section 5311 Match for Operating Projects

For operating projects, the federal share cannot exceed 50 percent of the net operating deficit of the project (see Figure below). The net operating deficit is the total operating costs minus operating revenues (such as fares or donations).

Of the remainder of the deficit, at least 50 percent must be financed from sources other than federal funds; i.e., at least half of the local match must come from local funds. Up to 50 percent of the match can come from non-DOT federal sources.

Examples of non-federal sources of local match that may be used for a portion or the entire local match include:

- state or local appropriations
- dedicated tax revenues
- private donations

However, contract revenue from federal sources can be used indirectly as local match. For example,

- income from contracts to provide human service transportation
- funds under service agreements with a state or local social service agency
- funds under service agreements with a private social service organization

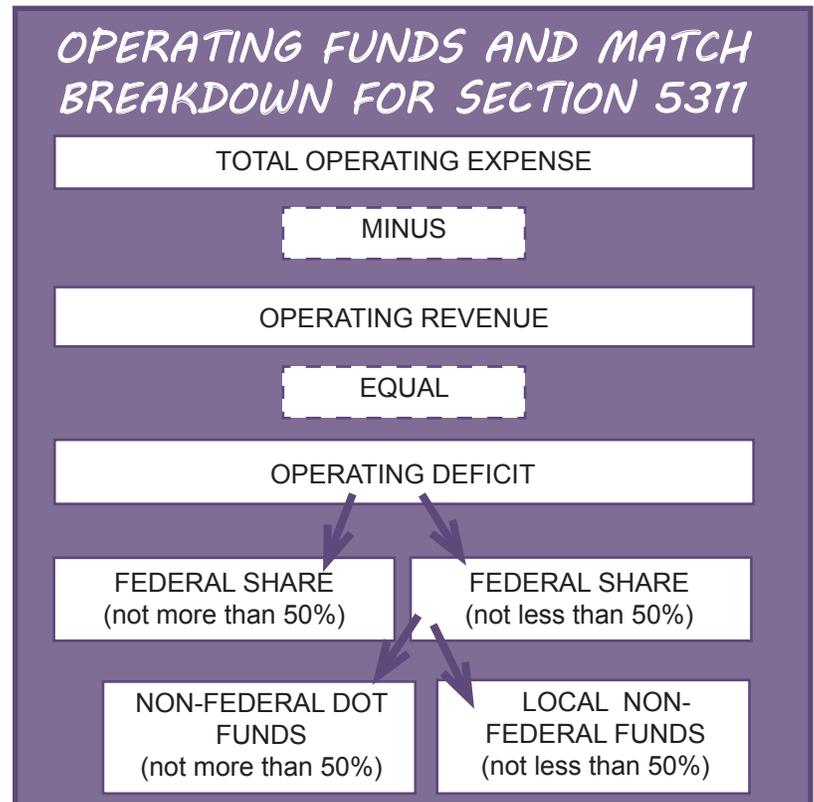
You may treat these as local funds rather than federal funds—even if their original source was from another federal program.

Section 5311 Match for Capital and Administration

The local match for eligible capital and administrative costs is at least 20 percent of the net costs of the program; the federal match will be no more than 80 percent.

- ➔ CDOT generally discourages capital purchases under the 5311 program if that purchase can be made with Section 5310, 5316, or 1317 funds.

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Section 5311 Non-Cash Match Requirements

You may use non-cash items such as volunteered services or in-kind contributions toward the local match, but you must formally document the monetary value. The match must represent a cost that would otherwise be eligible under the project, i.e., any non-cash contribution must be an eligible expense under the program and an expense you'd otherwise have to pay. An example would be fuel paid for by the county for use in the transit agency's vehicles.

- ➔ Non-cash match must be included as *both* revenues and expenses in the project budget you submit.

Sections 5316 and 5317 Match Requirements

Contract Income as Match. Under JARC or New Freedom, you may use income for operating match which comes from contracts you have that provide human service transportation, including the cost of providing that contract service in the project's total cost.

Non-Cash as Match. You may count non-cash match, such as donations, volunteer services, and in-kind contributions toward the local match. However, *you must document and support the value of any non-cash match.* Any non-cash match must represent a cost that would otherwise be eligible under the program.

- ➔ **Include the value of any non-cash contribution in the net project costs in the project budget you submit.**

Section 5316 JARC Match

You can use JARC funds for capital, planning, and operating expenses.

Capital and Planning Expenses. The local share of eligible capital or planning costs must be at least 20 percent of the

net cost. The federal share will be no more than 80 percent of the net cost.

Operating Expenses. The local share for eligible operating costs must be at least 50 percent of the net operating costs. The federal share will not exceed 50 percent of the net costs of the activity.

Section 5317 New Freedom Match

Similarly, you can use New Freedom funds for capital and operating expenses.

Capital and Planning Expenses. The local share of eligible capital or planning costs must be at least 20 percent of the net cost. The federal share will be no more than 80 percent of the net cost.

Operating Expenses. The local share for eligible operating costs must be at least 50 percent of the net operating costs. The federal share will not exceed 50 percent of the net costs of the activity.

Sections 5316 and 5317 Non-Cash Match

Federal Funds Used for Match

If federal funds are used for all or part of the local match, they must come from sources other than the federal Department of Transportation (US DOT). For example:

- Temporary Assistance for Needy Families (TANF)
- Medicaid
- Employment training programs; Workforce Development
- Rehabilitation Services
- Administration on Aging (Title III)
- Community Services Block Grant, Community Development Block Grant (CDBG, CDBG)
- Veterans Administration

A source of local match can't be counted twice, you cannot use the same match

funds for different programs (for example, you can't use Title III to match both 5311 and 5317).

Mobility Management Match Requirements (Sections 5310, 5316, and 5317)

Mobility Management projects support coordination among public transportation providers and human service agencies providing transportation, services, or both.

FTA's circulars allow Mobility Management to be funded as an eligible capital expense under Sections 5310, 5316, and 5317. Mobility Management can have up to an 80 percent federal match with a minimum of 20 percent local match.

Mobility Management Non-Cash Match

You may request the use of non-cash share such as donations, volunteer services, and in-kind contributions for the local match. However, *you must document and support the value of any non-cash match*, it must represent a cost that would otherwise be eligible under the program. The value of any non-cash contribution must be included in the net project costs in your project budget.

Federal Regulations for Match, In-Kind Match, and Cost Sharing

The following material is taken from the Code of Federal Regulations, Title 49 Section 18.24, *Match or Cost Sharing*. It is the U.S. DOT's regulations for match, in-kind match, and cost sharing. This will give you more detail about what qualifies as acceptable match.

Acceptable Costs and Contributions

A matching or cost sharing requirement may be satisfied by either or both of the following:

- Allowable costs the grantee, subgrantee, or a cost-type contractor incurs under the assistance agreement, including allowable costs borne by non-federal grants or by other cash donations from non-federal third parties.
- The value of third party in-kind contributions applicable to the period to which the cost sharing or matching requirements applies.

Qualifications and Exceptions

- **Costs borne by other federal grant agreements.** A cost sharing or matching requirement may not be met by costs borne by another federal grant, unless exempted by federal statute.

This prohibition does not apply to income earned by a grantee or subgrantee from a contract awarded under another federal grant.

- **General revenue sharing.** For the purpose of this section, general revenue sharing funds distributed under 31 U.S.C. 6702 are not considered federal grant funds.
- **Cost or contributions counted towards other federal costs-sharing requirements.** Neither costs nor the values of third party in-kind contributions may count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost sharing or matching requirement of another federal grant agreement, a federal procurement contract, or any other award of federal funds.

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- **Costs financed by program income.** Costs financed by program income, as defined in Sec. 18.25, will not count towards satisfying a cost sharing or matching requirement unless they are expressly permitted in the terms of the assistance agreement.
- **Services or property financed by income earned by contractors.** Contractors under a grant may earn income from the activities carried out under the contract in addition to the amounts earned from the party awarding the contract. No costs of services or property supported by this income may count toward satisfying a cost sharing or matching requirement unless other provisions of the grant agreement expressly permit this kind of income to meet the requirement.
- **Records.** Costs and third party in-kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of grantees and subgrantee or cost-type contractors. These records must show how the value placed on third party in-kind contributions was derived. To the extent feasible, volunteer services will be supported by the same methods that the organization uses to support the allocability of regular personnel costs.
- **Special standards for third party in-kind contributions.**
 - ◆ Third party in-kind contributions count towards satisfying a cost sharing or matching requirement only where, if the party receiving the contributions were to pay for them, the payments would be allowable costs.
 - ◆ Some third party in-kind contributions are goods and services that, if the grantee, subgrantee, or contractor receiving the contribution had to pay for them, the payments would have been an indirect cost. Costs sharing or matching credit for such

contributions will be given only if the grantee, subgrantee, or contractor has established, along with its regular indirect cost rate, a special rate for allocating to individual projects or programs the value of the contributions.

- ◆ A third party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing or matching requirement only if it results in:
 - ✘ *An increase in the services or property provided under the contract (without additional cost to the grantee or subgrantee) or*
 - ✘ *A cost savings to the grantee or subgrantee.*
- ◆ The values placed on third party in-kind contributions for cost sharing or matching purposes will conform to the rules in the succeeding sections of this part. If a third party in-kind contribution is a type not treated in those sections, *its value will be fair and reasonable.*

Valuation of Donated Services

- **Volunteer services.** Unpaid services provided to a grantee or subgrantee by individuals will be valued at rates consistent with those paid for similar work in the grantee's or subgrantee's organization. If the grantee or subgrantee does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation.
- **Employees of other organizations.** When an employer other than a grantee, subgrantee, or cost-type contractor furnishes free of charge the services of an employee in the employee's normal line of work, the services will be valued at the employee's regular

rate of pay exclusive of the employee's fringe benefits and overhead costs. If the services are in a different line of work, the previous paragraph applies.

Valuation of third party donated supplies and loaned equipment or space

- If a third party donates supplies, the contribution will be valued at market value of the supplies when donated.
- If a third party donates the use of equipment or space in a building but retains title, the contribution will be valued at the fair rental rate of the equipment or space.

Valuation of third party donated equipment, buildings, and land. If a third party donates equipment, buildings, or land, and title passes to a grantee or subgrantee, the treatment of the donated property will depend upon the purpose of the grant, as follows:

- Awards for capital. If the purpose of the grant is to assist the grantee or subgrantee in the acquisition of property, the market value of that property at the time of donation may be counted as cost sharing or matching,
- Other awards. If assisting in the acquisition of property is not the purpose of the grant, the following applies :
 - ♦ If approval is obtained from the awarding agency, the market value at the time of donation of the donated equipment or buildings and the fair rental rate of the donated land may be counted as cost sharing or matching. In the case of a subgrant, the terms of the grant agreement may require that the approval be obtained from the federal agency as well as the grantee. The approval may be given only if a purchase of the equipment or land rental would be approved as an allowable direct cost. If any part of the donated property was acquired with federal funds, only the non-federal share of

cost. If any part of the donated property was acquired with federal funds, only the non-federal share of the property may be counted as cost-sharing or matching.

- ♦ If approval is not obtained under the paragraph above, no amount may be counted for donated land, and only depreciation or use allowances may be counted for donated equipment and buildings. The depreciation or use allowances for this property are not treated as third party in-kind contributions. They are treated as costs incurred by the grantee or subgrantee. They are computed and allocated (usually as indirect costs) under the cost principles specified in Sec. 18.22, in the same way as depreciation or use allowances for purchased equipment and buildings. The amount of depreciation or use allowances for donated equipment and buildings is based on the property's market value at the time it was donated.
- **Valuation of grantee or subgrantee donated real property for construction/acquisition.** If a grantee or subgrantee donates real property for a construction or facilities acquisition project, the current market value of that property may be counted as cost sharing or matching. If any part of the donated property was acquired with Federal funds, only the non-federal share of the property may be counted as cost sharing or matching.
- **Appraisal of real property.** In some cases under the previous three main paragraphs of this section, it will be necessary to establish the market value of land or a building or the fair rental rate of land or of space in a building. In these cases, the federal agency may require the market value or fair rental value be set by an independent appraiser, and that the value or rate be certified by the grantee. This requirement will also be imposed by the grantee on subgrantees.

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[53 FR 8086 and 8087, Mar. 11, 1988, as amended at 53 FR 8086, Mar. 11, 1988]

SUMMARY OF IN-KIND MATCH VALUATION METHODOLOGY

If the budget includes in-kind contributions as part of the local match, the application must include an **In-Kind Match Valuation Proposal**. This is a written proposal that identifies the sources of in-kind match and method for determining their value. It must only include goods and services donated for the project that would represent eligible grant activities. Documentation for goods and services should include donation receipts stating the donor, the item donated, and its fair market value. Volunteer time should include time cards and be charged at either the prevailing wage or the wage rate paid to an employee performing similar duties.

Match must come from an outside source, i.e., not from the applying agency. And, match must benefit the project directly.

In-kind expenses must be included as both revenues and expenses in your budget.

Examples of In-Kind Match: Donated goods, Donated services, Volunteers

Examples of How to Estimate the Value of In-Kind Match

Equipment/Goods. A 2004 Dodge Caravan with 30,000 miles is donated to HDM, a non-profit organization that provides rides for their grant-funded specialized transportation program. The FMV of the van is determined when the vehicle is donated by using a Kelly Blue Book or a National Auto Dealership of America (NADA) Used Car Value Guide.

CONDITION	Excellent	Good	Fair
VALUE	\$11,660	\$10,935	\$9,995

Services. Maria, an attorney who normally charges \$160 per billable hour, donates her services to a non-profit transportation provider. If she provides 10 hours of legal services, the in-kind market value would be \$1,600 (10 hours @ \$160/hour).

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

IN-KIND MATCH REPORT

Provide the following information if you are requesting use of any in-kind contributions as part of your match.

GRANTEE AGENCY NAME			
GRANT NUMBER	GRANT YEAR	PROJECT NAME	
DONOR NAME	ITEM DONATED	PRODUCT OR SERVICE	FAIR MARKET VALUE
HOW WAS FAIR MARKET VALUE DETERMINED?			
DONOR NAME	ITEM DONATED	PRODUCT OR SERVICE	FAIR MARKET VALUE
HOW WAS FAIR MARKET VALUE DETERMINED?			

A Few Words About Reimbursements

[Note: the following discussion about submitting reimbursements through the Department has been edited for these guidelines by Transit Unit staff for summary purposes and ease of reading. Although the statements are factual, it is not CDOT's official statement regarding reimbursements.]

The grant programs at CDOT are reimbursable. In other words, we reimburse you for expenses you make against your grant(s). For us to do that and for us to meet audit requirements and safeguard taxpayer dollars, we need assurance you've made the payments you're requesting reimbursement for. This can mean we'll need to see a fair amount of documentation from you.

TIER CLASSIFICATION FOR REIMBURSEMENT DOCUMENTATION

You will be placed in one of three "tiers" CDOT uses to classify agencies. The tier you're in determines how much backup documentation we will require from you.

"Tier One" agencies need to provide complete, detailed supporting documentation for invoices. The Tier One classification is typically assigned when:

- The contract dollar amount is small;
- Reimbursement requests to CDOT are infrequent, e.g., you're not reimbursing us monthly;
- Your agency's report under Circular Number A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, identifies various control weaknesses; and/or
- We've had previous problems or issues with your billing documentation. We may require you develop a plan to correct any identified problems and to report on activities you've undertaken to correct those problems.

"Tier Two" agencies don't have to provide as much documentation overall as Tier One agencies, but complete documentation is required for specific items. For example, if our review indicates that you have a system to document labor costs based on time sheets, we might reduce the documentation requirement to labor distribution reports along with copies of invoices for other direct costs. Our ability to reduce the amount of documentation you have to submit is based on internal auditing controls.

"Tier Three" agencies only need to provide "basic" documentation with reimbursement requests: project expenditure history reports and summaries of work performed.

If you are a local governments or non-profit agency, you should be aware that the number and type of reviews we conduct and the amount of payment documentation we require will be based on the result of the A-133 audit, our past experience with your agency, and the amount of funds we pay your agency.

REIMBURSEMENT PAYMENT CHECKLIST

Our goal is to reimburse you as quickly as possible! A complete and well organized invoice packet will help us do that. State statute requires us to pay your invoices within 45 days after you've submitted a **complete** reimbursement packet to us.

This checklist will help you prepare complete invoice packets for reimbursement.

We must approve your invoices before we can pay you. The things we need are listed below. Not all the items below will always apply to your agency.

Reimbursement Invoice from Agency (Tier I and some Tier IIs)

- Project and Project Code

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A COMPLETE
and WELL
ORGANIZED
invoice packet
will help us
reimburse you
more quickly!

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- Project Location
- Invoice Number and Billing Date
- Previous Billed, Current Billing, and Billed to Date
- Local Agency Costs
- Consultant or Sub-Grantee Costs
- Federal Portion
- Local Portion
- Net Payment Due
- Signature of Agency Representative

Copies of Invoices from Agency's Contractors

(Tier I and some Tier IIs)

- The specific document the contractor(s) used to invoice the local agencies. You are responsible for ensuring that the dollar figures in the backup materials match the invoice and that the expense is eligible for reimbursement.
- If you pay the contractor a discounted amount, we can't reimburse you the full, non-discounted amount, only the discounted amount, minus your local match.
- ALL your payment vouchers must state "Okay to pay" or have some notation of when you paid or approved payment for the contractor.
- Reimbursement invoice(s) requests should match check amounts written to the contractor(s).
- We will not accept statements in lieu of an invoice.

Copies of Checks

(Tier I and Some Tier IIs)

- All of the following are acceptable:
 - o copies of checks
 - o check registers
 - o approved accounting system gener-

ated expenditure ledgers showing check number or Electronic Funds Transfer (EFT) and date paid.

- You must pay your contractors before we will reimburse you for that expense. We cannot reimburse you without proof that you've paid them.

Expenditure Ledger

(Tier I, II and III)

- You must submit a copy of an expenditure ledger/report of your financial accounting system that displays the accounting coding of all the expenses you've incurred that are eligible for reimbursement.
- CFR 49 part 18 Section 18.20, *Standards for Financial Management Systems*, requires your agency to have an approved accounting system; it should not be difficult to generate an expenditure ledger/report by project. The expenditure report is a good summary page if there is substantial documentation accompanying the invoice.

If you have copies of the invoice(s) and check(s) you've paid for expenses, you don't need the expenditure ledger also. However, the copies of the invoice(s) must be marked as approved for payment.

If you provide an approved accounting system expenditure report it will show all the expenditures you're requesting reimbursement for, so there should be no question of whether you've paid for those expenses.

Excel spreadsheets are *not* approved expenditure reports (except in a few programs).

Time Sheets

(Tier I and some Tier IIs)

- We require time sheets for the employees who are working on the project you're requesting reimbursement for. Those time sheets must have a break-

down of hours worked, displaying all projects worked for by the day, week, month, or time collection period. The time sheet must also be signed or approved either in ink or electronically.

- We require backup documentation for payroll expenses. This includes the time sheet and an hourly or salary rate or a payroll ledger indicating hours, wages, and benefits. You only need to submit the rate sheet once, we'll use it for future reference.
- Block out any sensitive information on time sheets, such as social security numbers or addresses.
- If you use a temporary employment agency and submit an invoice from the temp agency for us to reimburse, we need to see the same documentation you use to approve payment to the temp agency.
- If you use a quarterly or semester-based system of timekeeping, you can't bill us monthly for those payroll expenses (this is especially true for colleges and universities). You need the backup from the timekeeping system and payroll records; this will allow you to bill quarterly or by semester.

In-Kind Matches

(All Tiers)

We must approve any in-kind local match you wish to use *before any reimbursable work takes place.*

- You must get our approval before using any in-kind match for any portion of your local match and it must be included in your grant application and the scope of work attached to your contract or purchase order with us.
- Your expenditure ledger must also show the in-kind match in your general ledger. We need a copy of this general ledger showing the in-kind match.
- If you're using in-kind match on invoices to us, you need to attach a drawdown page that indicates how much of the in-kind match has been used.
- We require you to submit full documentation for in-kind match, no matter what Tier you're in.

Indirect Costs

(All Tiers)

If you request reimbursement for indirect costs, submit a letter from CDOT- (or other Colorado Department) that indicates pre-approval of those indirect costs. The letter must state what indirect costs are allowed and at what percentage. The indirect letter only needs to be submitted once and will be retained on file for future invoices. You must reconcile the indirect cost plan annually and submit an updated approval letter each year you're under contract with us.

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Section 5310 Eligible CAPITAL Requests

Funds for the Section 5310 program are available for capital expenses to support the provision of transportation services to meet the special needs of elderly persons and persons with disabilities.

CDOT'S priority is generally to fund vehicles/rolling stock before funding non-vehicle requests.

Note: CDOT does not fund used vehicles or equipment, 15-passenger vans, or standard passenger cars.

⇒	VEHICLES/ROLLING STOCK
✓	Buses (body on chassis vehicles; cutaway vans)
✓	Vans/Minivans
⇒	RADIOS AND COMMUNICATION EQUIPMENT, COMPUTER HARDWARE/SOFTWARE SECURITY CAMERAS
⇒	FLEET MAINTENANCE EQUIPMENT
⇒	VEHICLE EQUIPMENT/PARTS
✓	Wheelchair lifts and restraints (bought individually, not as part of buses above)
⇒	REHABILITATION
✓	Vehicle rehabilitation, manufacture, or overhaul
⇒	OPERATIONS and MAINTENANCE STRUCTURES
	For example, vehicle shelters, bus shelters, maintenance structures.
✓	Requests for facilities or structures must <i>first</i> meet strict federal guidelines. Contact Eric Ellis, Transit Grants Manager, at 303-757-9766 for information.
⇒	MOBILITY MANAGEMENT. See list of eligible activities at the end of this section.
⇒	OTHER
✓	The introduction of new technology, through innovative and improved products, into mass transportation; and

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Eligible EXPENSES for Section 5311

<i>Operating Expenses</i> <i>50/50 match</i>	Operating expenses costs directly related to system operations. At a minimum, the following items are considered operating expenses: fuel, oil, drivers' and dispatchers' salaries and fringe benefits, and licenses.
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<i>Project Administrative Expenses</i> <i>80/20 match</i>	Eligible project administrative costs may include:
	⇒ General administrative expenses such as salaries of the project director, secretary, and bookkeeper;
	⇒ Marketing expenses;
	⇒ Insurance premiums or payments to a self-insurance reserve;
	⇒ Office supplies;
	⇒ Facilities and equipment rental;
	⇒ Administrative costs for drug and alcohol testing.

<i>Capital Expenses</i> <i>80/20 match</i>	Acquiring, constructing, and improving public transit facilities and equipment needed for a safe, efficient, and coordinated public transportation system. Examples of eligible capital expenditures include:
	⇒ VEHICLES AND ROLLING STOCK
	✓ Buses
	✓ Vans or other Paratransit vehicles
	⇒ VEHICLE EQUIPMENT/PARTS
	✓ Wheelchair lifts and restraints
	⇒ RADIOS AND COMMUNICATION EQUIPMENT, COMPUTER HARDWARE/SOFTWARE
	⇒ FLEET MAINTENANCE EQUIPMENT
	✓ Initial component installation costs
	⇒ FACILITIES OR STRUCTURES
	Requests for facilities or structures must <i>first</i> meet strict federal guidelines. Contact Eric Ellis, Transit Grants Manager, at 303-757-9766 for information.
	✓ Construction or rehabilitation of transit facilities including design, and engineering;
	✓ Facilities to provide access for bicycles to transit facilities or equipment for transporting bicycles on transit vehicles;
	✓ Passenger shelters, bus stop signs, and similar passenger amenities.
	⇒ REHABILITATION
✓ Vehicle rehabilitation, manufacture, or overhaul	
⇒ OTHER	
✓ The introduction of new technology, through innovative and improved products, into mass transportation; and	
✓ Transit related intelligent transportation systems.	

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Eligible Projects for Section 5316 JARC

JARC funds may be used for capital, planning, and operating expenses that support the development and maintenance of transportation services designed to transport Welfare recipients and low-income individuals to and from jobs and activities related to their employment. For examples of capital expenses, refer to “Capital Requests for Section 5310.” For examples of operating expenses, refer to “Eligible Expenses for Section 5311.” Examples of eligible projects include:

⇒ Providing late-night service, weekend service, or guaranteed ride home service;
⇒ Providing shuttle service;
⇒ Expanding fixed-route public transit routes;
⇒ Providing demand-responsive van service;
⇒ Ridesharing and carpooling activities;
⇒ Supporting transit-related aspects of bicycling (e.g., adding bicycle racks to vehicles to support individuals that bicycle a portion of their commute or providing bicycle storage at transit stations);
⇒ Supporting the marketing of:
✓ Transit use by workers who have non-traditional work schedules;
✓ Transit voucher programs for welfare recipients and other low-income individuals, managed by appropriate agencies;
✓ Employer-provided transportation, such as shuttles, ridesharing, or carpooling; the development of employer-provided transportation such as shuttles, ridesharing, carpooling.”; or
✓ Transit pass programs and benefits under Section 132 of the Internal Revenue Code of 1986, <i>Transit and Parking Benefit Regulations</i> ;
⇒ Supporting the administration of and expenses related to voucher programs. This is intended to 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 to providers of alternative transportation services. The JARC program can provide vouchers to low income individuals to purchase rides, including:
(1) Mileage reimbursement as part of a volunteer driver program,
(2) A taxi trip, or
(3) Trips provided by a human service agency.
Transportation providers can then submit the voucher to the JARC project administering agency for payment based on pre-determined rates or contractual arrangements. Transit passes for use on fixed route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense that requires a 50/50 (federal/local) match;
⇒ Applying Geographic Information System (GIS) tools;
⇒ Implementing Intelligent Transportation Systems (ITS), including customer trip information technology;
⇒ Integrating automated regional public transit and human service transportation information, scheduling, and dispatch functions;
⇒ Deploying vehicle position-monitoring systems;
⇒ Supporting Mobility Management. See list of eligible activities at the end of this section.

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Eligible Projects for Section 5317 NEW FREEDOM

New Freedom program funds may be used for capital and operating expenses. Funds must support projects that are (1) *new public transportation services* beyond those required by the ADA or (2) *new public transportation alternatives* beyond those required by the ADA.

FTA requires projects have both components of being a new public transportation service or new public transportation alternatives, **and** beyond the requirements of the ADA.

Furthermore, projects must:

- be targeted toward individuals with disabilities; and
- meet the intent of the program by removing barriers to transportation and assisting persons with disabilities with transportation needs, including transportation to and from jobs and employment support services.

New Public Transportation Services Beyond the ADA	
Paratransit Services	The services provided must meet the definition of “new.” To be considered new, the service or activity may not have been operating or have an identified funding source before August 10, 2005. Examples of eligible projects include:
	✓ Expanding complementary paratransit service parameters beyond the 3/4 miles required by the ADA;
	✓ Expanding current hours of operation for complementary paratransit services that are beyond those provided on the fixed route services;
	✓ Providing same day service;
	✓ Enhancing the level of service by providing escorts or assisting riders through the door of their destination;
	✓ Acquiring vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for common wheelchairs under the ADA. Including labor costs of aides to help drivers assist passengers with over-sized wheelchairs. This would permit the acquisition of lifts with a larger capacity, instead of just modifications to lifts with a 600 lb design load. This would also permit the acquisition of heavier-duty vehicles for paratransit and/or demand-response service; and
✓ Installing additional securement locations in public buses beyond what is required by the ADA.	
Feeder Services	New “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.
Travel Training	New 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.

<p>Accessibility Improvements</p>	<p>New Freedom funds are eligible for new accessibility enhancements for individuals with disabilities so they may access greater portions of public transportation systems. This may include:</p> <ul style="list-style-type: none"> ✓ Building an accessible path to a bus stop that is currently inaccessible, including curb cuts, sidewalks, accessible pedestrian signals, or other accessible features; ✓ Adding an elevator or ramps, detectable warnings, or other accessibility improvements that are not otherwise required under the ADA to a non-key station; ✓ Improving signage or wayfinding technology; or ✓ Implementing other technology improvements that enhance accessibility for persons with disabilities.
<p>NEW PUBLIC TRANSPORTATION ALTERNATIVES BEYOND THE ADA</p>	
<p>Purchasing Vehicles</p>	<p>Purchasing and operating accessible vehicles for use in taxi, ridesharing, and/or vanpool programs if the vehicle has the capacity to accommodate, at a minimum, a passenger who uses a “common wheelchair” as defined under 49 CFR 37, <i>Transportation Services for Individuals with Disabilities (ADA)</i>, The passenger must be able to remain seated in their personal mobility device inside the vehicle. The vehicle must meet the same requirements for lifts, ramps, and securement systems specified in 49 CFR part 38, subpart B, <i>Americans with Disabilities Act (ADA) Accessibility Specifications for Transportation Vehicles, Buses, Vans, and Systems</i>.</p>
<p>New Volunteer Driver and Aide Programs</p>	<p>New 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, and other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs.</p> <p>The costs of new enhancements to increase capacity of existing volunteer driver programs are also eligible. Volunteer program supported by New Freedom must meet the requirements of both “new” and “beyond” the ADA. FTA encourages communities to offer consideration for using all available funding resources as an integrated part of the design and delivery of any volunteer driver/aide program.</p>
<p>New Mobility Management and Coordination Programs</p>	<p>Supporting Mobility Management. See list of eligible activities at the end of this section.</p>

Voucher Programs

Supporting the administration and expenses related to new 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. Only new voucher programs or expansion of existing programs are eligible under the New Freedom program. Vouchers can be used as an administrative mechanism for payment of alternative transportation services to supplement available public transportation.

The New Freedom program can provide vouchers to individuals with disabilities to purchase rides, including:

1. Mileage reimbursement as part of a volunteer driver program;
2. A taxi trip; or
3. Trips provided by a human service agency.

Transportation providers can then submit the voucher for reimbursement to CDOT for payment based on pre-determined rates or contractual arrangements. Transit passes for use on existing fixed route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense that requires a 50/50 (federal/local) match.

**Notes to Eligible Projects under Section 5317.**

CDOT believes that building curb cuts and sidewalks should be part of a more comprehensive plan for addressing mobility needs, and not simply an attempt to supplant the need for localities to construct sidewalks and curb cuts.

CDOT recognizes that elderly persons are often disabled, but also stresses that not all elderly persons are disabled. Applications should clearly describe the population that is to be targeted, including age ranges, type of disabilities, etc.

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Eligible Projects for Mobility Management

Mobility Management became an eligible capital expense under the FTA sections 5310, 5316 and 5317 programs with the SAFETEA-LU reauthorization bill. The 5310 program circular, updated and released in May of 2007, states that Mobility Management is an eligible capital expense supported by up to 80 percent Federal participation. According to FTA, Mobility Management consists of short range planning and management activities and projects for improving coordination among public transportation and other service providers, to include personnel and technology activities.

<p><i>New Mobility Management and Coordination Programs</i> <i>80/20 match</i></p>	<p>Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation.</p> <p>Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a non-profit agency could receive New Freedom funding to share services it provides to its own clientele with other individuals with disabilities and coordinate usage of vehicles with other non-profits. 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:</p>
	<ul style="list-style-type: none"> ✓ Promoting, enhancing, and facilitating access to transportation services, including integrating and coordinating services for individuals with disabilities, older adults, and low income individuals;
	<ul style="list-style-type: none"> ✓ Supporting short term management activities to plan and implement coordinated services;
	<ul style="list-style-type: none"> ✓ Supporting state and local coordination policy bodies and councils;
	<ul style="list-style-type: none"> ✓ Operating transportation brokerages to coordinate providers, funding agencies, and customers;
	<ul style="list-style-type: none"> ✓ Providing 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;
	<ul style="list-style-type: none"> ✓ Developing and operating one-stop transportation traveler call centers to coordinate transportation information on all travel modes and managing eligibility requirements and arrangements for customers among supporting programs; and
	<ul style="list-style-type: none"> ✓ 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 stand alone capital expense).

CAPITAL MANAGEMENT AND PROCUREMENT

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Capital management affects the safety, marketability and financial integrity of the transit system. All property you purchase with federal dollars is your responsibility. Furthermore, if you receive any property with CDOT-administered federal dollars, you must certify that any property purchased with FTA funds is used for public transportation services for the life of the equipment or facility and within the given service area or other area described in the grant application.

We, as the CDOT Transit Unit, have the right and obligation to review your maintenance and safety programs and we have the right and obligation to conduct period inspections of equipment and facilities funded with state and federal funds administered by the CDOT Transit Unit. Thus, you must maintain your property to a high level of cleanliness, safety, and mechanical soundness. You must establish a maintenance program.

Providing Legal Notice of Intent to Purchase Capital Equipment

When you apply for FTA capital funds through CDOT, FTA requires you contact anyone in the service area with a significant social, economic, or environmental interest in a project to give them an opportunity to comment or request a hearing on the proposed capital projects.

You must publish a legal notice 60 days before you apply to CDOT for capital funding grant(s) if you are applying for FTA Sections 5310, 5311, 5316, or 5317. For example, if your agency is applying in 2011 for the 2012 and 2013 grant cycle, the legal notice will list all capital projects to be applied for during this two-year period.

If you make a NEW request for capital equipment during the application update period (which would be in 2012 for 2013 funding), you'll need to publish the legal

Sample Language for Legal Notice

We provide the following as an example of a legal notice.

The <Applicant Agency Name> a <Municipal, Special Purpose, Private Nonprofit Organization>, intends to seek Federal Transit Administration assistance for capital expenses for calendar years <20xx and 20xx> through the Colorado Department of Transportation under the <Specify which FTA grant program(s) here, i.e.: elderly and persons with disabilities formula grant program Section 5310>. The project(s) are described as follows:

<Indicate the capital project(s) description here. If vehicles, list the type of vehicle, number of seated positions, and number of wheelchair spaces. If other capital, list general specifics, amount, type, etc.> in <Indicate the geographic service area>.

The deadline for submitting this application to CDOT is <Provide application due date here>.

Individuals or agencies seeking to request transportation service, coordinate transportation with <APPLICANT AGENCY NAME> or comment about the application should contact <Name of contact person at agency>, <Agency Address>, <Agency Phone Number>. Formal comments, requests for additional information, or requests for a public hearing must be received in writing by <Provide date here that gives a 30 day deadline from date of publication>. A public hearing may be requested to review and/or provide comment on the proposed grant request(s). Upon receipt of a request, a date will be scheduled and a notice of hearing will be published.

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notice. If your request remains the same as in your original 2012-2013 application, you don't have to provide legal notice.

The notice will advise the public and invite comment of all capital projects you're planning to apply for during two-year grant cycle. We've provided sample language for you. Publish the notice in the most frequently published newspaper in the service area. If the paper is printed daily, the notice must appear for three consecutive days.

- ➔ **Include a copy of the legal notice and an affidavit of publication with your application materials.**
- ➔ **Include documents related to a public hearing with your application materials.** If, as a result of your legal notice, someone requests and receives a public hearing, your application materials should also include:
 - a copy of the legal notice publishing the hearing date and time,

Sample Language for Public Hearing Legal Notice

We provide the following as an example of a legal notice.

Notice is given that <Applicant Agency Name> is applying for Federal Transit Administration financial assistance under the <Specify which FTA grant program(s) here, i.e., elderly and persons with disabilities formula grant program Section 5310>.

Upon request, a public hearing will be held by <Applicant Agency Name> for the purpose of considering this project for which financial assistance is being sought from the U.S. Department of Transportation. Grant funds will be used to <Describe project, including location, items to be purchased, constructed, etc.>.

At the hearing, <Applicant Agency Name > will provide an opportunity for interested persons or agencies to be heard with respect to the social, economic, and environmental aspects of the project. Interested persons may submit oral or written evidence and recommendations regarding the project.

Contact <Name of contact person at agency>, <Agency Address>, <Agency Phone Number>. A copy of the grant proposal is currently available for public inspection at <Agency Address>.

- an affidavit of publication,
- a record of the formal hearing,
- a list of individuals who attended, and
- a summary of the actions taken as a result of any issues raised during the public hearing.

Holding a Public Hearing

As the applicant, you must hold a public hearing ONLY if it is requested in writing in response to your legal notification of intent to apply for federal funds. If your agency receives a written request for a public hearing, follow these steps:

- Publish a separate legal notice specifying the purpose, time, and location of the public hearing in the same newspaper your agency published the first public notice. Run the notice for three days if it is a daily paper.

The place and time of the public hearing must be convenient for interested parties and the location must be accessible to elderly persons and people with disabilities.

The notice must appear at least two weeks before the date of the public hearing.

- Notify by mail all existing public and private transportation providers in your service area of the public hearing.
- Be prepared to receive written and oral statements and exhibits at the public hearing. Such statements must be accessible for non-English speaking people and people who are hearing and/or visually impaired.

At the public hearing, you must discuss the following:

- Applicant name and reason for application
- Type of service and service improvements to be provided
- Geographic boundaries of service area

"Buy America" Waivers, FTA Sets Its Position

(From NRC Capital Clips, February 17, 2011, National Resource Center for Human Service Transportation Coordination.)

Many of the community-based programs that partner with FTA grantees to provide coordinated transportation services use small (by transit standards) vehicles, often purchased "off-the-lot" from dealers. Many of the minivans, vans, and other small transit vehicles are produced, at least in part, in Canada, Mexico, or overseas. When FTA funds are involved, it becomes important to assure compliance with FTA's specific and unique "Buy America" requirements. Indeed, a few communities have turned to non-FTA sources, such as the HUD [Community Development Block Grant](#) program, for vehicle purchases at least in part because the process of assuring Buy America compliance becomes a challenging obstacle.

FTA Administrator Peter Rogoff wrote a statement of principles that had been in force ever since states and transit agencies began purchasing vehicles with "stimulus" funds from the [American](#)

[Recovery and Reinvestment Act](#), but which FTA applies to all vehicle acquisitions involving FTA grant funds, regardless of programs.

The [February 16, 2011, "Dear Colleague" letter](#), explicitly states, "FTA will not consider any requests for a public interest waiver of FTA's Buy America regulation... FTA has raised the bar for all Buy America waiver requests. All requests will be scrutinized. Most requests will result in FTA offering technical assistance to develop a solution that will not necessitate a waiver. Please be cautious about leading your projects down a path where a Buy America waiver will be needed, as it is unlikely to be granted."

Given the tenor of this letter, anyone concerned with the Buy America provisions that apply to capital purchases involving FTA funding should pay close attention to the regulations and related information at FTA's ["Buy America" web page](#).

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MOBILITY MANAGEMENT: A NEW ROLE FOR PUBLIC TRANSPORTATION

Overview

Mobility Management became an eligible capital expense under the FTA sections 5310, 5316 and 5317 programs with the SAFETEA-LU reauthorization bill. The 5310 program circular, updated and released in May of 2007, states that Mobility Management is an eligible capital expense supported by up to 80 percent Federal participation. According to FTA, Mobility Management consists of short range planning and management activities and projects for improving coordination among public transportation and other service providers, to include personnel and technology activities.

Mobility Management includes:

1. Making *innovative use of the transit resources* to respond to the demands of customers through:
 - a. Providing non-traditional services
 - b. Implementing technologies that increase travel options or convenience
 - c. Providing information on all modes at a single call center or web portal
2. A transportation organization serving the general public that responds to and influences the *demands of the market* by undertaking actions and supportive strategies, directly or in collaboration with others, to provide a full range of options to the single-occupant vehicle.

Mobility Management is a general term for strategies that result in more *efficient* use of transportation resources, as opposed to increasing transportation system supply by expanding roads, etc.

Mobility Management—The Federal Vision

(Taken from William W. Millar, President, American Public Transportation Association (APTA), May 2008, written for a national audience)

Several years ago a series of studies were undertaken through the Transit Cooperative Research Program (TCRP) to identify what services future consumers of local transportation would want. TCRP's New Paradigms project, as it became known, laid out a new vision for transit operators. It identified a need for agencies to move into a broader transportation planning role in their communities—to serve as a single source for coordinating a full range of mobility options and informing customers accordingly. Many transit agencies embracing this concept of mobility management.

Mobility management involves creating partnerships with transportation providers in a community or region to enhance travel options, and then developing means to effectively communicate those options to the public. With this approach, resources can be coordinated efficiently, customers are able to make better decisions, and the focus is on enhancing customer service. Among its benefits, mobility management:

- Complements the traditional model of moving large numbers of people with one that meets the unique set of needs of each community
- Replaces the business strategy of exclusively managing owned assets with a strategy that encompasses customer-driven partnerships and alliances among multiple transportation providers with the goal of saving costs overall
- Relies on expanded partnerships and alliances with public and private organizations, and for-profit, not-for-profit, and community service providers
- Emphasizes, above all, multimodal rather than single-mode solutions

“Agencies need to move into a broader transportation planning role in their communities, to coordinate a full range of mobility options and inform customers accordingly.”

From a business perspective, mobility management offers greater efficiency in the use of transportation resources, with potential cost savings and increased service effectiveness—a combination that can be used to reduce bottom line operating costs, or increase services, or both.

Mobility Management—Making the Business Case

Denver, Colorado: RTD Provides Services “Closer to the Customer”

With a service area of more than 2.5 million people located in 2,327 square miles, Denver’s Regional Transportation District (RTD) has created mobility management services that are “closer to the customer” and more cost-effective than typical services. Enthusiastically embraced by the public, two of these programs—the vanpool program and the access-a-taxi program that provides an alternative to some ADA paratransit services—are saving RTD over \$2 million per year while providing access to increased numbers of people. RTD’s other mobility management programs include call-n-ride, bike-n-ride, and guaranteed ride home. Programs under development include additional taxi services, car sharing, feeder bus services to light rail, and transit-oriented land use developments.

Mobility management is a strategic approach to service coordination and customer service that is becoming a worldwide trend in the public transportation sector. The expectation is that, over time, transit agencies should move beyond the traditional role as operators of fixed-route service and assume a broader role in coordinating the full range of mobility services in their communities. Following are questions and answers about the opportunities and potential advantages for transit agencies in considering development and implementation of mobility management programs.

Mobility Management—Frequently Asked Questions

Mobility management is a strategic approach to service coordination and customer service that is becoming a worldwide trend in the public transportation sector. The expectation is that, over time, transit agencies should move beyond the traditional role as operators of fixed-route service and assume a broader role in coordinating the full range of mobility services in their communities. Following are questions and answers about the opportunities and potential advantages for transit agencies in considering development and implementation of mobility management programs.

Q. Will more innovative and efficient uses of transit resources assist agencies to move beyond establishing and operating traditional fixed-route transit systems?

A. Yes—but not just transit agencies. The role of the mobility manager will be to organize and foster a network of diverse transportation services and providers to offer a full range of travel options for individual customers. This may seem foreign to the transit manager who is accustomed to moving masses on single mode fixed routes. It will take a shift in consciousness—an entrepreneurial spirit—to champion a planned and deliberate synergy of transit services with land use, infrastructure and population. Managers will have to be trained to be advocates for flexible and creative transportation solutions based on need.

Beyond that, we have to educate the public on the need for increased mobility and how transit agencies can provide that mobility. We will work with the private sector, human service providers, and non-traditional mobility providers to change institutional environments. And finally, we will need to implement transportation and land use policies that will encourage and fund all forms of mobility services.

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“It’s important that the transit industry look beyond the fixed route, and work to improve the operation of other transportation resources. A more recently recognized benefit is the reduction of carbon emissions through coordinated scheduling to reduce vehicle miles traveled.”


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Q. What are the components of a good mobility management program?

A. Since the mobility management model is one of customized delivery of transportation service, no two programs are alike.

Each program will be designed specifically for each unique community, with innovation as the driving force. That being said, some common elements will include:

- multiagency partnerships that can reduce costs through efficient and effective coordination; potential partners might include social service agencies, senior programs, non-emergency medical providers, and taxi companies in a customer-driven, market-based approach to transportation delivery that offers a variety of individualized travel options
- greater use of information technology systems in real time
- the development and implementation of one-stop travel information and trip planning systems
- traffic management strategies and coordination of public transportation with infrastructure development and land use policies

Q. Why would transit agencies that operate large buses and railcars want to be mobility managers?

A. Transit agencies need to maintain and expand their role in communities as the “go-to” source for transportation. Their job is not to move rolling stock, but to move people effectively, efficiently, and inexpensively. It makes good business and financial sense to provide better service for less money. The business world is replete with many examples of companies suffering mightily when they were late to recognize a paradigm shift. That’s the kind of challenge that faces us.

Q. What are some of the nontraditional transit services that might be

involved in a mobility management program?

A. There are many non-traditional forms of transportation services that can be, and are, included in mobility management programs, including carpooling/vanpooling, volunteer drivers, hourly rental cars, travel training, travel vouchers for riders, and real-time demand response services that include taxis and other providers.

Q. How widespread is this coordinated approach in other industries? Within the transit industry, what are some examples of successful, viable mobility management programs?

A. An example of the concept in use is the business practice of UPS, FedEx, and the US Postal Service. These companies all compete with each other, but they also share delivery resources, making the customer the primary focus. Mobility management practices among transit and transportation providers would be similar. Some good examples of mobility management practices in the U. S. include Denver, Colorado, Portland, Oregon, and Southeastern Michigan. [Denver was further described in the “Business Case for Mobility Management” section.]

Q. How are customers better served as a result?

A. Customers can go to a single source to learn about their travel options and understand which work best for them. Through mobility management, customers will have a wider range of travel modes and trip prices. The overall result will be greater mobility for travelers, which in turn will stimulate increased economic activity and social interaction.

Q. How can transit systems save money and operate more efficiently as a result?

A. For transit agencies with mobility management programs, efficiencies of coordinated services result in operating budget savings. RTD in Denver reports that it saved nearly \$700,000 in its van-

pool programs and \$1.5 million in taxi user-side subsidies; SMART in South-eastern Michigan saved \$2.7 million in its community programs; and Portland's TriMet reports saving nearly \$2 million through the efficiencies of coordinated service.

Plus, improved customer service means additional riders and more satisfied customers.

Q. How can transit systems use new technologies to facilitate the implementation of mobility management programs?

A. Fortunately, information technology systems have advanced to the point where communities are now able to plan and match requests with real-time, state-of-the-art call center systems to facilitate mobility management.

Q. What are the institutional barriers to implementing mobility management? How can they be overcome?

A. The biggest institutional barrier is the status quo attitude, "I've always done it this way and it works, so why change?" Those of us who see the need for change must encourage others to embrace change if we are going to evolve — to provide better service more efficiently.

Q. Are there any resources and/or programs that currently support mobility management efforts?

A. Mobility management activities are now an eligible expense in FTA formula grant programs. These activities include planning, management, and improved coordination of resources, as well as staffing mobility manager positions.

Q. Where can we learn more about mobility management and implementing a mobility management plan?

A. APTA has developed presentations that address mobility management issues at APTA conferences. Other resources include:

- [United We Ride](#)
- [National Transit Institute](#)
- [Project Action](#)
- [National Center on Senior Transportation](#)
- Community Transportation Association of America and the National Resource Center for Human Service Transportation Coordination

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SUSTAINABILITY, LIVABILITY, AND TRANSIT

This year's application asks you a few questions about "sustainability," and whether your agency incorporates sustainable principles in its planning or procurement practices. This section presents a discussion of sustainability for the transit industry.

At its core, sustainability is a way to make our communities more livable by integrating and balancing economic, social, and environmental needs. Sustainability is about practices that make good business sense—and good environmental sense. It is balancing the economic, social and environmental needs of a community. For the public transportation industry, this means:

- Employing practices in design and capital construction, such as using sustainable building materials, recycled materials, and solar and other renewable energy sources to make facilities as 'green' as possible.
- Employing practices in operations and maintenance such as reducing hazardous waste, increasing fuel efficiency, creating more efficient lighting and using energy-efficient propulsion systems.
- Employing community-based strategies to encourage land use and transit-oriented development designed to increase public transit ridership.

An empty bus cannot be a sustainable bus!

The following overview is taken from *Transit Sustainability Guidelines, A Framework for Approaching Sustainability and Overview of Best Practices*, Draft, September 20, 2010, APTA Standards Committee. See http://www.apta.com/resources/hottopics/sustainability/Documents/Transit_Sustainability_Guidelines_Draft_09-20-10.pdf. APTA is an excellent source for information on sustainability standards, resources, workshops, and training (www.apta.com/resources/hottopics/sustainability).

For the transit industry to achieve true sustainability, it must take a holistic approach toward what a transit agency can and should contribute. Improving transit systems' performance and integrating transit with community development is more vital to sustainability than simply reducing the environmental footprint of agency facilities. A transit system can consist of the greenest of earth-friendly, energy-efficient facilities and fleet, but it does little good if it is not used. An empty bus cannot be a sustainable bus!

A holistic practice of transit sustainability leads to a more livable community. Sustainability practices by the transit industry should aim at having broader impact through the following:

1. Improving mobility via enjoyable transit services.
2. Creating livable communities by facilitating more environmentally friendly forms of mobility such as walking, biking, and public transit, and increasing the number of routine destinations that are safely and comfortably accessible through these modes.
3. Reducing per capita automobile vehicle miles traveled.
4. Reducing stress, loss of productivity, traffic deaths and injuries, and related health care costs caused by

automobile travel.

5. Reducing passenger transportation-generated CO₂ and other greenhouse gases.
6. Reducing passenger transportation-caused ambient hazards such as noise, pollution, and vibration.

Basic Components of Transit Systems

Transit systems, no matter what the mode, have basic components which vary slightly between transit service providers, and consist of the following four elements:

1. System Route and Transit Mode/Node
 - a. Bus transit uses shared or dedicated roadways and stops
 - b. Rail transit operates on track right-of-way (guideway) and fixed station site properties.
2. Infrastructure and Facilities
 - a. Bus transit uses shared or dedicated roadways or guideways and has its own communication system, as well as revenue and non-revenue facilities and supporting transit operations.
 - b. Rail transit's track and right-of-way requires civil/structural, power, and communication systems, as well as revenue and non-revenue facilities supporting transit operations.
3. Rolling Stock and Fleet
 - a. Bus transit has buses as well as supporting vehicles
 - b. Rail transit has train (assembly of rail cars) for revenue service and significant amount of non-revenue rail and rubber-tire vehicles supporting maintenance and operations. Heavy rail also has locomotives.
4. Operations and Maintenance
 - a. The unique operating attribute of

a transit system is the combination of operating moving parts (fleet), stationary parts (infrastructure and facilities), and the interaction of the two. To effectively develop the practice of sustainability, transit agencies have unique challenges to integrate and optimize holistic operation and maintenance of fleet, infrastructure, and other facilities.

Five Key Sustainability Attributes

Smart Land Use and Livable

Neighborhoods: The impacts of transit agencies' planning, design, joint development, and operations policies and programs to local and regional land use, mobility, and place-making.

Materials, Construction/Operations

Optimization: Material selection in design, construction, and fabrication of transit system and facilities elements. Also includes policies and programs that promote sustainable operations, as well as durable materials used in facilities construction and products used in operations, such as cleaning products and chemicals.

Energy and Resources Efficiency: Reduce waste in power, fuel, and water consumption. Includes opportunities for energy efficiency and renewable energy.

Quality of Ambient Environment and

Health: Positive riding experience, system cleanliness, sense of safety and secu-

“Livability means being able to take your kids to school, go to work, see a doctor, drop by the grocery or post office, go out to dinner and a movie, and play with your kids at the park, all without having to get into your car. Livability means building the communities that help Americans live the lives they want to live—whether those communities are urban centers, small towns, or rural areas.”

DOT Secretary Ray LaHood

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rity ambience, place-making, as well as easy access and navigation of the transit system.

Emissions and Pollution Control: Emissions and discharges related to fuel, chemical use, solid waste management, wastewater, storm water, and other sources of pollution.

The matrix in Figure 1 conceptualizes scale of opportunities for implementing each of the five sustainability attributes in each of the four transit elements. The scale provides an indication that each of the transit elements has its unique potential to maximize opportunities and to achieve results in pursuing each of five sustainability attributes.

1. System Route, Transit Mode and Node

The physical siting and the alignment of public transportation routes have a profound impact on urban growth patterns and sustainability potential, more so than any other aspect of transit design. The following guidelines address transportation planning as community building through attention to context. [For the full list, refer to the complete report on the APTA website.]

1a. Smart Land Use and Livable Neighborhoods

- Partner with local and regional planning agencies to create transit supportive land use policies.
- Promote partnerships for transit-oriented development.
- Make livable neighborhoods a center piece of system planning.
- Integrate transit alignments and nodes into neighborhoods through the use of appropriate scale.
- Plan for and encourage intermodal connections and transfers, including non-motorized access to transit modes.
- Optimize parking and reduce long-term automobile dependence.
- Engage stakeholders early on in the design and integration process.

1b. Energy and Resource Efficiency

- Consider energy consumption in mode choice.
- Design alignment to optimize energy use.
- Develop partnerships for renewable energy.

Figure 1: Opportunities to Implement Sustainability Attributes by Transit System Components

Implementation Opportunity		Sustainability Attributes				
		Smart Land Use and Livable Neighborhoods	Materials and Construction/ Operations Optimization	Energy and Energy Resource Efficiency	Quality of Ambient Environment and Health	Emissions and Pollution Control
Transit Element	1. System Route, Transit Mode and Node	☝☝☝	☝	☝☝	☝☝☝	☝
	2. Infrastructure and Facilities	☝☝	☝☝☝	☝☝	☝☝☝	☝☝
	3. Rolling Stock/Fleet	☝☝	☝☝☝	☝☝	☝☝☝	☝☝
	4. Operations and Maintenance	☝	☝☝☝	☝☝	☝☝☝	☝☝☝

Implementation Opportunity: ☝ Less, ☝☝ More, ☝☝☝ Most

1c. Quality of Ambient Environment and Health

- Promote healthy modes of transportation.

1d. Emissions and Pollution Control

- Evaluate long-term impact of modal choices.
- Design to minimize noise and vibration.

2. Infrastructure and Facilities

This system includes an overview of guidelines for planning, design, and construction of all physical elements (excluding fleet). Stations, transit nodes, terminals, supporting facilities and systems, and corridors are addressed.

‘Green buildings make efficient and effective use of resources—energy, water, raw materials, and land—and provide a healthy environment for working, playing, learning, and living. By applying green building practices to new construction and refurbishment of existing facilities, transit agencies can conserve resources through lower construction, operations, and maintenance expenditures.’ —FTA

FTA, in its Transit Green Building Action Plan (http://www.fta.dot.gov/documents/Transit_Green_Building_Action_Plan.pdf), published in July of 2009, identifies several green building rating and analysis systems that provide a trussed framework for planning and execution of sustainable rehabilitation and construction: USGBC LEED™, UK BREEAM, Green Building Initiative’s Green Globes, US DOE and EPA’s Energy Star, and ASHRAE. Integrated design of facilities and infrastructure shall follow the core concepts and principles as well as strategies outlined in the existing green building rating systems as applicable. [For the full list, refer to the complete report on the APTA website.]

2a. Smart Land Use and Livable Neighborhoods

- Integrate transit facilities with neighborhood design along system route.

2b. Materials and Construction/Operations Optimization

- Design for service life, quality, durability, and flexibility.
- Design for material applicability and low maintenance.
- Select materials with low embodied energy (e.g., local, recycled, recyclable)
- Incorporate innovative sustainable construction practices.

2c. Energy and Resource Efficiency

These guidelines are aimed at improving the energy efficiency of infrastructure and facilities that are unique to transit.

- Energy Harvesting Energy Conservation and Recovery
- Energy Efficiency
- On-site Generation
- Consider innovative approaches to energy usage
- Partner with local power utility

2d. Quality of Ambient Environment and Health

These guidelines are aimed at creating a positive and healthy ambient environment within transit facilities and along transit corridors in order to attract and maintain riders. Ambient environment is considered in three tiers:

- * Comfort,
 - * Health, and
 - * Safety
- Enhance security and safety (friendly, safe, and secure for all demographics).
 - Provide inviting space.
 - Provide comfortable experience.
 - Implement high-quality wayfinding systems (where and when).

2 e. Emissions and Pollution Control

These guidelines are aimed at proactively reducing the potential contribution of transit systems infrastructure and facilities to air and water pollution beyond current regulatory requirements. Methods to reduce air emission, wastewater discharges, hazardous waste, and pollution in general are presented.

- Mitigate contaminated areas and brownfields.
- Control hazardous materials, water effluent, and air pollution.
- Design for water efficiency and reuse.
- Establish greenhouse gas monitoring on facilities.
- Implement waste management and recycling procedures (other guidelines and standards).

3. Rolling Stock/Fleet

This section provides guidelines for improving the sustainability of elements unique to the transit vehicle fleet. Recommendations are relevant to planning, procurement, design, construction, and operation of fleet.

3a. Smart Land Use and Livable Neighborhood

These guidelines are aimed at optimizing transit systems planning, land use and site configuration to reduce vehicle operational carbon footprint and enhance livable neighborhood measures.

- Consider vehicle choice in system planning.
- Design vehicle and fleet capacities to match transit network size.
- Design vehicle with neighborhood and geography in mind.

3b. Materials and Construction/ Operations Optimization

These guidelines are aimed at improving the sustainability of materials unique to transit. The long-term viability of these materials is critical for the sustainabil-

ity of transit fleet manufacturing and maintenance processes that should take a holistic approach to green engineering for transit fleets.

- Incorporate environmentally preferable materials. Specify which environmental attributes are important—recyclability, weight, chemical safety, carbon footprint, etc., and prioritize among them.
- Consider bus-specific preferred materials. [For example, Specify designs that minimize welding and allow for body panel replacement without using welding or fiberglass.

3c. Energy and Resource Efficiency

These guidelines are aimed at improving the sustainability of energy elements unique to transit fleet. The long-term viability of these elements is critical for the sustainability of transit fleet manufacturing and maintenance processes, which should take a holistic approach to green engineering for transit fleets.

- Integrate vehicle design and related systems.
- Consider alternate fuels and energy consumption.
- Consider operation during design.

3d. Quality of Ambient Environment and Health

These guidelines are aimed at creating a positive, healthy ambient environment for riders on vehicles and vessels. When riding transit is enjoyable, people will be more likely to choose transit over other modes of transportation.

- Design for pleasant riding.
- Enhance bus-specific riding experience.

3e. Emissions and Pollution Control

These guidelines are aimed at reducing greenhouse gas air emissions and potential contributions of the transit system's fleet to air pollution, considering over-reliance on fossil fuels.

- Measure and reduce greenhouse gas (GHG) emissions from vehicle operation.
- Reduce diesel fuel from fleet operation.

4. Operations and Maintenance

Once designed, constructed, and commissioned, the transit operation commences. The environmental sustainability opportunities in the operation of a transit system are addressed in this section.

4a. Smart Land Use and Livable Neighborhood

These guidelines allow a transit system to consider aspects of its operations and maintenance activities when planning new or updated features of the system, including facility configuration, land use, and site design.

- Consider livable neighborhood measures for service planning and scheduling.
- Optimize type and siting of fueling and maintenance facilities

4b. Materials and Operations Optimization

These guidelines provide activities of sustainability for both organizational management and operational practices including policies, programs, and using materials for maintenance in a way that applies concepts of life-cycle analysis, increased length of use, potential for reuse/recycle, and reduction of toxics.

- Policies, Programs, and Organizational Management
- Green Procurement for Maintenance and Upgrades
- Paints, Solvents, and Cleaners
- Refrigerants, oils, engine coolant, and batteries

4c. Energy and Resource Efficiency

These guidelines are aimed at reducing energy consumption in transit operations and maintenance, investigating ways to improve energy efficiency and identifying what renewable energy systems might work for various operations and maintenance activities within the system.

- Develop and implement energy and water conservation procedures
- Improve energy efficiency of operations and lower peak demand
- Use renewable energy resources

4d. Quality of Ambient Environment and Health

These guidelines are aimed at transit system operation and maintenance practices to create a positive, safe, and healthy ambient environment for patrons.

- Provide clean and attractive vehicles, stations, and transit nodes.
- Ensure friendly and courteous services.
- Plan for crowd control and monitor riding comfort.
- Consider innovative health and safety devices and programs.

4e. Emissions and Pollution Control

Pollution reduction and prevention requires close monitoring of operations and implementation of environmental policy, as well as training. Training for emergency response for situations such as spills, for example, is normally part of an Environmental Management System. A transit organization's Environmental Management System uses management policy, commitments, and implementing procedures to set goals, achieve them, and monitor and continuously improve environmental performance.

For a transit agency, reduction of pollution and emissions primarily relates to the prevention of spills, leaks, and air emissions, as well as reduction of waste and the reduction and proper storage, use, and disposal of hazardous materi-

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als. Where possible, materials purchased should be evaluated to ensure that the least hazardous materials appropriate for the designated use are being purchased. Hazardous materials should be tracked and systematically eliminated from use, where possible. Materials and construction for transit agency operations and maintenance, a green procurement process can be used to track and prevent the purchase of identified hazardous materials.

The reduction of solid waste can be achieved in many ways. Preventing waste and recycling are the most prevalent. Most materials can be recycled or reused. In a transit organization, it is typical to recycle metals, wood, paper, batteries, waste oil, solvents, grease, used oil filters, antifreeze, tires, and electronic equipment, to name a few. Also, at the end of their useful life, vehicle can be sold for scrap or for other uses. From an environmental sustainability perspective, it is important to know the end destination of these recycled products. Green procurement, or environmentally responsible purchasing, is valuable for establishing this type of information in a large organization.

- Implement pollution reduction strategies—eliminate, reduce, re-use, and recycle.
- Enhance facility performance and longevity
- Manage wastewater

5. Implementation Tools

This section includes tools that have been successfully used by transit agencies to implement the sustainability guidelines provided herein [only an overview from the original document—*ed.*]. Details and case studies are available in Transit Sustainability Practice Compendium. The following table lists key implementation tools and benefits.

Advocacy: Promoting sustainability internally and to the community. Actively

marketing the benefits of transit to the community. One of the primary goals of the guidelines is to enhance transit so that it becomes a more viable mode of transportation than traveling by automobiles – An empty bus cannot be a sustainable bus. Learn from the effectiveness of the automobile industry’s commercialization, which convinces the public to buy and drive cars. Be sure the community is getting information on the “good neighbor” role transit plays in reducing pollution.

Reframe transit by promoting its strengths. Highlight the competitive advantages of choosing transit over driving.

Partnering: Building mutually beneficial relationships with a diverse group of external stakeholders and internal staff, management, board members, and others. Ensure early and ongoing dialogue to coordinate sustainability efforts, share results, and institutionalize an agency-wide ‘culture’ of sustainability. Provide appropriate funding and resources for sustainability education, training, and outreach functions.

Systematic Evaluations: Multiple Account Evaluation is a systematic, comprehensive evaluation method, incorporating both qualitative and quantitative costs and benefits, used to compare and assess alternate projects or initiatives. Performance Management means tracking how an agency is performing and documenting results.

Measurement will allow the agency to monitor projects and programs to make them more effective, and to more efficiently use resources.

Agencies should develop an internal or third party sustainability commissioning program. Those individuals charged with developing sustainability measures should meet with agency administration, human resources, legal, planning, operations, maintenance, marketing, and public affairs stakeholders to align interests, goals, opportunities, protocols, and reporting processes.

Life Cycle Assessment: A tool to evaluate and weigh ‘cradle to grave’ environmental impacts and costs of materials and processes.

Environmental Management Systems/ Sustainability Management Systems (SMS): A systematic, comprehensive approach to managing environmental impacts (and social and economic impacts for an SMS) in ways that are best suited for each individual agency.

Background and More Information

Information within this document is based on content from the Transit Sustainability Practice Compendium, which is a living document created by an expert team of transit practitioners. The Compendium is far more comprehensive in scope and detail, while this document is limited to high-level information.

The Compendium provides transit agencies with a broader range of best practices and case studies for improving their systems and achieving their sustainability objectives. It focuses on practices which are unique to transit. Best practices that are not unique the transit industry but are applicable to many aspects of transit facilities and operations—such as the LEED Rating System and ISO 14000 – are listed as Reference Standards.

The Compendium addresses all modes of transit, all service areas and all sizes of operations. Recommended practices attempt to consider the degree of control or influence transit agencies have in particular areas as well as expected environmental and social improvements. The compendium serves as:

- A reference book for transit professionals and decision-makers looking for tangible means to improve the sustainability of transit systems,
- An informational resource for (1) policy makers seeking a holistic approach to environmentally sustainable transit and (2) transit professionals, municipalities and communities looking to become more informed,
- A reference to promote a common language and maximize effective transit investments,
- A resource to highlight the need and advantages of partnerships, and
- A tool to aid in better understanding and accounting for the sustainability of current systems.

The compendium is available on APTA’s website.

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FASTER: COLORADO'S GRANT FUNDING FOR TRANSIT

Colorado funds statewide transit projects under 2009 legislation called FASTER, for "Funding Advancements for Surface Transportation and Economic Recovery" (SB 09-108¹). Ninety percent of the funding goes to highway projects, but the legislation provides \$15 million in matching grant funds each year for five years (2010—2014). Of that \$5M is available for local transit projects and \$10M for multimodal, transit-related projects. All the funds are for capital use only.

CDOT has allocated FASTER transit funding for state FY 2010–2012. Additional funding allocations will be determined after the program is evaluated in 2012.

We're including a little information for you here, but if your agency is interested in pursuing future FASTER funding, contact Tom Mauser, Transit Manager, at 303-757-9768 or Eric Ellis, Transit Grants Manager, 303-757-9766, for more detail, including information about timeframes and applicant eligibility.

Funds are and will be available for capital expenses like rolling stock, equipment, and facilities; funds are NOT available to purchase land or office equipment. Funding requires a minimum of 20 percent local cash match.

Project requests will be evaluated based on how critical they are; long-term sustainability, financial capacity, and financial need; project impact; and readiness.

Each CDOT Engineering Region ("Region") has a given amount of funding, so good planning and awareness of the process is essential. Projects are selected through a planning and prioritizing process ("4P"), that results in a list of projects called the STIP (Statewide Transportation Improvement Program).

For projects to be funded, they have to (1) be in the STIP, and (2) there must be funds available. Furthermore, the projects must be submitted by eligible appli-

cants² who have been working with their county commissioners, Transportation Planning Region(s), and metropolitan planning organization (if applicable).

It's possible that your local officials are unfamiliar with Colorado-funded transit projects. Colorado funding for transit is a new development. Transit projects have rarely been proposed to County and TPR meetings in the past, so some local elected and government officials are just now learning about funding transit and processes involved.

Bottom line here is that applicants should start communicating with local officials early on because they'll only consider funding transit projects that have been presented to them and which they think are worth considering.

The Regions will ask you, as the applicant, to submit a brief project summary form to

- The CDOT Division of Transit and Rail,
- The requesting agency's TPR/MPO, and
- Their Engineering Region

DTR developed a project summary template for you to use to request project funding under FASTER. It includes a project description, cost, and stage of readiness. DTR will verify your eligibility, project, and your financial capacity.

The regional/metro transportation plan should be the starting point for a 4-P process. The TPRs/MPOs will verify the projects consistency with the Regional Transportation Plan.

Once they have requests to review, the Regions meet with the TPRs/MPOs to rank and prioritize proposed FASTER projects. They'll develop a STIP transit list for FY 2010–FY2017³ within the amount allocated to that CDOT Region.

The Transportation Commission will ultimately approve the STIP.

Sometimes transit agencies aren't able to plan as far in advance as the STIP requires. Rather than commit all the five years of available funding *upfront*, DTR has encouraged the Regions to commit project funds for the first three years), so that the new transit funding process can be reviewed and new projects can be proposed and funded.

Once funded, the Regions will manage the contracts for the projects they would typically oversee; these are primarily construction-related projects. DTR will generally manage project requests related to procuring rolling stock and equipment.

Eligible Projects

FASTER funds can be used to match FTA transit grants. In addition, FASTER funds can be used for

- Capital expenses, as defined by the FTA, including rolling stock, facilities or stations, and equipment, but not land purchases or office-related equipment, or operating, administrative, or planning expenses.
- Park-and-Ride facilities if the facility will have a transit component, i.e., buses must use the facility.
- Multi-regional projects such as intercity bus service. Applying for funds to each region affected isn't necessary, but coordinating with those regions is.

- Technology improvements that enhance transit services on high priority corridors, including signal prioritization and ITS.
- Technology improvements significantly improve human services transportation coordination using mobility management tools such as call centers.
- Wayfinding signage between modes (e.g., signage for intermodal facilities, intercity bus stations, Amtrak, park-and-rides, etc.).
- High Occupancy Vehicle (HOV), Express Lanes (HOT) queue jump, and bus pull-out lanes, Bus Rapid Transit projects, and bus lanes.
- Bike racks, lockers, and bike parking at multimodal stations.
- Enhanced modal connections, such as trails, sidewalks and bike lanes leading to major transit stations, if they have a transit connection and enhance transit ridership.

Notes

See CRS 43-4-206, *State Allocation* (2)(a)(I), "at least ten percent of such revenues shall be expended for transit purposes or for transit-related capital improvements." For more information about FASTER and transportation funding, see <http://www.colorado.gov/cs/Satellite?blobcol=urldata&blobheader=application%2Fpdf&blobkey=id&blobtable=MungoBlobs&blobwhere=1251658258019&ssbinary=true>.

GRANT PROGRAM
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If your agency is interested in pursuing future FASTER funding, contact **Tom Mauser**, Transit Section Manager, at 303-757-9768 or **Eric Ellis**, Transit Grants Manager, 303-757-9766, for more detail, including information about timeframes and applicant eligibility.

THE APPLICATION, STEP-BY-STEP

In this section:

- Section A, Section A for All Applicants
- Section B, Evaluation Narrative Sections 5310 and 5311
- Section C, Proposed Scope of Work for Section 5311
- Section D, Intercity Bus Section 5311(f)
- Section E, Job Access/Reverse Commute (JARC) Section 5316
- Section F, New Freedom Section 5317
- Section G, Mobility Management for Sections 5310, 5316, 5317

SECTION A FOR ALL APPLICANTS

All applicants must complete this section! Be thorough but concise. Space on the form is limited!

Please, no “shaggy dog” stories or “bleeding heart” tales of specific clients! Anecdotal stories have limited value for grant evaluators reviewing applications. Keep your responses objective and on point.

Section A asks applicants to summarize the project request. Specific project details are requested in the sections for each individual grant.

A1·Project Request Summary

Name of Applying Agency. Type in the name of the agency you’re applying for.

DUNS Number. Add your DUNS number, if you have one.

Grant Request. Add a short title that helps identify your project specifically. For example, “5310 Capital Funds for One Paratransit Body-on-Chassis” or “5316 JARC Operating Funds for HD Transit Employment Route.” This will help the grant reviewers identify your project.

Brief Description of Project. Provide a brief, two or three sentence that describes your project in general.

Project Name. Give a one-sentence title for your project request. Use a what-who format, like “Two Bus Replacements Under 5310 for Softail County,” or “Mobility Management Training for the Town of Iron Horse using New Freedom Funds.”

Project Description. Provide a two or three sentence description of your request.

If you are asking for more than one project, or you are asking for funds from more than one grant source, fill out the remaining boxes in this subsection.

A2·Funding Request Summary

These two tables asks you to summarize all the grant funding requests you are applying for. Enter the amount of federal funds you’re requesting under each grant. The remainder of the column should fill in automatically. Keep track of the values in each cell, you’ll use them again.

➔ If the table fails to calculate automatically, don’t panic! It’s probably a software problem. Do one of two things—manually enter the values in the appropriate cells (if the document allows you to); or recreate the table in a separate document, either word processing or spreadsheet and include it when you submit the application.

Because there are four pots of funding in this application, it is important the grant evaluators have a summary of all your

funding requests. It is also important for you to see the full scope of the amount of local funding being committed by making these requests for federal funds.

→ **Make sure the figures listed in this table and are the same as listed in the grant specific sections of the application.**

A3. Proposed Subcontractors or Sub-Recipients

List all contractors or sub-recipients who will perform activities associated with any proposed project for which this application seeks FTA funding assistance. Federal regulations require *all* subgrantees to comply with applicable federal laws, regulations, and directives except to the extent the State determines otherwise in writing. Grantees must enter into written agreements (subcontracts) with each subgrantee stating the terms and conditions of assistance if subcontractors take on responsibilities of the project usually performed by the grantee.

A4. Transportation Coordination

Coordination of services means the integration of transportation provider services with social/human service agencies, commercial operators, other transportation providers, community organizations, etc. Applicants who work effectively with other agencies to provide or participate in a network of transportation service generally receive higher scores than applicants who do not.

Evaluators consider each applicant's unique environment, such as service area population, the number of human service agencies/providers that operate within the service area and how effectively the applicant has worked with them.

List public and private transit operators in your service area and describe your relationships with them. Describe the

quality and depth of your mutual or joint coordination. List contractual agreements with these organizations (even those who don't generally provide transportation services).

If you broker service, describe how the brokering service meets the transportation needs of all agencies involved.

To the maximum extent possible, applicants are expected to contact and work with all transportation providers in their service area, including human service agencies that provide service or purchase service. CDOT expects all applicants for funding assistance to have contacted human service agencies that need service (e.g., Welfare to Work, Temporary Assistance to Needy Families). CDOT also expects applicants to have contacted and be in contact with employers that need service for employees and/or potential employees, subsidized housing facilities, and any other agency that has consumers needing transportation to access their services.

For a variety of reasons, it may be difficult for some applicants to coordinate services with others in their community. CDOT recognizes an applicant's "good faith effort" in community coordination of transportation services as much as it does successful, actual outcomes of coordination, such as service and/or coordinating agreements. CDOT's position is FTA funds are awarded to a *community* for the provision of *services* in that community, based on the merits of an applicant's proposal. Therefore, evaluation of an applicant's coordination of services includes an assessment of the *community's* ability and willingness to coordinate transportation services and make the best possible use of all available resources as well as an applicant's willingness to coordinate their services. If a community chooses not to do so, it is a negative reflection on that *community* and not necessarily on the applicant.

CDOT recognizes the coordination criteria has historically and to some extent

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presently, place emphasis on human services transportation. Since resort areas tend to have fewer human service programs and providers, resort area applicants might consider themselves at a disadvantage. This is not the intent. Applicants from resort areas should address coordination differently, highlighting their coordination with the local chamber of commerce, resort association, ski lift operator, lodges, commercial operators, and so forth. Of particular concern, of course, is employee transportation, and, in many areas working with the increasing number of non-English speaking employees.

CDOT is sensitive to applicants from sparsely populated areas of the state. If applicable, stress the limited opportunities to coordinate with the few, if any, other transportation providers.

Applicants for FTA funds who operate in an urbanized area must take special care to coordinate with the primary bus operator in the area (examples would be Denver's RTD, Colorado Spring's Mountain Metro Transit, Fort Collins' TransFort). Be sure your service plans do not conflict with the primary bus operator if you plan service within these areas.

A4.4 Resource Coordination

If you can reply "yes" to the questions in this subsection, provide a brief description or explanation in the adjacent text box.

If you broker transportation service, tell us the essential elements of your service.

Likewise, tell us how you share resources in any meaningful way. Examples could be a county providing vehicle maintenance or your collaboration with other agencies on training activities.

A4.2 Community Coordination

Tell us who the other transit providers are in your area. Describe what you've

done to coordinate with those providers. Next, describe any problems—barriers—you may have encountered in the process.

Now, tell us what you've done and the efforts you've made, to coordinate your services with other organizations, agencies, etc., that are not transit providers (e.g., hospitals, dialysis centers, resort chambers, etc.).

Finally, if your agency has made special coordinating efforts at, give us a brief description of that here.

A4.1 Human Service- Transportation Coordination

Participation in a human service-transportation plan **is required** for 5310, 5316, and 5317 applicants. Applicants for these grants are required to fill in this section.

Answer yes or no to whether you attended a CDOT-sponsored and/or 2035 planning related human service-transportation coordination meeting within the last year.

Provide brief detail about what you've done since that meeting. Answer, also briefly, what efforts you have at local coordination planning, if any, and how successful those efforts have been.

Finally, provide the names of the agencies you are working on coordination efforts with.

A4.4 Sustainability and Livability

This is a new subsection that could strengthen your application by addressing principles of sustainability. The questions in this section help to determine if sustainability and livability factor into your agencies' policies or planning.

Answer yes or no to whether your agency reviewed any sustainability, livability, or aging-in-place principles or guidelines. Briefly discuss if yes.

Answer yes or no to whether your agency adopted any sustainability, livability, or aging-in-place principles or guidelines. Again, briefly discuss if yes.

Describe your efforts to make transit riding more enjoyable. Respond to whether your agency coordinates with other environmentally-friendly forms of mobility. Discuss how your agency works to reduce fuel consumption, work with others to create or support transit-friendly land use policies, and what policies or practices encourage energy efficiency.

Answer whether your agency has policies and practices that encourage emission reduction and pollution control and describe those actions. Respond to whether you consider environmentally preferable fleet or building materials. Also, include a description

SECTION B, EVALUATION NARRATIVE FOR FTA SECTIONS 5310 AND 5311

Applicants requesting funding assistance from either the Section 5310 and/or Section 5311 program must provide narrative answers to the questions in this section. The IAC will review these narratives and will assign scores using the methodology outlined previously. The scores of the individual IAC members will be averaged for each application and will constitute an applicant's total Merit Score. Keep your responses brief, concise, and to the point.

See the section in these Instructions "Evaluation Criteria for Section 5310 and Section 5311" for a description of how the Merit Score is used to evaluate applications for FTA funding assistance.

B-1. Justification of the Need for Service

The Service Justification (30 percent of the Merit Score) asks you to explain the need for the transit service or to justify why this project should be funded. Review the material covered in the "Evalua-

tion Criteria for Section 5310 and Section 5311" section of this *Application Instructions and Grant Guidebook*. Supply as much factual information as reasonable to explain why there is a need for this service. If you provide factual data to support your case, site the source!

Who is eligible to ride your services?

Describe the eligibility criteria. This question is directed particularly to applicants who offer demand responsive services or those applying for Section 5310 capital equipment. If you are applying for Section 5310 funding assistance, *CDOT MUST know whether you limit service to a specific clientele*. Review the material covered in the "Evaluation Criteria for Section 5310 and Section 5311" section.

Describe the specifics of the eligibility criteria in place, if any, including the process used to determine whether someone is eligible. If your service is open to the general public and you do not have any eligibility criteria, please indicate so.

What is the purpose of the three most requested trips your clients request or require? Demand responsive agencies should be able to answer this question easily, based on trip destination information. Fixed route providers could potentially provide this information from rider surveys.

Describe the need for transit service in your area. Why do people in your service area need transit? One way to answer this question would be to describe why people use the service now—to get to work, to access medical services, and so forth. Describe the degree of need if possible. Some good examples of describing degrees of need would be talking about the percentage of workers in your area that do not own a car or the percentage of seniors in an area who are homebound. But the need in your community could vary widely from the needs of another, ranging from needing to reduce congestion, air pollution, or increase mobility for the transportation disadvantaged. Remember to site your sources if you provide factual data!

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Why does this need exist and how did you make this determination? Discuss the factors creating this need or needs. Why are passengers dependent on your service? Is it because of the distance to major community services? lack of viable alternative services? road congestion, lack of parking, air quality or other environmental concerns? Is it because of safety issues? Describe the factors that apply to your situation.

Be sure to discuss how you determined the existence of these needs. Has your community undertaken a transit needs assessment? If yes, talk about the results. How do you know these needs exist? As always, site your sources!

Are you the lead transit provider in your area? If not, what is the relationship of your project(s) to other transportation providers? If there are other providers of transit services in your area, talk about whether they are meeting the needs you describe above. If you are the only transit provider, explain whether you are meeting all the needs in your area. If you are, describe how; if not, discuss why not. Explain the relationship you have with those other providers.

(The following questions are oriented primarily towards demand responsive transit providers and applicants for Section 5310 projects. If you are a provider of primarily fixed route services, answer these questions to the best of your ability but know they might not necessarily apply to you.)

How many unduplicated clients do you serve annually? Demand response agencies should be able to answer this question. The number of unduplicated clients a demand response agency provides trips for speaks to the degree of need for the service. Fixed route providers usually can't provide this information.

Concerning the need for service, what other factors might be relevant in support of this proposed project? Discuss anything else that might help justify the need for this service which has not

already been discussed. Take this opportunity to mention any other factors not discussed previously that describe the need for transit services in your community. This could include ridership trends, the lack of appropriate transportation alternatives, or unmet needs identified in your RTP, whether the proposed service will meet the needs of BOTH those covered by the ADA and those who are not, or other relevant factors. DO NOT include quotes from clients about how great your service is or personal stories from individuals (i.e., Mrs. Jones really needs our service so she can...).

B.2. Justification of the Financial Need for Service

At 30 percent of the Merit Score, this section asks you to demonstrate the need for FTA funding assistance, and, particularly, the level of funding you request. Applicants that demonstrate efficient use of available resources, fiscal constraints, good faith efforts to obtain other funding for the project, etc., will generally score higher under this evaluation criterion.

Describe the economic conditions in your service area. Include the source of your information. Grant reviewers may consider the economic condition of your service area as part of your justification for needing FTA funding assistance. Applicants may submit economic data that gives a detailed picture of the economic condition of the service, as long as the source is reputable and cited. CDOT suggests that applicants who want to discuss the economic condition of their service area, use U.S. Census or Bureau of Economic Analysis (BEA) data to ensure consistency across applications. Both Census and BEA data can be found on the Colorado Department of Local Affairs' Demography Office website: http://www.dola.state.co.us/dlg/demog/census_profiles.html

In the Agency Profile, you were asked to list sources of funding. Explain why these funding sources are not sufficient to provide the project's services. Explain why you need FTA funding for this project. If

other sources of revenues are enough to cover the expenses of the project, explain why you seek FTA funding. If other sources of revenue are not enough to cover the expenses of the project, describe why these sources are inadequate and how sources will be matched with FTA funding to ensure completion of the project.

Describe any of your funding sources that have decreased by more than ten percent over the last five years. This is your chance to describe any declines or losses in funding your organization has experienced.

Describe your fare structure and/or suggested donation, include the percentage of revenue derived from donations or fares, if applicable. Discuss the fare structure or donation information you provide in the Project Information section on the following pages in the application. You should also discuss, if applicable, how much revenue from fares and donations you expect annually and what percentage fares or donations will pay for the operation of the service. If you do not charge fares or ask for donations, explain why.

CDOT encourages grantees to try to recoup some of the costs of operating through collecting user-side fees or donations. CDOT does not require fares or suggested donations and understands some sources of federal funds prohibit charging fares; and, in particular, transit operators in resort communities generally are not willing to charge fares because of concerns about skiers fumbling for change or competition with out-of-state resorts. However, CDOT gives some weight to agencies that lower their cost of operating by collecting user-side fees.

List the names of the organizations you provide transportation for, if applicable. Indicate whether they reimburse you for that transportation, the basis for that reimbursement, and how much that reimbursement is. Applicants that provide transportation for organizations beyond their own clientele or on behalf of other organizations demonstrate they coordinate their transportation with other com-

munity organizations. And, if applicants can demonstrate they are reimbursed for the transportation they provide, they by proxy demonstrate they have other sources of revenue with which to match FTA funding (should it be awarded) or pay for the cost of operating the service.

Describe any other reasons you have for needing funding. Discuss anything else that might help justify the need for FTA funding and/or your need to be funded at the requested level that has not been discussed already. This is your opportunity to mention any other factors that would be useful to know in determining your need for FTA funds, such as escalating costs in labor, insurance, fuel, etc.

***NOTE:** If you are an existing Section 5311 grantee and you request a significant increase in administration and/or operating funds, you **MUST** discuss the reasons for this, such as a significant loss of other funding or expansion of service.

B.3. Program Promotion

This short section is required for 5311 applicants only.

Describe how you promote your transit program and to whom. Describe your marketing efforts, including the media used to promote the services (print, radio, TV, internet, word-of-mouth, etc.). Of particular concern is how demand responsive systems that cater mostly to the Elderly and Disabled but receive or request Section 5311 funding advertise their service to the general public. If you are a demand responsive agency that requests Section 5311 funding, be sure to discuss how you promote or will promote the service to the general public.

B.4.a Section 5310 Project Information for CY 2012

In previous years, the information required in this section was collected in the Agency Profile. Section 5310 applicants (if you are *not* applying for 5310 funds,

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do not complete this section) are required to complete all the information asked for; this information determines performance measures used at the time of contracting!

B.4.a.1 Section 5310 Project Information for Calendar Year 2012

Please only provide the information as it applies to the service the vehicle(s) you are requesting are going to provide. Demand Response is the primary form of service 5310 applicants provide. Fixed Route and Deviated Fixed Route are services mainly provided by general public transit operators. Only complete the questions for the service(s) you provide; leave the other sections blank.

B4a.2 Section 5310 Administrative and Operating Expenses for Calendar Year 2012

Again, please only provide budget numbers applicable to the service the vehicle you are applying for is going to provide. If your vehicle(s) request is only going to provide service for a certain number of routes, provide this information only. If your vehicle(s) request is going to provide service for your whole transportation program, provide those budget numbers.

B4a.3 Section 5310 Service Information for Calendar Year 2010

Again, only provide information as applicable to the service the vehicle(s) you are requesting are going to provide.

B4a.4 Section 5310 Performance Information for Calendar Year 2012

These numbers are your performance measures that will be incorporated in your scope of work at the time of contract. The form should fill in automatically, if it doesn't, submit the information in a separate document. To determine these numbers, use the guidelines provided below or contact Matthew Paswaters at 303-757-9771.

Cost per Mile: Divide your total Administrative and Operating Expenses by your Total Number of Vehicle Service Miles.

Cost per Vehicle Service Hour: Divide your total Administrative and Operating Expenses by your Total Number of Vehicle Service Hours.

Cost per Passenger Trip: Divide your total Administrative and Operating Expenses by your Total Number of Passenger Trips.

Passenger Trip per Service Hour: Divide your passenger trips by your vehicle service hours.

B4.b Subcontractor's 5310 Project Information for CY 2012

Complete the section according to the instructions under B.4a *ONLY* for applicants who have sub-contractors or sub-recipients in your grant application applying for 5310 funds. If you are not applying for funds under 5310 on behalf of a subcontractor, please do not complete this section.

If you have multiple subcontractors applying for 5310 funds, please copy this page and complete it for as many subcontractors as applicable.

B-4c 5310 Project Information for CY 2013

Please complete this information according to the guidelines set for in section B.4a if you are applying for 5310 funds for 2011. Please do not complete if the grant is not applicable to your project request.

B-4d Subcontractor 5310 Project Information for CY 2013

Complete the section according to the instructions under B.4a ONLY for applicants who have sub-contractors or sub-recipients in your grant application applying for 5310 funds. If you are not applying for funds under 5310 on behalf of a subcontractor, please do not complete this section.

If you have multiple subcontractors applying for 5310 funds, please copy this page and complete it for as many subcontractors as applicable.

B-5.a Section 5311 Project Information for Calendar Year 2013

The information required in this section in the past was collected in the Agency Profile. 5311 applicants (if you are **not** applying for 5311 funds, please do not complete this section) are required to complete all the information asked for, this information determines the performance measures used at the time of contracting!

B5a-1 Section 5311 Project Information for Calendar Year 2012

Please only provide information as it applies to the service you are requesting funds for in the grant application. Demand Response is the primary form

of service 5310 applicants provide. Fixed Route and Deviated Fixed Route are services mainly provided by 5311 general public transit operators. Only complete the questions for the service(s) you provide; leave the other sections blank.

B5a-2 Section 5311 Administrative and Operating Expenses for Calendar Year 2012

Please only provide budget numbers applicable to the service you are requesting funds for under Section 5311 for 2010.

B5a-3 Section 5311 Service Information for Calendar Year 2012

Again, only provide information as applicable to the service you are requesting funds for.

B5a-4 Section 5311 Performance Information for Calendar Year 2012

These numbers are your performance measures that will be incorporated in your scope of work at the time of contract. The table should fill in automatically. If it doesn't, submit the information in a separate document. To determine these numbers, use the guidelines provided below or contact Matthew Paswaters at 303-757-9771.

Cost per Mile: Divide your total Administrative and Operating Expenses by your Total Number of Vehicle Service Miles.

Cost per Vehicle Service Hour: Divide your total Administrative and Operating Expenses by your Total Number of Vehicle Service Hours.

Cost per Passenger Trip: Divide your total Administrative and Operating Expenses by your Total Number of Passenger Trips.

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Passenger Trip per Service Hour: Divide your passenger trips by your vehicle service hours.

*B5·b Subcontractor's 5311
Project Information for CY
2012*

Complete the section according to the instructions under B.5a ONLY for applicants who have sub-contractors or sub-recipients in your grant application applying for 5311 funds. If you are not applying for funds under 5311 on behalf of a subcontractor, *please do not complete this section.*

If you have multiple subcontractors applying for 5311 funds, please copy this page and complete it for as many subcontractors as applicable.

*B.5c Section 5311 Project
Information for Calendar Year
2012*

Please complete this information according to the guidelines set for in section B.5a if you are applying for 5311 funds for 2011. Please do not complete if the grant is not applicable to your project request.

*B.5d Section 5311
Subcontractor's Project
Information for CY 2013*

Complete the section according to the instructions under B.5a ONLY for applicants who have sub-contractors or sub-recipients in your grant application applying for 5311 funds. If you are not applying for funds under 5311 on behalf of a subcontractor, please do not complete this section.

If you have multiple subcontractors applying for 5311 funds, please copy this page and complete it for as many subcontractors as applicable.

*SECTION C, PROPOSED
SCOPE OF WORK FOR
SECTION 5311*

*C-1· Section 5311 Project
Funding Requests for Calendar
Year 2012*

Indicate the amounts of total Section 5311 funding requested in 2012 and 2013. You will need to specify the FTA and the Local portions for each category (administration, operating, capital) of funds requested as well as the total costs of the project(s) for both years.

Guidance on Section 5311 Administration and Operating Requests. Legitimate requests for Section 5311 administration and operation assistance should consider that under FTA regulations the maximum amount you can be awarded in operating assistance is 50 percent of your operating deficit, which is defined as the net costs of operating the transit service (total transportation expenses sans capital costs minus the revenue generated by operating the system).

Thus, to calculate the maximum amount of Section 5311 assistance you could possibly be awarded would be to take your operating deficit and multiply it by 0.5.

Regarding administration assistance, it is CDOT's policy not to allow more than 20 percent of a Section 5311 award be for administrative costs. Thus, the maximum amount of administration funding assistance considered a legitimate request is 20 percent of the Operating Deficit.

Most importantly, be aware that in most cases these calculations will be more than your agency will be awarded because of the size of the grant. However, these calculations should serve as a guideline to help make your Section 5311 Administration and Operating funding requests within reason.

The following is an example of these calculations:

Transit Agency X's Total Operating Expenses (Excluding Capital) = \$300,000

Transit Agency X's Total Operating Revenue (Fares, Donates, Etc.) = \$100,000

Transit Agency X's Operating Deficit (Operating Expenses – Operating Revenue) = \$200,000

Transit Agency X's Maximum FTA Request (Operating Deficit x 0.5) = \$100,000

Transit Agency X's Maximum FTA Administration Request (Max. FTA Request x 0.2) = \$20,000

Note: These figures do not determine how much funding assistance you may request—they merely put a cap on what requests are considered legitimate based on the size of a transit agency's budget. Nor do these calculations guarantee your agency will be funded at the requested level or funded at all.

C.2. Section 5311 Sources of Match for CY 2010 Funding Requests for 2012

Specify the source of funds to be used the local match for the Section 5311 funding you are requesting.

C.3. Project Funding Request

Type in the same dollar amount for your project request that you recorded in Section A. If the table is working properly, you should only need to fill in the FTA amount for the type of funding request.

C.4. Sources of Match

Tell us where your match is coming from and how much it is. Do this for any category of funds you're requesting, operating, capital, or administrative.

C.5. Description of Service

Describe in detail the services you pro-

pose. If your request is funded we will write a formal Scope of Work for our contract with you. The descriptions in this section will provide the basis for that (Exhibit A).

Because these descriptions will be put in the contract, you must be thorough to accurately represent the service you will provide using the federal grant funds.

If you are awarded FTA funds, but less than what you requested, you will have the opportunity to revise this section before finalizing the Contract, Scope of Work, Exhibit A, for 2012 and 2013 to reflect the actual funding received.

You need to be *specific* about the services you are proposing to offer if you are to be funded at the level you request. This means you must describe the number of routes or demand responsive services and what times of day these services will be available. Include the days and hours these services will be offered (and if each route has different schedules, you need to explain that).

Mention any seasonal fluctuations you propose in the service and how you' will meet the ADA complimentary paratransit requirements for fixed route service or how demand responsive services that are mainly targeted to seniors or individuals with disabilities will be made available to the general public.

You DO NOT HAVE to describe in detail each and every single fixed route, subscription service, or demand responsive service you offer, the number of stops it serves, or the origins and destinations of each route, etc.

C.4. Service Area Population

Download the Population for Colorado Counties and Municipalities spreadsheet from the State Demography Office: (http://dola.colorado.gov/dlg/demog/pop_muni_estimates.html). Choose the "Municipalities within Counties, 2000-2007" table and save it.

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List all Census Designated Places (CDPs) and incorporated areas (legally recognized municipalities, i.e., towns, cities) that receive regular, on-going public transportation service from your agency. DO NOT LIST the entire population of a county or the population of unincorporated areas within a county.

If you have questions about your service area population, please contact Matt Paswaters at 303-757-9771.

SERVICE AREA POPULATION		
#	Census Designated Places (CDP)/ Incorporated Areas	July 2007 Population
1		
2		
3		
4		
5		
	Total Service Area Population	

SECTION D, INTERCITY BUS SECTION 5311(F)

D-1 Identification of Intercity Bus Service

Identify whether the service you're seeking funding for is an existing service (existing as of 2/1/2011), a continuation or an expansion of the existing service. If you are applying for funding for a new

service, complete the separate application for NEW Intercity Bus services.

D1-1 Description of Intercity Bus Service

List the beginning and ending points of the route (Denver to Omaha, for example), the highway route numbers in Colorado that the service predominantly operates on (for example, I-76), and all stops and/or stations that the service stops at along the route.

D-1-2 Operating Characteristics of Intercity Bus Service

Identify the total mileage of the route for which you are seeking funding. For example, the total route-miles for a service between Omaha, Nebraska, and Denver, Colorado are approximately 540 one-way route-miles, while the Colorado one-way route-miles would be approximately 187 one-way route-miles. If the service runs 365 days a year, the annual Colorado-Segment Roundtrip Bus-Miles would be 136,510 miles ((187 miles x 2) x 365 days per year). If two daily roundtrips are operated, the total Annual Colorado-Segment Roundtrip Bus-Miles would be 273,020 miles.

If a "second" bus is run, identify the number of days a second was run in 2010. Include that mileage with the total and explain how you arrived at that figure.

Fully-Allocated Costs per Bus-Mile	Actual and Estimated Costs Per Bus-Mile			
	2008 (actual)	2009 (estimated)	2010 (estimated)	2011 (estimated)
Operating Costs/ Bus-Mile	\$1.07	\$1.13	\$1.12	\$1.05
Capital Cost/ Bus-Mile	\$0.82	\$0.82	\$0.84	\$0.92
Preventive Maintenance/Bus-Mile	\$0.12	\$0.13	\$0.14	\$0.16
Admin. Cost/Bus-Mile	\$0.42	\$0.44	\$0.46	\$0.48
Other Cost/Bus-Mile	\$0.07	\$0.08	\$0.09	\$0.09
Other Cost/Bus-Mile				
Total Regular-Route Cost per Bus-Mile	\$2.50	\$2.60	\$2.65	\$2.70

D.2.1 Boardings

Identify the total annual boardings for both the full route (for example, Omaha to Denver) and the Annual Colorado Boardings (boardings at Colorado stations only). Please provide actual boarding figures for 2008 and estimates of boardings for 2009, 2010, and 2011. If you do not collect ridership data in this format, please identify an estimate of the figures and explain how that estimate was determined.

D.3. Funding Applied for in States other than Colorado

Identify both the funding amounts applied for in other states (for 2008, 2009, and 2010) and awarded from those states (2008 figures only).

D.4. Coordination

If the route you operate is also served by another intercity bus company or agency, indicate whether you have coordinated services with the other company or agency. If you have, briefly describe the nature of that coordination (for example, coordination of schedules, sharing of equipment or maintenance facilities, joint ticketing, and so forth.).

D.5. Costs and Revenue Per Mile

Provide a financial statement from your agency that supports the identified costs and revenues per bus-mile. Applicants must clearly identify where in the Financial Statement the stated costs and revenues per mile are from.

Identify the route-segment for which cost and revenue figures apply (for example, Omaha to Denver, or Nebraska/Colorado state line to Denver).

Identify what portion of the costs per mile (in cents per mile) is attributable to fuel price increases. Only provide the

fuel-price increase here rather than the total fuel cost. Provide this fuel-increase for 2010.

D.5.1. Costs per Mile

Identify the Fully-Allocated Cost per Bus-Mile. This per bus-mile cost multiplied by the total annual bus-miles should add up to the total annual cost of running the service. See the table, *Fully-Allocated Costs per Bus-Mile*, for an example.

D.5.2. Revenues

Identify the total revenue (freight and fares) for the full route, total annual revenue for the Colorado miles and total annual revenue received at the rural (less than 50,000 population) stops in Colorado.

D.5.3. Revenue per Mile

Based on the firm's financial statement, identify the Total Annual Regular Route Revenue per Mile for the route for which you are applying. Fill in actual revenues per Mile for 2010 and estimated revenues per mile for 2011 through 2013. The Revenue per Mile is calculated by dividing the total annual revenues by the annual revenue bus miles.

D.6. Sources of Match

Identify the required local match amount for each category (operating, administrative, and capital) and describe the source of that local match. The 5311(f) program only allows CDOT to fund up to 50 percent of the operating deficit.

The FTA now allows for up to 100 percent funding of the operating deficit using an in-kind mechanism. The applicant must identify the specific percentage of the operating deficit applied for and should discuss with CDOT any funding requests over 50 percent of the operating deficit.

That deficit is the total costs per bus-mile

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minus the total revenues per bus-mile. Fare revenue cannot be applied to local match, as it is already part of the revenue per bus-mile. The local match might be identified simply as “operating loss.”

D.7. Intercity Bus Funding Request

In this section, identify the amount of federal funds requested, the local match amounts, and the total project cost for each category of administrative, operating, and capital costs. The “federal funds requested” section is your request for funding.

D.8. Service and Funding Justifications

Provide concise answers to each question in the spaces provided. Also, confirm that you have provided the required support material and/or attachments by checking the applicable box. Beyond the data you’ve provided above, this section provides you with an opportunity to explain your request and why it should be funded.

D.9. Requests for Capital Projects for Intercity Bus in Urbanized Areas

If you are applying for 5311(f) funding for intercity bus capital projects in an urbanized area, provide a brief description of the project. Remember, this funding section is targeted at capital facilities in urbanized areas. Capital requests for intercity bus vehicle funding, or facility funding in no-urbanized areas, can be submitted as a regular 5311(f) request and you do not need to fill out this section.

Provide a cost estimate of the proposed capital project and include an explanation of how the cost estimates were determined for this project, a description of the status of needed environmental

clearances, and an expected construction timeline. Describe the nature of the benefit and monetary value if the project will benefit more than one intercity bus operator. Facility examples could include improvements to existing bus station facilities, arrival and departure boards, or new intercity bus station construction.

Describe how this capital project benefits and supports intercity bus service to and from non-urbanized areas and what parts of the total project cost directly benefits and supports service to and from non-urbanized areas. Finally, provide a brief justification for why this project should be funded.

This is your opportunity to write a compelling, concrete summary of how this capital project meets a specific need.

SECTIONS E (JARC) AND F FOR (NEW FREEDOM) APPLICATION INSTRUCTIONS

Although there are separate forms for Section 5316 and 5317, the instructions are the same. Answers should be thorough, but concise.

E/F 1. Project Request Summary

Project Name. Provide a name or title to identify your proposed project. This will be the same as you entered under “Summary of Project Request” in Section A of this application.

If this is for a JARC request, tell us if you’ve received JARC funds before, for what years, and for what amount.

Brief Description of Proposed Project. Write a summary of your proposed project. This will also be the same as you entered under “Summary of Project Request” in Section A, *Application Section for All Applicants* of this application.

E/F 2. Project Funding Request

In this table, write the amount of FTA funding you are requesting for capital, operating, or planning expenses for 20102 The rest of the table should fill in automatically. If it doesn't and the table doesn't work properly, provide the information separately in another document.

Repeat the process for funding requests you may have for 2013.

E/F 3. Project Details

This series of questions ask you to think through the basis of your proposal. What is the problem you are trying to solve? What are the core issues? Why is it important to solve this problem? Clear identification of the "problem" or "issue" helps establish the strategic relationship to your "solution," the proposed project. It helps us understand what issue your proposal addresses. It helps us understand that your proposal actually addresses what you've identified as the issue or problem. (In this context, we're using *problem* and *issue* interchangeably.)

Each of the fill in boxes will accept 1,000 characters. You must be detailed, but you won't be able to write an essay!

Explain what your project will accomplish and why it's needed. Give us your estimated start date and service area.

Why is the need so great you feel it necessary to address it? What led to the need and how did you arrive at these conclusions?

Why is your agency or organization the right one to request these funds and address the need?

Explain in detail how your proposal addresses JARC/New Freedom program goals (see the section on Program Goals earlier in these instructions).

If you are applying for 5317, New Freedom funding, be absolutely certain you address both program goals of providing new transportation services or new transportation alternatives AND providing services or alternatives that go *beyond the ADA*.

Will your project provide more service or greater access to service? Explain how.

What is likely to happen if you don't receive funding? What will the consequences be? What impact would it have on the problem you've identified? How would your agency be affected? Your clientele? Don't exaggerate and be straight-forward.

E/F 4. Project Stakeholders

Who will directly benefit from your project? Describe how your project will benefit them.

In addition to the intended beneficiaries, identify the primary stakeholders. Who else is likely to be, or has the potential to be, affected by your project? (This could, for example, include employees who hire low income or disabled workers or county workers who try to place those individuals.) Are you working with them, communicating with them? Do they agree with your assessment of the issue? Be aware of individuals, agencies, interests, etc., that could influence your project, whether favorably or unfavorably. Ultimately, you may need to seek agreement or cooperation from them. Knowing who these interests are and supporting positive communicating with them will help ensure the success of your project.

Which of the above-identified stakeholders are participants in this project and in what way.

E/F 5. Project Elements

How committed are you to this project? Would you be able to do this project if it weren't for grant funding?

What have you done to pull together

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funds to use for match? Describe your efforts to leverage funds.

Are you asking for start-up funds, pilot funds, or funds for a short-term project? If you are, tell us how long the project will be. If this funding is for ongoing or other long-term activities, give us a description of what you think that will look like.

Are you proposing a transportation service? Will it be a fixed route, demand responsive, subscription, or other service? Explain how that service will be provided. If the service is fixed route, describe it with a fair amount of detail. Tell us why you decided a fixed route is the best solution.

Explain how will you inform potential riders of your service.

E/F 6. Project Funding

How will you spend the funds you're asking for? Tell us *exactly* what services will you provide or what products will you purchase.

What are the costs of the project?

What assumptions are built into your costs? Where does your cost information come from?

Include a detailed budget sheet with your application.

Be very specific, this will become part of your contracted Scope of Work if you are funded.

E/F 7. Project Performance and Project Goals

How will you know your project is working successfully? How will you quantify that success over time? How will you monitor and evaluate performance?

Tell us how you will market your project (if applicable). How will you ensure your targeted beneficiaries will be aware of and be interested in your project? How will you know if they're happy with what you're doing?

Tell us anything else about your project, something you'd like to add, something we've neglected to ask, or comments you'd like to make.

You want your project to succeed. We want your project to succeed, too. Make a comprehensive list of the major objectives or milestones you need to achieve in order for the project to be successful—for the problem to be solved. Be reasonably detailed. Tell us when you anticipate reaching these objectives or milestones.

We encourage you to be strategic and methodological in your thinking. For your own use, after you've identified your objectives or milestones, we suggest translating each of them into measurable, operational objectives.

E/F 8. Project Performance

FTA has developed and requires the performance measures from grant recipients. The table asks what kind of service you're project will provide and for the data relevant to that kind of service. The table also asks whether you have or provide various types of vehicles and if so, for the data relevant to them.

Once you are funded, FTA and CDOT will ask for these measures quarterly. On this application though, give us your full-year estimate for 2010 and 2011.

G. MOBILITY MANAGEMENT

Mobility Management is an innovative approach for managing and delivering coordinated transportation services to customers, including older adults, people with disabilities, and individuals with lower incomes. Changes in demographics, shifts in land use patterns, and the creation of new and different job markets require new approaches for providing transportation services, particularly for customers with special needs. Mobility management focuses on meeting individual customer needs through a wide range of transportation options and service providers. It also focuses on coordinating these services and providers in order to achieve a more efficient transportation service delivery system for public policy makers and taxpayers who underwrite the cost of service delivery.

G.1. Project Summary Request

Provide a name for your project, preferably one that specifically identifies your project type or your area/location. For example, you could name your project “Anytown Transportation Authority Trip Planners,” or “Leadingtheway County Route Network Coordination System.” Provide a brief description of the project and answer yes or no to whether this is an ongoing project and whether CDOT is currently providing any funding for it.

G.2. Project Funding Request

In the table, fill in the amount of FTA funds requested and the form will automatically calculate and fill in your match requirements and the project’s total cost. Do this for both Calendar Years 2012 and 2013, as applicable.

G.3. Project Details

Describe your project in more detail in this section. Be sure to include a description of what the project will accomplish and what problems or issues it will help address. Also include your estimate of the project’s start date and projected service area. Project need is always a key factor in determining funding priorities and selection. Provide a clear, concise explanation of why this project is needed, why the need exists, and how you identified the need.

Indicate whether this request is for short-term or pilot-funding and, if so, for how long. For this application, short-term is defined as Calendar Years 2012 through 2013. Answer whether the project is expected to require ongoing funding beyond CY 2013.

These next three details are very important because the information you provide will become part of your contracted scope of work should you be awarded funding:

1. Describe in detail the kind of transportation service your project will provide (for example, fixed route, demand responsive, subscription, or any other type of service you can describe).
2. How will you provide that service? If you are proposing a fixed route, for example, describe it in detail. Explain how you arrived at that decision.
3. Describe in detail how you will target the intended beneficiaries of this project?

Explain how this project addresses your goals of mobility management and how this project enhances access beyond services already provided by agencies in your service area. Describe in some detail what the consequences may be if your proposed project is only partially funded or not funded at all.

Identify the primary stakeholders in this project and any other entities that could be affected by this project.

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G.4. Project Funding

Include a detailed budget sheet with your application submittal.

Then describe specifically and in detail in the application what you would like these federal funds to pay for. This description is very important because the information you provide will become part of your contracted scope of work should you be awarded funding.

Provide details of how you arrived at the costs and sources to be used and describe efforts you have made to leverage any other sources of funds to support the implementation of this project.

G.5. Project Performance

In this section describe in detail how our project will be monitored, evaluated, and improved over time, when necessary. This is an important part of determining whether your services are meeting your goals and needs. Also, describe your marketing strategy and how you will ensure customer satisfaction. Tell us anything else about the project that you believe would be helpful in evaluating this project's performance.

G.7. Project Goals

Identify your goals that you would like for this project to achieve. Please be specific and provide details. Identify objectives or milestones. Objectives are specific, measurable, and results-oriented. Milestones are key events that you would like to occur at a specific time or in a particular sequence to help you meet objectives and goals. Also provide your estimated completion date for each objective or milestone.

G.8. Project Performance Measures

Provide an estimated projection of annual performance by calendar year for 2012 and 2013. These performance measures help assess the success of your objectives and milestones. You may not find all these measures to be applicable, so fill in only those that apply. These performance measures are very important because the information you provide will become part of your contracted scope of work should you be awarded funding.

EXAMPLES OF MOBILITY MANAGEMENT PROJECTS

We're often asked for examples of mobility management projects. Here are a few examples from the *Strategies to Increase Coordination of Services for the Transportation Disadvantaged*, TRB Transit Cooperative Research Program (TCRP) Report 105. For more ideas, check the websites for the Community Transportation Association of America, United We Ride, FTA, and the National Resource Center for Human Services Transportation Coordination.

Project	Description / Scope
Better coordinate service and to improve assistance to the agencies and their transportation-disadvantaged clients	Develop simplified reservation and scheduling software that is more appropriate for small systems (i.e., those that operate up to 10 vehicles).
	Developed a much more affordable system that provides capabilities such as a customer and driver database for scheduling and billing purposes but does not include a map-based automated scheduling capability.
	A license for this software is available for \$2,500, a much lower price than that of a full-scale reservations and scheduling package.
Provide technical and operating assistance to other organizations	Technical assistance related to the acquisition of federal Section 5310 vehicles in the county.
	Scheduling and dispatching service (for one contractor).
	Backup vehicles and drivers for agencies which are too small to have their own backup capability.
	Third-party billing services for its subcontractors, thus saving the small agencies administrative costs and burden.
	Serve as the designated operating authority for all agencies in the state that receive state or federal funds for special transportation services. In this capacity, provide training and certification related to driving vehicles, vehicle inspections, vehicle maintenance, and so forth.
Subsidized taxi service as a pilot program	Human services agencies and municipalities could provide improved mobility for their clients and residents by developing a joint taxi program that would augment public transit service provided by Pace, the suburban transit agency. A County Department of Human Services administers the program on behalf of all participating entities.
	Registration through a sponsor is required.
	Discounted coupons can be obtained through the sponsor.
	These coupons are worth \$5 toward the cab fare.
	The typical discount is 50%, although some coupons are provided free of charge to participants in the county's Transportation to Work Program.
	Program participants may ride together and share their coupons for payment.
	Travel is possible 24 hours a day, 365 days a year, anywhere in the county.
	Trip reservations are made through one of nine cab companies and can be made up to one week in advance.
	Lift-equipped vehicles are available.
Transportation brokerage demonstration program.	Coordinate approximately two million trips annually through the network of ten for-profit and not-for-profit transportation providers it has under contract. General public customers may also use ACCESS services, but must pay a fare that covers the full cost of their trip.

REFERENCE AND BACKGROUND MATERIALS

In this section:

- *Americans with Disabilities Act*
- *Human Services-Transportation Coordination*
- *Low Income Eligibility, Job Access and Reverse Commute:*
- *Civil Rights*
- *Equal Employment Opportunity*
- *National Transit Database*
- *Drug and Alcohol Testing (Section 5311 only)*

[Taken from ADA Transportation Series, ADA Document Portal, ADA&IT Technical Assistance Centers, US Department of Education, www.adaportal.mtc-inc.com/transportation/FAQ/overview-trans.html and www.adaportal.mtc-inc.com/transportation/FAQ/paratransit-service.html.

TRANSPORTATION RULES OF THE ADA

DRAFT. Please be advised that this document has not been reviewed for legal sufficiency by the U.S. Department of Transportation or the U.S. Department of Justice.

Overview Summary

This document is part of a series devoted to increasing the understanding and awareness of the transportation provisions of the Americans with Disabilities Act (ADA).

The U.S. Department of Transportation is responsible for the enforcement of ADA transportation requirements. This information is intended solely as informal guidance. It is neither a determination of legal rights and/or responsibilities under the ADA, nor is it binding on any agency with enforcement responsibility under the ADA.

The requirements of 49 CFR Part 37 address the acquisition of accessible vehicles by public and private entities, requirements for complementary paratransit service by public entities operating a fixed route system and provision of non-discriminatory accessible transportation service. Accessibility specifications for transportation vehicles are addressed in 49 CFR Part 38. Answers to the questions in this series are quoted directly from the transportation rules, with subsection locations shown in parenthesis.

The transportation rules of the Americans with Disabilities Act protect people with disabilities from discrimination in public transportation by organizations covered under titles II and III of the Act. This includes both publicly- and privately-owned transportation operations. It includes the transportation operations of organizations whose primary function is providing transportation services, as well as those that provide transportation service as an incidental part of their other business functions. This document addresses some of the most common general questions about the transportation rules.

Definitions

1. How is disability defined for purposes of transportation?

A person with a disability is an individual with a physical or mental impairment that substantially limits one or more of the major life activities such as caring for one's self, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and working of the individual. The definition also includes individuals with a record of such an impairment or an individual who regarded as having such an impairment. (§37.3)

2. What is the difference between "fixed route" and "demand responsive" transportation systems?

A fixed route transportation system is one that operates along a prescribed route according to a fixed schedule. A demand responsive system is any other transportation system. Fixed route systems typically include city bus systems, commuter and over-the road bus systems, subways, light rail systems, and intercity rail transportation. Demand responsive transportation typically includes taxis, limousine services, van services, and shuttle bus systems. (§37.3)

3. What are "designated" and "specified" public transportation?

Designated public transportation is transportation service provided by a public entity such as a municipality or special transportation district. Specified public transportation is transportation service such as a taxi or bus service provided by a private entity to the general public. Both provide service to the general public only the nature of owner/operation differs. (§37.3)

4. What is meant by transportation providers who are "primarily engaged" and "not primarily engaged"?

Some private entities or specified public transportation providers such as taxi and over-the road bus companies provide transportation as the central feature of

their operation. These companies are said to be "primarily engaged" in the business of transportation. For others such as hotels providing a shuttle service the transportation service is peripheral to their main business. These entities are said to be "not primarily engaged" in the business of transportation. (§37.105)

5. What is paratransit?

Paratransit means comparable transportation service required by the ADA for people with disabilities who are unable to use fixed route transportation systems. (§37.3)

6. How do the transportation rules define "wheelchair"?

The transportation rules have a very specific definition of a wheelchair. It may be three or four wheeled, manual or powered. However, it may not exceed 30 inches by 48 inches nor weigh more than 600 pounds when occupied. (§37.3)

Transportation Systems Covered by the ADA

The following types of transportation and their respective nondiscrimination requirements illustrate the nature of the transportation rules. It is impossible to cover every mode of transportation in this overview. Further, it must be noted that every system must be analyzed as one of a kind.

City Bus Systems

A fixed route system is a system for transporting individuals on which a vehicle is operated along a prescribed route according to a fixed schedule. A typical city bus system fits clearly into this category. With fixed route service, no action by the individual is needed to initiate service. If an individual is at a bus stop at the time the bus is scheduled to appear, then that individual will be able to access the transportation system. If a service is provided along a given route, and a vehicle will arrive at certain times regardless of

whether a passenger actively requests the vehicle, the service in most cases should be regarded as fixed route rather than demand responsive. (§37.3)

Taxis

Taxis and limousines are subject to the rules for privately operated, demand responsive entities primarily engaged in the business of transporting people. (§37.29)

Airport and Hotel Shuttles

Fixed route transportation systems operated by public airports are regarded as fixed route commuter bus systems. Shuttles among terminals and parking lots, connector systems among the airport and a limited number of other local destinations must acquire accessible vehicles but are not subject to complementary paratransit requirements. (§37.33)

Private entities (i.e., those operating places of public accommodation) are covered by the rules governing private entities not primarily engaged in the business of transporting people. Fixed route or demand responsive rules apply, depending on the characteristics of the system involved. (§37.35)

Over-the-Road Buses

Over-the-Road buses are characterized by an elevated passenger deck located over a baggage compartment. This service is subject to all the other entity requirements of the rule. (§37.169)

Rapid Rail and Subway Systems

A rapid rail system is a subway-type transit vehicle railway operated on exclusive private rights of way with high level platform stations. Rapid rail may also operate on elevated or at grade level track separated from other traffic. Rapid rail is distinguished from inter-city or commuter rail systems. (§37.3)

Transportation Systems Not Covered by the Transportation Rules (Part 37) of the ADA

The following transportation systems are not covered by the transportation provisions (Part 37) of the ADA:

Elementary and Secondary Education Systems

The requirements of Part 37 do not apply to elementary and secondary education systems operated by public entities or private entities receiving federal funding. (§37.27) Accessibility of school transportation is addressed in the Individuals with Disabilities Education Act (IDEA). Non-transportation aspects of school accessibility are covered by titles II and III of the ADA.

Employee Transportation

Employee transportation systems such as shuttle buses are not covered by the transportation rules of the ADA. Such services are subject to the regulations put forth by the Equal Employment Opportunity Commission under title I of the ADA. For public entities, such services are subject to regulations under title II of the ADA. (§37.37)

Private or Religious Organizations

Transportation systems operated by private clubs or establishments exempted from coverage under Title II of the Civil Rights Act of 1964 (42 U.S.C. 2000-a(e)) or religious organizations or entities controlled by religious organizations are not subject to the requirements of Part 37. (§37.37)

What is Required

Vehicle Acquisition & Accessibility Requirements

The table on the next page shows non rail vehicle acquisition requirements for private, primarily engaged, private not primarily engaged, and public transpor-

tation providers. (§37.9, §37.71-§37.95, §37.101-§37.109 & §37.171)

The requirements for accessibility features differ with the type of vehicle. In general, the vehicle must provide for entry, maneuverability, securement, and exit of mobility aids including wheelchairs. Public information systems including stop announcement and other passenger information inside the vehicle, as well as destination signs outside the vehicle must support the needs of people with vision and hearing impairments as appropriate. The specific requirements for each vehicle type were developed by the Access Board and are contained in 49 CFR Part 38.

Demonstrating equivalency requires the operating entity to show that each of the following items is equivalent for people with and without disabilities: response times, fares, area of coverage, hours and

days of operation, restrictions or priorities, availability of information, reservations, and constraints on capacity.

General Service Requirements

No entity shall discriminate against an individual with a disability in connection with the provision of transportation service. (§37.5)

Public and private entities providing transportation services shall maintain in operative condition those features of facilities and vehicles that are required to make the vehicles and facilities readily accessible to and usable by individuals with disabilities. These features include lifts and other means of access to vehicles, securement devices, elevators, signage and systems to facilitate communications with persons with impaired vision or hearing. (§37.161)

REFERENCE AND BACKGROUND MATERIALS

Private Entities Not Primarily Engaged		
System Type	Vehicle Capacity	Requirement
Fixed Route	Over 16	Acquire accessible vehicle
Fixed Route	16 or less	Acquire accessible or ensure equivalency
Demand Responsive	Over 16	Acquire accessible or ensure equivalency
Demand Responsive	16 or less	Ensure equivalency
Private Entities Primarily Engaged		
Fixed Route	All new vehicles except autos, vans with less than 8 capacity, or over the road buses	Acquire accessible vehicle
Demand Responsive	All new vehicles except autos, vans with less than 8 capacity, or over the road buses	Acquire accessible or ensure equivalency
Fixed Route or Demand Responsive	New vans with capacity less than 8	Acquire accessible or ensure equivalency
Public Entities		
Fixed Route	All new nonrail vehicles	Acquire accessible vehicle or receive UMTA waiver
Fixed Route	All used nonrail vehicles	Acquire accessible vehicle or demonstrate good faith effort
Demand Responsive	All new nonrail vehicles	Acquire accessible or ensure equivalency

REFERENCE AND BACKGROUND MATERIALS

The entity is not required to permit wheelchairs to ride in places other than designated securement locations in the vehicle. The entity shall provide and use a securement system, and the entity may require that an individual permit his or her wheelchair to be secured. (§37.165)

The entity shall permit service animals to accompany individuals with disabilities in vehicles and facilities. (§37.167)

Entities shall ensure that personnel are trained to proficiency, as appropriate to their duties, so that they operate vehicles and equipment safely and properly assist and treat individuals with disabilities who use the service in a respectful and courteous way, with appropriate attention to the differences among individuals with disabilities. (§37.173)

Paratransit

All public entity-operated, fixed route systems except commuter bus, commuter rail, and intercity rail systems must provide paratransit or other special service to individuals with disabilities that is comparable to the level of service provided to individuals without disabilities who use the fixed route system. (§37.121)

Paratransit users must meet one eligibility criteria: 1) They must be unable to use accessible vehicle; 2) They are able to use an accessible vehicle, but accessible vehicles are not available; 3) They have a specific condition restricting travel to or from a boarding or disembarking point. (§37.123(e))

There are specific requirements addressing the paratransit service area, response time, fares, restrictions, hours and days of service, and capacity constraints. (§37.131)

Public entities are permitted to use subscription services as part of a complementary paratransit system. (§37.133)

All public entity-operated, fixed route systems except commuter bus, commuter rail, and intercity rail systems must de-

velop a paratransit plan by January 26, 1992. Each plan shall provide for full compliance by no later than January 26, 1997, unless the entity has received a waiver based on undue financial burden. (§37.135)

Transportation Facilities

Accessibility specifications for transportation facilities are provided in Section 10 of the ADA Accessibility Guidelines. These specifications cover both new facilities and alterations to existing facilities. (§37.7)

The guidelines cover bus stops and terminals including pads and shelters and posted route signs; rail stations including platforms, fare vending machines, signage, and elevators and escalators; and airports including paths of circulation, ticketing and check-in, and terminal information systems. Other facility elements, such as restrooms, are covered, independent of their transportation connection, by the general element sections of the ADAAG. (§37.41-§37.61)

PARATRANSIT SERVICE— QUESTIONS AND ANSWERS

DRAFT. Please be advised that this document has not been reviewed for legal sufficiency by the U.S. Department of Transportation or the U.S. Department of Justice.

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Subpart F of the ADA Transportation Regulations states that public entities operating a fixed route system (that is, consistent routes traveled on a regular schedule) shall provide paratransit or other special services to individuals with disabilities that is comparable to the level of service provided to individuals without disabilities who use the fixed route system. This document addresses some of the most common questions about Paratransit Service.

Service Area

1. What specific geographical areas is a paratransit entity required to serve?

Complementary paratransit service must be provided to origins and destinations within corridors that have a width of 3/4 of a mile on each side of each fixed route. At the end of each route, the entity must also serve an area that looks like a semicircular "cap" and has a 3/4 mile radius from the end point of the route. (§37.131)

2. What about the small gaps that sometimes exist between these corridors?

Because it would not make sense to avoid providing service to such small isolated areas, the rule requires paratransit service there as well. (§37.131)

3. What is a paratransit "core area"?

The core service area is the area in which corridors with a width of 3/4 of a mile on each side of each fixed route

merge together such that, with few and small exceptions, all origins and destinations within the area would be served. (§37.131)

4. What about service outside the core service area, such as isolated routes that extend into the suburbs?

As bus routes follow radial arteries into the suburbs outside the core area, there are increasingly wide areas between the corridors which are not small areas completely surrounded by corridors. Service to these areas is not required. However, the paratransit entity may extend the width of one or more of these corridors from 3/4 of a mile to a maximum of 1 1/2 miles on each side of a route if it wishes to do so. In these cases, the expanded corridor could be counted by the entity in connection with a request for an undue financial burden. (§37.131)

5. What about service for paratransit-eligible individuals who live outside the service areas?

The rule does not say that an eligible user must live within a corridor in order to be eligible for paratransit. If an individual lives outside the corridor, and can find a way of getting to a pickup point within the corridor, the service must pick him up there. The same holds true at the destination end of the trip. (§37.127)

Scheduling Paratransit Trips

6. How much advance notice can be required for scheduling a trip?

Next day scheduling is required at minimum. This means, for example, that any caller reaching the reservation service at any time on one day could reserve service for any time during the next service day. A rule requiring 24-hour notice is not allowed, as it would require a person to call by noon on one day in order to receive service by noon the next day. (§37.131)

REFERENCE AND
BACKGROUND MATERIALS

7. When must the reservation service be open for scheduling paratransit trips?

An entity must make its reservation service available during the hours its administrative offices are open. If those offices are open 9 a.m. to 5 p.m., those are the hours during which the reservations service must be open, even if the entity's transit service operates from 6 a.m. to midnight. (§37.131)

8. What if someone wishes to schedule a trip when the administrative offices are closed?

On days prior to a service day on which the administrative offices are not open at all (e.g., a Sunday prior to a Monday service day), the reservation service must be open during the same hours that the administrative offices would usually be open, such as from 9 a.m. to 5 p.m. It should also be noted that a reservation service on any day does not have to be provided directly by a real person. An answering machine or other technology can suffice. (§37.131)

9. How far in advance can a paratransit trip be scheduled?

Paratransit entities must permit reservations to be made up to 14 days in advance of the desired trip date. (§37.131)

10. What are the rules for negotiating pick up times when a reservation is requested?

The paratransit entity may negotiate pickup times with an individual, but can not require an eligible individual to schedule a trip to begin more than one hour before or after the individual's desired departure time. (§37.131)

11. What is "real time" scheduling?

Real time scheduling is scheduling trips on a timely, when-needed basis. Although it is not required, a number of transit entities who have used real time scheduling believe that it is more efficient on a per-trip basis and reduces cancellations

and no-shows significantly. (§37.131)

Trip Fares**12. How are fares calculated for a paratransit trip?**

The fare for a trip charged to an ADA paratransit-eligible user of the complementary paratransit service may be up to twice the fare that would be charged to an individual paying full fare, without regard to discounts, for a trip of similar length, at a similar time of day, on the entity's fixed route system. Note that the fare charged may also be less than twice the regular fare. (§37.131)

13. May this calculation include transfer or premium charges?

Yes. Transfer and premium charges applicable to a trip of similar length, at a similar time of day, on the fixed route system may be included in calculating the paratransit trip fare. (§37.131)

14. Does the fare change if paratransit services are provided via a subcontractor?

No. The mode through which paratransit is provided does not change the method of calculation. For example, if paratransit is provided via user-side subsidy taxi service rather than publicly-operated dial-a-ride van service, the cost to the user could still be only twice the applicable fixed route fare. (§37.131)

15. What are the fares for companions?

Companions are charged the same fare as the eligible individual they are accompanying. (§37.131)

16. What are the fares for personal care attendants?

Personal care attendants ride free. (§37.131)

17. Are there exceptions to the "twice the regular fare" pricing structure?

Yes. One exception to the fare requirement is allowed for social service agency

(or other organization-sponsored) trips. This exception, which allows the transit provider to negotiate a price with the agency that may be more than twice the relevant fixed route fare, applies to agency trips. Agency trips are defined as those which are guaranteed to the agency for its use. For example, if an agency wants 12 slots for a trip to the mall on Saturday for clients with disabilities, and:

- the agency makes the reservation for the trip in its name;
- the agency will be paying for the transportation;
- the trip is reserved to the agency for whichever 12 people the agency designates;

then the paratransit entity may negotiate any price it can with the agency for the trips. Note: This does not apply to a situation where an agency employee, as a service, calls and makes an individual reservation for a client, where the client will be paying for the transportation. (§37.131)

Hours and Days of Service

18. When is paratransit service required to be provided?

The complementary paratransit service shall be available during the same hours and days as the entity's fixed route service is available. This means simply that if a person can travel to a given destination using a given fixed route at a given time of day, an ADA paratransit-eligible person must be able to travel to that same destination on paratransit at that time of day. (§37.131)

19. Are there times when the service area may be limited, such as during late evening hours?

The rules recognize that the shape of the service area can change. Late at night, for example, it is common for buses to stop running on certain routes. Those routes, and their paratransit corridors, do not need to be served with paratransit dur-

ing the hours when the fixed route system is not running on them. (§37.131)

20. Is the same level of service required at all times?

No. Service during low-demand times need not be by the same paratransit mode as during higher usage periods. For example, if an entity uses its own paratransit vans during high demand periods, it could use a private contractor or user-side subsidy provider during low demand periods. (§37.131)

Specific Requirements on Service Capacity

21. How many trips may a person schedule in a given time period?

There are no limits. For example, it would be illegal to limit a paratransit-eligible person to a quota of 30 trips per month. (§37.131)

22. Is it permissible to maintain waiting lists?

No. It is illegal for a paratransit entity to make eligible persons wait for paratransit service until one of the people being served moves away or no longer uses the service. (§37.131) (See Question #29)

23. Are there restrictions as to the purpose of the trip?

There can be no restrictions or priorities based on a trip's purpose in a comparable complementary paratransit system. There is a simple and straightforward requirement: when a user reserves a trip, the entity will need to know the origin, destination, time of travel, and how many people are traveling. The entity does not need to know why the person is traveling and should not even ask. (§37.131)

Unacceptable Patterns or Practices in Paratransit Operations

24. What does "pattern or practice" mean?

A pattern or practice involves regular or repeated actions, not accidental, singular,

or isolated incidents. A missed trip, late arrival, or trip denial now and then does not trigger this provision. Operational problems attributable to causes beyond the control of the entity (such as weather or traffic conditions affecting all traffic that could not be anticipated) is not a basis for determining whether a pattern or practice exists.

On the other hand, if the entity regularly does not maintain its vehicles, such that frequent mechanical breakdowns result in missed trips or late arrivals, a pattern or practice may exist. This is also true in a situation in which scheduling practices fail to take into account regularly occurring traffic conditions (e.g., rush hour traffic jams), resulting in frequent late arrivals. (§37.131)

25. What types of paratransit operations are unacceptable?

Any operational pattern or practice that significantly limits the availability of service to paratransit-eligible persons is not allowed. This includes, but is not limited to, the following:

- Substantial numbers of significantly untimely pickups for initial or return trips;
- Substantial numbers of trip denials or missed trips;
- Substantial numbers of trips with excessive trip lengths. (§37.131)

Subscription Service

26. What is "subscription service"?

Subscription service is when a paratransit-eligible person arranges a standing appointment for a ride, such as an 8:00 a.m. Monday through Friday departure for work and subsequent 5:00 p.m. return trip. (§37.133)

27. Are subscription services allowed?

Yes. The rules do not prohibit the use of subscription service by public entities as part of a complementary paratransit

system, subject to several limitations. (§37.133) (See Question #28.)

28. What are the limits to providing subscription service?

At any given time of day, subscription service may not absorb more than 50 percent of available capacity on the total system. For example, if the entity can provide 400 trips at 8:00 a.m., no more than 200 of these can be subscription trips. The one exception to this rule would occur in a situation in which there is excess capacity of regular paratransit services available.

Using the above example, if an entity could show a pattern of there being only 150 non-subscription trips requested at 8:00 a.m., they could begin to provide 250 subscription trips at that time. Subsequently, if non-subscription demand increased later on, the 50 extra subscription trips may have to be returned to the regular paratransit services category. (§37.133)

29. What are the rules regarding waiting lists and prioritizing trips for subscription service?

The rules permit two specific restrictions that may be imposed on a subscription service that can not be imposed in regular paratransit service. First, there may be a waiting list or other capacity constraints for provision of subscription service. Secondly, an entity may set priorities based on trip purpose. For example, subscription service during peak work trip times could be limited to work trips. It must be emphasized that these limitations apply only to subscription service. It is acceptable for an entity to put a person on a waiting list for access to subscription service at 8:00 a.m. for work trips; the same person could not be wait-listed for access to paratransit service in general. (§37.133) (See Question #22.)

Other Sources of Information

Regional ADA Technical Assistance Centers: Toll-Free 1-800-949-4232

Federal Transit Administration ADA Toll-Free Technical Assistance Line: 1-888-446-4511 (Voice) or 1-800-877-8339 (TTY); <http://www.fta.dot.gov/>

THE COORDINATION OF HUMAN SERVICES-TRANSPORTATION

FTA Requirements

Beginning in 2006, SAFETEA-LU required that projects selected for funding under Sections 5310, 5316, and 5317 programs be “derived from a locally developed, coordinated public transit-human services transportation plan.” With the goals of reducing duplicated transportation services and fiscal inefficiency, the plans are to be “developed through a process that includes representatives of public, private, and non-profit transportation and human services providers and participation by members of the public.”

In 2006, CDOT Transit Unit staff met with transportation and human service providers throughout the state in each of Colorado’s transportation planning regions (TPR). These CDOT-sponsored meetings were called “human service-transportation meetings” or “coordination meetings” and were intended to address, or begin to address, local human service-transportation coordination needs and to comply with these FTA requirements.

The result of these meetings were published as part of *The Colorado 2035 Transportation Plan Update*. See www.dot.state.co.us/StateWidePlanning/PlansStudies/2035RegionalPlan.asp to view these plans.) Individual Metropolitan Planning Organizations (MPOs are developing such plans within *urbanized* areas).

The work done in these meetings—one meeting per service area—was generally preliminary and cursory. It should be clear that true coordination requires local commitment to communicate with a host of public and private interests.

CDOT recognizes that this commitment will take time; nevertheless, you, the applicant, must demonstrate, at a minimum, a good faith effort to participate in these coordinated planning efforts.

The table on the following two pages identifies a number of coordination activities and lists benefits that might be associated with each activity.

Local Coordinating Council Handbook

To assist in the creation and sustainability of local coordinating councils, CDOT and the Colorado Interagency Coordinating Council for Transportation Access and Mobility has prepared a manual, “Handbook for Creating Local Transportation Coordinating Councils in Colorado.” It may be accessed from the Transit Plus website, www.transitplus.biz. Look for the link under Current Projects, Supporting the Success of Local Human Service-Transportation Coordinating Councils.

Coordinated Plan Development

The material below details FTA’s expectations for coordinated human service-transportation planning. It is taken from the FTA Circulars for the JARC and New Freedom programs.

Overview

A coordinated public transit-human services transportation plan (a “coordinated plan”) identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes, it provides strategies for meeting those local needs and prioritizes transportation services for funding and implementation. Local plans may be developed on a local, regional, or statewide level.

Required Elements

Projects selected for funding must be derived from a coordinated plan. At a

REFERENCE AND BACKGROUND MATERIALS

minimum, the plan must have the following elements, appropriate with available resources and local complexities.

- An assessment of available services that identifies current providers (public, private, and non-profit);
- An assessment of transportation needs for individuals with disabilities, older adults, and people with low incomes. This can be based on the experiences and perceptions of the planning partners or on more sophisticated data collection efforts, and gaps in service (Note: If a community does not intend to seek funding for a particular program (Section 5310, JARC, or New Freedom), then the community is not required to include an assessment of the targeted population in its coordinated plan);
- Strategies or activities to address identified gaps and achieve efficiencies in service; and
- Relative priorities for implementation based on resources, time, and feasibility for implementing specific strategies/activities identified.

Initial plans may be less complex in one or more of these elements than a plan developed after the local coordinated planning process is more mature. Plans must be developed in good faith in coordination with appropriate planning partners and with opportunities for public participation.

Local Flexibility

FTA supports communities building on existing assessments, plans, and action items. As all new federal requirements must be met, however, communities may need to modify their plans or processes to meet these requirements. FTA encourages communities to consider inclusion of new partners, new outreach strategies, and new activities related to the targeted programs and populations. Plans will vary based upon the availability of resources and the existence of populations served

under these programs. A rural community may develop its plans based on perceived needs emerging from the collaboration of the planning partners, whereas an urbanized community may use existing data sources to conduct a more formal analysis to define service gaps and identify strategies for addressing the gaps.

Tools and Strategies for Developing a Coordinated Plan

States and communities may develop a coordinated plan in different ways. The amount of available time, staff, funding, and other resources should be considered. The following is a list of potential strategies for consideration.

Community Planning Session. A community may conduct a local planning session with a diverse group of stakeholders in the community. This would be intended to identify needs based on personal and professional experiences, identify strategies to address the needs, and set priorities based on time, resources, and feasibility for implementation. This can be done in one or more meetings with the same group. It's helpful to identify a facilitator to lead this process. Also, as a means to leverage limited resources and to ensure broad exposure, this could be conducted in cooperation, or coordination, with the applicable metropolitan or statewide planning process.

Self-Assessment Tool. *The Framework for Action: Building the Fully Coordinated Transportation System*, developed by FTA and available at www.unitedwerride.gov, helps stakeholders realize a shared perspective and build a roadmap for moving forward together. The self-assessment tool focuses on a series of core elements that are represented in categories of simple diagnostic questions to help groups and communities assess their progress toward transportation coordination based on standards of excellence. There is also a *Facilitator's Guide* that offers detailed advice on how to choose an exist-

ing group or construct an ad hoc group. In addition, it describes how to develop elements of a plan, such as identifying the needs of targeted populations, assessing gaps and duplications in services, and developing strategies to meet needs and coordinate services.

Focus Groups. A community could choose to conduct a series of focus groups within communities that provides opportunity for greater input from a greater number of representatives, including transportation agencies, human service providers, and passengers. This information can be used to inform the needs analysis in the community. Focus groups also create an opportunity to begin an ongoing dialogue with community representatives on key issues, strategies, and plans for implementation.

Survey. The community may choose to conduct a survey to evaluate the unmet transportation needs within a community and/or available resources. Surveys can be conducted through mail, e-mail, or in-person interviews. Survey design should consider sampling, data collection strategies, analysis, and projected return rates. Surveys should be designed taking accessibility considerations into account, including alternative formats, access to the internet, literacy levels, and limited English proficiency.

Detailed Study and Analysis. A community may decide to conduct a complex analysis using inventories, interviews, GIS mapping, and other types of research strategies. A decision to conduct this type of analysis should take into account the amount of time and funding resources available, and communities should consider leveraging State and MPO resources for these undertakings.

Participation in the Planning Process

SAFETEA-LU requires the coordinated plan to be developed through a process that includes representatives of public, private, and non-profit transportation

and human services providers, and the general public. Note that the required participants include not only transportation providers but also providers of human services, and members of the public (e.g., individuals with disabilities, older adults, and individuals with low incomes) who can provide insights into local transportation needs. It is important that stakeholders be included in the development and implementation of the local coordinated public transit-human services transportation plan. The following possible strategies facilitate appropriate inclusion:

Adequate Outreach to Allow for Participation

Outreach strategies and potential participants will vary from area to area. Outreach strategies could include notices or flyers in centers of community activity, newspaper or radio announcements, e-mail lists, Web postings, and invitation letters to other government agencies, transportation providers, human services providers, and advocacy groups. Allow many ways to participate, including in-person testimony, mail, e-mail, teleconference, and so forth.

Public meetings regarding the plan should be held when and where accessible transportation services can be available, and adequately advertised to the general public. Interpreters for individuals with hearing impairments and English as a second language and accessible formats (e.g., large print, Braille, electronic versions) should be provided as required by law.

A key provision of statewide planning under SAFETEA-LU is the requirement for consultation with an expansive list of stakeholders. There is significant overlap between the list of stakeholders identified under those provisions (e.g. private providers of transportation, representatives of transit users, and representatives of the disabled) and the organizations that should be involved in preparation of the coordinated plan.

REFERENCE AND BACKGROUND MATERIALS

Section 5310, JARC, and New Freedom projects must be “derived from a locally developed, coordinated public transit-human services transportation plan” that was “developed through a process that includes representatives of public, private, and non-profit transportation and human services providers and participation by members of the public.”

The requirement for developing the local public transit-human services transportation plan is intended to improve services for people with disabilities, older adults, and individuals with low incomes. Therefore, individuals, groups and organizations representing these target populations should be invited to participate in the coordinated planning process. Consider including the following:

Transportation Partners:

- Area transportation planning agencies, including MPOs, states, and local governments;
- Public transportation providers (including ADA paratransit providers and agencies administering the projects funded under the FTA urbanized and non-urbanized programs);
- Private transportation providers, including private transportation brokers, taxi operators, van pool providers, and intercity bus operators;
- Non-profit transportation providers;
- Past or current organizations funded under the JARC, the Elderly Individuals and Individuals with Disabilities (Section 5310) and/or New Freedom programs; and
- Human service agencies funding, operating, and/or providing access to transportation services.

Passengers and Advocates:

- Existing and potential riders, including both general and targeted population passengers (individuals with disabilities, older adults, and people with low incomes);
- Protection and advocacy organizations;

- Representatives from independent living centers; and
- Advocacy organizations working on behalf of targeted populations.

Human Service Partners

- Agencies that administer health, employment, or other programs for targeted populations. Examples of such agencies include Departments of Social/Human Services, Employment One-Stop Services; Vocational Rehabilitation, Medicaid, Community Action Programs (CAP), Agency on Aging (AOA); Developmental Disability Council, Community Services Board;
- Non-profit human service provider organizations that serve the targeted populations;
- Job training and placement agencies;
- Housing agencies;
- Health care facilities; and
- Mental health providers.

Other

- Security and emergency management agencies;
- Tribes and tribal representatives;
- Economic development organizations;
- Faith-based and community-based organizations;
- Representatives of the business community (e.g., employers);
- Appropriate local or state officials and elected officials; and
- School districts.

Note: Participation in the planning process will not bar providers (public or private) from bidding to provide services identified in the coordinated plan. This planning process differs from the competitive selection process, and it differs from the development and issuance of an RFP as described in the *Common Grant Rule* (49 CFR part 18).

Levels of Participation

The suggested list of participants above does not limit participation by other groups, nor require participation by every group listed. Communities will have different types of participants depending on population and size of community, geographic location, and services provided at the local level. It is expected that planning participants will have an active role in the development, adoption, and implementation of the plan.

Participation may remain low even though a good faith effort is made by the lead agency to involve passengers, representatives of public, private, and non-profit transportation and human services providers, and others. The lead agency should document the efforts they used to solicit involvement.

In addition, federal, state, regional, and local policy makers, providers, and advocates should consistently engage in outreach efforts that enhance the coordinated process, because it is important that all stakeholders identify the opportunities that are available in building a coordinated system. State DOT offices are encouraged to work with their partner agencies at the state level to provide information to their constituencies about the importance of partnering with human service transportation programs and the opportunities that are available through building a coordinated system.

Adoption of a Plan

Participants should identify the process for adoption of the plan.

Cycle and Duration of the Plan

Communities and states may update the coordinated plan to align with the competitive selection process based on needs identified at the local levels. States, MPOs, designated recipients, and pub-

lic agencies that administer or operate major modes of transportation should set up a cycle that is conducive to and coordinated with the metropolitan and statewide planning processes, to ensure that selected projects are included in the TIP and STIP, to receive funds in a timely manner.

Role of Transportation Providers that Receive FTA Funding Under the Urbanized and Other Than Urbanized Formula Programs in the Coordinated Planning Process

Recipients of Section 5307 and Section 5311 assistance are the “public transit” in the public transit-human services transportation plan and their participation is assumed and expected. Further, Section 5307(c)(5), requires that, “Each recipient of a grant shall ensure that the proposed program of projects provides for the coordination of public transportation services...with transportation services assisted from other United States Government sources.” [Editor’s note: this 5307 citation appears to be incorrect.]

In addition, Section 5311(b)(2)(C)(ii) *General Authority, Apportioning Amounts*, requires the Secretary of the U.S. Department of Transportation to determine that a State’s Section 5311 projects “provide the maximum feasible coordination of public transportation service...with transportation service assisted by other Federal sources.”

EXAMPLES OF POTENTIAL COORDINATION BENEFITS

Joint Procurement of Vehicles, Insurance, Maintenance, Fuel, Hardware, Software

Benefits

- Less capital outlay per agency.
- Fewer overall operational cost per agency through improved economy of scale in purchasing fuel and hardware.
- Greater level of service or operations of the transit system within the region if an agency is able to shift funding from maintenance and capital to service house due to a decrease in capital and maintenance costs, an agency may be able to shift funding from maintenance and capital to service hours, thereby increasing the level of service or operations of the transit system within the region.

Shared Vehicle Storage and Maintenance Facilities

Benefits

- Lower maintenance costs, resulting in additional funds available for operations.
- Less lost time due to vehicles not starting in cold weather, thereby improving the overall performance of the transit service.
- Higher amount of local match and level of FTA funding. Sharing a facility or building a facility together increases the amount of local match, thereby increasing the level of FTA funding to the region.
- Less competition for FTA 5309 and 5311 capital funding in the region.

Joint Grant Applications

Benefits

- Less time each agency needs to spend in developing a grant on their own.
- Higher potential for increase in local match funds for state and FTA funding.
- Better sharing of knowledge and grant writing skills.

Joint Training Programs

Benefits

- Fewer training funds needed in each agency's budget.
- Better opportunity for drivers and staff to learn from each other.

Sharing Expertise

Benefits

- Less need for costly training sessions for drivers and staff, thus less lost production time.
- Greater efficiencies of transit's providers as knowledge is passed on to other staff members and agencies.

Coordinating Council

Benefits

- Greater potential for input from the key transportation agencies in the region.
- Greater potential for members to share information and knowledge on a one-on-one basis.
- Greater opportunity to identify possible coordination actions.
- Increased integration of transit planning within the region.

Joint Planning and Decision Making

Benefits

- Less need for expensive planning documents for each transit agency.

Coalitions

Benefits

- Broader base of support for the improvement of transit services in the region.
- Better support for local funding because the coalition is able to speak with the community and region's decision-makers.

EXAMPLES OF POTENTIAL COORDINATION BENEFITS

Vehicle Sharing

Benefits

- Less overall local capital outlay.
- Better resource management if these funds can be shifted to cover operational costs or to increase the level of service.
- Wider range for use of funds; these funds can also be used for capital funding for facilities, equipment, and other capital assets.

Contracts for Service

Benefits

- Higher amount of local match that can be used to pull additional state and federal funding for transit services into the region.
- Less duplication of services in the region, thereby creating an economy of scale and improving the overall transit performance level.

Provide Vehicles

Benefits

- Less capital outlay for the agency that obtains the used vehicle.
- Less need to retire older vehicles in the fleet.
- Higher potential for access to more options. This could allow human service transportation providers to obtain vehicles they would otherwise not be able to purchase because of new vehicle costs due and the level of federal capital funding they are able to receive.

One-Call Center

Benefits

- Fewer administrative costs for participating agencies.
- First step to centralized dispatching.
- Better customer service; only need to call one number in order to obtain all the transit information they need.

Centralized Functions (Reservations, Scheduling, Dispatch)

Benefits

- Less duplication of administrative costs, based on an economy of scale.
- Better marketability of the region's transit service.
- Better fleet coordination.

Transportation Broker

Benefits

- Less duplication of administrative costs, based on an economy of scale.
- Better marketability of the region's transit service.
- Better fleet coordination.

Consolidated Transportation Program

Benefits

- Less cost per passenger and lower administrative and operational costs with creation of an economy of scale.
- Greater level of local match funding available to obtain federal funding, through contract services provided to other agencies in the region.

REFERENCE AND BACKGROUND MATERIALS

JOB ACCESS AND REVERSE COMMUTE: LOW INCOME ELIGIBILITY

The JARC Program’s goal is to improve access to transportation services to employment and employment-related activities for welfare recipients and eligible low-income individuals. FTA provides financial assistance for transportation services planned, designed, and carried out to meet the transportation needs of *welfare recipients* and *eligible low-income individuals* in all areas—urbanized, small urban, and rural.

Welfare

A Welfare Recipient is defined as an individual who has received assistance under a state or tribal program funded under Part A of Title IV of the Social Security Act. For the purposes of the JARC Program, recipient may have received this funding at any time during the three-year period before the date on which the applicant applies for a grant under JARC. In other words, if you are applying for JARC funding, the individuals for whom you intend to provide service must have been a welfare recipient sometime within the last three years.

Low Income

To be considered an “eligible low-income” individual, the individual’s household must be at or below 150 percent of the poverty line (as that term is defined in Section 673(2) of the Community Services Block Grant Act (42 USC 990(2)), including any revision required by that section) for a family of the size involved.

The Department of Health and Human Services issues poverty guidelines every year. Published in the *Federal Register*, the guidelines are a simplification of the poverty thresholds (poverty thresholds are generated by the Census Bureau for statistical purposes) and are used to determine financial eligibility for certain federal programs.

The JARC program defines “eligible low-income” as being within 150 percent of the poverty line. The table below lists the poverty rate and 150 percent of that rate for 2010.

<http://www2.ed.gov/about/offices/list/ope/trio/incomelevels.html>

Poverty Guideline and 150 Percent of Guideline by Household Size for 2010

Number of Persons in Family of Household	2010 HHS Poverty Guidelines for 48 Contiguous States/D.C.	150 Percent of 2010 HHS Poverty Guidelines
1	\$ 16,335	\$ 24,502
2	\$ 22,065	\$ 33,097
3	\$ 27,795	\$ 41,692
4	\$ 33,525	\$ 50,287
5	\$ 39,255	\$ 58,882
6	\$ 44,985	\$ 67,477
7	\$ 50,715	\$ 76,072
8	\$ 56,445	\$ 84,667
Number per Person	\$ 5,730	\$ 8,595

CIVIL RIGHTS

CDOT has developed the following requirements and procedures to ensure no person in the State of Colorado will, on the basis 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 assistance under Sections 5303, 5304, 5310, 5311, 5316 and 5317.

All potential grantees must submit annually, *with their application/application update*, the following information:

- ✓ A “Nondiscrimination Assurance” as part of the annual FTA Assistance Program Certifications and Assurances submission to the FTA. If awarded funds, a grantee will also be required to execute a Civil Rights Compliance assurance as one of the standard assurances completed through the contract process.
- ✓ A list of any active lawsuits or complaints naming the potential grantee that alleges discrimination on the basis of race, color, sexual preference, or national origin with respect to service or other transit benefits.
- ✓ A current transit program brochure that includes Title VI Statement of Rights, Nondiscrimination, and Complaint Information.

All potential grantees must submit to the Department the following information *every three years*:

First Time Applicants

- ✓ A summary of all civil rights compliance review activities conducted during the last three years if the agency has received previous federal funding NOT from FTA. The summary shall include:
 - Purpose or reason for review
 - Name of organization performing the review

- Summary of findings and recommendations of the reviews; and
- Report on the findings and recommendations of the review
- ✓ A list of all pending applications for financial assistance and all financial assistance currently provided by other federal agencies.

- ✓ Verification of Statement of Rights, Nondiscrimination, and Compliant filing information in all program information, to include marketing materials and websites.
- ✓ Documentation of program procedures for investigating and tracking discrimination complaints.
- ✓ Documentation of procedures for how to meet FTA Limited English Proficiency requirements.

CDOT maintains a file of all such reports and requires that the grantee have records available for review.

- ✓ Every year CDOT submits the names and addresses of all proposed grantees to the U.S. EEO Commission and the U.S. Commission on Civil Rights regional offices. These groups are asked to disclose any complaints filed or actions taken against any of the proposed grantees. If the responses from either of the organizations indicate complaints against a grantee, CDOT will contact the grantee and monitor the status of such complaints until they are resolved.

Civil Rights Compliance

The Department strives to ensure that each applicant is evaluated fairly and is not discriminated on the basis of race, color, or national origin.

REFERENCE AND BACKGROUND MATERIALS

REFERENCE AND
BACKGROUND MATERIALS

EQUAL EMPLOYMENT OPPORTUNITY (EEO)

States must ensure that they and their subrecipients comply with the requirements of EEO:

- To not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or handicap,
- To ensure that applicants are employed and that employees are treated fairly during employment without regard to race, color, creed, national origin, sex, age, or handicap, and,

- To post in conspicuous places and make available to employees and applicants employment notices setting forth an EEO policy.

To ensure grantee compliance with EEO requirements, CDOT includes such requirements in its contracts with grantees and will monitor compliance during site visits. During the site visits CDOT will, at a minimum, ensure that grantees have an EEO policy statement placed prominently in employment applications and on a poster located where interested parties complete job applications.

DISADVANTAGED BUSINESS ENTERPRISE (DBE)

CDOT will ensure that disadvantaged businesses are provided the maximum opportunity to compete for and perform contracts and subcontracts financed in whole or in part with federal funds. CDOT will ensure businesses are not discriminated based on race, color, creed, national origin, age, sex, or handicap in the award and performance of FTA assisted contracts.

Necessary and reasonable steps include:

- Identifying all contracting opportunities, if any, associated with FTA assistance.
- Analyzing DBE availability (known and projected) to provide products or services at either the prime or subrecipients level.
- Establishing contract goals for all FTA assisted contracts based upon the availability analysis.
- Using good faith efforts to achieve contract goals established.
- Using certified DBE firms.

- Maintaining records and reports sufficient for verifying steps taken and participation achieved.

CDOT will ensure that all grantees make a reasonable effort to use DBE firms. CDOT will provide information to grantees about the availability of such firms; monitor grantees' contracting activity for DBE compliance; and, report to FTA on grantees that receive FTA funds in excess of threshold amounts.

To increase DBE participation on 5310 (non-vehicle), 5311, 5316, and 5317 contracting opportunities, CDOT will provide grantees with one DBE certified list. For many grantees, the only explicit federal requirement is to "make a reasonable effort" to use DBE firms.

Each 5311, 5316, 5317, and 5310 grantee (not receiving vehicles) is required to report contracting activity to the Department semi-annually. The Department will then report this activity to the FTA regional office.

NATIONAL TRANSIT DATABASE (NTD)

NTD Reporting

The National Transit Database (NTD) is the FTA's primary national database for statistics on the transit industry. Recipients of FTA's [Urbanized Area Formula Program](#) (Section 5307) and [Other Than Urbanized Area \(Rural\) Formula Program](#) (Section 5311) are required by statute to submit data to the NTD.

Who Reports

State Departments of Transportation must report NTD rural data. The State Department of Transportation administering the FTA Formula Program for Other Than Urbanized Areas (Section 5311) is responsible for collecting and providing data regarding each Section 5311 *subrecipient* in the State serving the general public.

SAFETEA-LU defines recipients and subrecipients as follows:

Recipients are a State or Indian Tribe that receives a Section 5311 grant directly from the Federal government.

Subrecipients are a State or local governmental authority, a nonprofit organization, or an operator of public transportation or **intercity bus** service that receives Section 5311 funds indirectly through a recipient.

When to Report

The reporting schedule for the NTD is based on the close of the state's fiscal year. Reports generally must be submitted within 120 days of the close of the state fiscal year, **making Colorado's reporting deadline October 28.**

How to Report

All agencies receiving Section 5311 grant

awards must complete an NTD Rural General Public Transit Service Form (RU-20). The RU-20 Form is in Microsoft Excel format and will be emailed to all Section 5311 grantees; the RU-20 can also be downloaded from the NTD website at the URL <http://www.ntdprogram.gov/ntdprogram/rural.htm>.

All 5311 grantees must complete an RU-20 form and email them to Matt Paswaters, Transit Grants Coordinator, by the deadline (Mattew.paswaters@dot.state.co.us).

Failure to Report

NTD requires transit agencies to submit complete reports according to the due date schedule. [Failure to report](#) results from not submitting a report, submitting a [late report](#) or submitting an [incomplete report](#). A report is considered late if it is not submitted by the due date. A report is incomplete if it does not contain all the required reporting forms and data.

Failure of a transit agency to report results in that agency being ineligible to receive a Section 5311 grants directly or indirectly.

What to Report

Complete one RU-20 Rural General Public Transit Service Form for each rural transit provider.

The NTD Background

Taken from the NTD website at <http://www.ntdprogram.gov/ntdprogram/ntd.htm#operates>.

What is the NTD Program?

The NTD was established by Congress to be the nation's primary source for

information and statistics on the transit systems of the United States. Recipients or beneficiaries of grants from the FTA under the [Urbanized Area Formula Program](#) (Section 5307) or [Other than Urbanized Area \(Rural\) Formula Program](#) (Section 5311) are required by statute to submit data to the NTD. Each year, NTD performance data are used to apportion over \$5 billion of FTA funds to transit agencies in [urbanized areas](#) (UZAs).

The legislative requirement for the NTD is found in Title 49 U.S.C. 5335(a): SECTION 5335 National transit database.

Funding for Transit Agencies Serving Urbanized Areas under 200,000 Population

NTD data are used in the formula allocation of Federal transit funds for the Urbanized Area Formula Program (Section 5307) and for the Fixed Guideway Modernization Program (Section 5309, in part). The NTD data are also used in the formula allocations of Federal transit funds. With the passage of SAFETEA-LU, NTD data for urbanized areas with populations fewer than 200,000 are also used in the allocation of Federal transit funding.

Overview

The National Transit Database (NTD) is the FTA's national database of statistics for the transit industry. It is comprised of data reported by more than 600 transit agencies across the US, then analyzed and compiled into reports published by FTA and made available to the public on the NTD Program website.

The database includes all modes of public transportation utilized on local and regional routes throughout the country, including private and public buses, heavy and light rail, ferryboats and vanpool service, as well as services for senior citizens and persons with disabilities, and taxi services operated under contract to a public transportation agency.

For a clear and detailed view of the nationwide state of transit a lot of information must be collected. This is the job of the transit reporters, who usually fall into one of three groups: transit agencies, providers of purchased transportation services, and voluntary reporters. The types of data reported include:

- Operational Characteristics—Vehicle revenue hours and miles, unlinked passenger trips and passenger miles, etc.
- Service Characteristics—Service reliability and safety, etc.
- Capital Revenues and Assets—Sources and uses of capital, fleet size and age, and fixed guideways, etc.
- Financial Operating Statistics—Revenues, Federal, state and local funding, costs, etc.

In recent years, the NTD has grown to include safety, security, and rural transportation data.

The NTD Products

FTA disseminates the data collected each report year. To tailor the data to the needs of the congress, other federal agencies / departments, the reporting agencies and the general public the NTD produces several publications, including:

Transit Profiles—This is a “snapshot” view of a transit agency’s data for a given report year. The most important service, financial, operational and modal data presented on a single page, including graphs to show relational data and performance trends from prior years’ data. A profile is produced for each transit agency, as well as a national summary profile and an aggregate profile for the top 50 agencies.

Data Tables—The purpose of the data tables is to present data across all transit agencies. There are currently 27 data tables produced, ranging from Operators’ Wages to Energy Consumption to Age Distribution of Active Revenue Vehicle Inventory.

National Transit Summaries and Trends

This publication is similar to the data tables, in that it presents “types” of data, but instead of presenting individual agencies’ data for the year, it looks at the national summary data, across prior years, to present trends over the past decade. The trends and summaries examined include:

- Transit in the United States
- Operating Costs and Performance Measures
- Quality of Transit Service
- Reliability
- ADA Compliance
- Funding Transit Operations
- Capital Investment in Transit
- Bus Fleet
- Fixed Guideway Mileage
- Alternative Fuel Usage

In addition, aggregate data by UZA and by form is included.

The publications and reports produced by NTD are posted on the NTD website for download (www.ntdprogram.gov). The NTD website includes prior years’ publications as well.

In addition to the publications listed above, NTD produces several other products, including:

- Apportionment dataset (UAF 5307 & FG 5309)
- GPRA performance measures
- ADA compliance data
- Infrastructure data for Conditions and Performance Report
- Manuals: Reporting, Validation, Safety and Security, Rural.

How The Data is Used

Many federal and state government departments and agencies, universities and research centers, and international studies also make use of NTD data. In addition, transit agencies themselves

look at performance measures, historical trends, and conduct special analyses utilizing published NTD data.

How the data we collect is used:

- Formulation of National Policy
- Federal: BTS, DOE, EPA, DOL, DOC, FHWA
- State and regional planning and investment
- APTA Data Book
- Special analyses: HOT lanes, fleet age
- Research
- Private sector (vehicle manufacturers and OEMs).

DRUG AND ALCOHOL TESTING 5311 GRANTEEES ONLY

FTA requires recipients of Section 5311 funds to establish and implement drug and alcohol misuse testing programs, as specified in Title 49 parts 40 and 655 of the United States Code of Federal Regulations (CFR).

The purpose of these regulations is to establish programs to be implemented by employers that receive financial assistance from the Federal Transit Administration (FTA) and by contractors of those employers; that are designed to help prevent accidents, injuries, and fatalities resulting from the misuse of alcohol and use of prohibited drugs by employees who perform safety-sensitive functions.

Recipients of 5311 dollars are required to annually prepare and maintain a summary of the results of their drug and alcohol testing programs. Each recipient is responsible for submitting this report to FTA’s Office of Safety and Security, while CDOT is responsible for ensuring the accuracy and timeliness of the reports themselves.

REFERENCE AND BACKGROUND MATERIALS

Drug and Alcohol Policy Requirements Checklist

Designated Contact Person and Board

Adoption

- Identity of person, office, branch, and/or position
- Proof of policy adoption by local governing board or other authorized official

Covered Employees

- Operation of a revenue service vehicle, in or out of revenue service
- Operation of a non-revenue vehicle requiring a Commercial Drivers License (CDL)
- Controlling movement or dispatch of a revenue service vehicle (determined by employer)
- Security personnel who carry firearms
- Maintenance of a revenue service vehicle
- Contractor employees that stand in the shoes of transit system employees also have to comply

Prohibited Substances

- Alcohol
- Amphetamines
- Cocaine
- Marijuana
- Opiates
- Phencyclidine

Pre-employment

- Negative test before 1st SS duty, must make up if cancelled
- Not SS for 90-days and out of pool need pre-employment test
- Applicant who failed/refused must show evidence of treatment
- If alcohol test, must follow Part 40 regulations

Reasonable Suspicion

- Trained supervisor
- Physical behavior, performance, contemporaneous observation

Post-Accident

- Fatality
- Medical treatment away from scene, unless driver discounted
- Disabling damage, unless driver discounted
- Drug test within 32 hours
- Alcohol within eight hours
- No test two hours, create note, no test eight hours, update note
- Readily available, or refusal to test
- Readily available stayed for resolution and medical treatment

Return-to-Duty and Follow-Up

- Conducted in accordance with Part 40, subpart O

Random

- Scientifically valid selection method
- Testing is conducted on all days and hours throughout the year
- Unannounced and immediate
- No discretion by management or operations

Prohibited behavior

- Alcohol use four hours prior, on call, while performing SS duty
- Alcohol use eight hours after accident or until PA test

Period of Coverage

- Drug test—anytime on while on duty
- Alcohol test—Just before, during, or immediately after safety-sensitive duty

Testing Methods

- Drug and alcohol tests—detailed discussion in policy now optional
- It is only necessary to reference Part 40, but if referenced, copies must be available for employees

Test Requirement

- All covered employees are required to submit to drug and alcohol tests as a

condition of employment in accordance with Part 655.

Test Refusal

- Failure to provide breath or urine sample
- Insufficient volume without valid medical explanation
- Tampering, adulterating, or substituting specimen
- Failing to appear within a reasonable time—*defined by employer*
- Leaving the scene of an accident without just cause prior to submitting to a test
- Leaving collection facility prior to test completion
- Failing to permit an observed or monitored collection when required
- Failing to take a second test when required
- Failing to undergo a medical examination when required
- Failing to cooperate with any part of the testing process
- Failing to sign Step 2 of alcohol test form
- MRO verified adulterated/substituted sample
- Once test is underway, failing to remain at site and provide a specimen
- For pre-employment, NOT refusal: Failure to appear
- For pre-employment, NOT refusal: Failure to remain at site prior to commencement of test
- For pre-employment, NOT refusal: Aborting the collection before the test commences
- No claim that refusal to take a company test is a refusal to DOT test

Consequences

- Positive drug or alcohol (above 0.04) test result or test refusal
- Blood Alcohol Count (BAC) (0.02 to 0.039)
- Dilute negative
- Dilute negative results 2–5 mg/dl
- Immediate remove employee from safety-sensitive position
- Refer for assessment by a Substance Abuse Professional
- Apply transit system disciplinary policy
- SAP Referral Required
- All employees/applicants must be given valid contact information for a USDOT-qualified SAP if they test positive.

Additional Employer Provisions

Allowed

- Must be identified
- The provisions of the Drug Free Workplace Act of 1988 may be incorporated in the policy statement but must be so identified

Compliance Tips

- Effective date of policy—normally found on cover of policy
- Policy distribution—Employees should be requested to sign a confirmation of receipt form
- Make sure future revisions of a substantive nature also receive Board approval
- Make sure all employees have the most current version of the policy
- Clearly differentiate between FTA and company authority

REFERENCE AND
BACKGROUND MATERIALS

TRANSPORTATION REAUTHORIZATION

The last time Congress passed a transportation bill was in 2005! State DOTs are currently operating on a continuing resolution set to expire in August 2011.

Although no one knows what the final legislation will look like, DOT's FY 2012 budget for the Department of Transportation requests \$22.4 billion to support public transit. The new reauthorization intends "to restore America's economic competitiveness by repairing our existing roads, bridges, and transit systems and to build new infrastructure to move people and goods safely and efficiently. The plan requests \$556 billion for the six-year reauthorization with four broad goals:

- (1) Strengthening infrastructure
- (2) Spurring innovation
- (3) Ensuring safety, and
- (4) Reforming government and exercising responsibility.

The budget includes a 128 percent increase—to \$119 billion over six years—in funding for transit. It will prioritize projects that rebuild and rehabilitate existing transit systems, include an important new transit safety program, and allow transit authorities (in urbanized areas of 200,000 or more in population) to temporarily use formula funds to cover operating costs in limited circumstances.

The budget proposal recommends "consolidating and streamlining highway and transit programs" by consolidating five transit programs into one state of good repair program and one specialized transportation program.

The budget requests \$7.5 billion "Up-Front," economic boost funds for "Transit State of Good Repair." This funding will help pay for capital asset renewal and replacement at local bus and rail transit systems nationwide with a focus on the

oldest and largest systems with the greatest need.

Another pot of "Up-Front" funds is \$3 billion for the "Urban and Rural Formula" programs. This funding will support over 1,300 local transit agencies nationwide with capital assistance, including routine maintenance, and limited operating assistance for certain small urban and rural systems.

We're including some of the budget request highlights, for your information.

Summary of Transportation Reauthorization Request

- The President is requesting a total of \$22 billion in FY 2012 improve the condition of transit assets, expand access, and increase transit safety. The total request is an increase of \$10 billion and 110 FTE over FY 2010.
- The request proposes to consolidate its program structure into five budget accounts each funded from the Mass Transit Account of the new Transportation Trust Fund.
- A separate \$150 million General Fund appropriation is requested for the Washington Metropolitan Area Transit Authority.
- Bus and Rail State of Good Repair Program: \$10.7 billion is requested to help transit agencies reduce their backlog of aging equipment and vehicles – a major priority for the Department. Of this amount, \$7.5 billion is part of a short-term, Up-Front \$50 Billion economic boost, which will ensure that State and local partners realize the benefits of these investments in the early years of the authorization. This program will help make transit systems with old capital bases more

reliable, efficient, desirable, and safer for the millions of travelers who use them every day.

- **Transit Formula Grants Program:** \$7.7 billion is requested to help support both rural and urban areas with transit capital investments and, for certain small urban and rural systems, operating assistance. FTA also proposes making operating costs an eligible expense -- on a temporary and targeted basis -- to help prevent cuts to services during hard economic times. Of this amount, \$3 billion is part of the Up-Front \$50 Billion economic boost.
- **Transit Expansion and Livable Communities Program:** \$3.5 billion is requested to expand transit accessibility by investing in new transit projects. This includes the Capital Investment Grants program (\$3.2 billion), Planning Programs (\$140 million), the new Livable Communities demonstration grants (\$50 million), Transit in the Parks (\$28 million), and Tribal Transit (\$15 million). Of the amount for Capital Investment Grants, \$1 billion is part of a short-term, Up-Front \$50 Billion economic boost, reflecting the Administration's interest in growing transit services nationwide.
- **Safety and Operations Program:** \$166 million is requested to fund FTA's administrative operations and new rail transit safety oversight activities. Of this amount, \$36.5 million funds rail transit safety oversight field activities in partnership with States. This new authority responds to NTSB, GAO and IG findings and is a proposal included in the Department's Surface Transportation Reauthorization proposal.
- **Research and Technology Deployment Program:** \$166 million is requested for a new account that will align applied research and demonstration projects and combine technical assistance with workforce development. Combining research and demonstration projects with training will help FTA better fo-

cus on preparing transit agencies for future challenges. The fund brings together the Greenhouse Gas Reduction and Clean Fuels programs (\$97 million), Research and Technology (\$30 million), and Technical Assistance and Workforce Development (\$39 million).

- **Up-Front \$50 Billion Economic Boost:** Overall, \$11.5 billion is requested for transit related activities in the Up-Front economic boost.
 - The Nation's largest and oldest transit systems have a repair backlog estimated at \$77.7 billion. The President is requesting a \$7.5 billion boost to a new State of Good Repair Program that targets funding more directly to those agencies that need it the most. The new program will also require agencies to improve their capital asset management.
 - **The President is requesting an additional \$3 billion boost for FTA's Transit Formula Grants.** This will assist states and localities with capital assistance to expand capacity and engage in better capital asset management through structured asset renewal and replacement.
 - An additional \$1 billion boost for Capital Investment Grants will help complete the Federal funding commitment for a number of new transit projects and help projects in construction on schedule.
- **Six-year Reauthorization Priorities:** For transit, this represents the first-year of a six-year \$119 billion proposal for transit. The President's proposed transit reauthorization promotes increased transportation options, safety, and maintenance. It also encourages improvements to strategic and capital planning and proposes a sensible, streamlined program structure.
 - The new Rail Transit Safety Program is a cooperative effort with state transit safety oversight agen-

REFERENCE AND BACKGROUND MATERIALS

- cies to set national transit safety standards and provide inspections and consultation in order to ensure compliance. This proposal responds to NTSB and GAO recommendations following rail transit accidents in several cities across the nation, including Boston, Washington, DC, Chicago, Salt Lake City, San Francisco, and Miami.
- The Transportation Expansion Program includes New Starts along with a new Livable Communities and Planning program funding to provide greater access to transit for cities and rural areas and coordinate transit with housing and economic development planning.

- The reauthorization also encourages states and localities to coordinate their plans and improve their planning models in order to have better data to make sound decisions with federal funding. It also promotes the use of capital asset management in order to use formula funding wisely.

The proposal also restructures FTA's grants into four programs. The State of Good Repair Program will have a more streamlined formula that will target funding to those transit agencies with the oldest equipment in most need of repair. The New Starts Program will have simpler, streamlined requirements for funding.

DEFINITIONS

ADA: Americans with Disabilities Act of 1990, with amendments, the legislation that defined the responsibilities of and requirements for transportation providers to make transportation accessible to individuals with disabilities.

ADA Accessible Stations: Public transportation passenger facilities, which provide ready access, and do not have physical barriers that prohibit and/or restrict access by individuals with disabilities, including individuals who use wheelchairs. Refer to 49 CFR Part 37, Appendix.

ADA Accessible Vehicles with Lifts: Public transportation revenue vehicles, which do not restrict access, are usable, and provide allocated space and/or priority seating for individuals who use wheelchairs, and which are accessible using lifts. Refer to 49 CFR Part 38.

ADA Accessible Vehicles with Ramps/Low Floor: Public transportation revenue vehicles, which do not restrict access, are usable, and provide allocated space and/or priority seating for individuals who use wheelchairs, and which are accessible using ramps. Refer to 49 CFR Part 38.

Active Vehicles: The vehicles available to operate in revenue service, including spares and vehicles temporarily out of service for routine maintenance and minor repairs.

Actual Service: The total service operated during each time period. Actual service excludes: missed trips and service interruptions (e.g., strikes, emergency shutdowns). Actual service is measured by vehicles in service, in miles and hours.

Actual Vehicle Revenue Miles (VRM): The miles that vehicles travel while in revenue service. VRM includes layover/recovery time, but excludes deadhead, operator training and maintenance testing, and school bus and charter services.

Administrative Expenses: Expenses

related to the planning or administering of a local public transportation project or program.

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

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

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

Operating costs exclude fixed costs such as depreciation on plant and equipment, costs of providing transportation services not available to the general public, and interest paid on loans on capital equipment.

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

DEFINITIONS

Annual Vehicle Miles: The total number of miles for the reporting period that all vehicles travel from the time they pull out to go into revenue service to the time they pull in from revenue service. This includes the miles of personal vehicles used in service.

Applicant: An organization that has submitted an application for funding, but which has not yet been awarded a grant for the funding cycle under consideration.

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

Bus: A transit mode comprised of rubber-tired passenger vehicles operating on fixed routes and schedules over roadways. Vehicle are powered by diesel, gasoline, battery, or alternative fuel engines contained within the vehicle.

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

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

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

Capital Expense: The expenses related to the purchase of equipment. Equipment means an article of non-expendable tan-

gible personal property having a useful life of more than one year and an acquisition cost which equals the lesser of the capitalization level established by the government unit for financial statement purposes, or \$5,000. Capital expenses do not include operating expenses that are eligible to use capital funds.

Census Designated Place: This refers to a densely settled concentration of population that is not legally incorporated as a political subdivision, but is identifiable by a name assigned by the decennial Census.

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

Colorado Association of Transit Agencies (CASTA): A professional association dedicated to improving mobility in Colorado. CASTA provides leadership, resources, support, and technical assistance to locally based, fixed route, and/or demand responsive transit agencies in Colorado.

Common Rule: The "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"; Final Rule" originally issued at 53 FR 8034-8103 (March 11, 1988).

Communication Systems: Systems for exchanging information including two-way radio systems for communications between dispatchers and vehicle operators, automatic vehicle locator systems, automated dispatching systems, vehicle guidance systems, telephones, facsimile machines, and public address systems.

Complementary Paratransit Services: Transportation service required by the ADA for individuals with disabilities who are unable to use fixed route transportation systems. This service must be comparable to the level of service provided to individuals without disabilities who use the fixed route system and meet the requirements specified in Sections 37.123-137.133 of *Transportation Services for Individuals with Disabilities* (Part 37), CFR 49, Volume 1. The complementary

services must be origin-to-destination service (demand response or on-call demand response service to an accessible fixed route where such service enables the individual to use the fixed route bus system for their trip.

Congestion Mitigation and Air Quality Improvement Program (CMAQ): Federal Highway Administration (FHWA) funds transferred from the Congestion Mitigation and Air Quality Improvement Program (CMAQ) to FTA for transit projects. This program is to help improve air quality and to manage traffic congestion. Transferred funds may be used for capital expansion and improvements that increase ridership, travel demand management strategies, shared ride services, and bicycle and pedestrian facilities.

Contract: A mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyer to pay for them. It includes all types of commitments that obligate the government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing. In addition to bilateral instruments, contracts include (but are not limited to): Awards and notices of awards; job orders or task orders issued under basic ordering agreements, letter contracts; orders, such as purchase orders, under which the contract becomes effective by written acceptance or performance; and, bilateral contract modifications. Contracts do not include grants and cooperative agreements covered by 31 USC 6301 *et seq.*

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

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

the individual meets the same criteria as object class 501 labor.

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

Coordinated Plan: See “Locally Developed Coordinated Public Transit-Human Services Transportation Plan.”

Cost: An amount as determined on a cash, accrual, or other basis acceptable to the federal awarding or cognizant agency. It does not include transfers to a general or similar fund.

Cost per Passenger-Trip: The total operating expense (including administration and maintenance) divided by the total annual number of passengers. This is a key indicator of the service efficiency and also reflects the market demand for the service.

Cutaways: A vehicle in which a bus body is mounted on the chassis of a van or light-duty truck. The original van or light-duty truck chassis may be reinforced or extended. Cutaways typically seat 15 or more passengers, and typically may accommodate some standing passengers.

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

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

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

A demand response operation is characterized by the following:



DEFINITIONS

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

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

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

Demand Responsive Vehicles

Standard Van: A factory-built 12- or 15-passenger vehicle (including the driver) manufactured by Ford, GM, or Chrysler. Vans can be retrofitted with wheelchair lifts or ramps and extended roofs, but the buyer must ensure the retrofit meets ADA requirements. The usual life expectancy of vans ranges from about 125,000 to 150,000 miles.

Minivan: A factory-built vehicle designed to be something between a car and a van. Examples are the Dodge Caravan and Chevy Astro. They hold seven passengers, including the driver. A *wheelchair minivan* is one which has gone through an extensive after-factory conversion. The firms performing this after-factory work raise the roofs and literally drop the floor of the minivans about six inches, enabling them to use short wheelchair ramps, rather than wheelchair lifts. These vehicles usually hold two wheelchairs and one ambulatory passenger, in addition to the driver.

Van Conversion: A standard factory-built van that has been significantly altered by a specialty retrofitter after leaving the van maker's factory. These retrofitters remove the seats and the top half of the van. Among the features are an extended height roof, a specific wheelchair entry door, a front entry door with a conve-

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

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

When minibuses are equipped to handle wheelchairs, four seats are removed for the wheelchair lift assembly and four seats for each wheelchair tiedown. Therefore, a minibus designed to handle 20 ambulatory passengers would convert to a vehicle holding 12 ambulatory passengers and one wheelchair tiedown.

Department: The Colorado Department of Transportation.

Depreciation: The charges that reflect the loss in service value of the agency's assets. Depreciated items have a high initial cost and a useful life of more than one accounting period. To account for the reduction in value (usefulness) of this type of asset, a portion of the cost is expensed each year of the asset's life. Depreciation and amortization include the depreciation of the physical facilities such as: tracks and roadbeds; elevated structures; passenger stations and parking facilities; revenue vehicles, operating stations; facilities (including buildings, equipment,

and furnishings) for power generation and distribution; revenue vehicle movement control; data processing; revenue collection and processing, and so forth. *FTA funds will not pay for depreciation charges.*

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

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

Drug and Alcohol: This is the FTA requirement found at 49 CFR Part 655, *Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations*, that recipients of certain FTA funding conduct procedures for detecting the use of drugs and alcohol by safety sensitive employees.

Elderly Individuals: Persons 60 years of age or older.

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

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

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

tractors.

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

Fare Revenue Collection Equipment: Any equipment used in collecting passenger fares including turnstiles, fare boxes (drop), automated fare boxes and related software, money changers and fare dispensing machines (tickets, tokens, passes).

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

Federal Interest: The amount of fiduciary involvement in capital equipment purchased with federal funds that is retained by the federal government, through the Department, to ensure that capital equipment is used for its intended purpose for a reasonable and appropriate period of time.

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

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

Fixed Route Vehicles

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

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on fixed route systems. A 40-foot coach is the common type bus used in larger systems. This vehicle can usually hold about 42 ambulatory passengers when two wheelchair tiedowns are provided. A 35-foot coach will hold about 35 ambulatory passengers. The average service life of transit coach chassis is about 12 years. It is common for the engine and other equipment to be rebuilt a number of times.

Articulated Bus: Extra-long (54 to 60 feet) bus with the rear body section connected to the main body by a joint mechanism. The accordion-like joint mechanism allows the vehicle to bend when in operation for sharp turns and curves and yet have a continuous interior.

Double Decked Bus: High-capacity bus with two seating levels, one over the other, connected by one or more stairways. Total bus height is usually 13 to 14.5 feet, and typical seating capacity ranges from 40 to 80 people.

Intercity Bus: (Also referred to as an over-the-road coach.) A bus with front door only, separate luggage compartments, and usually with restroom facilities and high-backed seats for use in high-speed long-distance service. Usually 40-foot or longer, with only forward-facing, reclining seats. Most noted for being the vehicles of choice for the intercity bus industry. They usually hold about 40 passengers. These buses usually are not wheelchair accessible; this, according to the private sector, is largely due to the cost of retrofitting, the loss of seats and luggage space, and the space required for restroom facilities. **Suburban Bus:** A bus with front doors only, normally with high-backed seats, and without luggage compartments or restroom facilities for use in longer-distance service with relatively few stops. They are usually 35 to 42 feet in length.

Trolley Replica Bus: A bus with an exterior (and usually an interior) designed to look like a streetcar from the early 1900s. They usually hold 20 to 40. The cost varies greatly, depending on quality of

construction materials (pine vs. walnut), type of suspension (spring vs. air), etc.

Commuter Rail Locomotive: Commuter rail vehicle used to pull or push commuter rail passenger cars. Locomotives do not carry passengers themselves.

Heavy Rail Car: Rail car with motive capability, driven by electric power taken from overhead lines or third rails, configured for passenger traffic and usually operated on exclusive right-of-way.

Light Rail Vehicle: Rail car with motive capability, usually driven by electric power taken from overhead lines, configured for passenger traffic and usually operating on non-exclusive right-of-way. Also known as "streetcar", "tramway," or "trolley car."

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

According to the Colorado Department of Labor and Employment, *Unemployment Insurance Handbook for Claimants*, page 11, employees full-time if they work 32 or more hours a week. (See also "Advisory Bulletins and Resource Guide," Colorado Division of Labor, January, 2009.)

Function: An activity performed or cost center of a transit agency. There are four basic functions for reporting: vehicle operations, vehicle maintenance, non-vehicle maintenance, and general administrative. The activities included under each basic function are detailed in Section 6.2 of the Uniform System of Accounts.

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

Grantee: Also referred to as a sub-recipient, a grantee is an organization that has applied for funds, has been awarded funds, and has executed a contract with the Department.

Headway: The time interval between vehicles moving in the same direction on a particular route.

High Occupancy/Toll (HO/T) Lanes:

A concept that allows single occupancy vehicles (SOVs) to gain access to high occupancy vehicle (HOV) lanes by paying a toll. For formula purposes, FTA recognized HO/T lanes as fixed guideway if the following conditions are met:

- A state agency with jurisdiction over the HOV facility certifies to the US Secretary of Transportation that it has established a program to monitor, assess, and reports on the operation of the facility and the impact of high occupancy/toll vehicles and other low emission and energy efficient vehicles.
- There is an adequate enforcement program and provision made for limiting or discontinuing the exemptions if the facility becomes seriously degraded.
- The state agency's certification is submitted to the NTD.

If a transit agency has stricter requirements for high occupancy vehicle (HOV) facilities than the prohibition of SOVs, for example, three or more persons per vehicle, then those requirements apply to the HO/T lane, i.e., one and two-person vehicle would pay tolls.

High Risk Grantee: A grantee is considered to be a "high risk" if the Department determines or has adequate reason to believe that an organization has or may experience difficulty in carrying out the responsibilities associated with grant management.

A high risk designation would apply if the Department determines any of the following conditions apply: there is a history of unsatisfactory performance; there is evidence of financial instability; an organiza-

tion has a management system that does not comply with the standards of the Common Rule 49 CFR/Chapter 18, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*, or the organization has otherwise failed to demonstrate its ability to carry out its responsibilities.

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

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

Indirect Cost: A cost that is not directly related to the production of a specific good or service but that is indirectly related to a variety of goods or services. For example, the cost of administering a large company is an indirect cost that must be spread over a number of products or services. Market research is another indirect cost because, while it may assist in making decisions about production, it does not affect the production of any one unit. Another common indirect cost is the purchase of office supplies. Indirect costs are necessary to running a business.

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

In-Kind Contributions: In-kind contributions are goods and services donated



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

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

In-Kind Services: A type of contributed service reported only if there is no obligation to pay for the service.

Incidental Service: The provision of transit rides when existing public transportation services cannot meet demand. This is often done through a Guaranteed Ride Home program or policy. There are three common cases:

1. Transit agency works with employers to ensure employees who took transit to work and who must leave work for a personal emergency (illness, family crisis) or have unscheduled overtime, have a ride home
2. Transit vehicle breakdowns or other service interruptions
3. Demand response mode when reserved passenger trips cannot be met.

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

Insurance Premiums:

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

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

Interagency Advisory Committee (IAC):

The committee that evaluates and scores applications for FTA funding, now consisting of various subcommittees. The committee may consist of representatives of State of Colorado agencies, including, the Department of Local Affairs, the Department of Transportation, the Department of Human Services, and the Public Utilities Commission, among others.

Intercity Bus: Regularly scheduled public service using an over-the-road bus that operates with limited stops between two urbanized areas or that connects rural areas to an urbanized area. Intercity bus mode should only be used by private, intercity bus operators.

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

Labor: The pay and allowances due employees in exchange for the labor services they render in behalf of the transit agency. The labor allowances include payments direct to the employee arising from the performance of a piece of work.

Local Capital Funds: Financial assistance from local entities to assist in paying capital. They include:

- Tax levies—a specific amount from local tax levies that is dedicated to supporting the capital costs of the public transit system.
- General funds — Transfers from the general fund of local governments to cover the Local Share portion of transit system capital costs.
- Specified contributions — Contributions from the local government towards the Local Share portion of transit system capital costs.
- Reserve funds — Transfers from a capital reserve fund of local governments expressly established to be used to cover the Local Share portion of transit system capital costs.
- Donations — Donations from individuals or organizations to help cover the transit system capital costs.
- Local Governmental Authority: This term includes:
 - A political subdivision of the State of Colorado;
 - An authority of at least one state or political subdivision of Colorado;
 - An Indian tribe; and
 - A public corporation, board, or commission established under state laws.

Local Government: A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (whether or not incorporated as a non-profit corporation under state law), any other regional or interstate government entity, or any agency or instrumentality of a local government.

Local Government Funds: Financial assistance from local governments (below the state level) to help cover the costs of providing transit services.

Local Operating Funds: Financial assistance from local entities that support the operation of the transit system. They include, but are not limited to:

- Tax levies — A specified amount from local levies that is dedicated to supporting public transit system operating costs.
- General funds — Transfers from the general fund of local governments to cover the Local Share portion of the transit system budget.
- Specified contributions — Contributions from city, county or other municipal government towards the Local Share portion of the transit system budget.
- Donations — Donations from individuals or organizations to help cover the costs of providing transit service but which are not related to specific passengers or trips.
- Other — Other revenues such as advertising.

Locally Developed Coordinated Public Transit-Human Services Transportation Plan:

A plan that identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes, provides strategies for meeting those local needs, and prioritizes transportation services for funding and implementation.

Mass Transportation or Mass Transit: Synonymous with public transportation.

Materials and Supplies: The tangible products obtained from outside suppliers or manufactured internally. Expenses include freight-in, purchase discounts, sales taxes and excise taxes (except on fuel and lubricants) are to be included in the cost of the material or supply.

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

Metropolitan Planning Organization

(MPO): An MPO is an agency designed by law with the lead responsibility for developing transportation plans and programs within an urbanized area.

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Minivans: A light duty vehicle having a typical seating capacity of up to seven passengers plus a driver. A minivan is smaller, lower, and more streamlined than a full-sized van, but it is typically taller and has a higher floor than a passenger car. Minivans normally cannot accommodate standing passengers.

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

Mobility Management: Eligible capital expenses consisting of short-range planning and management activities and projects for improving coordination among public transportation and other transportation service providers carried out by a recipient or subrecipient through an agreement entered into with a person, including a government entity, under Chapter 53 (other than Section 5309). Mobility management does not include operating public transportation services.

Mode: A system for carrying transit passengers described by specific right-of-way (ROW), technology, and operational features.

Mode (Rural): Description of mode of service operated with subcategories for bus and demand response modes. Bus mode can be conventional bus fixed route service, bus deviated fixed route service, or intercity bus service. Demand response can be the usual service (no standing reservations) or subscription demand response where there are on-going reservations for scheduling consistent passenger trips. These subscription services are for categorical programs, such as Medicaid, meals-on-Wheels, sheltered workshops, independent living centers, and any social service agency programs. Sub-recipients of Section 5311 funds may report these programs to the extent that services are provided in coordination with public transit trips; i.e., they are included in a coordinated public transit-human services transportation system.

Multi-Year Application: Refers to a grant application, which covers a two-year period. (However, contracts for the two-year period are written for one calendar year, thus requiring a new contract at the beginning of the second year of the two-year grant cycle).

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

Non-Transportation Funds: The revenue earned from activities not associated with the provision of transit service. Non-transportation funds include: investment earnings; other non-transportation sources, including: revenues earned from sales of maintenance services on property not owned or used by the transit agency, rentals of revenue vehicles to other operators, rentals of transit agency buildings and property to other organizations, parking fees generated from parking lots not normally used as park-and-ride locations, donations, grants from private foundations, development fees, rental car fees, other.

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

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

One-Way Passenger Trips: A trip made by one person from one origin to one destination. A “round-trip” is considered two trips.

Operating Assistance: Financial funding to help cover the operating costs of providing transit services. Operating costs are classified by function or activity and the goods and services purchased. The basic functions and object classes are detailed in the Operating Expenses form (F-30) and are defined in Section 5.2, *Descriptions of Expense Object Classes*, and 6.2, *Description of Expense Functions*, of the Uniform System of Accounts (USOA) See <http://www.ntdprogram.gov/ntdprogram/pubs/reference/USOA.pdf>.

Operating Expenses: The expenses associated with the operation of the transit agency, and classified by function or activity, and the goods and services purchased. The basic functions and object classes are defined in Section 5.2 and 6.2 of the Uniform Systems of Accounts (USOA). These are consumable items with a useful life of less than one year or an acquisition cost which equals the lesser of:

- The capitalization level established by the government unit for financial statement purposes, or
- \$5,000.

Operating Deficit: The difference between operating expenses and operating revenues.

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

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

Paratransit: Types of passenger transportation which are more flexible than conventional fixed-route transit but more structured than the use of private automobiles. Paratransit includes demand

response transportation services, shared-ride taxis, car pooling and vanpooling, and jitney services. Most often refers to wheelchair-accessible, demand response service.

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

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

Passenger-Trips per Capita: The total number of boardings divided by the service area population. This reflects the average number of transit boardings per person. The number is larger in areas that emphasize public transportation and in areas where there is a greater transit dependent population.

Resort areas in Colorado have a very high number because of the large visitor population base. Use of this measure requires a common definition of the population base: the US census. The population number should be the same as that used by CDOT in calculating grants.

Passenger-Trips per Service Hour: The ratio of passenger trips to revenue hours of service. This is a better indicator of effectiveness of the service than passengers per revenue mile because the number of hours is a better indicator of the resource consumed than is the number of miles.

Performance Measures: The Department calculates performance measure scores by comparing the performance of similarly sized transit systems. The four categories used to compare systems are:



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winter resort systems, systems with large operating budgets, systems with medium operating budgets, and systems with small operating budgets. Points are assigned based on three groupings within each of the four categories. Systems with the highest performance receive three points, systems medium in performance receive two points, and systems with the lowest performance receive one point. Performance measures selected in calculating performance measure scores are:

- Cost per passenger trip
- Passenger trips per service hour
- Passenger trips per capita

Performance Measures, additional, for Section 5316 (JARC) and Section 5317 (New Freedom):

- Performance measures specific to Section 5316, JARC.
 - o The project must identify and measure the actual or estimated number of jobs that can be accessed because of the geographic or temporal coverage of JARC programs.
 - o The project must identify and measure the actual or estimated number of rides (as measured by one-way trips) provided because of the JARC project.
- Performance measures specific to Section 5317, New Freedom.
 - o The project must identify and measure increases or enhancements related to geographic coverage, service quality and/or service times that impact the availability of transportation services for individuals with disabilities;
 - o The project must identify and measure additions or changes to environmental infrastructure (for example, transportation facilities, sidewalks, and so forth), technology or vehicles that impact availability of transportation services; and

- o The project must identify and measure the actual or estimated number of rides (as measured by one-way trips) provided for individuals with disabilities.

Persons (or Individuals) with Disabilities: This refers to persons who have a physical or mental impairment that substantially limits one or more of the major activities of daily living, a record of such impairment, or who is regarded as having such impairment. For transportation purposes, a individual with a disability is one who is unable to board, disembark, or navigate the transportation system without assistance.

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

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

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

Public Transportation: As defined in the Federal Transit Act, “transportation by a conveyance that provides regular and continuing general or special transportation to the public, but does not include school bus, charter, or intercity bus transportation or intercity passenger rail transportation provided by the entity described in chapter 243 (or a successor to such entity).”

Purchased Transportation: Transportation service provided to a public transit agency or governmental unit from a public or private transportation provider based on a written contract. The provider is obligated

in advance to operate public transportation services for a public transit agency or governmental unit for a specific monetary consideration, using its own employees to operate revenue vehicles. Purchased transportation does not include franchising, licensing operations, management services, cooperative agreements, or private conventional bus service.

Regional Transportation Plan (RTP):

This is a technically-based, 20-year plan designed to meet the future mobility needs for a Transportation Planning Region (TPR), including anticipated funding, priorities, and implementation plans under CRS 43-1-1103, *Transportation Planning*.

Revenue Service (Miles, Hours, and Trips):

The time when a vehicle is available to the general public and there is an expectation of carrying passengers. These passengers either:

- Directly pay fares
- Are subsidized by public policy, or
- Provide payment through some contractual arrangement.

Vehicles operated in fare free service are considered in revenue service. Revenue service includes:

- Layover/recovery time

Revenue service excludes:

- Deadhead
- Vehicle maintenance testing
- School bus service, and
- Charter service.

Reverse Commute Project: A public transportation project designed to transport residents of urbanized areas and other than urbanized areas to suburban employment opportunities.

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

Route Deviation: A type of transit service that operates as conventional fixed route bus service along a fixed alignment or path with scheduled time points at

each terminal point and key intermediate locations. Route deviation service is different than conventional fixed route bus service in that the bus may deviate from the route alignment to serve destinations within a prescribed distance (e.g., $\frac{3}{4}$ mile) of the route. Following an off route deviation, the bus must return to the point on the route it left.

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

Rural Transit Assistance Program (RTAP):

This program is a sub-component of Section 5311. It provides funding for training and technical assistance for transit operators in rural areas.

SAFETEA-LU: The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, signed on August 10, 2005, authorizes the federal surface transportation programs for highways, highway safety, and transit for the five-year period 2005–2009.

Seating Capacity: The number of seats that are actually installed in the vehicle.

Service Area: A measure of access to transit service in terms of population served and area coverage (square miles). The reporting transit agency determines the service area boundaries and population for most transit services using the definitions contained in the Americans with Disabilities Act of 1990 (ADA). Transit agency reporters are required to submit service area information on the Identification form (B-10).

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

Service Area Population: The total non-urbanized population in the geographic areas where the project is actually provided and is limited to incorporated

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areas, Census Designated Places, and unincorporated areas of population concentration as agreed upon by both the applicant and CDOT.

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

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

State Administration: Expenses incurred by the State to administer the FTA grants.

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

Statewide Transportation Plan (STP): The 20-year comprehensive, intermodal state transportation plan adopted by the Transportation Commission under the provisions of C.R.S. 43-1-1103(5), *Transportation Planning*, (1991), as further described in C.R.S. 43-1-1102(8), *Definitions*.

Subcontractor: Refers to any organization that subcontracts with a grantee to perform project activities under a grant.

Subrecipient: Refers to a state or local governmental authority, non-profit organization, or operator of public transportation services that receives an FTA grant indirectly through a recipient, such as CDOT. CDOT usually refers to subrecipients as "grantees."

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

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

Temporary Employees: Employees of the transit agency working full time or part time hours, but only for a limited period of time for the completion of a set task. These persons are usually not entitled to receive any benefits and do not have any job security rights. Persons employed through a temporary employment agency are not temporary employees of the transit agency.

Transit Unit: The work unit that oversees Federal Transit Administration grant funds in Colorado. The Unit is within the Division of Transit and Rail at the Colorado Department of Transportation.

Transportation Improvement Program (TIP): This is a staged, multi-year program of transportation improvements, including annual or biennial elements.

Transportation Planning Region (TPR): This is a geographically contiguous area of the state as defined by Section IV-A of the Rules and Regulations for the Statewide Transportation Planning Process and Transportation Planning Regions, and meeting some or all of the criteria for transportation commonality, and in which a regional transportation plan required to be developed under the provisions of CRS 43-1-1102, *Definitions*, and 1103, *Transportation Planning*.

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

and back. Specially trained personnel provide the travel training on a one-to-one basis.

Uniform Financial Accounting and Reporting Elements (FARE): Transit industry initiative for a uniform reporting system for transit agencies.

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

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

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

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

Urbanized Areas, Large: Large urbanized areas have populations of 200,000 or more. There are three in Colorado: Colorado Springs, Denver-Aurora, and Ft. Collins-Loveland-Berthod.

Urbanized Areas, Small: Areas with populations between 50,000 and 200,000. There are six small urbanized areas in Colorado: Boulder, Grand Junction, Greeley, Longmont, Louisville-Lafayette, and Pueblo.

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

trically driven vehicles, water and sewer, gas, garbage collection and telephone.

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

Vans, Vehicle Type: Vehicles with a typical seating capacity of 5-15 passengers and classified as a van by vehicle manufacturers. A modified van is a standard van that has undergone some structural changes, usually made to increase its size and particularly its height. The seating capacity of modified vans is approximately 9-18 passengers.

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

Vehicle Rehabilitation: Refers to a major mechanical overhaul, which would include all or many of the following replacement components: new engine, transmission, drive shaft, axle, differential, brakes, wheel bearings, fuel system, suspension system, steering system, electrical system, coolant system, exhaust system, and heating/air conditioning of a vehicle, which may include cosmetic body or interior work.

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

Vehicle Revenue Miles: The miles that vehicles are scheduled to or actually travel

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while in revenue service. Vehicle revenue miles include layover/recovery time, but excludes deadhead, operator training, and vehicle maintenance testing, as well as school bus and charter services.

Welfare Recipient: An individual who has received assistance under a state or tribal program funded under part A of Title IV of the Social Security Act at any time during the three-year period before the date on which the applicant applies for a grant under the FTA Job Access and Reverse Commute (JARC) grant program.

REFERENCES

“Cost Principles for Non-Profit Organizations,” OMB Circular A-122. Federal Register, Vol. 70, No. 168, Wednesday, August 31, 2005, Rules and Regulations.

“Cost Principles for State, Local, and Indian Tribal Governments” OMB Circular A-87. Federal Register, Vol. 70, No. 168, Wednesday, August 31, 2005, Rules and Regulations.

