

# FTA Section 5317

## New Freedom

### FY 2009 Program Information and Instructions Package

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### Table of Contents

<b>Program Information .....</b>	<b>2</b>
<i>Goals .....</i>	3
<i>Eligible Applicants and Projects .....</i>	3
<i>Available Funds .....</i>	4
<i>Federal/Local Matching Requirements .....</i>	4
<i>Coordination Plan Requirements .....</i>	4
<i>Public Notice Requirements.....</i>	4
<i>STIP Requirements .....</i>	5
<i>Competitive Grant Process .....</i>	5
<i>Certifications and Assurances.....</i>	5
<i>Post-Grant Reporting Requirements .....</i>	5
<i>Check List for All 2009 New Freedom Applicants.....</i>	6
<i>Schedule of Application Process .....</i>	7
<b>Appendix A – Technical Capacity.....</b>	<b>8</b>
<b>Appendix B – Eligible Projects.....</b>	<b>12</b>
<b>Appendix C – Public Notice Requirements.....</b>	<b>15</b>

# PROGRAM INFORMATION

The New Freedom (NF) Program is authorized under the provisions set forth in the Safe, Accountable, Flexible, Efficient Transportation Equity Act, a Legacy for Users (SAFETEA-LU), enacted on August 10, 2005, as codified at 49 U.S.C. 5317.

## Goals

New Freedom program funds are available for capital and operating expenses that support new public transportation services beyond those required by the Americans with Disabilities Act of 1990 (ADA) and new public transportation alternatives beyond those required by the ADA designed to assist individuals with disabilities with accessing transportation services, including transportation to and from jobs and employment support services.

For the purpose of the New Freedom program, **“new” service is any service or activity that was not operational before August 10, 2005 and did not have an identified funding source as of August 10, 2005, as evidenced by inclusion in the Transportation Improvement Plan (TIP) or the State Transportation Improvement Plan (STIP).** In other words, if not for the New Freedom program, these projects would not have consideration for funding and proposed service enhancements would not be available for individuals with disabilities.

Both new public transportation services and new public transportation alternatives are required to go beyond the requirements of the ADA and must (1) be targeted toward individuals with disabilities; and (2) meet the intent of the program by removing barriers to transportation and assisting persons with disabilities with transportation, including transportation to and from jobs and employment services.

## Eligible Applicants and Projects

There are three categories of eligible subrecipients of New Freedom funds:

- a. Private non-profit organizations. A non-profit organization is a corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501(c) which is exempt from taxation under 26 U.S.C. 501(a) or one which has been determined under State law to be non-profit and for which the designated State agency has received documentation certifying the status of the non-profit organization;
- b. State or local governmental authority; and
- c. Operators of public transportation services.

Private operators of public transportation services can partner with an eligible subrecipient and receive Federal funds, however they cannot be a direct subrecipient.

Applicants who consider applying for the funds must also reasonably meet technical capacity requirements for grant administration and program management. Please refer to **Appendix A** for this guidance.

Projects are eligible for both capital (80/20 match) and operating (50/50 match). Detail on the type of projects that are eligible are listed in **Appendix B**.

## Available Funds

The annual Federal Fiscal Year NF apportionment for Virginia is approximately \$800,000. DRPT is the designated recipient for the following NF funds:

<b>Fiscal Year</b>	<b>Small Urbanized Areas (50,000-200,000 in population)</b>	<b>Non-Urbanized Areas (Areas less than 50,000 in population)</b>
2008	\$400,000	\$400,000

## Federal/Local Matching Requirements

Funds can be used to support up to **80 percent (80/20 match)** for **capital equipment projects and for capital mobility projects**, and not more than **50 percent (50/50 match)** of projects for operating assistance. Non-DOT Federal funds and local and private funds can be used as a match. Sources for Non-DOT Federal funds include Temporary Assistance for Needy Families, Medicaid, employment training programs, Rehabilitation Services, and Administration on Aging. Examples of sources of local match which may be used for any or all of the local share include: State or local appropriations; other non-DOT Federal funds; dedicated tax revenues; private donations; revenue from human service contracts; toll revenue credits; and net income generated from advertising and concessions.

## Coordination Plan Requirements

SAFETEA-LU requires that projects selected for funding under the New Freedom Program be derived from a **locally developed, coordinated public transit-human services transportation plan**, and that the plan be developed through a process that includes representatives of public, private, and non-profit and human services transportation providers and participation by the public.

DRPT will be assisting in the development of Coordinated Human Service Mobility Plans in late 2007 and will be completed with the plan by late 2008. Guidance for the plan from the proposed circular is presented in **Appendix C**. All projects selected for implementation for FY 2009 must be derived from that the plan. In addition, the JARC program requires a recipient of funds to be part of a competitive selection process that is separate from the planning process described above.

DRPT is convening workshops, which will take place after the beginning of the new year, to foster the development of the Coordinated Public Transit-Human Services Plans. The dates for this coordination planning effort will be finalized in the coming months. Please go to the DRPT website ([www.drpt.state.va.us](http://www.drpt.state.va.us)) for updates and final meeting dates. In order to ensure maximum participation, DRPT will start advertising this planning process in early December 2006.

## Public Notice Requirement

The grant applicant must provide an adequate opportunity for public review and comment on a project, and, after providing notice, must provide an opportunity for a public hearing if it is requested. This notice must be advertised in the local newspaper and should appear **AT LEAST 14 DAYS** before the application submittal deadline. In other words, the public notice should be advertised by **January 15, 2008**. (See Appendix D for example)

## **STIP/TIP Requirement**

The project proposed must be a product of the metropolitan planning process and/or the statewide planning process specified in 49 CFR Part 613 and 23 CFR Part 450. That is, all transit projects for which Federal funds are expected to be used and that are within metropolitan planning boundaries must be included in a metropolitan Transportation Improvement Program (TIP) approved by the Metropolitan Planning Organization (MPO) and the chief executive officer of a State and in a Statewide Transportation Improvement Program (STIP) that has been approved by FTA and FHWA. Projects not within metropolitan planning boundaries are required only to be in the STIP. The application should identify the latest approved STIP (or amendments) containing the project(s), the appropriate page numbers, and a statement identifying the date that FTA and FHWA approved the STIP (or STIP amendment) that contains the proposed project(s). Projects listed in the TIP and STIP must be derived from and consistent with the State's long range plan. If your project is selected and you are part of an MPO, you must all your project to the local TIP. However, if you are outside of an MPO, DRPT will ensure that the project is included in the STIP.

## **Competitive Grant Process**

As the designated recipient of New Freedom funds in areas under 200,000 in population, DRPT is responsible for evaluating and selecting projects on a competitive basis. All grant applicants must fill out the evaluation criteria. (Located in the Application Packet)

## **Certifications and Assurances**

A grant applicant applying for assistance under any FTA grant program must annually submit certifications and assurances that are applicable to the grant applicant's grant request during the fiscal year. FTA's annual Certifications and Assurances include basic program requirements for the New Freedom program. It is DRPT's responsibility to competitively select projects and certify that they are derived from a coordinated plan and that the local applicant's authorized representative has signed the affirmation page binding the applicant's compliance. (Located in the Application Packet)

Twenty-three (23) Categories of certifications and assurances are listed. Category I applies to all Applicants and Category XX applies to all New Freedom Program Applicants. Category II applies to all applications exceeding \$100,000. Categories III through XXIII will apply to and be required for some, but not all, Applicants and projects. FTA and the Applicant understand and agree that not every provision of these certifications and assurances will apply to every Applicant or every project for which FTA provides Federal financial assistance through a grant agreement or Cooperative Agreement. The type of project and the section of the statute authorizing Federal financial assistance for the project will determine which provisions apply.

## **Post-Grant Reporting Requirements**

DRPT administered grants are issued to sub-grantees on a reimbursement basis. Costs must be incurred before payment is made. All costs charged to DRPT assisted projects must be supported by properly executed payrolls, time records, invoices, contracts, or vouchers evidencing in detail the nature and propriety of the charges. Operating assistance funds will be paid by DRPT quarterly. Your agency's request for payment will only be approved if it is accompanied by the following:



### ***Operating Grant***

All grant recipients must submit financial and operating data to DRPT on a quarterly basis. This data is to be submitted as backup documentation with each request for payment.

- Total operating costs (including maintenance and administration)
- Total farebox receipts
- Other local operating revenue (contract revenue, fare subsidies from local organizations, and local government support or contributions)
- Total passenger trips
- Total service miles
- Total service hours

### ***Capital Grant – Vehicles***

A quarterly reporting form by grant type that includes the following information for each vehicle purchased under that grant program (i.e. Section 5310, JARC or New Freedom):

- Vehicle identification numbers
- Vehicle year
- Vehicle location
- Number of seats
- Number of wheelchair placements
- Total vehicle miles
- Vehicle miles this quarter
- Passengers carried this quarter
- Number of wheelchair passengers carried this quarter
- Daily hours vehicle is in service

DRPT continually strives to improve the reporting and reimbursement process. Thus, future submittal requirements are subject to change on a year-to-year basis. Specifically, DRPT is moving towards a web based submittal practice, redefining the current system.

### **Checklist for All 2008 New Freedom Applicants**

- Project or Need must be part of the Coordinated Public Transit-Human Services Plan
- Copy of Public Hearing Notice - Published a "Notice of Intent" in the local paper (see **Appendix D** for a sample)
- Completed New Freedom Application
- Completed Evaluation Criteria Form
- Signed FTA Certifications and Assurances

## **Schedule of Application Process Activities**

The application process is set up on an annual cycle and the process from program announcement to equipment delivery, takes approximately fourteen months to complete. Noted below are the key dates for the process.

### **November 2007**

The application process begins with the announcement of the program.

### **February 1, 2008**

**APPLICATIONS MUST BE RECEIVED AT THE ABOVE ADDRESS NO LATER THAN 4:00 PM ON Thursday, February 1, 2008 TO BE CONSIDERED FOR FUNDING.** Applicants may confirm DRPT's receipt of their application by calling Mr. Sherman at (804) 786-1154. **LATE APPLICATIONS SUBMITTED ON THE DRPT WEB SITE WILL NOT BE ACCEPTED. THERE WILL BE NO EXCEPTIONS.**

### **February 2008**

DRPT conducts an administrative review of all applications.

### **February 2008**

An Advisory committee, comprised of representatives from various state agencies involved with human service transportation, assists with evaluating proposals to develop a priority ranking of applications. The process used to evaluate proposals is based on a set of established criteria and a scoring scheme. Since the amount of money available is limited, the ranking of projects and conditions relating to an agency's fleet mileage will determine which proposals are funded and the number of vehicles to be awarded.

Additionally, DRPT will be internally reviewing the applications based on their expertise and knowledge of providers within the Commonwealth. DRPT will be concentrating on the applicant's ability to manage the project, as well as will be reviewing the applications to ensure compliance with State and Federal requirements.

### **April 2008**

DRPT reviews the recommendations of the advisory committee and combines all selected applications into a program of projects

### **June 2008**

Commonwealth Transportation Board approves The FTA Section 5317 Program of Projects.

### **July 2008**

Program of Projects reviewed by the Federal Transit Administration (FTA).

### **October 2008**

DRPT executes a contract agreement with each awarded recipient. DRPT then conducts the procurement of vehicles and equipment. Competitive bidding is required for equipment purchase and specific procedures have been established to ensure compliance with Federal and State regulations.

### **February- April 2009**

After equipment is delivered to the recipient. The recipient is required to submit periodic monitoring and evaluation reports to DRPT.

# APPENDIX A – TECHNICAL CAPACITY

## *Grant Administration*

Local grant recipients must have procedures for managing grants and submitting timely and complete reports. The local grant recipients, and ultimately DRPT, are responsible for administration and management of the grant in compliance with the grant agreement and other incorporated documents, including the statutes, regulations, the Master Agreement, and FTA circulars. Thus, DRPT must have a mechanism to ensure continuous administration and management of the grant projects. Based on FTA requirements, DRPT requires that there be a clear line of authority and responsibility for grant administration and for preparing required reports to DRPT.

Local grant recipients are required to have fiscal control and accounting procedures sufficient to:

- Permit preparation of required reports
- Permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes.

## *Program Management*

DRPT is required by FTA to ensure that recipients of New Freedom and other FTA assistance comply with federal requirements.

### 1) Vehicles and Equipment Management

FTA and DRPT encourage maximum use of vehicles funded under the New Freedom program. Vehicles are to be used first for program related needs for which a New Freedom grant is made and then to meet other transportation needs of other Federal programs or project needs, providing that they do not interfere with the project activities originally funded.

Organizations receiving grant funds can only title their vehicle(s) to the grant recipient. It may be beneficial for recipients to co-title vehicles with local governmental entities, in order to take advantage of blanket insurance rates or to participate in bulk purchases of fuel, maintenance and supplies. This is permitted where it results in a direct benefit to the recipient in providing special service, and as long as the recipient maintains continuing control over the vehicle and utilizes the vehicle for its authorized purpose. DRPT will be the First Lien-Holder on all FTA New Freedom vehicles.

The useful life of all FTA New Freedom vehicles is a minimum of 4 years or 100,000 miles. After the equipment has reached the minimum of 4 years or 100,000 miles the sub-recipient can apply for a replacement vehicle in the next New Freedom cycle. The equipment will still remain in DRPT control and will remain on the DRPT vehicle inventory. The sub-recipient is required to report to DRPT when a vehicle is in an accident, stolen or other property damage.

When the sub-recipient is ready to sell the vehicle and vehicle is past the useful its useful life, a written request must be made to DRPT to release the title. DRPT will notify the sub-recipient if the request has been approved or disapproved. If the vehicle title has been released and is past its useful life the sub-recipient can sell the vehicle and use the proceeds of the sale in their transportation program. A sub-recipient that requests a vehicle title that is not past its useful life because the sub-recipient no longer needs the vehicle for the purposed for which it was acquired. DRPT will seek to have the vehicle transferred to

another eligible sub-recipient. The original sub-recipient will be reimbursed for 20% of the fair market value of the vehicle by the new sub-recipient. If DRPT cannot find an eligible sub-recipient for the vehicle and DRPT approves of the original sub-recipient to sell the vehicle 80% of the proceeds of vehicle will be returned to DRPT.

## 2) Governance

Grantees must have the legal capacity to receive federal and state grants. Grantees must have a designated body legally responsible for the overall organization, management and operation of the transportation system. The Board should be both representative of the community to provide management with community advice and bring management and other expertise from which transit management can draw. The Board should meet regularly and must conduct business in an open and transparent manner. The Board should set policy, goals, and objectives for the system and not involve itself in day-to-day operations.

## 3) Financial Management

Grantees must have sufficient local resources to provide the required match and carry out the proposed project. At least 20% of the local share must come from non-federal sources for capital costs and at least 50% of the local share must come from non-federal sources for operating costs. Grantees must also have the financial management systems to account for and report on New Freedom assistance. Grantees must maintain financial records for at least 3 years from the expiration date of the grant.

## 4) Satisfactory Continuing Control

Grantees must use FTA-funded equipment to provide transportation as described in the application. Grantees must maintain a combined single limit of insurance coverage of at least \$1 million on FTA-funded vehicles and must submit proof of insurance annually. Grantees must carry enough insurance to replace any FTA funded equipment such as, bus lifts, etc. Grantees must obtain prior written approval from DRPT before selling, leasing, or disposing of vehicles, equipment or facilities that have remaining federal interest. Grantees must have procedures to prevent loss, damage, or theft of FTA-funded property and inventory.

## 5) Personnel

Grantees should have Board-approved, personnel policies. Current job descriptions should be on file for every position. Maintain records for every transportation employee, including annual employee performance evaluation.

## 6) Equal Employment Opportunity (EEO)

Grantees may not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. Grantees must take affirmative action to ensure that applicants and employees receive fair treatment without regard to race, color, creed, national origin, sex, disability, or age. Grantees must post in conspicuous and accessible places and make available to employees and applicants for employment notices setting forth an EEO policy.

## 7) Maintenance

Grantees must have the managerial capability to maintain FTA-funded equipment and facilities. Grantees must have a written maintenance plan for vehicles and facilities and facility-related equipment. Grantees must maintain project equipment and facilities at a high level of cleanliness, safety, and mechanical soundness. Grantees must maintain all accessibility features and equipment in good operating condition. Grantees must have procedures to track when preventive maintenance inspections are due (by manufacture standards) and to schedule preventive maintenance inspections in a timely manner.

Grantees must have a pre-trip inspection program that addresses vehicle condition, appearance, cleanliness, and safety. Deficiencies noted in a pre-trip inspection must be repaired in a timely manner and properly reviewed by management.

Grantees must repair accessibility features promptly and take reasonable steps to continue service to persons with disabilities while repairs are being made. Grantees must maintain a file on each piece of equipment that contains daily logs, inspection checklists, and repair records.

#### 8) Service Provision

Grantee should have effective procedures in order to ensure quality service delivery to the public. A comprehensive training program is a key component of a quality assurance program. Grantee should collect and use financial and operating data to monitor the effectiveness and efficiency of operations. Grantee should report key financial and operating data to the Board.

#### 9) Safety and Security

Grantees must document that drivers have a valid operator's license, have a safe driving record, and received training. DRPT recommends that all drivers have at least six hours of documented safety training per year. All safety devices must be in operative condition. All vehicles must have a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters. Drivers and in some instances passengers must wear seat belts. Smoking is prohibited on all vehicles. Drivers must focus on driving and limit distractions when vehicles are in motion.

Drivers and other personnel must understand the need for vigilance in transportation settings to help prevent terrorism and – equally important – to deter crime and increase safety throughout transit systems.

#### 10) Americans with Disabilities Act (ADA)

Titles II and III of the Americans with Disabilities Act of 1990 (ADA) provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility. FTA sub-recipients must provide service for people with disabilities who are eligible for the agency service.

#### 11) Meal Delivery and Incidental Use

Grantees may provide incidental service, including meal delivery, with FTA-funded vehicles but the service must not interfere with the provision of transit service and must bear the costs of providing the service.

## 12) Title VI – Nondiscrimination in the Delivery of Service

FTA and DRPT prohibit discrimination on the grounds of race, color, national origin, sex, age, physical or mental disability, or religion in the delivery of transportation services. FTA also prohibits discrimination on the grounds of low-income status. Title VI complaints must be reported to DRPT within 24 hours of receipt of the complaint.

## APPENDIX B - ELIGIBLE PROJECTS

Both new public transportation services and new public transportation alternatives are required to go beyond the requirements of the ADA and must (1) be targeted toward individuals with disabilities; and (2) meet the intent of the program by removing barriers to transportation and assisting persons with disabilities with transportation, including transportation to and from jobs and employment services.

**Applicants may not terminate paratransit enhancements or other services funded as of August 10, 2005, in an effort to reintroduce the services as “new” and then receive New Freedom funds for those services.**

**a. New Public Transportation Services Beyond the ADA. The following activities are examples of eligible projects meeting the definition of new public transportation.**

(1) Enhancing public transportation services beyond minimum requirements of the ADA. Paratransit services can be eligible under New Freedom in several ways as long as the services provided meet the definition of “new:”

- (a) Expansion of paratransit service parameters beyond the  $\frac{3}{4}$  mile required by the ADA;
- (b) Expansion of current hours of operation for paratransit services that are beyond those provided on the fixed route services;
- (c) The provision of same day service;
- (d) Enhancement of the level of service by providing escorts or assisting riders through the door of their destination;
- (e) Acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for common wheelchairs under the ADA and 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, as well as the acquisition of heavier-duty vehicles for paratransit and/or demand-response service; and
- (f) Installation of additional securement locations in public buses beyond what is required by the ADA.

(2) 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.

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

- (a) Building an accessible path to a bus stop that is currently inaccessible, including

- curbcuts, sidewalks, accessible pedestrian signals or other accessible features,
- (b) Adding an elevator or ramps, detectable warnings, or other accessibility improvements that are not otherwise required under the ADA to a non-key station,
- (c) Improving signage, or wayfinding technology, or
- (d) Implementation of other technology improvements that enhance accessibility for persons with disabilities.
- (4) 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.

**b. New Public Transportation Alternatives Beyond the ADA. The following activities are examples of projects that are eligible as new public transportation alternatives beyond the ADA under the New Freedom program:**

(1) Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs. New Freedom funds can be used to purchase and operate accessible vehicles for use in taxi, ridesharing and/or van pool programs provided that the vehicle has the capacity to accommodate a passenger who uses a "common wheelchair" as defined under 49 CFR 37.3, at a minimum, while remaining in his/her personal mobility device inside the vehicle, and meeting the same requirements for lifts, ramps and securement systems specified in 49 CFR part 38, subpart B.

(2) 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: (a) mileage reimbursement as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Providers of transportation can then submit the voucher for reimbursement to the recipient for payment based on 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 which requires a 50/50 (Federal/local) match.

(3) Supporting new volunteer driver and aide programs. 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. The costs of new enhancements to increase capacity of existing volunteer driver programs are also eligible. FTA notes that any volunteer program supported by New Freedom must meet the requirements of both "new" and "beyond" the ADA. FTA encourages communities to offer consideration for utilizing all available funding resources as an integrated part of the design and delivery of any volunteer driver/aide program.

(4) Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. 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:

- (a) The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, older adults, and low income individuals;
- (b) Support for short term management activities to plan and implement coordinated services;
- (c) The support of State and local coordination policy bodies and councils;
- (d) The operation of transportation brokerages to coordinate providers, funding agencies and customers;
- (e) The provision of coordination services, including employer-oriented Transportation Management Organizations' and Human Service Organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;
- (f) The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and
- (g) 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).

## APPENDIX C – COORDINATED PLANNING REQUIREMENTS

1. THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLAN. SAFETEA-LU requires that projects selected for funding under the Elderly Individuals and Individuals with Disabilities (also referred to as Section 5310), JARC, and New Freedom programs be “derived from a locally developed, coordinated public transit-human services transportation plan” and that the plan 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.” The experiences gained from the efforts of the Federal Interagency Coordinating Council on Access and Mobility, and specifically the United We Ride Initiative, provide a useful starting point for the development and implementation of the local public transit-human services transportation plan required under the Section 5310, Job Access Reverse Commute and New Freedom programs.
2. DEVELOPMENT OF THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLAN.
  - a. Overview. A locally developed, coordinated, public transit-human services transportation plan 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. Local plans may be developed on a local, regional, or statewide level. The decision as to the boundaries of the local planning areas should be made in consultation with the State, designated recipient and the MPO, where applicable. The agency leading the planning process is decided locally and does not have to be the designated recipient. In urbanized areas where there are multiple designated recipients, there may be multiple plans and each designated recipient will be responsible for the competitive selection of projects in the designated recipient’s area. A coordinated plan should maximize the programs’ collective coverage by minimizing duplication of services. Further, a coordinated plan must be developed through a process that includes representatives of public and private and non-profit transportation and human services transportation providers, and participation by members of the public. Members of the public should include representatives of the targeted population(s) including individuals with disabilities, older adults, and people with low incomes. While the plan is only required in communities seeking funding under one or more of the three specified FTA programs, a coordinated plan should also incorporate activities offered under other programs sponsored by Federal, State, and local agencies to greatly strengthen its impact.
  - a. Required Elements. Projects competitively selected for funding must be derived from a locally developed, coordinated public transit-human services plan that minimally includes the following elements at a level consistent with available resources and the complexity of the local institutional environment:
    - i. An assessment of available services that identifies current providers (public, private, and non-profit);
    - ii. An assessment of transportation needs for individuals with disabilities, older adults, and people with low incomes. This assessment 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.);
    - iii. Strategies and/or activities to address the identified gaps and achieve efficiencies in service delivery; and
    - iv. Relative priorities for implementation based on resources, time, and feasibility for implementing specific strategies/activities identified.

Note: FTA will consider plans developed before the issuance of final program circulars to be an acceptable basis for project selection for FY 2007 if they meet minimum criteria. Plans for FY

2007 should include 1) an assessment of available services; 2) an assessment of needs; and 3) strategies to address gaps for target populations; however, FTA recognizes that 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. Addendums to existing plans to include these elements will also be sufficient for FY 2007. Plans must be developed in good faith in coordination with appropriate planning partners and with opportunities for public participation.

- b. Local Flexibility in the Development of a Local Public Transit-Human Services Transportation Plan. The decision for determining which agency has the lead for the development and coordination of the planning process should be made at the State, regional, and local levels. FTA recognizes the importance of local flexibility in developing plans for human service transportation. Therefore, the lead agency for the coordinated planning process may be different from the agency that will serve as the designated recipient. Further, FTA recognizes that many communities have conducted assessments of transportation needs and resources regarding individuals with disabilities, older adults, and/or people with low incomes. FTA also recognizes that some communities have taken steps to develop a comprehensive, coordinated, human service transportation plan either independently or through United We Ride efforts. 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 as necessary 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 a large urbanized community may use existing data sources to conduct a more formal analysis to define service gaps and identify strategies for addressing the gaps.

This type of planning is also an eligible activity under three other FTA programs – the Metropolitan Planning (Section 5303), Statewide Planning (Section 5304), and Urbanized Area Formula (Section 5307) programs, all of which may be used to leverage the limited (10%) planning and administration funding under this program.

- c. Tools and Strategies for Developing a Coordinated Plan. States and communities may approach the development of a coordinated plan in different ways. The amount of available time, staff, funding, and other resources should be considered when deciding on specific approaches. The following is a list of potential strategies for consideration.
- (1) Community planning session. A community may choose to conduct a local planning session with a diverse group of stakeholders in the community. This session 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 process can be done in one meeting or over several sessions with the same group. It is often 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.
  - (2) Self-assessment tool. *The Framework for Action: Building the Fully Coordinated Transportation System*, developed by FTA and available at [www.unitedweride.gov](http://www.unitedweride.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 in States 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 existing 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.

- (3) 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.
- (4) 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.
- (5) 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.

3. PARTICIPATION IN THE COORDINATED PUBLIC TRANSIT-HUMAN SERVICES TRANSPORTATION PLANNING PROCESS. SAFETEA-LU requires recipients to certify that the coordinated plan was developed through a process that included representatives of public, private, and non-profit transportation and human services providers, and participation by members of the 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:

- a. Adequate Outreach to Allow for Participation. Outreach strategies and potential participants will vary from area to area. Potential 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. Conveners should note that not all potential participants have access to the Internet and they should not rely exclusively on electronic communications. It is useful to allow many ways to participate, including in-person testimony, mail, e-mail, and teleconference. Any public meetings regarding the plan should be held in a location and time where accessible transportation services can be made available, and adequately advertised to the general public using techniques such as those listed above. Additionally, 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 and as required by law.
- b. Participants in the Planning Process. A key provision of metropolitan and statewide planning under SAFETEA-LU is the requirement for consultation with an expansive list of stakeholders. There is significant overlap between 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 locally coordinated transportation plan.

The projects selected for funding under the Elderly Individuals and Individuals with Disabilities, Job Access and Reverse Commute, and New Freedom programs 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. Consideration should be given to including groups and organizations such as the following in the coordinated planning process if present in the community:

(1) Transportation partners:

- (a) Area transportation planning agencies, including MPOs, States, and local governments;
- (b) Public transportation providers (including ADA paratransit providers and agencies administering the projects funded under the FTA urbanized and non-urbanized programs);
- (c) Private transportation providers, including private transportation brokers, taxi operators, van pool providers, and intercity bus operators;
- (d) Non-profit transportation providers;
- (e) Past or current organizations funded under the Job Access Reverse Commute, the Elderly Individuals and Individuals with Disabilities, and/or the New Freedom programs; and
- (f) Human service agencies funding, operating, and/or providing access to transportation services.

(2) Passengers and advocates:

- (a) Existing and potential riders, including both general and targeted population passengers (individuals with disabilities, older adults, and people with low incomes);
- (b) Protection and advocacy organizations;
- (c) Representatives from independent living centers; and
- (d) Advocacy organizations working on behalf of targeted populations.

(3) Human service partners:

- (a) Agencies that administer health, employment, or other support programs for targeted populations. Examples of such agencies include but are not limited to 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;
- (b) Non-profit human service provider organizations that serve the targeted populations;
- (c) Job training and placement agencies;
- (d) Housing agencies;
- (e) Health care facilities; and
- (f) Mental health providers.

(4) Other:

- (a) Security and emergency management agencies;
- (b) Tribes and tribal representatives;
- (c) Economic development organizations;
- (d) Faith-based and community-based organizations;
- (e) Representatives of the business community (e.g. employers);
- (f) Appropriate local or State officials and elected officials; and
- (g) School districts.

Note: Participation in the planning process will not bar providers (public or private) from bidding to provide services identified in the coordinated planning process. 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).

- c. Levels of Participation. The suggested list of participants in part 3.b. 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 convening the coordinated planning process should document the efforts they utilized, such as those suggested in (a) above, 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. To increase participation at the local levels from human service partners, 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.

- d. Adoption of a Plan. As a part of the coordinated planning process, participants should identify the process for adoption of the plan. A strategy for adopting the plan could also be included in the designated recipient's Program Management Plan further described in Chapter VII.

FTA will not formally review and approve plans. The designated recipient's grant application (see Appendix A) will document the plan from which each project listed is derived, including the lead agency, the date of adoption of the plan, or other appropriate identifying information. This may be done by citing the section of the plan or page references with which the project is derived.

#### 4. RELATIONSHIP TO OTHER TRANSPORTATION PLANNING PROCESSES.

- a. Relationship Between the Coordinated Planning Process and the Metropolitan and Statewide Transportation Planning Processes. The coordinated plan can either be developed separately from the metropolitan and statewide transportation planning processes and then incorporated into the broader plans, or be developed as a part of the metropolitan and statewide transportation planning processes. If the coordinated plan is not prepared within the broader process, there should be consistency between the coordinated planning process and metropolitan or statewide planning.

Projects identified in the coordinated planning process, and selected for FTA funding through the competitive selection process must be incorporated into both the TIP and STIP by the MPO in urbanized areas with populations of 50,000 or more; and incorporated into the STIP for nonurbanized areas under 50,000 in population.

The lead agency developing the coordinated plan should communicate with the relevant MPOs or State planning agencies at an early stage in plan development. States with coordination programs may wish to incorporate the needs and strategies identified in local coordinated plans into statewide coordination plans.

Depending upon the structure established by local decision-makers, the coordinated planning process may or may not become an integral part of the metropolitan or statewide transportation planning processes. State and local officials should consider the fundamental differences in scope, time horizon, and level of detail between the coordinated planning process and the metropolitan and statewide transportation planning processes. However, there are important areas of overlap between the planning processes, as well. Areas of overlap represent opportunities for sharing and leveraging resources between the planning processes for such activities as: (1) needs assessments based on the distribution of targeted populations and locations of employment centers, employment-related activities, community services and activities, medical centers, housing and other destinations; (2) inventories of transportation providers/resources, levels of utilization, duplication of service and unused capacity; (3) gap analysis; (4) any eligibility restrictions; and (5) opportunities for increased coordination of transportation services. Local communities may choose the method for developing plans that best fits their needs and circumstances.

- b. Relationship Between the Requirement for Public Participation in the Coordinated Plan and the Requirement for Public Participation in Metropolitan and Statewide Transportation Planning.

SAFETEA-LU strengthened the public participation requirements for metropolitan and statewide transportation planning. Title 49 USC 5303(i)(5) and 5304(f)(3), as amended by SAFETEA-LU, require MPOs and States to engage the public and stakeholder groups in preparing transportation plans, TIPs, and STIPs. "Interested parties" include, among others, affected public agencies, private providers of transportation, representatives of users of public transportation, and representatives of individuals with disabilities.

MPOs and/or States may coordinate schedules, agendas, and strategies of the coordinated planning process with metropolitan and statewide planning in order to minimize additional costs and avoid duplication of efforts. MPOs and States must still provide opportunities for participation when planning for transportation related activities beyond the coordinated public transit-human services transportation plan.

- c. Cycle and Duration of the Coordinated Plan. At a minimum, the coordinated plan should follow the update cycles for metropolitan transportation plans (i.e., four years in air quality nonattainment and maintenance areas and five years in air quality attainment areas). However, 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 public 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.
- d. 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, 49 U.S.C. 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." In addition, 49 U.S.C. 5311(b)(2)(C)(ii) requires the Secretary of the DOT 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." Finally, under the Section 5311 program, States are required to expend 15% of the amount available to support intercity bus service. FTA expects the coordinated planning process to take into account human service needs that require intercity transportation.

## APPENDIX D - PUBLIC NOTICE REQUIREMENTS

The public hearing requirement in 49 U.S.C. 5323(b) for capital projects was changed by SAFETEA-LU. The law now associates more clearly the public involvement and hearing requirements for capital projects with the environmental review required by the National Environmental Policy Act (NEPA) and its implementing regulations. It also broadens the requirement to apply to all capital projects (as defined in 49 U.S.C. 5302). The grant applicant must provide an adequate opportunity for public review and comment on a capital project, and, after providing notice, must hold a public hearing on the project if it is requested. This notice must be advertised in the local newspaper and should appear **AT LEAST 14 DAYS** before the application submittal deadline. In other words, the public notice should be advertised by **January 15, 2008**.

### Sample Public Notice

The Agency X, Inc. from Leesburg, Virginia proposes to provide transportation for developmentally disabled individuals in the county of Loudoun for the purpose of transporting developmentally disabled individuals to and from training, and other community integration and socialization projects. Funds are being requested from the Commonwealth of Virginia to purchase a 9-passenger van with a wheelchair lift through the FTA New Freedom Program (Section 5317). The New Freedom formula grant program seeks to provide new public transportation services and public transportation alternatives beyond those currently required by the Americans with Disabilities Act of 1990. The vehicle will be used to transport wheelchair participants and ambulatory participants from their homes in Loudoun County to Agency X. and back to their homes from 6:00am to 6:00pm of the We invite any interested public or private transit or paratransit operator in the Leesburg-Loudoun area to comment on the proposed services by sending a written notice by **February 1, 2008** to Mr. Neil Sherman, Department Rail and Public Transportation Division, P.O. Box 590, Richmond, Virginia 23218-0590, and to Agency X.P. O. Box 0000, Leesburg, Virginia 22075.

### Sample Public Hearing Notice

Notice is hereby given that the public is being given an opportunity to request a public hearing concerning the application for federal funds to support transportation services for elderly persons and persons with disabilities by Agency X, service of the Fairfax County Department of Community and Recreation Services. A copy of the application is available for public inspection at Agency X, Department of Community and Recreation Services, Fairfax County, 12011 Government Center Pkwy, Suite 710 Fairfax, VA 22035. The public hearing will be held on January 12, 2008. Any comments made at the public hearing will be submitted to the Department of Rail and Public Transportation for inclusion into the grant application.

Note: An actual copy or reasonable facsimile of the notice as it appeared in the newspaper must be included in the application.