

Section 5310 Program Management Plan

*Approved 8/30/2018
Amended 10/22/2020*



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A. Introduction

The Omaha-Council Bluffs Metropolitan Area Planning Agency (MAPA) became the Designated Recipient of FTA Section 5310 program funds in 2013. As such, MAPA must detail how it plans to administer the 5310 program in a Program Management Plan (PMP); therefore, this PMP describes MAPA's policies and procedures for administering the Federal Transit Administration's (FTA) Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities program. The PMP is intended to facilitate both MAPA's management and FTA oversight by documenting the agency's procedures and policies for administering these programs in a single document. As shown in Figure 1, this PMP details how a project is selected, incorporated into the appropriate documents for federal funding, contracted, and managed. This is discussed in greater detail in the following pages.

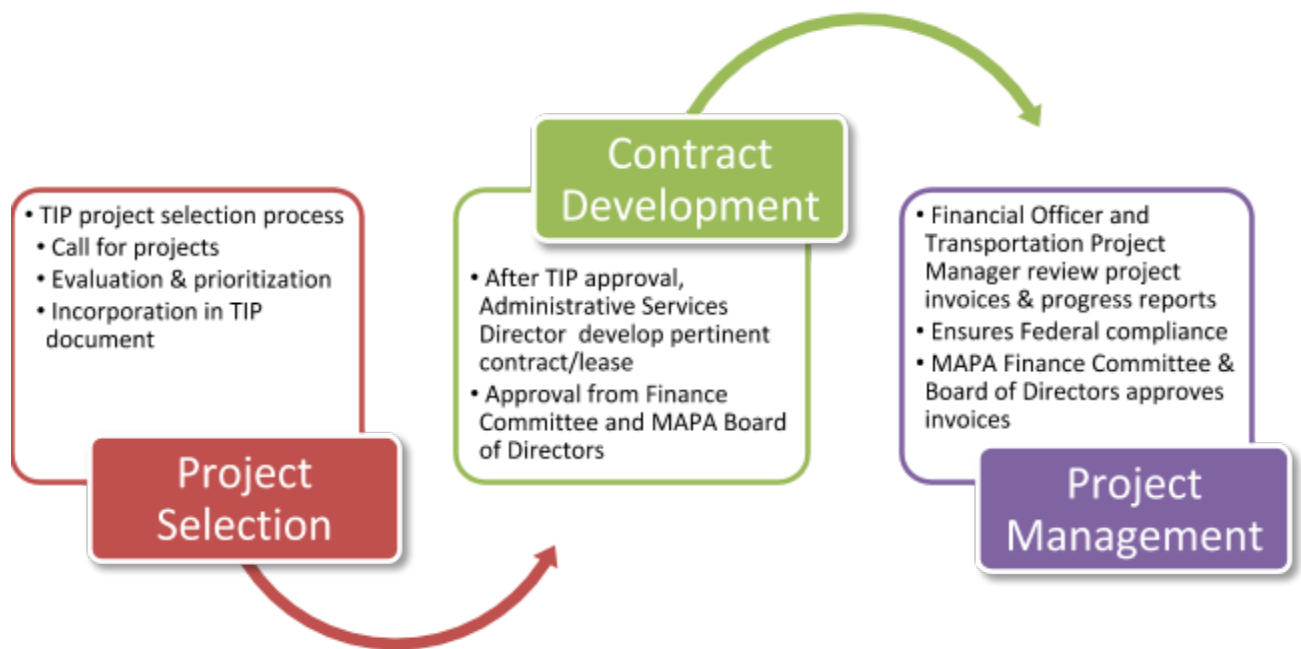


Figure 1: Program management process

MAPA updated its Coordinated Transit Plan in 2018 (<http://mapacog.org/projects/ctc/>). The Coordinated Transit Plan and this Program Management Plan serve the Metropolitan Area Planning Agency (MAPA) Transportation Management Area (TMA) of Douglas and Sarpy Counties in Nebraska and western Pottawattamie County in Iowa, as shown in Figure 2.

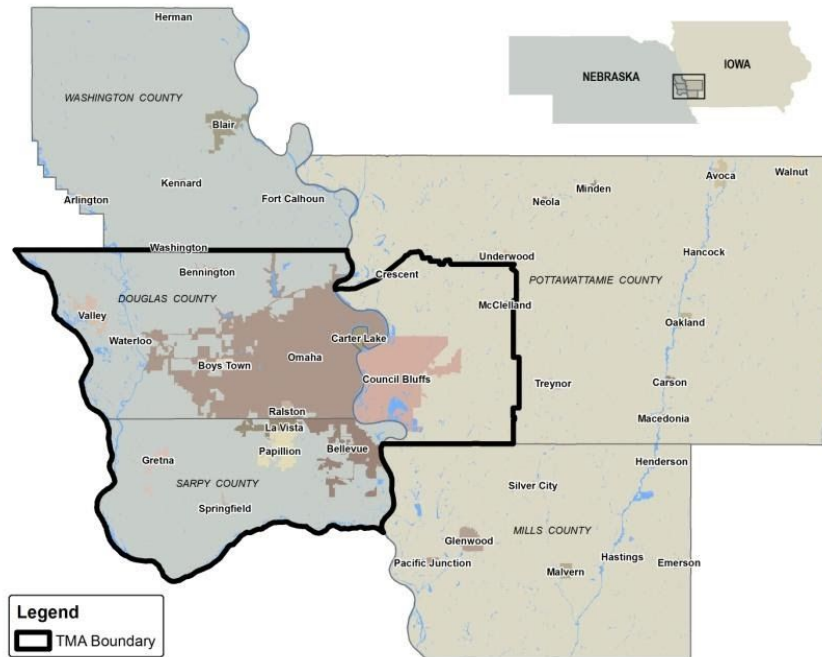


Figure 2: MAPA Region and Transportation Management Area (TMA)

The Coordinated Transit Plan was derived from the efforts of local stakeholders and the public. It is meant to provide information to the general public, local jurisdictions, and agencies so they may develop eligible transportation projects to meet the transportation needs of the elderly, those with disabilities, and the economically disadvantaged. It provides the means and mechanisms to apply for federal funding for such projects.

The Coordinated Transit Committee (CTC) served as the stakeholder group and steering committee during the development of the Coordinated Transit Plan. The CTC is composed of various health and human service agencies, private and not-for-profit providers, city officials, Metro Transit, and concerned citizens. The CTC also evaluates grant applications from eligible applicants (including non-profits, city governments, transit providers, and taxi companies) for Federal Transit Administration (FTA) funding, which MAPA distributes.

B. Authority & Responsibility

FAST Act Statutory Authority and Program History

In 2015, President Obama signed the Fixing America’s Surface Transportation (FAST) Act providing funding for federal surface transportation programs over two years through FY2020.

The FAST Act builds on many of the strengths of prior highway and transit authorizations. It requires projects selected for funding under Section 5310 to be “derived from a locally developed, coordinated public transit-human services transportation plan” and that the plan be “developed through a process that includes representation of public, private, and nonprofit transportation and human services providers.”

FTA Section 5310 Capital for Elderly and Disabled Transportation Funding Program

The Section 5310 program provides formula funding to States and Designated Recipients for the purpose of assisting private nonprofit groups and certain public bodies in meeting the transportation needs of elders and persons with disabilities. Funds may be used only for capital and operating expenses to support the provision of transportation services to meet the specific needs of seniors and individuals with disabilities.

Prior to the passage of MAP-21, the federal transportation legislation preceding the FAST Act, Section 5310 funding was distributed solely to the States of Iowa and Nebraska for distribution by their Departments of Transportation. MAP-21 created an apportioned sub-allocation of 5310 funding for MPOs specifically, ergo MAPA receives an apportionment of funding for the Omaha-Council Bluffs region. MAPA was named the designated recipient of Section 5310 – Elderly and Disabled Program – funds for the Omaha-Council Bluffs Metropolitan Area by the Governors of Nebraska and Iowa in 2013. As such, MAPA works directly with FTA to administer this funding.

The responsibility for application of Section 5310 funds is vested with each organization desiring these funds. Effort will be made to maximize the use of this funding and pool vehicles purchased with these funds to provide a coordinated system of support to those who would be serviced with the vehicles.

Roles and Responsibilities

The governing body for MAPA is a 64-member Council of Officials, representing cities, counties, school districts, resource agencies, and numerous other governmental bodies within the MAPA region. The MAPA Board of Directors is nine-member board that serves as the Council Officials' executive committee. The Board of Directors is comprised of elected officials representing cities and counties from the larger five-county MAPA region. The Board of Directors maintains responsibility over the Coordinated Transit Committee, Section 5310 Program Management, Coordinated Transit Plan development and all amendments. Therefore, the CTC is a direct function of the MAPA transportation planning process. The CTC is a stakeholder committee to the Transportation Technical Advisory Committee (TTAC), which was created on behalf of the MAPA Board of Directors and the MAPA Council of Officials. The voting members of the Council of Officials and MAPA Board of Directors are composed of elected officials. Figure 3 displays the roles and responsibilities of the MAPA Council of Officials, Board of Directors, Transportation Technical Advisory Committee, and the Coordinated Transit Committee.

The MAPA Board of Directors annually confirms the appointment of a Coordinated Transit Committee Chair to facilitate meetings, confer with MAPA staff and work to forward the goals and actions of the Coordinated Transit Plan.

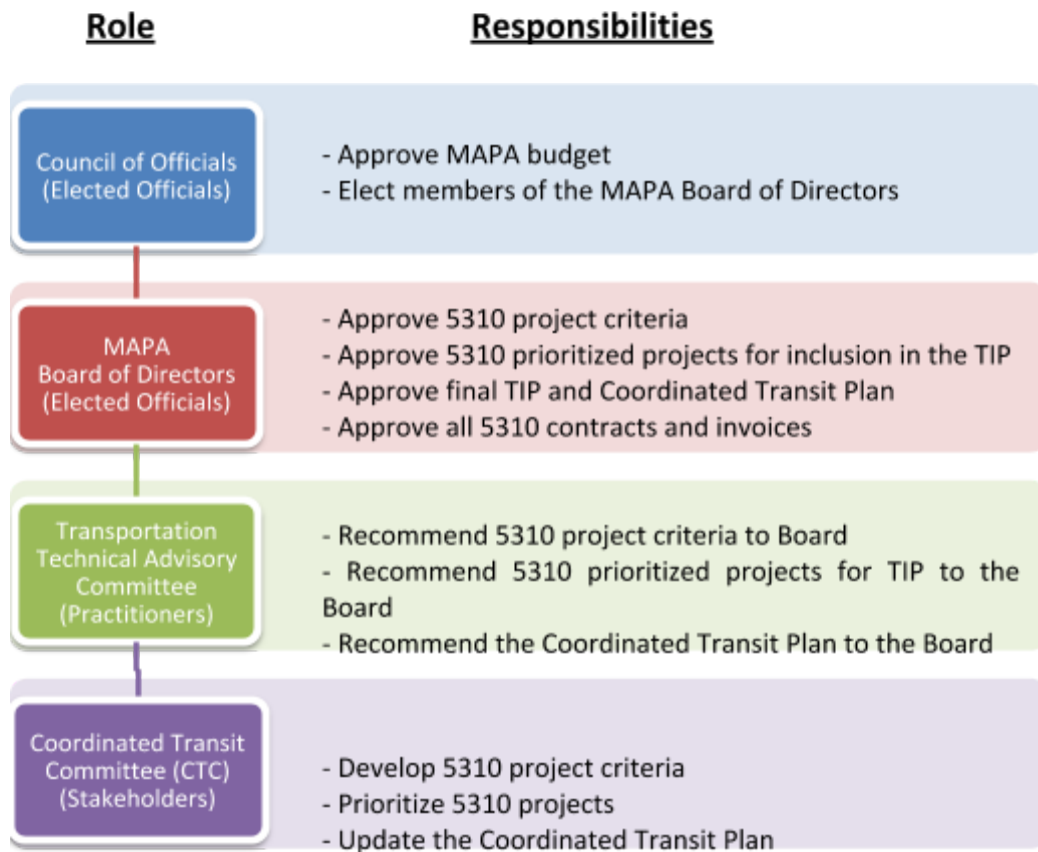


Figure 3: MAPA Roles and Responsibilities

As the primary mechanism for instituting the 5310 program goals and coordination effort is through the Coordinated Transit Committee, Table 1 details the responsibilities of the CTC and MAPA.

| Table 1: Roles and Responsibilities | |
|--|--|
| Coordinated Transit Committee (CTC) | |
| | Develop an inventory of existing transportation services available in the MAPA TMA |
| | Create a list of unmet transportation needs that could be remedied by the use of Section 5310 funds |
| | Develop strategies to address unmet transportation needs and deficiencies that could be funded by Section 5310 funds or a combination of other transit funding sources |
| | Provide oversight and guidance in the development of the Coordinated Transit Plan |
| | Development of the 5310 criteria, policy guide, and application |
| | Evaluate and prioritize projects for federal funding |
| MAPA Staff | |
| | Planning and technical assistance |
| | Mobility coordination |
| | Development and management of the Coordinated Transit Plan |
| | Development and management of the Transportation Improvement Program (TIP) |
| | Development and management of the 5310 Program of Projects (POP) |
| | Management and administration of 5310 apportionment balance |
| | Grant management using FTA's grant management system and spreadsheets |

Planning and Technical Assistance

MAPA, as the designated recipient of 5310 funding, may apply for up to 10% of each yearly apportionment to each program. These funds support program administration, planning and technical assistance. MAPA will make use of these administrative funds to offset administrative program oversight costs related to the development and maintenance of a coordinated transit plan, technical assistance to potential applicants, and maintenance of the management plan and processing of grant applications.

MAPA staff also facilitates and coordinates the Coordinated Transit Committee meetings, preparing meeting materials and agendas. MAPA works with “transportation service providers, human service agencies and related stakeholders to coordinate, encourage and implement plans, actions and programs to enhance the transportation opportunities of the elderly, disabled and economically disadvantaged.

FTA Requirements

FTA requires designated recipients to produce a Coordinated Transit Plan (CTP) and a 5310 Program Management Plan (PMP). The CTP is a locally developed plan which identifies transportation needs in the MAPA region, provides strategies for meeting those needs, and prioritizes transportation services and projects for funding and implementation. The PMP states the policies and procedures for administering the Section 5310 program. Both of these documents were produced with the help of the Coordinated Transit Committee (CTC).

FTA also requires projects be included in the MAPA Transportation Improvement Program (TIP), thus MAPA has aligned the 5310 selection process with the yearly development of the TIP. MAPA performs a single call for projects for all funding types, including 5310, in the fall/winter. Projects which are selected for 5310 funding are incorporated into the draft TIP.

Transfer of Funds

Per the requirements of the FAST Act, 5310 funds apportioned to large UZAs may not be transferred to other areas. Transfer of 5310 funds to other programs are also not permitted (C 9070.1G, p.III-6). However, States are allowed to transfer funds from rural areas to urbanized areas of less than 200,000 in population. MAPA will ensure that all Section 5310 funds are expended on projects for eligible 5310 activities within the MAPA TMA– including instances when state funds are made available to organizations and agencies in the MAPA region.

Coordination

MAPA works with the Nebraska Department of Transportation, the Iowa Department of Transportation, Metro Transit (the Transit Authority of the City of Omaha), and the Coordinated Transit Committee to encourage and enhance coordination at the project level. MAPA engages these partners as a part of the Coordinated Transit Planning process every five (5) years. Each year the CTC is responsible for developing project selection criteria that reflect the needs, goals, and strategies identified during the development of the Coordinated Transit Plan. Members of the Coordinated Transit Committee, personnel from the Nebraska Department of Transportation, and the Iowa Department of Transportation are involved with every step of this process and provide input and feedback on the project selection criteria. Members of the CTC, other non-profits, Metro Transit, and local governments develop projects which fulfill the goals, objectives, and strategies. These are scored by using the project selection criteria developed by the CTC. This process is shown in Figure 4.

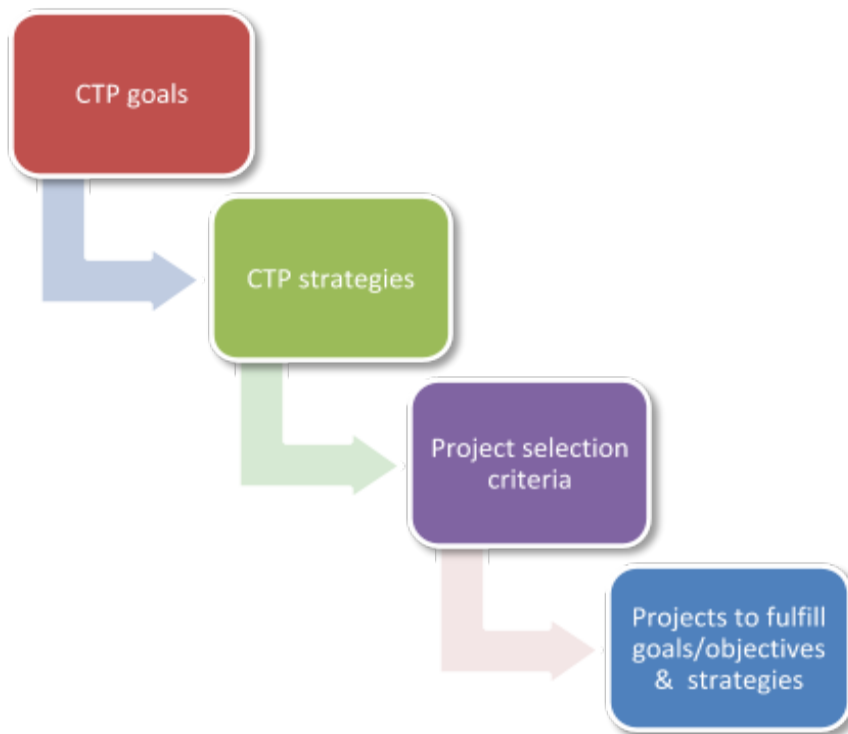


Figure 4: 5310 Coordination Process

The overall goal of the coordinated transit planning effort is to meet the expectations as defined by MAP-21 and the FTA for human service transit projects receiving federal funds under Section 5310.

Goals and Strategies

As a part of the development of both the 2018 Coordinated Transit Plan and Section 5310 Project Selection Criteria, the Coordinated Transit Committee (CTC) developed three goals for the committee and the region. They were developed through a collaborative development process over several months of CTC meetings and are included in the 2018 Coordinated Transit Plan, which was approved by the Transportation Technical Advisory Committee (TTAC) and the MAPA Board of Directors in. Before plan adoption the Coordinated Transit Plan undertook a 30-day public comment period.

1 Enhance Collaboration

Improve efficiencies through inter-agency cooperation.

2 Raise Community Awareness

Include additional, and more diverse, voices into the transportation planning process; highlight the issues of those with impaired mobility; and promote current services.

Bring more people into the conversation, shine a light on the challenges for those with limited mobility, and promote services that currently exist.

3 Provide Options and Connections

Maintain and improve transportation options for all in the region regardless of zip code and income.

The CTC decided on six strategies to achieve these goals. Combined, these goals and strategies serve as the basis for all work the Coordinated Transit Committee completes and are used when Section 5310 projects are selected annually.

- Continue to expand coordinated dispatching in the region through existing call centers
- Utilize the CTC message board to its fullest
- Develop resource list for area nonprofits
- Identify foundation grants and opportunities that CTC members may be eligible for
- Work as a committee to partner on grants and projects
- Raise funds through a special entity developed by the committee for events like Omaha Gives

C. Programming Process

This section discusses the programming process including eligible activities, sub-recipients, the local match requirements, project selection, and the implementation mechanism.

Eligible Activities

The 5310 Circular, FTA C 9070.1G (6/6/14), provides very specific guidance on eligible activities and sub-recipients. At least **55%** of the apportionment must be spent on “Traditional” capital projects, such as those public transportation projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable. And up to **45%** of the apportionment may be utilized for “Other/New Freedom” types of projects that are:

- A) Public transportation projects that exceed the requirements of the ADA,
- B) Public transportation projects that improve access to fixed-route service and decrease reliance by individuals with disabilities on complementary paratransit,
- C) Alternatives to public transportation that assist seniors and individuals with disabilities.

* Note- Operating assistance for required ADA complementary paratransit service is not an eligible expense for the 45% “Other/New Freedom” category (C 9070.1G, p. III-15).

This prescribed eligibility list is partly due to the merging of New Freedom activities into the traditional Section 5310 program. But this adds a level of complexity to determining eligible activities, especially considering the 55% threshold is a floor, meaning a **minimum of at least 55%** must be spent on the “Traditional” capital projects. A detailed summary of eligible activities by category type are shown in Table 2.

Per the requirements of the FAST Act, government agencies using Section 5310 funds for traditional projects must either:

- Be approved by the state to coordinate services for seniors and individuals with disabilities, or
- Certify to the governor that there are no nonprofit corporations readily available in the area to provide the service

Other/New Freedom projects do not carry this requirement and can be undertaken by any eligible subrecipient.

| Table 2: Summary Table of Eligible Activities and Sub-Recipients | | |
|---|---|---|
| | Activities | Eligible Sub-Recipients |
| <p>55% “Traditional” Capital Projects (Must)</p> | <p>a. Rolling stock and related activities <u>for Section 5310-funded vehicles</u></p> <ol style="list-style-type: none"> (1) Acquisition of expansion or replacement buses or vans, and related procurement, testing, inspection, and acceptance costs; (2) Vehicle rehabilitation or overhaul; (3) Preventive maintenance; (4) Radios and communication equipment; and (5) Vehicle wheelchair lifts, ramps, and securement devices. <p>b. Passenger facilities <u>related to Section 5310-funded vehicles</u></p> <ol style="list-style-type: none"> (1) Purchase and installation of benches, shelters, and other passenger amenities. <p>c. Support facilities and equipment for <u>Section 5310-funded vehicles</u></p> <ol style="list-style-type: none"> (1) Extended warranties that do not exceed the industry standard; (2) Computer hardware and software; (3) Transit-related intelligent transportation systems (ITS); (4) Dispatch systems; and (5) Fare collection systems. <p>d. Lease of equipment when lease is more cost effective than purchase</p> <p>e. Acquisition of transportation services under a contract, lease, or other arrangement. This may include acquisition of ADA-complementary paratransit services when provided by an eligible recipient or sub-recipient. Both capital and operating costs associated with contracted serve are eligible capital expenses. User-side subsidies are considered one form of eligible arrangement.</p> <p>f. Mobility management and coordination programs</p> <p>g. Capital activities (e.g., acquisition of rolling stock and related activities, acquisition of services, etc.) to support ADA-complementary paratransit service, so long as the service is provided by an eligible recipient/sub-recipient (C 9070.1G, p. III-10)</p> | <ul style="list-style-type: none"> ● Private Non-Profit Organizations ● State or Local Governmental Authorities that are either: <ul style="list-style-type: none"> ○ Approved by a state to coordinate services for seniors and individuals with disabilities; or ○ Certify that there are no non-profit organizations readily available in the area to provide the service |

| Table 2: Summary Table of Eligible Activities and Sub-Recipients (Continued) | | |
|--|--|---|
| | Activities | Eligible Sub-Recipients |
| <p>45% “Other/New Freedom” Types of Projects (May)</p> | <p><u>a. Public transportation projects (capital only) planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable;</u></p> <p><u>b. Public transportation projects (capital and operating) that exceed the requirements of the ADA.</u></p> <p>(1) Enhancing paratransit beyond minimum requirements of the ADA.</p> <p>a. Expansion of paratransit service parameters beyond the 3/4 mile required by the ADA;</p> <p>b. Expansion of current hours of operation for ADA paratransit services that are beyond those provided on the fixed-route services;</p> <p>c. The incremental cost of providing same day service;</p> <p>d. The incremental cost (if any) of making door-to-door service available to all eligible ADA paratransit riders, but not on a case-by-case basis for individual riders in an otherwise curb-to-curb system;</p> <p>e. Enhancement of the level of service by providing escorts or assisting riders through the door of their destination;</p> <p>f. Acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for wheelchairs under the ADA regulations and labor costs of aides to help drivers assist passengers with oversized wheelchairs.</p> <p>g. Installation of additional securement locations in public buses beyond what is required by the ADA.</p> <p>(2) <u>Feeder services.</u> Accessible “feeder” service (transit service that provides access) to other modes, for which complementary paratransit service is not required under the ADA.</p> <p><u>c. Public transportation projects (capital and operating) that improve accessibility.</u></p> <p>(1) Making accessibility improvements to transit and intermodal stations not designated as key stations.</p> <p>(2) Travel training</p> <p><u>d. Public transportation alternatives that assist seniors and individuals with disabilities with transportation (capital and operating).</u></p> <p>(1) Purchasing vehicles to support accessible taxi, ride-sharing, and/or vanpooling programs.</p> <p>(2) Supporting the administration and expenses related to voucher programs for transportation services offered by human service providers.</p> <p>(3) Supporting volunteer driver and aide programs.</p> | <ul style="list-style-type: none"> ● Private Non-Profit Organizations ● Public Transportation Operators ● State or Local Governmental Authorities ● Private Taxi Companies (providing shared-ride taxi service) |

Eligible Sub-Recipients

Specific criteria must be met for sub-recipients to be eligible for 5310 funding:

1. Projects must be submitted by eligible organizations within the MAPA TMA. The TMA encompasses Douglas and Sarpy Counties in Nebraska and the urbanized area surrounding Council Bluffs in Pottawattamie County, Iowa. This includes organizations within Bennington, Bellevue, Carter Lake, Omaha, Gretna, Council Bluffs, Ralston, La Vista, Crescent, Valley Papillion, McClelland, Waterloo, and Springfield. For a map of the MAPA TMA, please refer to Figure 2 on page 2.
2. The FAST Act designates two separate project types within the 5310 funding. These have differing eligible sub-recipients: “Traditional” and “Other”. Table 2 (on the previous page) provides a summary of the eligible activities and sub-recipients by 55% “Traditional” and 45% “Other”.
3. Projects must meet the intent of MAPA’s Long Range Transportation Plan as required by federal law and USDOT regulations.
4. Project must demonstrate consistency with the goals of the Coordinated Transit Plan at the time of application.
5. Have a minimum match of 20 percent for capital and 50 percent for operations of local (non-federal) funding as required by the FAST Act.

Following project selection, projects will be incorporated into the Transportation Improvement Program (TIP) and the Program of Projects (POP) will be attached to the Coordinated Transit Plan. MAPA will ensure the 55/45 split for each year is achieved as applications are reviewed, approved and programmed during the development of the Program of Projects (POP).

Local Share and Local Funding Requirements

Section 5310 funds are offered for capital purchases of vehicles with 80% of the cost provided by Federal funding. Operations funds can be offered directly to the sub-recipient or through Third Party Contracts at a maximum of 50% Federal funds. Additionally, operations can be capitalized through “capitalized cost of contracting” at the 80/20 capital split; however, specific conditions must be met before this can be approved by MAPA. A breakdown of the Section 5310 matching funds requirements are displayed in Table 3.

| Types of Funding | Federal Grant/Local Match |
|-------------------------|---|
| Capital | 80/20 |
| Operating | General Operations - 50/50 Capitalized Cost of Contracting - 80/20 |
| Planning | 80/20 |
| Administration | 100/0 |

Local Match

All local match funds for Section 5310 must be provided from sources other than those provided by the U.S. Department of Transportation. Such sources may include:

- State or local appropriations
- Other non-transportation federal funds that are eligible to be used for transportation, i.e.:
 - Temporary Assistance for Needy Families (TANF)
 - Medicaid
 - Employment training programs
 - Rehabilitation services
 - Administration on Aging
- Tax revenues
- Private donations
- Revenues for human service contracts
- In-kind donations such as volunteered services, as long as the value of the donations are documented and supported and are a cost that would otherwise be eligible under the program. (MAPA must confirm the in-kind local match is appropriate.)
- Income from contracts to provide human service transportation or other net income generated by social service agencies

Project Selection Criteria and Method of Distributing Funds

Application and Approval Process

The application process follows a predetermined set of requirements developed by the CTC. These requirements delineate the competitive project selection timeline and the 5310 policy guide (which includes the selection criteria and application) and are determined before the call for projects. An application for the Section 5310 funding is available to potential candidates on request and is on the MAPA website (<http://mapacog.org/projects/ctc/>). Completed forms and related information will be scored by MAPA staff and subsequently reviewed by the CTC.

Notice of Availability

MAPA, on behalf of the CTC planning committee, will follow the MAPA Public Participation Plan to disseminate information regarding potential Section 5310 funds and how to apply. Application information will be listed on the MAPA website. Additionally, MAPA will send notices to Coordinated Transit Committee stakeholders providing similar information. All public notices, access to information and dissemination of materials will be in accordance with guidelines stated in the MAPA Public Participation Plan (<http://mapacog.org/projects/public-participation-plan/>).

Application Form

Application forms for the 5310 funding source will be updated to optimize the selection process according to CTC preference. The application forms (Traditional-Capital and Other/New Freedom-Capital & Operations) are located online at: <http://mapacog.org/projects/ctc/> and are included in Appendix B.

Application Procedures

Applications for the 5310 program should be completed based on the criteria and eligibility requirements stated for the program. Applications will be reviewed once a year, currently in January. All

applications should be submitted on or before the determined due date. Applications received after the deadline will be reviewed and prioritized in the next funding cycle.

Once received, project applications will be:

- Reviewed for eligibility based on the requirements for 5310 funding
- Forwarded for further review or rejected based on eligibility

Eligible projects will then be:

- Reviewed, scored, and rated on criteria established by the CTC
- Prioritized by the merit of the project
- Approved by the CTC and recommended to the TTAC and the MAPA Board of Directors
- Programmed in the MAPA TIP based on funding availability

Project Ranking

Following an initial eligibility determination, project applications are evaluated and scored by the 5310 Project Selection Subcommittee based upon their particular project type (capital, operations, or both) and the information supplied. MAPA staff will then present the scores to the CTC for review. The 5310 Project Selection Subcommittee will recommend a prioritization of projects to the CTC for approval to be incorporated into the draft MAPA Transportation Improvement Program (TIP) as allowed by fiscal constraint. All projects will be prioritized and programmed as funding amounts will allow. Projects not receiving funding will be put on a backup list, listed by their priority, in case additional funds become available.

All Section 5310 applications which meet eligibility requirements will be scored individually using MAPA's 5310 Project Selection Manual, the contents of which are included here:

Federal Transit Administration (FTA) Section 5310 project selection in the MAPA region is broken into two major categories – Capital Projects and Operations Projects. Capital projects include, but are not limited to, vehicles, accessibility add-ons, information technology systems, maintenance, communication equipment, and contracted services. Operations projects focus on administrative expenses and help to pay for wages, fuel costs, and other expenses that do not fall under the FTA's definition of capital project.

Section 5310 funds carry the following restrictions:

- Projects must be geared toward serving the target population (disabled and elderly individuals)
- Projects must be transportation related
- At least 55% of the region's apportionment must be spent on capital projects; no more than 45% may be used for operations
- Up to 80% of a capital project's total cost can be paid for with Section 5310 funds, the remaining 20% must come from a local source
- Up to 50% of an operations project's total cost can be paid for with Section 5310 funds, the remaining 50% must come from a local source

Additional details about the Section 5310 program and its requirements can be found in [FTA Circular C 9070.1G](#).

5310 Project Selection Subcommittee

Evaluation of projects will be done by a subsection of MAPA's Coordinated Transit Committee. The subcommittee will consist of:

- 2 MAPA Staff Members
- 2 Nonprofit Representatives
- 2 Municipal Representatives
- 1 Representative from Metro Transit

Only those members of the CTC whose agencies are not being evaluated to receive funding that year will be eligible to sit on this subcommittee.

Evaluation of all projects will take a combined qualitative-quantitative approach. Committee members will score projects according to the criteria outlined below and will be empowered to adjust rankings in cases where quantitative measures are insufficient.

Analysis of Regional Significance

Section 5310 projects will be evaluated based on their contribution to the region. MAPA, assisted by a project selection committee comprised of non-award-seeking members of the Coordinated Transit Committee, will make this determination based on the following criteria:

- **Ridership & Budget**

Total ridership, ridership per vehicle, and ridership by population served will all be analyzed to help determine the significance of the agency's program. We will also consider each applicant's program budget in this analysis. The goal is to ensure funds are used efficiently by awarding them to agencies with a large impact in the region.

- **Service Availability**

Where and when the agency operates are important considerations because it may be the only option for service in the area or at a specific time. If either of these are the case the agency will have increased priority for funding.

- **Priority of Service Type**

The project selection committee will consider the type(s) of service the agency provides. Medical trips are weighed most heavily, followed by Employment, Education, General Living (grocery, home needs), and finally Social/Recreational trips.

- **Sustainability**

Agencies must demonstrate an ability to carry on the program in the absence of these funds. In addition to a required letter of commitment to complete the project, the project selection committee will evaluate sustainability based on:

- Letters of Support
- Availability of other sources of funding identified by the applicant
- The agencies capacity to bill for and adhere to the stipulations of the 5310 program through past successful experiences with state and federal funds
- Plans for programs, both by the application and partner agencies, for how this project will expand future services and fill anticipated gaps in service

Capital Projects

All capital projects will be evaluated using the analysis of regional significance as outlined above. Applications will be separated into two categories: the Vehicle Replacement Program and New Capital Projects.

Vehicle Replacement Program

Capital funds in the MAPA region have historically been used for replacing vehicles in programs focused on transporting disabled and/or elderly individuals. MAPA's project selection process for capital projects takes this into account through a vehicle replacement program. MAPA maintains a database of eligible subrecipients and their fleets, evaluating their programs for regional significance when vehicles reach the end of their useful life.

Agencies seeking to replace vehicles with 5310 funds must submit an application to be entered into the database. At this stage applicants must meet the following criteria:

- Vehicles to be replaced must be part of a program that meets federal requirements under Section 5310
- Vehicles to be replaced must be part of a program that is in line with the goals established in MAPA's Coordinated Transit Plan

Each year MAPA will develop a replacement program two years in advance. For example, in 2018 MAPA would develop the replacement program for 2020. Each year's program will be developed with the following process:

Step One: Evaluate vehicle condition

Eligible vehicles in MAPA's database will be sorted by useful life. Vehicles at or nearing the end of their useful life will be prioritized for replacement. A cut line will be established based on available funding.

Step Two: Evaluate programs for regional significance

Agencies with vehicles determined to be eligible for replacement in step one will undergo an analysis of regional significance.

New Capital Projects

Any capital project that is not strictly a vehicle replacement can apply for funds as a new capital project. Starting new programs is the true intent of the 5310 program and eligible new capital projects found to be regionally significant will be given priority over vehicle replacement. In addition to being analyzed for regional significance as outlined above, new capital projects must meet one of the following criteria:

- The project must be part of the creation of a brand new transit program
- The project must be part of a significant expansion (as determined by the Project Selection Subcommittee) of an existing transit program

Operations Projects

All operations projects will be evaluated using the analysis of regional significance as outlined above. Applications will be separated into two categories: Maintenance of Existing Service and Expanded/New Service.

Continuing Service Program

Similar to capital projects, operations funds in the MAPA region have historically been used for through the continuing service program.

Agencies seeking to maintain service with 5310 funds must submit an application to be entered into the database. At this stage applicants must meet the following criteria:

- Operations must be part of a program that meets federal requirements under Section 5310
- Operations must be part of a program that is in line with the goals established in MAPA's Coordinated Transit Plan

Each year MAPA will develop a continuing service program two years in advance. For example, in 2018 MAPA would develop the program for 2020. Funds for a given year will be distributed based on an evaluation of each applicant's regional significance.

New Operations Projects

Any operations project that proposes benefits beyond maintaining existing service can apply for funds as a new operations project. Starting new programs is the true intent of the 5310 program and eligible new operations projects found to be regionally significant will be given priority over continuing service. In addition to being analyzed for regional significance as outlined above, new operations projects must meet one of the following criteria:

- The project must be part of the creation of a brand new transit program
- The project must be part of a significant expansion (as determined by the Project Selection Subcommittee) of an existing transit program

Project Implementation

Projects are implemented through a tiered process. Project selection is the purview of the Coordinated Transit Committee (CTC). Projects selected and prioritized by the CTC will be presented to the MAPA Transportation Technical Advisory Committee and Board of Directors for final approval, programming, and implementation. As the CTC determines appropriate additional criteria, further categories may be included in the future. The MAPA CTC 5310 Policy Guide is reviewed annually and includes the most up to date criteria for project selection (<http://mapacog.org/projects/ctc/>).

Once a project is selected during the Transportation Improvement Program (TIP) development cycle it is included in the draft TIP document, which goes through a public participation process and is eventually approved. There may be instances when funding needs to be allocated outside of the annual process based on need, regulation, or other situations. For these projects, applications will be reviewed and approved by the Coordinated Transit Committee, TTAC, and the MAPA Board. Then the project funding will be amended into the current TIP document.

Concurrently, during the TIP development cycle, the projects selected for 5310 funding are listed in an annual Program of Projects (POP). The POP and two meeting minutes of the Coordinated Transit Committee will be attached to the 2014 Coordinated Transit Plan as a part of Appendix G. (The meeting minutes are required by the Iowa Department of Transportation.) The POP will go through the TIP public participation process, giving the public ample time to comment on the projects. The amended Appendix G of the Coordinated Transit Plan and a separate POP file will be uploaded to the MAPA website yearly. This information will be located at <http://mapacog.org/projects/ctc/>.

Actual funding provisions are at the discretion of the MAPA Board. Funding may be made available in total or in part for any given project.

Once a project is incorporated into the TIP and the funding is available, MAPA will insert the project into the Federal Transit Administration's (FTA) grant management system. The project description will include the date of TIP approval and inclusion in the Coordinated Transit Plan, along with other pertinent information, such as name of agency and purpose of the project.

Concurrent to approval in FTA's grant management system, MAPA will begin developing the contract between MAPA and the sub-recipient. This contract will be signed once the grant is approved in FTA's grant management system and portions of the grant agreement can be attached to the contract.

Finally, the sub-recipient can commence grant activity based on the day State TIP approval was granted. MAPA will work with the agency to ensure a complete invoice packet is submitted including all necessary supporting documentation and progress reports. The MAPA Finance Committee and the MAPA Board of Directors will approve the invoice packet. Following approval, MAPA will use the FTA grant reimbursement system, ECHO, to draw down funds and MAPA will cut a check for the sub-recipient. Figure 5 displays the project implementation schedule.

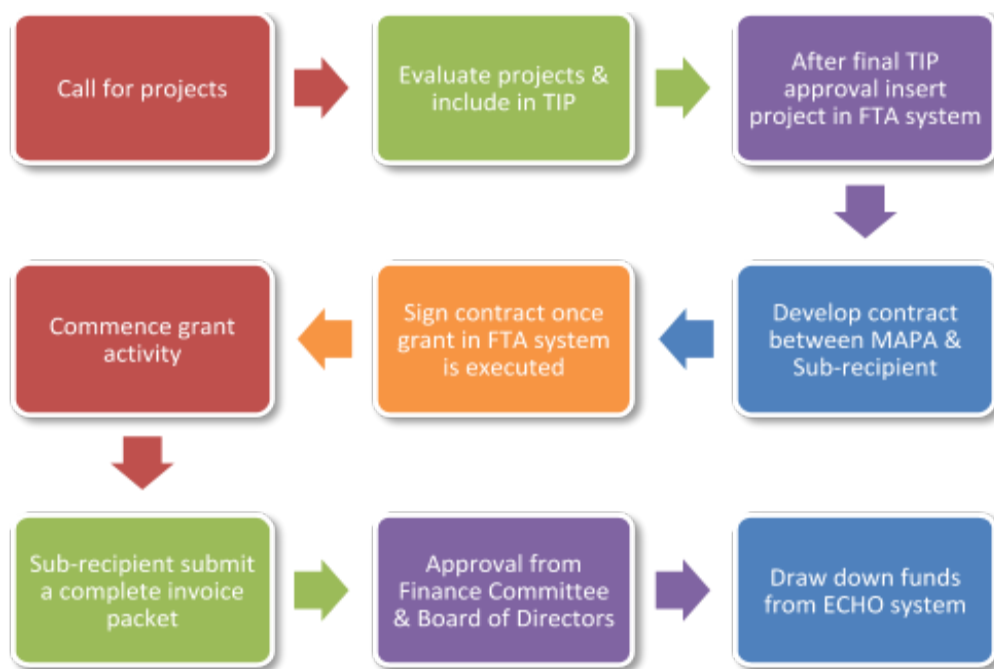


Figure 5: Project implementation schedule

D. Private Sector Participation

MAPA continues to work to increase the diversity of agency and organizational members of the Coordinated Transit Plan development and 5310 funding opportunities through targeted outreach. To date, there are few (if any) private providers of public transportation within the MAPA region; as such opportunities for coordination are limited. However, MAPA will continue to explore ways to enhance non-profit and private sector participation the Coordinated Transportation planning process.

Private sector transportation providers, along with transportation users from the private sector are invited to be involved in the monthly Coordinated Transit Committee meetings. Those providers and individuals will continue to be kept apprised of the transportation programs in their areas. Press releases, mailings and e-mail correspondence will be used to involve them and any other private sector entities that may be interested in the process for this program. Additionally, information about MAPA’s programs and opportunities available to private providers will be made accessible on the MAPA website.

E. Civil Rights

MAPA fully complies with the requirements under Title VI of the Civil Rights Act of 1964, and assures the compliance of each third party contractor at any tier and each sub-recipient at any tier under the project.

MAPA will seek, from all approved candidates, a written certification of compliance pertaining to Civil Rights, Title VI, Equal Employment Opportunity (EEO), and Disadvantaged Business Enterprise (DBE) regarding the grantee's facility and services. MAPA will also insist on being informed, in writing, of any lawsuit, litigation or civil rights complaints made against the grantee organization. Additionally, MAPA will accept, in writing, any updates on the status or outcome of active or pending lawsuits throughout the period of the approved grant. Furthermore, when selecting projects MAPA will prioritize projects that are located within the Environmental Justice areas and areas where transit dependent populations reside, but aren't currently served by the transit system.

MAPA, in turn, will make all documents related to Civil Rights reporting part of the permanent file of the project. The MAPA Title VI Plan and program is located on its website at <http://mapacog.org/about/what-is-mapa/civil-rights/>.

F. Section 504 and ADA Reporting

Section 504 of the Rehabilitation Act of 1973 prohibits discrimination on the basis of disability by recipients (and also sub-recipients) of federal financial assistance. The Americans with Disabilities Act of 1990 (ADA), as amended (42 U.S.C. 12101 et seq.), prohibits discrimination against qualified individuals with disabilities in all programs, activities, and services of public entities, as well as imposes specific requirements on public and private providers of transportation.

As in other federal assistance programs, special efforts to meet the transportation needs of disabled persons are confirmed through an ongoing process.

MAPA will seek, from all approved candidates, a written certification of compliance pertaining to ADA directives. MAPA, in turn, will make all documents related to ADA reporting part of the permanent file of the project. This documentation will include information regarding the ADA accessibility of vehicles purchased through the 5310 program and executed, contracted assurances for sub-recipients. MAPA will incorporate the relevant elements Section 5310 program administration into the agency's Title VI Plan. This plan provides the overarching framework for MAPA's administration of federal funds and programs in compliance with the ADA and other Title VI requirements.

The current MAPA ADA Compliance Plan and Policy Statement is located on its website at <http://mapacog.org/about/what-is-mapa/civil-rights/>.

G. Program Measures

MAPA will require sub-recipients to submit annual reports containing federally established measures for the 5310 program (C 9070.1G, p.II-2.). These include, but not limited to:

Traditional Section 5310 Projects

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

Other Section 5310 Projects

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

H. Section 5310 Program Management

The Section 5310 program management will be completed by multiple facets of the MAPA agency. The transportation section planners and manager will provide the program management, general review of projects, overall program financial tracking, and review invoice packets. The MAPA Finance Committee and the MAPA Board of Directors will review and approve contracts and invoices. The Administrative Services Director will track the financial aspect of each project, complete draw downs, and review invoice packets. Additionally, the Administrative Services Director will coordinate financial management, accounting systems, audits and management or financial reviews, the close out process, and required reporting.

Procurement

MAPA coordinates with the Nebraska Department of Transportation and the Iowa Department of Transportation to procure vehicles for the 5310 program. Both states maintain FTA compliant procedures and documentation related to the procurement of vehicles with federal funds.

Financial Management

MAPA maintains the FTA financial management systems for financial reporting and accounting records. All systems and procedures for financial management must comply with 49 CFR 18.20, the “Common Rule.”

MAPA develops contracts with approved sub-recipients for operations projects and some non-vehicle purchase capital projects. These contracts include a detailed scope of work and budget. For projects including capital elements, the type of equipment and its intended use must be included. For operational assistance scopes of work, the clients, service area, time-period, and other pertinent

information must be included. These contracts are not be signed by MAPA and the sub-recipient until the grant has been executed and FTA funds are secured.

As the 5310 program is a reimbursement-based program, all project related capital and operating expenditures must be incurred locally and reported to MAPA after the contract has been executed. As stated previously, the appropriate local share requirement (20% capital and 50% operational) must be met before reimbursements will be granted. Sub-recipients must retain the original receipts for all eligible project expenditures and attach them to reimbursement requests. In the case of capital projects, sub-recipients will be required to attach copies of vendor invoices to reimbursement requests.

Accounting Systems

The MAPA Accounting system shall establish and maintain accounts for the project in a manner consistent with OMB Circular A-133 and in accordance with applicable provisions of 23 CFR 172. Expenditures shall be in conformance with the standards for allowability of costs set forth in OMB Circular A-87 and the contract cost principles and procedures set forth in 48 CFR Part 1.31.6 of the Federal Acquisition Regulation system. MAPA shall establish and maintain separate accounts for expenditures for each federal grants.

MAPA shall establish and maintain a system of controls over sub-recipient monitoring. As a part of the sub-recipient monitoring, MAPA shall require sufficient documentation to be provided as support for pass-through expenditures. MAPA shall also monitor the matching effort and project budgets.

Property Management

The Nebraska Department of Transportation and the Iowa Department of Transportation handle the procurement of vehicles for MAPA's 5310 program. Such vehicles are governed by the program management plans of their respective states. Recipients of these vehicles are required to follow all pertinent management procedures and restrictions of the program management plan of the procuring agency.

Iowa DOT State Management Plan:

<https://iowadot.gov/transit/publications/StateManagementPlan.pdf>

Nebraska DOT State Management Plan:

https://www.nebraskatransit.com/NDOR_Documents/General_Transit_Documents/SMP-approved-aug-2015.pdf

Audits and Management or Financial Reviews

MAPA and the sub-recipients shall maintain an accurate cost-keeping system as to all costs incurred in connection with the subject of the FTA project and shall produce for examination books of account, bills, invoices and other vouchers, or certified copies thereof if originals are lost, at such reasonable time and place as may be designated by MAPA, FTA or a designated Federal representative and shall permit extracts and copies thereof to be made during the contract period and for three years after the final FTA-MAPA audit is completed, resolved and closed.

MAPA and the sub-recipients shall at all times afford a representative of MAPA, FTA, or any authorized representative of the Federal government, reasonable facilities for examination and audits of the cost account records, shall make such returns and reports to a representative as he may require, shall

produce and exhibit such books, accounts, documents and property as the representative may desire to inspect, and shall in all things aid him in the performance of audit duties.

MAPA and the sub-recipients shall be responsible for meeting the audit requirements of OMB Circular A-133, or any revision or supplement thereof. OMB Circular A-133 states that when expenditures of total federal awards, whether pass-through or direct, exceed \$500,000 in a fiscal year, an A-133 Audit is required. Pass-through monies from MAPA shall be separately identified on the Sub-recipients' Schedule of Expenditures of Federal Awards as reported in their financial audit.

Close out

After the project has been completed in accordance with the written agreement between MAPA and the sub-recipient, MAPA will close out the contract. If this is the last project within a grant in FTA's grant management system, then that grant will also be closed out.

Reporting

Sub-recipients will be required to prepare a variety of financial and program progress reports on a quarterly basis. These reports will begin based on the date agreements/contracts are signed with sub-recipients and will continue until the project is closed out. These will include a project narrative, local matching sources used, number of passenger trips provided, vehicle miles traveled, and revenue service hours provided. Sub-recipients will also be required to report on an annual basis their efforts in purchasing from DBE vendors and a vehicle condition report.

The sub-recipient is responsible for submitting vehicle information on an annual basis. A form will be provided upon award and includes sub-recipient's name, address and phone number; vehicle year, make, and model; date accepted; included equipment; location; grant number; federal percentage share; date last inspected, recorded mileage, maintenance schedule, and condition; type of funding used for the purchase; and other information used by MAPA for program review and reporting. The information obtained from these reports will become part of the inventory record along with the title and certificate of collision insurance coverage. Vehicles must be maintained in accordance with MAPA's vehicle maintenance plans (provided to sub-recipients upon award and attached in Appendix C). To ensure that the vehicles are properly maintained, MAPA randomly reviews vehicle maintenance records and physically inspects vehicles as part of the on-site visits. These visits are conducted annually.

I. Other provisions

This section describes the process by which the recipient complies with other federal requirements such as environmental protection, Buy America provisions, pre-award and post-delivery reviews, restrictions on lobbying, prohibition of exclusive school transportation, and drug and alcohol testing, including the state's procedures for monitoring compliance by sub-recipients.

MAPA will seek a signed certification of compliance pertaining to applicable Certifications and Assurances from 5310 sub-recipients. MAPA, in turn, will include this documentation in the permanent file of the project. MAPA will also randomly complete audits of sub-recipients to ensure compliance with applicable provisions.

Environmental Protection

The President's Executive Order on Environmental Justice expanded upon Title VI of the 1964 Civil Rights Act (42 U.S.C. 2000d-1) when it stated that "each federal agency shall make achieving environmental justice part of its mission by identifying and addressing, as appropriate, disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority populations and low-income populations."

When determining if a particular program, policy or activity will have disproportionately high and adverse effects on minority and low-income populations, mitigation and enhancement measures and potential offsetting benefits to the affected minority or low-income populations will be taken into account. Other factors that will also be taken into account are comparative impacts, design, and the number of similar existing system elements in nonminority and non-low income areas. The evaluation will determine if alternatives studied will be more or less disadvantageous to the population considered.

However, any program, policy or activity that has the potential for disproportionately high and adverse effects on the affected populations will only be carried out if there is a substantial need for the program, policy or activity based on overall public interest; or alternatives that would have less adverse effects have either adverse social, economic, environmental or human health impacts that are more severe or would involve increased costs of an extraordinary magnitude.

Restrictions on Lobbying

Recipients of federal grants from any source exceeding \$100,000 annually must certify that they have not and will not use federally appropriated funds for lobbying.

Prohibition of Charter and School Bus Service

As defined by the FTA, "Charter Service" means transportation provided to a group of persons who travel together under an itinerary specified in advance or modified after having left the place of origin. Title 49 USC 5323(d) places limits on the charter services that federally-funded public transportation operators may provide. Title 49 USC 5323(f) places limits on school transportation that federally-funded public transportation operators may provide. 5310 grantees are prohibited from using this program's funds to provide charter service or school service.

Drug and Alcohol Testing

Recipients or sub-recipients that only receive 5310 assistance are not subject to FTA Drug and Alcohol testing rules, but must comply with the Federal Motor Carrier Safety Administration rule for employees to hold Commercial Drivers' Licenses (49 CFR part 382).

Section 5310 recipients and subrecipients that also receive funding under one of the covered FTA programs (Section 5307, 5309, or 5311) should include any employees funded under Section 5310 projects in their testing program (C 9070.1G, p. VIII-9).

J. Monitoring, Evaluation, and Update

Monitoring and Evaluation

MAPA shall continually monitor 5310 grantees through the invoice review process. The Administrative Services Director will review invoices from 5310 grantees to ensure they comply with applicable

regulations and are submitted for eligible expenses. If invoices do not match regulations, they will be rejected and will be investigated further. If MAPA determines a project is no longer compliant with the 5310 program, funds will be removed from the sub-recipient.

MAPA will perform an evaluation annually providing program measures and other applicable information including tracking of funding and the remaining apportionment balances. MAPA will utilize the 5310 Program Checklist found in Appendix A to ensure MAPA is taking all appropriate measures in administering and managing the 5310 program. The results from this checklist will be included in the annual evaluation document.

MAPA will also review projects for their consistency with the Coordinated Transit Plan, the Long Range Transportation Plan, and the project's application itself. These evaluation measures will inform future project selection cycles and ensure that Section 5310 funds are making the desired impact among awardees.

Program Management Plan Update

All 5310 Coordinated Transit Management Plan revisions, as well as any actions required to administer 5310 funds, will be reviewed by the MAPA Coordinated Transit Committee and recommendations will be forwarded to Transportation Technical Advisory Committee and to the MAPA Board of Directors for review and disposition.

The MAPA Board of Directors has final approval of all changes revisions and amendments to the 5310 Coordinated Transit Management Plan. Additionally, the MAPA Board of Directors has final approval of all grant applications submitted for consideration and approved for funding disbursement.

Appendix A

5310 Program Checklist

This checklist is reviewed on an annual basis to ensure compliance with all applicable Federal regulations.

- Ensure the private sector is invited to Coordinated Transit Committee meetings and planning activities
- Confirm all pertinent information is on the MAPA website
 - Coordinated Transit Plan
 - Program Management Plan
 - Coordinated Transit Committee Agendas and Minutes
 - Annual 5310 Call for Projects
- Seek written certification of compliance pertaining to the following, from all 5310 sub-recipients
 - Civil Rights
 - Title VI
 - Equal Employment Opportunity (EEO)
 - ADA directives
 - Disadvantaged Business Enterprise (DBE)
- Prioritize projects that are located within Environmental Justice areas and areas where transit dependent populations reside
- Complete an annual 5310 program evaluation using the federal program measures (Section H)

Traditional Section 5310 Projects

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

Other Section 5310 Projects

- _____ **Increases or enhancements** related to geographic coverage, service quality, and/or service times that impact availability of transportation services for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year
- _____ **Additions or changes** to physical infrastructure (e.g., transportation facilities, sidewalks, etc.), technology, and vehicles that impact availability of transportation services for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year

- o _____ **Actual or estimated number of rides** (as measured by one-way trips) provided for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year
- MAPA will verify sub-recipients have a written drug free policy, non-smoking and no texting while driving policy

Appendix B

Eligible 5310 Activities and Applications

