Program Management Plan

Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities

May 2017
East-West Gateway Council of Governments (EWGCOG) hereby gives public notice that it is the policy of the agency to assure full compliance with Title VI of the Civil Rights Act of 1964, the Civil Rights Restoration Act of 1987, Executive Order 12898 on Environmental Justice, and related statutes and regulations in all programs and activities. Title VI requires that no person in the United States of America, on the grounds of race, color, sex, or national origin, shall be excluded from the participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which EWGCOG receives federal financial assistance. Any person who believes they have been aggrieved by an unlawful discriminatory practice under Title VI has a right to file a formal complaint with EWGCOG. Any such complaint must be in writing and filed with EWGCOG’s Title VI Coordinator within one hundred eighty (180) calendar days following the date of the alleged discriminatory occurrence. For more information, or to obtain a Title VI Nondiscrimination Complaint Form, please see EWGCOG’s website at www.ewgateway.org/titlevi or call (314) 421-4220 or (618) 274-2750.

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# Table of Contents

<table>
<thead>
<tr>
<th>Section / Part</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Information</td>
<td>5</td>
</tr>
<tr>
<td>Acronyms &amp; Terms</td>
<td>5</td>
</tr>
<tr>
<td><strong>A. Introduction</strong></td>
<td>8</td>
</tr>
<tr>
<td><strong>B. Background Information</strong></td>
<td>8</td>
</tr>
<tr>
<td>1. Governing Statutes and Guidance</td>
<td>8</td>
</tr>
<tr>
<td>2. Section 5310 Information</td>
<td>8</td>
</tr>
<tr>
<td>(a) Overview</td>
<td>8</td>
</tr>
<tr>
<td>(b) St. Louis, MO-IL UZA Geographic Extent</td>
<td>9</td>
</tr>
<tr>
<td>(c) Rural Areas, Urban Clusters, and Small Urbanized Areas</td>
<td>9</td>
</tr>
<tr>
<td>(d) Section 5310 Co-Designated Recipients</td>
<td>10</td>
</tr>
<tr>
<td>3. MAP-21 and Open Grants for JARC / New Freedom</td>
<td>11</td>
</tr>
<tr>
<td><strong>C. Program Goals &amp; Objectives</strong></td>
<td>11</td>
</tr>
<tr>
<td><strong>D. Roles &amp; Responsibilities</strong></td>
<td>12</td>
</tr>
<tr>
<td><strong>E. Coordination</strong></td>
<td>14</td>
</tr>
<tr>
<td>1. Overview</td>
<td>14</td>
</tr>
<tr>
<td>2. Coordination History</td>
<td>14</td>
</tr>
<tr>
<td><strong>F. Eligible Sub-Recipients</strong></td>
<td>14</td>
</tr>
<tr>
<td>1. Overview</td>
<td>14</td>
</tr>
<tr>
<td>2. Section 5310 Traditional Projects</td>
<td>15</td>
</tr>
<tr>
<td>3. New Freedom Type Projects</td>
<td>15</td>
</tr>
<tr>
<td><strong>G. Local Share &amp; Local Funding Requirements</strong></td>
<td>15</td>
</tr>
<tr>
<td><strong>H. Project Selection Criteria &amp; Method of Distributing Funds</strong></td>
<td>16</td>
</tr>
<tr>
<td>1. Project Selection Criteria and Application Process</td>
<td>16</td>
</tr>
<tr>
<td>(a) The Council</td>
<td>17</td>
</tr>
<tr>
<td>(b) IDOT</td>
<td>18</td>
</tr>
<tr>
<td>2. Method of Distributing Funds</td>
<td>19</td>
</tr>
<tr>
<td><strong>I. Annual Program of Projects Development &amp; Approval Process</strong></td>
<td>21</td>
</tr>
<tr>
<td>1. General</td>
<td>21</td>
</tr>
<tr>
<td>2. Draft Master POP</td>
<td>21</td>
</tr>
<tr>
<td>3. Master POP Updates</td>
<td>22</td>
</tr>
<tr>
<td><strong>J. Administration, Planning &amp; Technical Assistance</strong></td>
<td>22</td>
</tr>
<tr>
<td><strong>K. Transfer of Funds</strong></td>
<td>22</td>
</tr>
<tr>
<td><strong>L. Private Sector Participation</strong></td>
<td>22</td>
</tr>
<tr>
<td><strong>M. Statutory &amp; Regulatory Compliance</strong></td>
<td>23</td>
</tr>
<tr>
<td>1. Civil Rights</td>
<td>23</td>
</tr>
<tr>
<td>2. Section 504 and ADA Reporting</td>
<td>24</td>
</tr>
<tr>
<td>3. Other Provisions</td>
<td>25</td>
</tr>
</tbody>
</table>
# Program Management Plan

## Section 5310 Program

St. Louis, MO-IL Urbanized Area

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## Table of Contents

<table>
<thead>
<tr>
<th>Section / Part</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>N. Program Measures</strong></td>
<td>25</td>
</tr>
<tr>
<td>1. Section 5310 Traditional Projects</td>
<td>25</td>
</tr>
<tr>
<td>2. New Freedom Type Projects</td>
<td>26</td>
</tr>
<tr>
<td><strong>O. Co-Designated Recipient Program Management</strong></td>
<td>26</td>
</tr>
<tr>
<td>1. Procurement</td>
<td>26</td>
</tr>
<tr>
<td>2. Financial Management and Accounting Systems</td>
<td>27</td>
</tr>
<tr>
<td>3. Property Management / Asset Management</td>
<td>27</td>
</tr>
<tr>
<td>4. Vehicle Use, Maintenance, and Disposition</td>
<td>27</td>
</tr>
<tr>
<td>5. Audits, Reviews, and Reporting</td>
<td>28</td>
</tr>
<tr>
<td>6. Close-Out Procedures</td>
<td>28</td>
</tr>
<tr>
<td><strong>P. PMP Revisions</strong></td>
<td>29</td>
</tr>
<tr>
<td><strong>Attachments</strong></td>
<td>30</td>
</tr>
<tr>
<td>Attachment 1 – Map of St. Louis, MO-IL UZA</td>
<td></td>
</tr>
<tr>
<td>Attachment 2 – MOU between Co-Designated Recipients</td>
<td></td>
</tr>
<tr>
<td>Attachment 3 – St. Louis, MO-IL UZA Section 5310 Workbook &amp; Application</td>
<td></td>
</tr>
<tr>
<td>Attachment 4 – IDOT Consolidated Vehicle Procurement Program Application</td>
<td></td>
</tr>
</tbody>
</table>
Contact Information

Questions regarding this Program Management Plan or the Section 5310 Program in the St. Louis, MO-IL UZA should be directed to:

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Acronyms & Terms

The acronyms and terms used in this Program Management Plan are defined below.

**ADA** is the Americans with Disabilities Act of 1990 (42 USC § 12101 et seq.).

**BSD** is the Bi-State Development Agency of the Missouri-Illinois Metropolitan District.

**Board of Directors** is East-West Gateway Council of Governments’ Board of Directors.


**CHSTP** is the St. Louis Metropolitan Area’s Coordinated Human Services Transportation Plan.  

**Council** is East-West Gateway Council of Governments.

**CVP** is Consolidated Vehicle Procurement.

**CVP Program** is the Illinois Department of Transportation’s Consolidated Vehicle Procurement Program.

**CVP Application** is the Illinois Department of Transportation’s CVP Program Rolling Stock Capital Assistance Application.

**DBE** is disadvantaged business enterprise.

**DOT** is the U.S. Department of Transportation.

**DPIT** is the Illinois Department of Transportation’s Division of Public and Intermodal Transportation.

**EAC** is East-West Gateway Council of Government’s Executive Advisory Committee.

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1 The CHSTP can be found on the Council’s website at: [www.ewgateway.org/CHSTP/chstp.htm](http://www.ewgateway.org/CHSTP/chstp.htm)
FAST Act is the Fixing America’s Surface Transportation Act, Pub.L. 114-94.

FTA is the Federal Transit Administration.

FY is fiscal year.

HSTP is Human Services Transportation Plan.

IDOT is the Illinois Department of Transportation.

JARC is Job Access and Reverse Commute.

LEP is limited English proficiency.

MAP-21 is the Moving Ahead for Progress in the 21st Century Act, Pub. L. 112-141.

MoDOT is the Missouri Department of Transportation.

MOU is memorandum of understanding.

MPO is metropolitan planning organization.

PIP is Public Involvement Plan.

PMP is the Program Management Plan for Section 5310 in the St. Louis, MO-IL UZA.

POP is Program of Projects.


St. Louis, IL UZA is the Illinois portion of the St. Louis Urbanized Area.

St. Louis, MO UZA is the Missouri portion of the St. Louis Urbanized Area.

St. Louis, MO-IL UZA is the combined Missouri / Illinois St. Louis Urbanized Area.

St. Louis Region is the St. Louis metropolitan area that is served by East-West Gateway Council of Governments, which includes: the City of St. Louis, Franklin County, Jefferson County, St. Charles County, and St. Louis County in Missouri and Madison County, Monroe County, and St. Clair County in Illinois.

St. Louis Urbanized Area is the urbanized area for the St. Louis metropolitan area as the urbanized area is defined by DOT / FTA and covers geographical areas in both Missouri and Illinois.
Section 5310 is FTA’s Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program under 49 USC § 5310, as it may be updated from time-to-time.

Section 5310 Circular is the FTA Circular 9070.1G – Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions, dated June 6, 2014, as it may be updated from time-to-time.  

SMP is State Management Plan.

TIP is the Transportation Improvement Program.

TPC is East-West Gateway Council of Governments’ Transportation Planning Committee.

USC is United States Code.

UZA is urbanized area.

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3 MoDOT’s SMP can be found on its website at: [www.modot.org/othertransportation/transit/transitapplicationsreportsprograms.htm](http://www.modot.org/othertransportation/transit/transitapplicationsreportsprograms.htm). IDOT’s SMP is currently being updated and is not yet available on-line.
A. Introduction

This PMP describes regional policies and procedures for administering Section 5310 in the St. Louis, MO-IL UZA. This PMP was developed in accordance with the current Federal transit laws, regulations, and guidance. The Council is responsible for developing the PMP and for ensuring that the PMP is included in the CHSTP.

This PMP facilitates the designated recipients’ management and administration of Section 5310 in accordance with federal requirements, serves as a Section 5310 guide to the general public and prospective applicants, and will assist FTA in its oversight responsibilities by documenting the procedures and policies for administering the program.

B. Background Information

1. Governing Statutes and Guidance

Section 5310 is governed by federal transportation statutes. FTA is the federal entity responsible for administering and overseeing Section 5310 for DOT. In its oversight role, on June 6, 2014 FTA issued the Section 5310 Circular. This circular governs Section 5310 and serves as the guiding document for this PMP. Many of the terms used in this PMP are defined in the Section 5310 Circular. Throughout the duration of Section 5310, the U.S. Congress may adopt new statutes and DOT or FTA may issue new or updated guidance, circulars, rules, or regulations. The Council will update this PMP to reflect any new requirements for Section 5310. The Council will ensure that any revisions to this PMP are made available in writing and are sent to all Section 5310 sub-recipients; revisions are discussed in more detail in Section P.

2. Section 5310 Information

(a) Overview

Section 5310 provides funding to help improve mobility for seniors and individuals with disabilities by removing barriers to transportation services and expanding the available transportation mobility options. The program provides grant funds for capital and operating expenses to recipients for:

- 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.
- Public transportation projects that exceed the requirements of the ADA.

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4 In 2012, MAP-21 made significant changes to Section 5310 (see MAP-21 § 20009). The 2015 FAST Act, continued Section 5310 with minor changes (see FAST Act § 3006).
• Public transportation projects that improve access to fixed-route service and decrease reliance on complementary paratransit.
• Alternatives to public transportation projects that assist seniors and individuals with disabilities with transportation.

(b) St. Louis, MO-IL UZA Geographic Extent

For purposes of Section 5310 funding in the St. Louis, MO-IL UZA, the geographic area that is included in the UZA will be determined by FTA. For illustrative purposes, a map of the current geographical area of the St. Louis, MO-IL UZA is provided in Attachment 1. The area on the map that is colored yellow represents the St. Louis, MO-IL UZA.

The current St. Louis, MO-IL UZA does not include every location within the St. Louis Region. There are three geographic areas within the St. Louis Region that are not included in the St. Louis, MO-IL UZA: rural areas, urban clusters, and small urbanized areas.6

(c) Rural Areas, Urban Clusters, and Small Urbanized Areas

(i) PMP

Section 5310 projects in the rural areas, urban clusters, and small urbanized areas are only governed by this PMP if the project serves or benefits the St. Louis, MO-IL UZA and the project applicant applies for funding using the processes described in this PMP. A Section 5310 project that is in a rural area, an urban cluster, or a small urbanized area and does not serve or benefit the St. Louis, MO-IL UZA will be administered by MoDOT (for Missouri projects) or IDOT (for Illinois projects) and project applicants must follow the application process provided by MoDOT or IDOT. These types of projects will also be governed by MoDOT or IDOT’s SMP and will not be governed by this PMP.

(ii) CHSTP

The CHSTP applies to only certain Section 5310 projects. The CHSTP applies to any Section 5310 project in the Missouri portion of the St. Louis Region even if that project is in a rural area, an urban cluster, or a small urbanized area. This is because the CHSTP governs any Section 5310 project within the Missouri portion of the Council’s planning area. The Council’s planning area encompasses five counties in the Missouri portion of the St. Louis Region, including: the City of St. Louis, Franklin County, Jefferson County, St. Charles County, and St. Louis County.

In the Illinois portion of the St. Louis Region, the CHSTP only applies to those Section 5310 projects within the UZA and the small urbanized areas located in the Illinois portion of the Council’s planning area. The CHSTP does not apply to Section 5310 projects in the rural areas or the urban clusters in the Illinois portion of the Council’s planning area. The Council’s planning area encompasses three counties in the Illinois portion of the St. Louis Region, including: Madison County, Monroe County, and St. Clair

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6 In Attachment 1 these areas are denoted by the following colors: rural areas – white; urban clusters – purple; and small urbanized areas – green.
County. For the rural areas and urban clusters in Madison County, the Section 5310 projects are
governed by Region 9’s HSTP. For the rural areas and urban clusters in Monroe and St. Clair counties,
the Section 5310 projects are governed by Region 11’s HSTP.7

(d) Section 5310 Co-Designated Recipients

Pursuant to the federal transportation legislation, the governor of each state or an official designee
must designate a public entity to be the recipient for Section 5310 funds. The governors of the States of
Missouri and Illinois have designated the Council, IDOT, BSD, and MoDOT as the co-designated
recipients (also referred to as “co-designee(s)”) for Section 5310 in the St. Louis, MO-IL UZA. Each co-
designee is briefly described below.8

The Council: The Council is the MPO for the bi-state, eight county St. Louis Region. The Council’s service
area includes: the City of St. Louis, Franklin County, Jefferson County, St. Charles County, and St. Louis
County in Missouri and Madison County, Monroe County, and St. Clair County in Illinois. As the MPO for
the St. Louis Region, the Council is responsible for developing and adopting plans for the St. Louis
Region’s surface transportation system. The Council is governed by a twenty-nine member Board of
Directors that is comprised of local government representatives and citizens from across the St. Louis
Region. The Board also includes representatives from IDOT, BSD, and MoDOT. As a council of
governments, the Council’s membership includes many cities and counties within the St. Louis Region.

IDOT: IDOT is responsible for the State of Illinois’ transportation system. IDOT conducts the planning,
construction, operation, and maintenance of Illinois’ highways, bridges, airports, public transit, rail
freight, and rail passenger systems. DPIT has a long history of administering Section 5310 funds
statewide through the CVP Program, and remains the agency responsible for the management of
Section 5310 Traditional projects through the CVP Program in the St. Louis, IL UZA. DPIT designated 11
HSTP rural regions and eight regional coordinators to assist with the development of local HSTPs and
Section 5310. Madison County, Illinois is included in HSTP Region 9, and Monroe and St. Clair counties
in Illinois are included in HSTP Region 11.

BSD: BSD owns and operates the St. Louis Region’s public transportation system (known as “Metro”),
and provides service in St. Louis City, and portions of St. Louis County in Missouri and St. Clair County in
Illinois. The Metro system includes MetroLink light rail, MetroBus regional bus, and Metro Call-A-Ride
paratransit service. Additionally, BSD owns and operates the St. Louis Downtown Airport and Gateway
Arch Riverboats, and oversees the operation of the Gateway Arch trams. BSD is governed by a ten
member Board, with membership comprised of an equal number of representatives from both Missouri
and Illinois.

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7 For more information about the HSTP regions in Illinois and these regions’ HSTPs, see sihstp.blogspot.com. Questions
regarding the CHSTP and its applicability to a particular applicant, service provider, project, etc. please contact the Council’s
point of contact listed on page 5.

8 More information about the co-designees can be found on each entity’s websites at:
www.ewgateway.org/AboutUs/aboutus.htm; www.dot.state.il.us/about-idot/index; www.bistatedev.org/about-us/; and
www.modot.org/about/.
MoDOT: MoDOT is responsible for the State of Missouri’s transportation system. MoDOT designs, builds, and maintains Missouri’s roads and bridges. MoDOT also administers motor carrier and highway safety programs. It also works to improve airports, river ports, railroads, public transit systems, and pedestrian and bicycle travel. MoDOT’s Transit Section provides financial and technical assistance to public transit and specialized mobility providers statewide. MoDOT is governed by the Missouri Highways and Transportation Commission, which is a six member board that is appointed by Missouri’s governor.

3. MAP-21 and Open Grants for JARC / New Freedom Projects

MAP-21 made several changes to Section 5310 that existed under SAFETEA-LU. MAP-21 repealed the New Freedom program (49 USC § 5317) and merged the New Freedom program into Section 5310. As a result, activities eligible under the New Freedom program are now eligible under Section 5310, and, consistent with Section 5317, funds are apportioned among large urbanized areas, small urbanized areas, and rural areas. MAP-21 also repealed the JARC program. Under MAP-21, JARC activities are eligible under the Urbanized Area Formula Grants (49 USC § 5307) and the Rural Area Formula Grants (49 USC § 5311). BSD is the designated recipient of the Urbanized Area Formula Grant for the St. Louis, MO-IL UZA. MoDOT and IDOT are the designated recipients of the Rural Area Formula Grants for the States of Missouri and Illinois, respectively.

In accordance with current FTA guidelines, IDOT, BSD, and MoDOT will continue to monitor the open grants for the JARC and New Freedom projects that were funded prior to MAP-21 (i.e. JARC and New Freedom projects funded in the St. Louis, MO-IL UZA with FY 2006 through FY 2012 apportionments) and the Council will continue to fulfill its program management role with regard to these open grants. These open grants will continue to be governed and monitored under the requirements of SAFETEA-LU until the grants are closed-out. The open grants for these JARC and New Freedom projects will also continue to be administered as delineated in the July 2012 JARC and New Freedom Program Management Plan.  

C. Program Goals & Objectives

As the co-designees of Section 5310 funds, the Council, IDOT, BSD, and MoDOT share the goal of fully supporting Section 5310 by providing local agencies opportunities to participate in this program throughout the St. Louis, MO-IL UZA. The following strategies from the 2016 CHSTP summarize the goals and objectives for providing transportation services to seniors and people with disabilities in the St. Louis, MO-IL UZA:

- **Sustain Existing Services** – Focus investment to maintain existing services where there are continued needs.
- **Enhanced Services** – Improve the usability of existing services through new technologies, innovative programs, and expanded access.

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• **Education and Outreach** – Increase ridership by expanding education on available transportation options.
• **Coordination** – Reduce inefficiencies and service overlaps by improving communication among agencies through new technologies and coordinated services.
• **Independence** – Encourage independent and safe travel through the maintenance of transit supportive infrastructure and improved security and accessibility.

**D. Roles & Responsibilities**

The co-designated recipients have entered into an MOU that defines the roles and responsibilities of the each entity with respect to Section 5310. A copy of this MOU can be found in Attachment 2. For purposes of Section 5310 in the St. Louis, MO-IL UZA there are generally two types of projects: *Section 5310 Traditional projects* and *New Freedom Type projects* and each co-designee has a role and responsibility as it relates to each project type.\(^\text{10}\) A brief description of the roles and responsibilities of the co-designees is provided below.

**The Council:** The Council fulfills a program management role as it pertains to the overall Section 5310 funding. The Council’s responsibilities include developing and updating the PMP and the CHSTP, as well as the Master POP for the St. Louis, MO-IL UZA. The Council is also responsible for allocating the Section 5310 funding between the co-designees and for filing the annual certifications with FTA (both Regions V and VII). The Council is responsible for developing the Section 5310 application and conducting the project selection process for: the Section 5310 Traditional projects in the St. Louis, MO UZA and New Freedom Type projects in the St. Louis, MO-IL UZA. The Council will not have any sub-recipients or be responsible for providing oversight for any particular Section 5310 projects.

**IDOT:** IDOT fulfills a project administration role as it pertains to IDOT’s Section 5310 projects and to projects implemented by IDOT’s sub-recipients. For the Section 5310 Traditional projects in the St. Louis, IL UZA, IDOT is responsible for developing the Section 5310 application and conducting the project selection process. IDOT is responsible for providing project oversight for the Section 5310 Traditional projects in the St. Louis, IL UZA, to include project monitoring and project close-out. If applicable, IDOT may also provide project oversight for Section 5310 Traditional projects if those projects are eligible and performed by one of IDOT’s sub-recipients (e.g. dispatch systems).

**BSD:** BSD fulfills a project administration role as it pertains to BSD’s Section 5310 projects and to projects implemented by BSD’s sub-recipients. BSD is responsible for providing project oversight for the New Freedom Type projects in the St. Louis, MO-IL UZA, to include project monitoring and project close-out. If applicable, BSD may also provide project oversight for Section 5310 Traditional projects if those projects are eligible and performed by one of BSD’s sub-recipients (e.g. dispatch systems).

**MoDOT:** MoDOT fulfills a project administration role as it pertains to MoDOT’s Section 5310 projects and to projects implemented by MoDOT’s sub-recipients. MoDOT is responsible for providing project oversight for the Section 5310 Traditional projects in the St. Louis, MO UZA, to include project monitoring and project close-out.

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\(^{10}\) See 5310 Circular, Chapter III, pp. III-9 through III-15 for a more detailed description of the project types.
A more detailed list of the roles and responsibilities is provided in the table below.

<table>
<thead>
<tr>
<th>Responsibilities¹</th>
<th>Co-Designee Agency Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td>5310 Traditional Projects</td>
<td>New Freedom Type Projects</td>
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<tr>
<td>a. Document the State or designated recipient's procedures in a State Management Plan (&quot;SMP&quot;) or Program Management Plan (&quot;PMP&quot;)</td>
<td>PMP -- The Council / SMP -- IDOT / MoDOT; both to coordinate with the Council for SMP</td>
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<td>b. Plan for future transportation needs, and ensures integration and coordination among diverse transportation modes and providers</td>
<td>The Council</td>
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<td>c. Develop project selection criteria consistent with the coordinated planning process</td>
<td>The Council / IDOT</td>
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<td>d. Notify eligible local entities of funding availability</td>
<td>The Council / IDOT</td>
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<td>e. Solicit applications from potential subrecipients</td>
<td>The Council / IDOT</td>
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<tr>
<td>f. Determine applicant and project eligibility</td>
<td>The Council / IDOT / MoDOT</td>
</tr>
<tr>
<td>g. Certify that allocations of funds to subrecipients are made on a fair and equitable basis</td>
<td>The Council / IDOT</td>
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<tr>
<td>h. Submit an annual POP and grant application to FTA</td>
<td>The Council (Master POP only) / IDOT and MoDOT</td>
</tr>
<tr>
<td>i. Ensure subrecipients comply with Federal requirements</td>
<td>The Council / IDOT</td>
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<td>j. Certify that all project are included in a locally developed, coordinated public transit-human services transportation plan developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human service providers, and other members of the public</td>
<td>The Council / IDOT</td>
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<tr>
<td>k. Certify that to the maximum extent feasible, services funded under Section 5310 are coordinated with transportation services assisted by other Federal departments and agencies</td>
<td>The Council / IDOT</td>
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<td>l. Ensure that at least 55 percent of the area's apportionment is used for traditional Section 5310 projects carried out by the eligible subrecipients as described in section 5 of Chapter III</td>
<td>The Council as it pertains to the allocation for 5310 Traditional projects; each of IDOT and MoDOT is responsible for monitoring its own subrecipients</td>
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<td>m. Oversee project audit and closeout</td>
<td>IDOT / MoDOT</td>
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</tbody>
</table>

¹The responsibilities listed in the table are those that are described in FTA Circular 9070.1G dated 6/6/2014 on page II-4, #4 (a) - (m).
E. Coordination

1. Overview

The federal transportation legislation governing Section 5310 requires that projects selected for Section 5310 funding be “included in a locally developed, coordinated public transit-human services transportation plan.” FTA requires the CHSTP to be updated every four years. The CHSTP, originally developed in 2008, was updated and approved by the Board of Directors in July 2012, and again in June 2016. The CHSTP that was adopted in June 2016 will govern Section 5310 in the St. Louis, MO-IL UZA until the CHSTP is updated in 2020.11

The co-designees also ensure coordination by requiring that Section 5310 applicants demonstrate that each has coordinated with local transit providers. As part of the application process, applicants are required to specify how they presently coordinate transportation or transportation-related activities with other agencies and how they plan to coordinate in the future under the proposed project. An applicant’s level of coordination is then taken into account during the application evaluation process.

2. Coordination History

To aid in the development of the 2008, 2012, and 2016 CHSTPs, the Council led a collaborative planning effort to identify and recommend regional and local strategies that enhance mobility for the St. Louis Region’s older adults, persons with disabilities, and persons with low incomes. A CHSTP Stakeholder Committee was formed, which included representation from public, private, and non-profit transportation providers and human service agencies. The planning effort captured the stakeholder discussions and developed the framework for selecting projects through the Section 5310, JARC, and New Freedom programs. The objectives of the CHSTP were to retain the St. Louis Region’s eligibility to receive federal funding and to address the needs of human services transportation users and providers. The St. Louis, MO-IL UZA has accomplished both of these objectives.

F. Eligible Sub-Recipients

1. Overview

The co-designees will determine a sub-recipient’s eligibility to receive Section 5310 funding in accordance with FTA requirements.12 Additionally, in order to be deemed eligible to receive Section 5310 funding, the sub-recipient’s project must serve or benefit the St. Louis, MO-IL UZA. The Council and IDOT will determine a sub-recipient’s eligibility during the application process that is conducted by each entity. A more detailed description of the eligibility requirements for each Section 5310 project type is provided below.

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11As stated in Section B, Part #2(c)(ii), the CHSTP governs certain portions of the Council’s planning area, which means that not every Section 5310 project that is awarded funding in the St. Louis Region is governed by the CHSTP. Please refer to Section B, Part #2(c)(ii) for more information.
12See 5310 Circular, Chapter III, Parts #5 & 6, page III-4 through III-6 for the definition of key terms.
2. **Section 5310 Traditional Projects**

Eligible sub-recipients of Section 5310 Traditional projects (i.e., paratransit vehicle acquisition) include private non-profit organizations and state or local government authorities. State or local government authorities must be either approved by a state to coordinate services for seniors and individuals with disabilities or must certify that there are no non-profit organizations readily available in the area to provide the service.

3. **New Freedom Type Projects**

Eligible sub-recipients for the New Freedom Type projects include private non-profit organizations, state or local government authorities, or operators of public transportation (including private operators and taxicab programs).

Private taxi companies that provide shared-ride taxi service to the general public on a regular basis are operators of public transportation, and are, therefore, eligible sub-recipients. Similar to general public and ADA demand response service, every trip does not have to be a shared-ride in order for a taxi company to be considered a shared-ride operator, but the general nature of this service must include shared rides. Taxi companies that provide only exclusive-ride service are not eligible sub-recipients; however, they may participate in Section 5310 as contractors. Exclusive-ride taxi companies may receive Section 5310 funds to purchase accessible taxis under contract with an eligible sub-recipient such as a local government or non-profit organization.

### G. Local Share & Local Funding Requirements

Section 5310 funds can be used to support a portion of the net costs of a capital, mobility management, or operating project. Sub-recipients must also provide local match funds to support the net costs of a Section 5310 project. The table below provides a summary of the proportion of federal and local funds that must be used to support the net costs of a Section 5310 project.

<table>
<thead>
<tr>
<th></th>
<th>Capital &amp; Mobility Management Projects</th>
<th>Operating Projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section 5310 Federal Funds</td>
<td>Up to 80%</td>
<td>Up to 50%</td>
</tr>
<tr>
<td>Local Match Funds</td>
<td>Up to 20%</td>
<td>Up to 50%</td>
</tr>
</tbody>
</table>

All of the local match must be provided from sources other than federal DOT funds. The source(s) of the local match must be identified in the Section 5310 application, and applicants must certify that the entity has sufficient funds available to pay the non-federal share of project expenditures.
Examples of local match sources include:

- State or local appropriations
- Dedicated tax revenues
- Private donations
- Revenue from service contracts
- Transportation development credits
- Net income generated from advertising and concessions

Except as noted below, non-cash share is eligible to be counted toward the local match as long as the value of each is documented and supported, represents a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget. Farebox revenue may not be used as local match. Farebox revenue is considered income and is deducted from the total operating cost to determine the net cost of the activity.

Examples of non-cash match include:

- Donations
- Transportation development credits
- Volunteered services
- In-kind contributions

**Exception.** In the St. Louis, MO UZA, non-cash match for Section 5310 Traditional projects (i.e. capital vehicles) is not permitted. For these types of projects, the local match must be in cash from non-DOT sources.

**H. Project Selection Criteria & Method of Distributing Funds**

1. **Project Selection Criteria and Application Process**

As stated in Section D, in the St. Louis, MO-IL UZA, two of the co-designees are responsible for developing selection criteria and conducting the application process for Section 5310 projects. In the St. Louis, MO UZA for Section 5310 Traditional projects and in the St. Louis, MO-IL UZA for New Freedom Type projects, the Council is responsible for developing the selection criteria and conducting the application process. In the St. Louis, IL UZA for Section 5310 Traditional projects, IDOT is responsible for developing the selection criteria and conducting the application process. Both the Council and IDOT utilize a competitive selection process to award funds to Section 5310 projects. The process that the Council and IDOT use to develop the criteria and conduct the application process is described in more detail below.

13 Transportation development credits and the eligibility requirements are defined in 23 U.S.C. § 120 (j) (see MAP-21 § 1508 and FAST Act § 1408).
(a) The Council

The Council’s set of selection criteria was developed by the CHSTP Stakeholder Committee. The purpose of these criteria is to serve as the framework for the evaluation of projects submitted to the Council. The intent of the selection criteria is to support the adopted strategies identified in the CHSTP, and to fund projects that are consistent with the regional policies found in the St. Louis Metropolitan Area’s current long-range transportation plan.\(^{14}\) It is also the intent of these criteria to prioritize and implement the most financially sound, coordinated, and effective mobility transportation projects in the St. Louis, MO-IL UZA.

For a project to be considered for Section 5310 Traditional funding in the St. Louis MO, UZA and New Freedom Type funding in the St. Louis, MO-IL UZA, the Council uses the following minimum requirements:

- The project applicant / sponsor must meet the sub-recipient criteria as defined in the Section 5310 Circular.
- The proposed project must be eligible for Section 5310 funding under FTA guidelines.
- The proposed project must serve the target population – seniors and/or individuals with disabilities.
- The proposed project must be non-duplicative.
- The proposed project must identify one or more local funding source and provide evidence that the source(s) are committed to supplying the necessary local match for the project.
- The proposed project must meet one of the strategies identified in the CHSTP.

The Council scores St. Louis, MO UZA Section 5310 Traditional projects and St. Louis, MO-IL UZA New Freedom Type projects according to the criteria listed below.

- **Responsiveness to CHSTP Gaps and Strategies (25 points):** applicant’s responsiveness in addressing the gaps identified in the CHSTP, how many strategies the project addresses, and how well the project responds to the strategies in the CHSTP.
- **Sponsor Experience and Management (25 points):** applicant’s experience in managing transportation services for seniors and/or individuals with disabilities, availability of sufficient management, staff, and resources to implement project, stability of local match funding sources, history of managing federal transportation projects, and ability to sustain project after initial grant funding is expended.
- **Coordination among Agencies (20 points):** coordination efforts and demonstrated partnerships with other local agencies to address gaps and avoid duplicated services.
- **Benefits to Target Population (20 points):** estimated number of seniors and/or individuals with disabilities that the project will benefit, improved benefits to target population over time for existing projects, or estimated benefit to target population to be achieved for new projects, and project serves more than one jurisdiction.

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\(^{14}\) The St. Louis Metropolitan Area’s current long-range transportation plan, *Connected2045*, can be found on the Council’s website at: [www.ewgateway.org/trans/longrgplan/longrgplan.htm](http://www.ewgateway.org/trans/longrgplan/longrgplan.htm).
• **Project Budget (5 points)**: how efficiently the project provides benefits to the users (cost per customer served).

• **Marketing and Promotion (5 points)**: how the sponsor markets the transportation service and promotes awareness to the target population.

The Council leads the application process for Section 5310 Traditional projects in the St. Louis, MO UZA and New Freedom Type projects in the St. Louis, MO-IL UZA. The Council’s application process is conducted as follows:

• The Council initiates a call for projects by issuing a Section 5310 workbook and application. This workbook describes the application process, project and sub-recipient eligibility, the selection criteria, relevant deadlines, and the amount of available funding. The Council emails the workbook and application to all known eligible applicants throughout the St. Louis, MO-IL UZA. The workbook and application is also posted on the Council’s website, and a notice about the call for projects is included in the Council’s Local Government Briefings which has 1,700 subscribers. A copy of the 2017 Section 5310 workbook is included in Attachment 3.

• During each project solicitation round, the Council conducts an informational workshop. At this workshop, Council staff provides information to attendees about Section 5310 and requirements, the application and deadlines, and the competitive selection process. The Council invites representatives from IDOT, BSD, and MoDOT, as well as potential applicants, such as Section 5310 Traditional and New Freedom providers, all known transit providers in the St. Louis, MO-IL UZA, and human service agencies. Additionally, the Council posts information about the workshop on its website and includes a notice in the Council’s Local Government Briefings.

• The Council provides potential applicants with Council staff contact information so that applicants may receive technical assistance with the application or obtain information on Section 5310.

• The applicants submit completed applications to the Council.

• The Council uses a competitive selection process to evaluate and rank the Section 5310 Traditional projects in the St. Louis, MO UZA and New Freedom Type projects in the St. Louis, MO-IL UZA. During this process, the Council uses the project selection criteria that were developed based on federal requirements, the strategies described in the CHSTP, and in accordance with input from the CHSTP Stakeholder Committee.

• After the selection process is concluded, the Council follows the approval process described in Section I.

(b) **IDOT**

IDOT is responsible for the project selection criteria for Section 5310 Traditional projects in the St. Louis, IL UZA. IDOT’s scoring criteria is summarized below and can be found in the CVP Application, Section I-C.\(^\text{15}\)

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\(^\text{15}\) The criteria described in this Section are included in the 2016 CVP Application. It is possible that IDOT will update the criteria from time-to-time. To obtain the most up-to-date list of the criteria any applicants should refer to the current CVP Application.
• **Level of Existing Services (4 points):** availability of service on a daily and weekly basis.
• **Equipment Utilization (4 points):** the amount of demonstrated use vehicles receive or will receive.
• **Asset Maintenance (4 points):** ability to preserve and maintain vehicles throughout their useful life.
• **Management Capacity (4 points):** ability to manage and administer an effective transportation program from financial planning and staff training perspectives.
• **Coordination Efforts (4 points):** willingness and ability to coordinate with other service providers at a local and/or regional level.

As the co-designated recipient responsible for the Section 5310 Traditional projects in the St. Louis, IL UZA, IDOT conducts a separate call for projects and competitive selection process. IDOT’s application process is conducted as follows:

• IDOT initiates a call for projects by issuing a CVP Application. The CVP Application describes the submission requirements, application review process, scoring criteria, award timeline, coordination requirements, and information on two non-mandatory application informational meetings. IDOT emails the CVP Application to all known eligible applicants throughout the State of Illinois. The HSTP regional coordinator and the Council disseminate information to local applicants about the CVP Program solicitation. IDOT posts the CVP Application on its website. A copy of the calendar year 2016 CVP Application is included in Attachment 4.
• During each CVP Program solicitation round, IDOT holds two non-mandatory application informational meetings, which are held in Chicago, IL and Springfield, IL. At these meetings, IDOT staff provides information on the CVP Program, application and deadlines, scoring process, coordination requirements, and submission process. IDOT invites CVP Program providers and all known transit providers throughout the State of Illinois.
• IDOT, the HSTP regional coordinator, and the Council provide technical assistance to individual applicants on the CVP Application process.
• The applicants submit completed applications to IDOT. If the applicant provides their service in the St. Louis, IL UZA, the applicant must also submit a copy of the application to the Council.
• During the Council’s review of the CVP Applications, the Council determines if the project is derived from the CHSTP planning process. If the project is derived from the CHSTP process and addresses one or more of the strategies identified in the CHSTP, the Council then endorses the application for evaluation by DPIT staff. Likewise, if the project is not derived from the CHSTP process, the Council will not endorse the application for evaluation.
• IDOT uses a competitive selection process for the evaluation and ranking of the CVP Program projects in the St. Louis, IL UZA. The proposed awards package is then assembled, and the awards are announced to the Council and sub-recipients.

2. **Method of Distributing Funds**

In the St. Louis, MO-IL UZA, Section 5310 funds are allocated between the co-designees based upon the formula described in Appendix II of the MOU (see Attachment 2). The Council will use this formula to

Also, note that the CVP Application includes multiple appendices which are not included as part of this PMP. Please contact DPIT at 312-793-2184 to obtain a copy of the full application.
determine what proportion of the available funding will be distributed to each of IDOT, BSD, and MoDOT.

In general, Section 5310 funds will be divided using a four step process, as follows:

- First, the funds are divided between the Missouri and Illinois portions of the St. Louis, MO-IL UZA based upon the percentage of seniors and individuals with disabilities that live in the geographic areas. The percentage of seniors and individuals with disabilities is calculated by the Council using the same data that FTA uses to apportion Section 5310 funding to all UZAs (currently the American Community Survey data collected by the U.S. Census Bureau).
- Second, the funds that are allocated to each state are divided between the project types; with up to 60% of each of Missouri’s and Illinois’ apportionment devoted to Section 5310 Traditional projects and up to 40% devoted to New Freedom Type projects.
- Third, the project type allocations are divided between the co-designees based upon each co-designee’s roles and responsibilities. IDOT will be allocated funds for the Section 5310 Traditional projects in the St. Louis, IL UZA, BSD will be allocated funds for all New Freedom Type projects in the St. Louis, MO-IL UZA, and MoDOT will be allocated funds for the Section 5310 projects in the St. Louis, MO UZA.
- Fourth, up to 10% of each of IDOT’s, BSD’s, and MoDOT’s funding allocation is devoted to program administration costs. The Council will receive its program administration funds from BSD; 3% of BSD’s program administration funds will be provided to the Council to cover the Council’s costs.

Based on the formula, an example of the allocations of Section 5310 funding for the St. Louis, MO-IL UZA for FY 2016 is as follows:

<table>
<thead>
<tr>
<th>State</th>
<th>$ Allocated By Project Type</th>
<th>Total $ for Program Administration</th>
<th>Total $ For Projects</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5310 Traditional</td>
<td>New Freedom Type</td>
<td>Total</td>
</tr>
<tr>
<td>Missouri</td>
<td>$937,779.38</td>
<td>$625,186.25</td>
<td>$1,562,965.63</td>
</tr>
<tr>
<td>Illinois</td>
<td>$196,585.42</td>
<td>$131,056.95</td>
<td>$327,642.37</td>
</tr>
<tr>
<td>Total</td>
<td>$1,134,364.80</td>
<td>$756,243.20</td>
<td>$1,890,608.00</td>
</tr>
</tbody>
</table>

The final allocations to project types or co-designees may change based upon the applications received and the co-designees’ responsibility to ensure that funds are obligated to Section 5310 Traditional projects in an amount that meets the 55% minimum that is required by statute. See Part C of Appendix II (pg. 3 of 6) in Attachment 2 (MOU) for a description of the exception to the funding allocation.
I. Annual Program of Projects Development & Approval Process

1. General

FTA requires that all Section 5310 projects be included in a POP. The Council is responsible for developing the Master POP for the St. Louis, MO-IL UZA. The Master POP is a consolidated program of projects for the entire UZA and will include: IDOT’s approved Section 5310 Traditional Projects; BSD’s approved New Freedom Type projects; and MoDOT’s approved Section 5310 Traditional projects. As described in Section H, Part #1, the Council and IDOT conduct separate application and project selection processes, which require the Council to develop the Master POP in two stages: draft Master POP and final Master POP. The Council will include in its TIP all Section 5310 projects in the St. Louis, MO-IL UZA that are selected for funding. The Master POP will not be considered a “final” document until both the Council and IDOT complete the application and project selection process and all Section 5310 projects have been approved and included in the Master POP.

After all stages of the Master POP development and approval process, the Council will provide a copy of the final Master POP to FTA (both Regions V and VII). A more detailed description of the Master POP development and approval process is provided below.

2. Draft Master POP

The Council will develop the draft Master POP when the application and project selection process is completed for the Section 5310 Traditional projects in the St. Louis, MO UZA and the New Freedom Type projects in the St. Louis, MO-IL UZA. The draft Master POP will include the projects approved by the Board of Directors: (a) the Section 5310 Traditional projects in the St. Louis, MO UZA that will be administered by MoDOT; and (b) the New Freedom Type projects in the St. Louis, MO-IL UZA that will be administered by BSD.

Each of the Section 5310 projects in the St. Louis, MO-IL UZA that are described in the draft Master POP will be included in the Council’s TIP, either during the TIP development process or through the TIP amendment process. There are three groups that are involved in the TIP approval process: the TPC, the EAC, and the Board of Directors. The TPC provides specific guidance in the preparation of the St. Louis Region’s TIP and advises the Council on the selection of projects for implementation. The EAC assists in coordinating the planning of the Council’s approved programs and makes recommendations to the Board of Directors. The Board of Directors is the decision making body for the Council and is described in more detail in Section B, Part #2(d). In addition to the TPC, EAC, and Board of Directors’ roles in the TIP approval process, the public is provided the opportunity to review and provide comments on the TIP during the comment period. The Council will conduct the public comment process.

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17 The TIP is a financial and implementation schedule for all projects receiving federal funding in the St. Louis Region, and projects approved in the TIP are consistent with the St. Louis Metropolitan Area’s current long-range transportation plan. More information about the Council’s TIP process can be found on the Council’s website at: www.ewgateway.org/trans/tip/tip.htm.

18 The draft Master POP is for the Section 5310 Traditional projects in the St. Louis, MO UZA and the New Freedom Type projects in the St. Louis, MO-IL UZA. IDOT conducts a separate process for the Section 5310 Traditional projects in the St. Louis, IL UZA; therefore, the draft Master POP does not include IDOT’s projects. Please refer Section H, Part #2 and to the CVP Application for a description of IDOT’s project selection process.
in accordance with its PIP,\textsuperscript{19} which will include public notices, open houses, and a web-based comment form. During the public comment period, the Council will also place the TIP on its website. After the final TIP is adopted by the Board of Directors, the Council’s staff will send the draft Master POP to FTA (both Regions V and VII).

3. \textit{Master POP Updates}

The Council will update the Master POP after IDOT has selected the Section 5310 Traditional projects for the St. Louis, IL UZA.\textsuperscript{20} After IDOT’s application and project selection process is completed, IDOT will provide the Council a list of approved Section 5310 Traditional projects for the St. Louis, IL UZA. The Council will include these projects in or amend these projects into the TIP and update the Master POP to include IDOT’s approved projects. The TIP amendment will be approved by the EAC and Board of Directors. After the EAC and Board of Directors have approved the TIP or TIP amendment, as necessary, the Council’s staff will include these projects in the Master POP and send the updated Master POP to FTA (both Regions V and VII), as needed.

\textbf{J. Administration, Planning & Technical Assistance}

Based upon the federal transportation legislation and FTA guidelines, designated recipients of Section 5310 funding may utilize up to 10% of each annual apportionment to support program administrative costs including administration, planning, and technical assistance (these funds are referred to as “program administration funds”). This activity may be funded entirely by federal funds and does not require local match. In the St. Louis, MO-IL UZA the program administration funds will be split between the four co-designated recipients. The Council is responsible for determining the allocation of program administration funds. The Council will use the formula described in Appendix II of the MOU (see Attachment 2). Based upon this formula, the allocation of program administration funds for the FY 2016 Section 5310 funds will be as indicated in Section H, Part #2.

\textbf{K. Transfer of Funds}

The Council and BSD are not eligible to transfer Section 5310 funds. Section 5310 funds that are apportioned for the St. Louis, MO-IL UZA may not be transferred to other areas of the State of Missouri or the State of Illinois (i.e. rural or small urbanized areas). IDOT and MoDOT will handle any transfer of Section 5310 funds as specified in each entity’s SMP.

\textbf{L. Private Sector Participation}

The co-designees ensure maximum feasible private sector participation by utilizing the CHSTP Stakeholder Committee and through each of the Council’s and IDOT’s application processes.

\textsuperscript{19} A copy of the Council’s PIP can be found on the Council’s website at: \url{www.ewgateway.org/TitleVI.htm}.\textsuperscript{20} As described in Section H, Part #1(b), IDOT conducts a separate application and project selection process for the Section 5310 Traditional projects in the St. Louis, IL UZA and this process may occur after the Council’s application process.
The CHSTP Stakeholder Committee includes public, private, non-profit, advocates of public transit and human service representation. The CHSTP Stakeholder Committee identifies gaps and barriers in existing transportation services, recommends strategies that enhance mobility for the St. Louis Region’s older adults and individuals with disabilities, and develops the framework for selecting Section 5310 projects. The CHSTP Stakeholder Committee also reviews the draft CHSTP before it is released for public comment and submitted to the TPC, EAC, and Board of Directors for final approval.

To the extent possible, the Council and IDOT provide equal and adequate access for all known public and private transportation and human service providers in the St. Louis, MO-IL UZA to apply for Section 5310 funding. Each entity ensures that private sector transit providers are given adequate access by providing notices for informational workshops, funding, and calls for projects. These notices are provided through various means, including, but not limited to: advertisements on the Council’s or IDOT’s website, respectively, emails to Section 5310 and New Freedom providers and known transit providers and human service agencies, and dissemination of information through the HSTP regional coordinators and local mobility managers.

In order for the Council and IDOT to ensure maximum private sector participation, each entity’s applicants are required to notify known public and private transportation providers and human service agencies in the applicant’s geographic transportation service area and invite comments or counter proposals to the applicant’s proposed project or service. The Council and IDOT evaluate proposed projects based on the applicant’s ability to coordinate with other transportation providers, including private sector providers, in the St. Louis, MO-IL UZA. IDOT also requires its applicants to publish a public notice regarding the project sponsor’s application for Section 5310 funding.

Private sector providers also have the opportunity to provide comments on the proposed projects once those projects are included in the Council’s draft TIP (see Section I, Part #2 for a description of the Council’s TIP process).

M. Statutory & Regulatory Compliance

1. Civil Rights

The co-designees will manage Section 5310 in compliance with applicable civil rights statutes and implementing regulations including those that apply to DBE and equal employment opportunity, as each is defined by DOT and FTA.21

Each of the co-designees of the Section 5310 funding will ensure that it complies with these requirements. Each of IDOT, BSD, and MoDOT will also ensure that each of its sub-recipients comply with these requirements. A brief description of each co-designated recipient’s compliance efforts is provided below. The Council, IDOT, BSD, and MoDOT will each ensure that its programs and policies are updated in accordance with FTA requirements.

21 A complete list of the applicable statutes and regulations can be found in the Section 5310 Circular, Chapter VIII, pp. VIII-4 through VIII-8.
The Council: The Council ensures that it complies with federal civil right statutes and implementing regulations through the implementation of the Council’s Title VI Plan, which includes an LEP Plan, the Council’s PIP, and the Council’s DBE Program. The Council’s Title VI Plan and LEP Plan were approved by FTA in 2011. In 2014, the Council completed an update of its PIP. The Council’s DBE Program was updated in 2013. The Council will not have any sub-recipients; therefore, it will not be responsible for monitoring sub-recipient compliance with civil rights statutes and regulations.

IDOT: IDOT ensures that it complies with federal civil rights statutes and implementing regulations through the implementation of its Title VI Plan, which is currently in development and pending approval from FTA. IDOT’s compliance efforts are also described in its SMP for Section 5310. Pursuant to these plans, IDOT is responsible for engaging in regular monitoring of its sub-recipients. IDOT’s monitoring activities include, but are not limited to: periodic program review, site inspections, and elemental audits. IDOT will use these methods to monitor its Section 5310 sub-recipients.

BSD: BSD ensures that it complies with federal civil rights statutes and implementing regulations through the implementation of its Title VI, DBE and EEO programs. BSD’s Title VI program was approved by FTA in 2012. Pursuant to these plans, BSD is responsible for engaging in regular monitoring of its sub-recipients. These monitoring activities include, but are not limited to: periodic program reviews, site inspections, and submittal of Title VI documentation by all sub-recipients. BSD will use these methods to monitor its Section 5310 sub-recipients.

MoDOT: MoDOT ensures that it complies with federal civil rights statutes and implementing regulations through the implementation of its Title VI Civil Rights and Nondiscrimination Plan. MoDOT’s Title VI Plan was approved by FTA in 2012. MoDOT’s compliance efforts are also described in its SMP for Section 5310. Pursuant to these plans, MoDOT is responsible for engaging in regular monitoring of its sub-recipients. These monitoring activities include, but are not limited to: obtaining from each sub-recipient its adopted, agency-level Title VI Plans that are fully compliant with FTA requirements and requiring each sub-recipient to file an annual Title VI report with MoDOT. MoDOT also conducts periodic workshops that provide sub-recipients with guidance on how to develop Title VI and LEP Plans. Additional information can be found in MoDOT’s SMP.

2. **Section 504 and ADA Reporting**

All Section 5310 funding sub-recipients will be required to comply with all regulations concerning equivalent service and access to individuals with disabilities as defined by Section 504 of the Rehabilitation Act of 1973 and the ADA. IDOT, BSD, and MoDOT will be responsible for monitoring each entity’s sub-recipients and a brief description of the methods that each entity will use to ensure compliance is described in more detail below.

IDOT: IDOT ensures that it complies with federal Section 504 and ADA reporting requirements through signed certifications and assurances collected through the CVP Program grant application process and its

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22 The Council’s documents can be found on its website at: [www.ewgateway.org/TitleVI.htm](http://www.ewgateway.org/TitleVI.htm).
23 MoDOT’s most recent workshops were held in 2013 and the presentation materials, outlines, templates are available at [www.modot.org/othertransportation/transit/transitapplicationsreportsprograms.htm](http://www.modot.org/othertransportation/transit/transitapplicationsreportsprograms.htm).
sub-recipient agreements. IDOT will monitor its sub-recipients’ compliance with Section 504 and ADA reporting requirements by using the same processes that are described in Section M, Part #1.

**BSD:** BSD ensures that it complies with federal Section 504 and ADA reporting requirements through signed certifications and assurances and periodic compliance reviews with FTA. The same requirements will apply to all of BSD’s sub-recipients. BSD will monitor its sub-recipients’ compliance with Section 504 and ADA reporting requirements by using the same processes that are described in Section M, Part #1.

**MoDOT:** MoDOT ensures that it complies with federal Section 504 and ADA reporting requirements through the implementation of its SMP. MoDOT will monitor its sub-recipients’ compliance with Section 504 and ADA reporting requirements by using the same processes that are described in Section M, Part #1.

3. **Other Provisions**

The Council, IDOT, BSD, and MoDOT complete the required FTA certifications and assurances regarding the Federal policies, rules, regulations, and statutes that govern Section 5310. All sub-recipients will be required to comply with the policies, rules, regulations, and statutes that are described in Chapter VIII of the Section 5310 Circular. Each of IDOT, BSD, and MoDOT require sub-recipients to certify compliance with Federal requirements. The Federal requirements may also be included in the sub-recipient’s agreement with IDOT, BSD, or MoDOT. IDOT, BSD, and MoDOT will be responsible for monitoring each entity’s sub-recipients in accordance with each entity’s compliance protocols.

**N. Program Measures**

FTA has established performance measures for Section 5310. Designated recipients are responsible for collecting and reporting data to FTA regarding these performance measures. The program measures and the co-designees’ responsibilities are described in more detail below.

1. **Section 5310 Traditional Projects**

IDOT and MoDOT are responsible for properly collecting and reporting data from each entity’s sub-recipients to FTA for the program measures for Section 5310 Traditional projects.

- **Gaps in Services 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 Section 5310 Traditional projects implemented in the current reporting year.
- **Ridership.** Actual or estimated number of rides (measured by one-way trips) provided annually for individuals with disabilities and seniors on Section 5310 support vehicles and services as a result of Section 5310 Traditional projects implemented in the current reporting year.
2. **New Freedom Type Projects**

BSD is responsible for properly collecting and reporting data from its sub-recipients to FTA for the following program measures for New Freedom Type projects.

- **Service Improvements.** 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 New Freedom Type projects implemented in the current reporting year.

- **Physical Improvements.** 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 New Freedom Type projects implemented in the current reporting year.

- **Ridership.** Actual or estimated number of rides (as measured by one-way trips) provided for seniors and individuals with disabilities as a result of New Freedom Type projects implemented in the current reporting year.

O. **Co-Designated Recipient Program Management**

Each of IDOT, BSD, and MoDOT will be responsible for properly managing each entity’s Section 5310 projects and sub-recipients. Program management includes: procurement; financial management and accounting systems; property management / asset management; vehicle use, maintenance, and disposition; audits, reviews, and reporting; and close-out procedures. A brief description of the policies and procedures of each entity is described in more detail below.

1. **Procurement**

**IDOT:** IDOT uses federally compliant procurement procedures to purchase vehicles for Section 5310 projects, which are implemented through the CVP Program. Each IDOT sub-recipient is required to adhere to IDOT’s procurement process for vehicle purchases. The CVP Program process is described in more detail in IDOT’s SMP.

**BSD:** BSD uses federally compliant procurement procedures to assist sub-recipients in the purchase of vehicles and eligible equipment for Section 5310 projects. BSD will not procure the vehicles for sub-recipients but will provide guidance and technical assistance in the procurement process. Each BSD sub-recipient will be responsible for contracting for its vehicles or equipment.

**MoDOT:** MoDOT uses federally compliant procurement procedures to purchase vehicles for Section 5310 projects. Each MoDOT sub-recipient is required to adhere to MoDOT’s procurement process for vehicle purchases. MoDOT’s procurement process is described in more detail in its SMP.
2.  **Financial Management and Accounting Systems**

**IDOT:** IDOT’s financial management system is compliant with the State of Illinois’ statutes and procedures for expending and accounting for State funds, as well as Federal requirements for expending and accounting for Federal funds. IDOT’s financial management system is described in more detail in IDOT’s SMP. Each IDOT sub-recipient is required to utilize a financial management system that complies with IDOT requirements and Federal regulations, as described in IDOT’s SMP and 2 CFR Part 200.

**BSD:** BSD’s financial management system is compliant with Federal and State statutes and procedures for expending and accounting for Federal and State funds. Sub-recipients will be expected to have a financial management system that complies with Federal and State statutes and 2 CFR Part 200.

**MoDOT:** MoDOT’s financial management system is compliant with the State of Missouri’s statutes and procedures for expending and accounting for State funds, as well as Federal requirements for expending and accounting for Federal funds. MoDOT’s financial management system is described in more detail in MoDOT’s SMP. Each MoDOT sub-recipient is required to utilize a financial management system that complies with MoDOT requirements and Federal regulations, as described in MoDOT’s SMP and 2 CFR Part 200.

3.  **Property Management / Asset Management**

As of the date that this PMP is issued, FTA has not provided final guidance about asset management for Section 5310. IDOT, BSD, and MoDOT policies and procedures regarding asset management will be updated, as needed, in order to comply with FTA’s final guidance.24

**IDOT:** IDOT’s policies and procedures for property management / asset management will be conducted in accordance with the CVP Program which is described in IDOT’s SMP. Each IDOT sub-recipient is required to follow IDOT’s policies and procedures for property / asset management.

**BSD:** BSD’s policies and procedures for property management / asset management will be conducted in accordance with FTA’s State of Good Repair and Asset Management requirements.25

**MoDOT:** MoDOT’s policies and procedures for property management / asset management will be conducted in accordance with its SMP. Each MoDOT sub-recipient is required to follow MoDOT’s policies and procedures for property and asset management.

4.  **Vehicle Use, Maintenance, and Disposition**

**IDOT:** IDOT will use, maintain, and dispose of vehicles purchased with Section 5310 funding in accordance with Federal requirements and the CVP Program which is described in IDOT’s SMP. Each IDOT sub-recipient must follow the use, maintenance, and disposition guidelines provided by IDOT and Federal requirements, including, but not limited to, those defined in IDOT’s SMP and 2 CFR Part 200.

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24 FTA’s guidance about asset management can be found at: [www.transit.dot.gov/TAM](http://www.transit.dot.gov/TAM).

25 FTA’s State of Good Repair and Asset Management requirements can be found at: [www.transit.dot.gov/TAM](http://www.transit.dot.gov/TAM).
BSD: BSD will use, maintain, and dispose of vehicles and equipment purchased with Section 5310 funding in accordance with Federal requirements. All sub-recipients must follow the use, maintenance, and disposition guidelines in accordance with Federal requirements, including, but not limited to, the Section 5310 Circular and 2 CFR Part 200.

MoDOT: MoDOT will use, maintain, and dispose of vehicles purchased with Section 5310 funding in accordance with Federal requirements and its SMP. Each MoDOT sub-recipient must follow the use, maintenance, and disposition guidelines provided by MoDOT and Federal requirements, including, but not limited to, those defined in MoDOT’s SMP and 2 CFR Part 200.

5. Audits, Reviews, and Reporting

IDOT: IDOT will conduct audits, reviews, and reporting in accordance with Federal requirements and using the procedures described in its SMP. Each IDOT sub-recipient is required to submit information to IDOT, including, but not limited to, information about: audits, vehicle use and maintenance, training, policies and procedures, and civil rights compliance. IDOT also monitors its sub-recipients by conducting periodic site visits.

BSD: BSD will conduct audits, reviews, and reporting in accordance with Federal requirements. Each sub-recipient is required to submit its annual audit report, as well as vehicle and utilization reports, Title VI reports, and any other reports required or requested to meet compliance with Federal grant rules. BSD will conduct periodic site visits of all sub-recipients.

MoDOT: MoDOT will conduct audits, reviews, and reporting in accordance with Federal requirements and using the procedures described in its SMP. Each MoDOT sub-recipient is required to submit annual reports to MoDOT, including, but not limited to: vehicle and utilization reports, Title VI reports, and safety and security reports. MoDOT also monitors its sub-recipients by conducting periodic site visits.

6. Close-Out Procedures

IDOT: IDOT will follow the close-out procedures defined in its SMP and in compliance with Federal requirements. Each IDOT sub-recipient is required to follow IDOT’s close-out procedures and those procedures required by the Federal Government, including but not limited to, those defined in IDOT’s SMP and 2 CFR Part 200.

BSD: BSD will follow the close-out procedures defined in the Section 5310 Circular, 2 CFR Part 200, and other Federal grant guidance circulars as required. BSD’s sub-recipients are required to follow the close out procedures in compliance with the Federal requirements as defined in the Section 5310 Circular, 2 CFR Part 200, and other Federal grant guidance circulars as required.

MoDOT: MoDOT will follow the close-out procedures defined in its SMP and in compliance with Federal requirements. Each MoDOT sub-recipient is required to follow MoDOT’s close-out procedures and those procedures required by the Federal Government, including but not limited to, those defined in MoDOT’s SMP and 2 CFR Part 200.
P. PMP Revisions

The Council will submit this PMP to FTA (both Regions V and VII) for review and approval. FTA will keep a copy of this PMP on file at the FTA regional offices. An approved PMP remains valid until FTA approves a later plan submitted by the Council, an FTA management review results in a specific request to the Council by FTA for a revised PMP, or FTA announces significant new program documentation requirements.

The Council is responsible for revising this PMP to ensure consistency with Federal / FTA requirements. The Council will issue timely revisions to this PMP, when needed and especially when the information will be helpful to minority applicants, sub-recipients, and third party contractors that will be affected by the revision.

If the Council proposes significant revisions to this PMP, the Council will provide an opportunity for IDOT, MoDOT, BSD, current sub-recipients / service providers, potential sub-recipients / services providers, and other interested persons / entities in the St. Louis, MO-IL UZA to provide comments on the proposed changes. Any comments received by the Council will be reviewed and addressed, as needed and determined appropriate by the Council in consultation with IDOT, MoDOT, and BSD. Additionally, if this PMP is significantly changed or if the changes are substantive but not pervasive, the Council will submit a revised PMP to FTA (both Regions V and VII) for review and approval. The Council is not required to submit minor changes to this PMP to FTA for review and approval; however, the Council will ensure that FTA (both Regions V and VII) are notified regarding changes to this PMP and will provide FTA (both Regions V and VII) with an up-to-date copy of this PMP.

<table>
<thead>
<tr>
<th>PMP Revisions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Date</strong></td>
</tr>
<tr>
<td>5/01/2017</td>
</tr>
</tbody>
</table>
ATTACHMENTS
2010 St Louis, MO-IL
Urbanized Area

St. Louis Metropolitan Area
February 2015

Sources: U.S. Census Bureau (2012); East-West Gateway Council of Governments
REVISED MEMORANDUM OF UNDERSTANDING

THIS REVISED MEMORANDUM OF UNDERSTANDING ("MOU") is entered into by the Bi-State Development Agency of the Missouri-Illinois Metropolitan District, an interstate transportation authority ("BSD"); East-West Gateway Council of Governments, the metropolitan planning organization for the bi-state St. Louis region (the "Council"); the Illinois Department of Transportation, an agency of the State of Illinois ("IDOT"); and the Missouri Highways and Transportation Commission acting by and through the Missouri Department of Transportation, an agency of the State of Missouri ("MoDOT") (together the "Parties").

WITNESSETH:

WHEREAS, in 2012 the U.S. Congress enacted the Moving Ahead for Progress in the 21st Century Act, Pub. L.112-141 ("MAP-21"), a two year transportation authorization that provides funding for public transportation projects; and

WHEREAS, under MAP-21, several changes were made to the Section 5310 Program – Enhanced Mobility of Seniors and Individuals with Disabilities (49 U.S.C. § 5310) and the former Section 5317 Program – New Freedom, including the combining of the traditional Section 5310 Program and the New Freedom program into one formula grant program aimed at enhancing the mobility of seniors and persons with disabilities ("5310 Program"); and

WHEREAS, in 2015 the U.S. Congress enacted the Fixing America’s Surface Transportation ("FAST") Act, a five-year transportation funding bill that provides funds for public transportation projects; and

WHEREAS, the 5310 Program is governed by transportation legislation, including, but not limited to, MAP-21 and the FAST Act (collectively, the "Transportation Legislation"); and

WHEREAS, the Transportation Legislation may be revised or extended from time-to-time during the term of this MOU; and

WHEREAS, the Federal Transit Administration ("FTA") is responsible for administering and overseeing the 5310 Program for the U.S. Department of Transportation ("DOT"); and

WHEREAS, the rules, regulations, circulars, and other guidance issued by DOT or FTA for the 5310 Program (collectively "DOT / FTA Guidance") and the
Transportation Legislation govern the roles and responsibilities for the designated recipients of 5310 Program funding; and

WHEREAS, under the Transportation Legislation the St. Louis Urbanized Area ("St. Louis UZA") is a defined geographical area, as indicated in DOT / FTA Guidance, and the St. Louis UZA will be allocated a portion of the 5310 Program funding according to the formula used by DOT; and

WHEREAS, pursuant to the requirements of the MAP-21 and DOT / FTA Guidance, the governors of the States of Illinois and Missouri designated the co-designated recipients of the 5310 Program funding for the St. Louis UZA; and

WHEREAS, in December 2014 the Parties agreed to serve as the co-designated recipients of 5310 Program funding for the St. Louis UZA and to cooperate to implement the 5310 Program in the St. Louis UZA and signed an MOU that captures this agreement (the "2014 MOU"); and

WHEREAS, each party to this MOU is currently a recipient of other FTA grant funds and each party has the legal, technical, and financial capacity to be an eligible FTA 5310 Program designated recipient; and

WHEREAS, the Parties desire to enter into a revised MOU to clarify the roles and responsibilities of each party with respect to the implementation of the 5310 Program in the St. Louis UZA and make other necessary revisions to the 2014 MOU appendices.

NOW, THEREFORE, in consideration of these mutual endeavors the Parties agree as follows:

1. **The St. Louis UZA.** The definition of the St. Louis UZA will be the then-current definition used by DOT / FTA. For illustrative purposes, a map of the current geographical area of the St. Louis UZA has been attached to this MOU as Exhibit 1.

2. **Recipient Designation.** The designated recipients of the 5310 Program for the St. Louis UZA are the following entities: BSD, the Council, IDOT, and MoDOT. In 2014 the governor of the State of Illinois and in 2015 the governor of the State of Missouri designated each of the foregoing entities as a co-designated recipient ("Co-Designee(s)" -- term to be used interchangeably with "Party(ies)") of the 5310 Program funding for the St. Louis UZA; with the funding to be allocated to the Co-Designees as described in Paragraph 4.

3. **Responsibilities of the Parties.** The roles and responsibilities of each Party will be specifically defined in the Program Management Plan ("PMP") which will be included as part of the Coordinated Public Transit – Human Services Transportation Plan ("CHSTP") for the St. Louis UZA; however, the broad roles

CFDA # 20.513
Revised MOU (2017)
Bi-State Development, East-West Gateway COG, IDOT, and MoDOT
Page 2 of 9
and responsibilities of the Parties are described in Appendix I: St. Louis UZA 5310 Program Co-Designee Roles & Responsibilities ("Appendix I"), which may be updated from time-to-time, as needed to maintain consistency with DOT / FTA Guidance.

4. **Funding Allocation.** The 5310 Program funding allocated to each Co-Designee will be determined annually by the Council and the Council will notify FTA (both Region V and Region VII) each year of the funding allocation. In general, the Council will allocate the funding in compliance with the then-current Transportation Legislation and DOT / FTA Guidance and the funding allocation will be accomplished using the formula(s) specified in Appendix II: St. Louis UZA 5310 Program Funding Allocation Formula ("Appendix II"). The Council will ensure that the funding allocation formula is described in the Program Management Plan ("PMP") section of the Coordinated Public Transit-Human Services Transportation Plan ("CHSTP") and will reflect the results in the Transportation Improvement Program ("TIP") that the Council will develop and produce as required in other inter-governmental agreements.

5. **Program Administration Funds.** The Co-Designees collectively may expend up to a maximum of ten percent (10%) of the 5310 Program funding on administrative expenses, as these expenses are defined in DOT / FTA Guidance ("Program Administration Funds"). The Co-Designees may expend less than ten percent (10%) on administrative expenses and the Council will adjust the funding formula, as needed, in order to reflect the actual amount allocated to the Program Administration Funds. The Council’s formula adjustments must ensure that the St. Louis UZA’s allocation meets the statutory minimum percentage of funds that must be expended on "Traditional 5310 Projects," as these projects are defined in the then-current Transportation Legislation and DOT / FTA Guidance. Each Co-Designee’s program administration expenditures are limited to the following, as applicable:

a. IDOT may expend a maximum of ten percent (10%) of IDOT’s 5310 Program funding allocation on administrative expenses;
b. MoDOT may expend a maximum of ten percent (10%) of MoDOT’s 5310 Program funding allocation on administrative expenses; and
c. BSD may expend up to a maximum of ten percent (10%) of BSD’s 5310 Program funding allocation on administrative expenses, as follows: (i) A maximum of seven percent (7%) of BSD’s program funding may be used to cover BSD’s administrative expenses, and (ii) A maximum of three percent (3%) of BSD’s program funding must be provided to the Council to cover the Council’s administrative costs incurred when the Council is fulfilling its roles and responsibilities as defined in Appendix I and the PMP. BSD will provide these Program Administration Funds to the Council on a monthly basis and within forty-five (45) calendar days of BSD’s receipt of an invoice from the Council for eligible administrative

CFDA # 20.513
Revised MOU (2017)
Bi-State Development, East-West Gateway COG, IDOT, and MoDOT
Page 3 of 9
expenses. BSD will request pre-award authority during the grant application process to cover any costs incurred by the Council prior to the award of the grant from FTA.

6. **Catalog of Federal Domestic Assistance ("CFDA") Number.** The CFDA Number for the 5310 Program is 20.513.

7. **Term of the MOU.** This MOU will become effective upon signature by all Parties and will remain in effect until all 5310 Program Funding under the then-current Transportation Legislation for the St. Louis UZA is expended and each Party’s obligations as an FTA grantee for the 5310 Program under the then-current Transportation Legislation has expired.

   a. This MOU may be terminated by mutual agreement of all Parties.
   
   b. After 30 days written notice to the other Parties, a Party may withdraw from the MOU. The remaining Parties shall either: (1) amend this MOU to reflect the redistribution of responsibilities; or (2) terminate this MOU.

   c. Withdrawal from or termination of this MOU does not relieve any Party of its obligations as an FTA grantee, as set forth in DOT / FTA Guidance, for those funds received or obligated by the Party before the date of withdrawal for a withdrawing Party or the date of termination.

8. **DOT / FTA Guidance / Changes.** The Parties acknowledge and understand that, throughout the term of this MOU, DOT / FTA may issue further rules, regulations, or guidance that will govern the 5310 Program. The Parties agree that the current DOT / FTA requirements will govern the 5310 Program in the St. Louis UZA. Changes to the MOU may be made as follows:

   a. The Parties may, from time to time, request changes to this MOU. Changes requested by a Party to this MOU must be effected through the written agreement of the Parties; or

   b. Changes to this MOU may be necessitated due to updates or revisions to DOT / FTA Guidance or to federal statutes that govern what is now designated as the 5310 Program. Such changes necessitated by updates or revisions to DOT / FTA Guidance or federal statutes that govern the 5310 Program will be automatically effective on the date noted in the updates/revisions issued by DOT, FTA, or the Federal Government. This MOU (including its Exhibits and Appendices) will be updated accordingly and this type of change does not require the written agreement of the Parties. If any subsequent DOT / FTA Guidance necessitate changes to Appendices I or II of this MOU, the PMP, or the CHSTP, then the Council will update these documents and distribute them to each of BSD, IDOT, and MoDOT.
9. **Assignability.** This MOU may not be assigned, transferred, or any interest in it delegated without the prior written consent of all of the Parties.

10. **Waiver.** No waiver by any Party of any default will be deemed as a waiver of any prior or subsequent default of the same or other provisions of this MOU and will not be deemed a waiver of the Party’s rights, privileges, claims, or remedies, nor of the Party’s right to insist on the strict compliance with this MOU after a waiver is given.

11. **MOU Binding on Successors.** This MOU will be binding upon and will inure to the benefit of the Parties of this MOU and their successors.

12. **Integration.** This MOU constitutes the entire understanding of the Parties, and, except for those agreements between any of the Parties with regard to the former 5317 or 5316 Programs, revokes and supersedes all prior agreements between the Parties and is intended as a final expression of their agreement as it pertains to the 5310 Program. This MOU revokes and supersedes the 2014 MOU. This MOU may not be modified except as noted in Paragraph 7 and 8.

13. **Severability.** In the event that any of the terms of this MOU are declared void or unenforceable for any reason, the remaining terms and provisions of this MOU will remain in full force and effect and will not be affected by the declaration.

14. **Appropriations.** Obligations assumed by each Party under this MOU shall cease immediately, without penalty or payment beyond the costs already incurred, should the respective state legislative body or the United States Congress fail to appropriate or otherwise make available funds for project expenses.

**[SIGNATURE PAGES TO FOLLOW]**
IN WITNESS WHEREOF, the Parties have caused this instrument to be executed by their respective proper officials and on the dates specified below:

Bi-State Development Agency of the Missouri-Illinois Metropolitan District

Executed by the Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 29th day of March, 2017.

By:

[Signature]
John M. Nations
President & CEO

Attest:

[Signature]
Barbara Enneking
General Counsel
East-West Gateway Council of Governments

Executed by East-West Gateway Council of Governments this {10}^{th} day of May, 2017.

By:

[Signature]
James M. Wild
Executive Director

Attest:

[Signature]
Stacia Alvarez
Grant/Contract. Compl. Adm./Attorney
Illinois Department of Transportation

Executed by the Illinois Department of Transportation this 21st day of April, 2017.

Accepted on behalf of the State of Illinois, Department of Transportation:

Randy Blankenhorn, Secretary

Date: 4-21-17

By: Beth McCluskey, Director, Office of Intermodal Project Implementation

Date: 4/21/17
Missouri Highways and Transportation Commission

Executed by Missouri Highways and Transportation Commission this 29 day of March, 2017.

By
Michelle Teel, P.E.
Title Multimodal Operations Director

Attest:

Approved as to Form:

Commission Counsel
Appendix I: St. Louis UZA 5310 Program Co-Designee Roles & Responsibilities

This document is Appendix I to the MOU by and between the Bi-State Development Agency ("BSD"), East-West Gateway Council of Governments (the "Council"), the Illinois Department of Transportation ("IDOT"), and the Missouri Highways and Transportation Commission acting by and through the Missouri Department of Transportation ("MoDOT") and describes the broad roles and responsibilities of each entity with respect to the implementation of the U.S. Department of Transportation’s ("DOT") / Federal Transit Administration’s ("FTA") Section 5310 Program – Enhanced Mobility of Seniors and Individuals with Disabilities ("5310 Program") in the St. Louis Urbanized Area ("St. Louis UZA").

Pursuant to federal transportation legislation and the rules, regulations, circulars, and other guidance issued by DOT or FTA (collectively, "DOT / FTA Guidance"), designated recipients of 5310 Program funding have certain responsibilities. BSD, the Council, IDOT, and MoDOT have reached an agreement to be the co-designated recipients ("Co-Designee(s)") of the 5310 Program funding for the St. Louis UZA. The roles and responsibilities of each Co-Designee will be specifically defined in the Program Management Plan ("PMP") section of the Coordinated Public Transit – Human Services Transportation Plan ("CHSTP") developed for the St. Louis UZA; however, the broad roles and responsibilities of each entity are defined below.

A. Project Administration & Selection Process

For purposes of the St. Louis UZA 5310 Program there are generally two types of projects: 5310 Traditional Projects and New Freedom Type Projects. Each type of project is defined in DOT / FTA Guidance. The responsibilities for each type of project will be allocated between the Co-Designees as follows:

<table>
<thead>
<tr>
<th>Geographic Area</th>
<th>Co-Designees &amp; Broad Responsibilities</th>
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<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>5310 Traditional Projects</strong></td>
</tr>
<tr>
<td></td>
<td><strong>New Freedom Type Projects</strong></td>
</tr>
<tr>
<td></td>
<td>Project</td>
</tr>
<tr>
<td>MO</td>
<td>MoDOT</td>
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<tr>
<td>IL</td>
<td>IDOT</td>
</tr>
</tbody>
</table>

"Project Administration" refers to all aspects of overseeing the projects, including grant application and management, subrecipient eligibility determinations, subrecipient monitoring, financial management, project implementation (i.e. procuring vehicles), reporting to FTA, project closeout and audit, and fulfilling any other 5310 Program grantee responsibilities with regard to the Co-Designee’s projects, as these responsibilities are defined in the then-current DOT / FTA Guidance.
Appendix I: St. Louis UZA 5310 Program Co-Designee Roles & Responsibilities

"Selection Process" refers to the development of the 5310 Program application and evaluation criteria, the solicitation / advertising for applications, the review and evaluation of the applications, and the selection of projects for 5310 Program funding.

The Council will be responsible for the Selection Process for the 5310 Traditional and New Freedom Type Projects in the Missouri portion of the St. Louis UZA and for the New Freedom Type Projects in the Illinois portion of the St. Louis UZA. IDOT will be responsible for the Selection Process for the 5310 Traditional Projects in the Illinois portion of the St. Louis UZA. IDOT will ensure that it cooperates and communicates with the Council with regard to the Selection Process for the Illinois Traditional 5310 Projects, and will, to the extent possible, align its schedule for the Selection Process with the Council's Selection Process and the Council's Transportation Improvement Program ("TIP") schedule. Similarly, the Council will ensure that IDOT is informed of the relevant Selection Process and TIP schedule dates so that IDOT can plan accordingly. The details regarding the schedule and deadlines for the 5310 Program will be described in the Program Management Plan (described in Part B #1 below).

BSD, the Council, IDOT, and MoDOT will work together to develop a solicitation and advertising schedule and mechanism that will be used in the St. Louis UZA for the 5310 Program.

The Council will not be responsible for any Project Administration, except that the Council, BSD, and MoDOT will work together to determine applicant and project eligibility for the MO 5310 Traditional Projects and the New Freedom Type Projects.

BSD will be responsible for the Project Administration of the New Freedom Type Projects in the St. Louis UZA. In limited circumstances, BSD may also administer Traditional 5310 Projects (e.g. dispatch systems). IDOT will be responsible for Project Administration of the 5310 Traditional Projects in the Illinois portion of the St. Louis UZA. MoDOT will be responsible for Project Administration in the Missouri portion of the St. Louis UZA.

B. Specific 5310 Program Responsibilities

DOT / FTA Guidance defines specific responsibilities for 5310 Program designated recipients. The table on page 4 depicts the responsibilities of each designated Co-Designee, and a more detailed description of certain responsibilities is provided below.

1. Program Management Plan ("PMP")

The Council will develop the PMP for the St. Louis UZA and will include the PMP in the CHSTP. IDOT and MoDOT will assist the Council with the development of the St. Louis UZA PMP insofar as this PMP must be consistent with the State Management Plan ("SMP") that MoDOT and IDOT will develop. The Council will make the St. Louis UZA PMP available to BSD, IDOT, and MoDOT so that each can submit the required information with each entity's FTA grant application. The Council will update the PMP,
Appendix I: St. Louis UZA 5310 Program Co-Designee Roles & Responsibilities

from time-to-time, as may be required by DOT / FTA Guidance or other changes made to the 5310 Program in the St. Louis UZA.

2. **Coordinated Public Transit – Human Services Transportation Plan ("CHSTP")**

The Council will be responsible for developing the CHSTP. The Council will adhere to FTA’s guidance and rules regarding the development of the CHSTP. The Council will update the CHSTP, from time-to-time, as may be required by DOT / FTA Guidance or other changes made to the 5310 Program in the St. Louis UZA. The Council completed a CHSTP update in 2016 and the next update will occur in 2019 / 2020.

3. **Program of Projects ("POP")**

The Council will be responsible for developing the POP for the St. Louis UZA (the "Master POP"). The Master POP will include the projects and funding allocations for each of BSD’s, IDOT’s, and MoDOT’s projects. IDOT will be responsible for developing its own POP, and will ensure that it provides its POP to the Council in an approved format and will ensure that it is clearly identifying the projects it selected for the St. Louis UZA. IDOT will ensure that it is creating its POP on a schedule that permits the Council to meet the Council’s obligation to create the Master POP and submit the annual allocation letter to FTA. The Council will include the Master POP as part of the Council’s TIP. The Council will make the Master POP available to each of BSD, IDOT, and MoDOT so that each can include the information in its own POP that each will submit as part of each entity’s FTA grant application. The Council will provide a copy of the Master POP to FTA (both Region V and Region VII) each year when the Council submits its annual funding allocation letter to FTA.

4. **IDOT Annual Certification Letter**

IDOT will submit to the Council, along with its POP, a letter that certifies that IDOT has met or will meet the responsibilities defined in parts (g), (j), and (k) in the table provided on page 4 of this Appendix I.

5. **Annual Allocation of 5310 Program Funding**

The Council will be responsible for determining the allocation of 5310 Program Funds to each of BSD, IDOT, and MoDOT for the 5310 Traditional and New Freedom Type Projects for the St. Louis UZA. The Council will determine the funding allocation in accordance with the four-step formula indicated in Appendix II: St. Louis UZA 5310 Program Funding Allocation Formula. The Council will also include the funding allocation formula in the PMP. The Council will, on an annual basis, submit a letter to FTA (both Region V and Region VII) that describes the funding allocation for the St. Louis UZA and certifying the following: (a) that at least fifty-five percent (55%) of the 5310 Program funding will be expended on Traditional 5310 Projects; and (b) each of the responsibilities defined parts (g), (j), and (k) in the table provided on page 4 of this
Appendix I: St. Louis UZA 5310 Program Co-Designee Roles & Responsibilities

Appendix I. The Council will ensure that each of BSD, IDOT, and MoDOT receive a copy of this annual letter.

<table>
<thead>
<tr>
<th>Co-Designee's Assigned to Specific 5310 Program Responsibilities</th>
<th>Co-Designee Agency Responsible</th>
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<tbody>
<tr>
<td><strong>Responsibilities</strong></td>
<td>5310 Traditional Projects</td>
</tr>
<tr>
<td>a. Document the State or designated recipient's procedures in a State Management Plan (&quot;SMP&quot;) or Program Management Plan (&quot;PMP&quot;)</td>
<td>PMP -- The Council / SMP -- IDOT / MoDOT; both to coordinate with the Council for SMP</td>
</tr>
<tr>
<td>b. Plan for future transportation needs, and ensures integration and coordination among diverse transportation modes and providers</td>
<td>The Council</td>
</tr>
<tr>
<td>c. Develop project selection criteria consistent with the coordinated planning process</td>
<td>The Council / IDOT</td>
</tr>
<tr>
<td>d. Notify eligible local entities of funding availability</td>
<td>The Council / IDOT</td>
</tr>
<tr>
<td>e. Solicit applications from potential subrecipients</td>
<td>The Council / IDOT</td>
</tr>
<tr>
<td>f. Determine applicant and project eligibility</td>
<td>The Council / IDOT / MoDOT</td>
</tr>
<tr>
<td>g. Certify that allocations of funds to subrecipients are made on a fair and equitable basis</td>
<td>The Council / IDOT</td>
</tr>
<tr>
<td>h. Submit an annual POP and grant application to FTA</td>
<td>The Council (Master POP only) / IDOT and MoDOT</td>
</tr>
<tr>
<td>i. Ensure subrecipients comply with Federal requirements</td>
<td>IDOT / MoDOT</td>
</tr>
<tr>
<td>j. Certify that all project are included in a locally developed, coordinated public transit-human services transportation plan developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and non-profit transportation and human service providers, and other members of the public</td>
<td>The Council / IDOT</td>
</tr>
<tr>
<td>k. Certify that the maximum extent feasible, services funded under Section 5310 are coordinated with transportation services assisted by other Federal departments and agencies</td>
<td>The Council / IDOT</td>
</tr>
<tr>
<td>l. Ensure that at least 55 percent of the area's apportionment is used for traditional Section 5310 projects carried out by the eligible subrecipients as described in section 5 of Chapter III</td>
<td>The Council as it pertains to the allocation for 5310 Traditional projects; each of IDOT and MoDOT is responsible for monitoring its own subrecipients</td>
</tr>
<tr>
<td>m. Oversee project audit and closeout</td>
<td>IDOT / MoDOT</td>
</tr>
</tbody>
</table>

*The responsibilities listed in the table are those that are described in FTA Circular 9070.1G dated 6/6/2014 on page II-4, #4 (a) - (m).*
Appendix II: St. Louis UZA 5310 Program Funding Allocation Formula

This document is Appendix II to the MOU by and between the Bi-State Development Agency ("BSD"), East-West Gateway Council of Governments (the "Council"), the Illinois Department of Transportation ("IDOT"), and the Missouri Highways and Transportation Commission acting by and through the Missouri Department of Transportation ("MoDOT") and describes the funding allocation formula that will be used to apportion funding for the U.S. Department of Transportation's ("DOT") / Federal Transit Administration's ("FTA") Section 5310 Program – Enhanced Mobility of Seniors and Individuals with Disabilities ("5310 Program") in the St. Louis Urbanized Area ("St. Louis UZA").

A. Overview

Federal transportation legislation and the rules, regulations, circulars, and other guidance issued by DOT or FTA (collectively "DOT / FTA Guidance") specify an allocation for the St. Louis UZA, as a whole. This Appendix II and the Program Management Plan ("PMP") section of the Coordinated Public Transit – Human Services Transportation Plan ("CHSTP") will describe the potential funding allocations; however, BSD, the Council, IDOT, and MoDOT ("Co-Designee(s)") understand and acknowledge that the final funding allocated to each Co-Designee will be determined by several factors including, but not limited to: (1) DOT / FTA’s requirement that a minimum of fifty-five percent (55%) of the St. Louis UZA’s 5310 Program funding be expended on 5310 Traditional Projects; (2) the Co-Designees’ goal to support New Freedom Type Projects; (3) DOT / FTA’s requirement that the 5310 Program funding be obligated prior to the deadline defined by DOT / FTA; and (4) to support the 80% federal share of 5310 Traditional Projects. Based on these factors, the Council may adjust the funding allocation as necessary to ensure that the 55% statutory minimum is met; therefore, the final allocation to each Co-Designee may vary from the initial allocation that is indicated by the four-step formula described in Part B below.

B. Funding Formula

The Council will calculate the initial funding allocations for the Co-Designees of the St. Louis UZA 5310 Program using the four-step formula below, subject to Parts A and C. An example of the funding allocation for FY 2016 is provided on pages 5 and 6. Exceptions to the funding allocation are also explained in Part C below.
Appendix II: St. Louis UZA 5310 Program Funding Allocation Formula

Step 1 – Missouri vs. Illinois Allocation

\[
\text{Total 5310 Program Funds} \times \frac{\% \text{ of Seniors/Disabled in MO Portion of St. Louis UZA}}{\text{Total MO Allocation}}
\]

\[
\text{Total 5310 Program Funds} \times \frac{\% \text{ of Seniors/Disabled in IL Portion of St. Louis UZA}}{\text{Total IL Allocation}}
\]

1 The figures used for the Seniors / Disabled population in the St. Louis UZA were derived from the 2010 – 2014 Five Year American Community Survey ("ACS") that is conducted and published by the U.S. Census Bureau. The figures used include the numbers of seniors in each of the MO and the IL portions of the St. Louis UZA and the figures of disabled persons in each of the MO and the IL portions of the St. Louis UZA, which are combined to get the percentage of seniors / disabled in each of the MO and the IL portions of the St. Louis UZA. The St. Louis UZA boundaries are defined by the U.S. Census Bureau based on the results of the 2010 Decennial Census. The ACS and the UZA boundaries are the data used by DOT to apportion the 5310 Program funding to the St. Louis UZA, and, to maintain consistency, the Council will use the same data for the funding allocation formula.

Step 2 – 5310 Traditional vs. New Freedom Type Projects Allocation

\[
\text{MO Allocation} \times 60\% \quad \text{IL Allocation} \times 60\%
\]

\[
\text{Total MO 5310 Traditional Projects Allocation} \quad \text{Total IL 5310 Traditional Projects Allocation}
\]

\[
\text{MO Allocation} \times 40\% \quad \text{IL Allocation} \times 40\%
\]

\[
\text{Total MO New Freedom Type Projects Allocation} \quad \text{Total IL New Freedom Type Projects Allocation}
\]

Step 3 – Co-Designee Total Allocation (includes up to 10% Program Administration Funds)

\[
\text{MO New Freedom Type Projects Allocation} + \text{IL New Freedom Type Projects Allocation}
\]

\[
\text{Total BSD Allocation}
\]

\[
\text{IL 5310 Traditional Projects Allocation} + 0
\]

\[
\text{Total IDOT Allocation}
\]

\[
\text{MO 5310 Traditional Projects Allocation} + 0
\]

\[
\text{Total MoDOT Allocation}
\]
Appendix II: St. Louis UZA 5310 Program Funding Allocation Formula

Step 4 – Program Administration Funds Allocation (10% Maximum for UZA)^2

\[
\text{BSD Proportion of Prog. Admin. Funds} \\
\times 3\% \\
\text{Total Council Program Admin. Funds}^3 \\
\text{BSD Total Allocation} \\
\times 5\% \\
\text{Total BSD Program Admin. Funds}^3 \\
\text{IDOT Total Allocation} \\
\times 8\% \\
\text{Total IDOT Program Admin. Funds} \\
\text{MoDOT Total Allocation} \\
\times 10\% \\
\text{Total MoDOT Program Admin. Funds}
\]

^2 The allocation of program administration funds in any given year may change depending on the needs of the individual Co-Designees, but will not exceed the 10% level mandated in the DOT / FTA Guidance. For FY 2018, the program administration funds allocated to BSD and IDOT is less than the 10% level. The funds that are not allocated to program administration are allocated to fund projects.

^3 The Council's proportion of the program administration funds is provided at a rate of 3% from BSD’s allocation of program administration funds. BSD's proportion of the program administration funds is calculated based on the percentage of its program administration funds that remain after the Council's portion is allocated (e.g. for FY 2016, BSD’s program administration funds are calculated as follows: 8% - 3% = 5%).

C. Exceptions to the Funding Allocation Formula

1. The 55% Minimum Expenditures on 5310 Traditional Projects

Federal transportation legislation requires that a minimum of fifty-five percent (55%) of the 5310 Program funding for the St. Louis UZA be expended on 5310 Traditional Projects. This minimum threshold applies to the entire allocation of the 5310 Program funding for the St. Louis UZA; therefore, in an effort to ensure that this minimum requirement is met, the Council may undertake one or a combination of the following actions:

(a) Increase the share (or percentage) of funds allocated to 5310 Traditional Projects and reduce the share (or percentage) of funds allocated to New Freedom Type Projects in order to support the 80% federal share of 5310 Traditional Projects or account for other external factors.

(b) If, after the Selection Process, there are funds available from the IL 5310 Traditional Project pool that have not been allocated to a project, then the funds from the IL 5310 Traditional Project pool may be shifted into the MO 5310 Traditional Project pool in order to fund additional MO 5310 Traditional Projects. Similar shifts can be made from the MO 5310 Traditional Project pool into the IL 5310 Traditional Project pool.
Appendix II: St. Louis UZA 5310 Program Funding Allocation Formula

(c) Reduce the overall number of New Freedom Type Projects or reduce the amount of funding allocated to a project or projects in order to ensure that the expenditures on the 5310 Traditional Projects equal a minimum of fifty-five percent (55%). If such a reduction is made, to the extent it is possible, the Council will make the reduction equally from Missouri and Illinois projects.

2. Obligation Deadlines

DOT / FTA Guidance provides that 5310 Program funding is available for obligation during the fiscal year (“FY”) of apportionment plus two additional years; with the FY being measured in terms of the Federal Government’s FY which ends on September 30th each year. For example, funds apportioned for FY 2016 are available until the end of FY 2018 or September 30, 2018. In order to ensure that the St. Louis UZA 5310 Program funds are obligated within the allotted time frame, the Council may undertake one or both of the following actions:

(a) If, after the Selection Process, there are funds available from the New Freedom Type Project pool that have not been allocated to a project, then the funds from the New Freedom Type Project pool may be shifted into the 5310 Traditional Project pool in order to fund additional 5310 Traditional Projects. Funds from the 5310 Traditional Project pool may not be shifted into the New Freedom Type Project pool unless the fifty-five percent (55%) minimum 5310 Traditional Project expenditure requirement has been met.

(b) If, after the Selection Process, there are funds available from the IL 5310 Traditional Project pool that have not been allocated to a project, then the funds from the IL 5310 Traditional Project pool may be shifted into the MO 5310 Traditional Project pool in order to fund additional MO 5310 Traditional Projects. Similar shifts can be made from the MO 5310 Traditional Project pool into the IL 5310 Traditional Project pool.
Appendix II: St. Louis UZA 5310 Program Funding Allocation Formula

Example 5310 Funding Allocation Schedule – FY 2016

<table>
<thead>
<tr>
<th>Total FY 2016 Funds Available</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1,890,608.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>% Seniors / Disabled in MO / IL Portions St. Louis UZA</th>
</tr>
</thead>
<tbody>
<tr>
<td>MO</td>
</tr>
<tr>
<td>IL</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step 1 - Missouri vs. Illinois Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>State</td>
</tr>
<tr>
<td>-------</td>
</tr>
<tr>
<td>MO</td>
</tr>
<tr>
<td>IL</td>
</tr>
<tr>
<td>TOTAL</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step 2 - 5310 Traditional vs. New Freedom Type Projects Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>State</td>
</tr>
<tr>
<td>-------</td>
</tr>
<tr>
<td>MO</td>
</tr>
<tr>
<td>IL</td>
</tr>
<tr>
<td>TOTAL</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step 3 - Co-Designee Total Allocation (Includes Program Administration Funds)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Co-Designee</td>
</tr>
<tr>
<td>------------</td>
</tr>
<tr>
<td>BSD</td>
</tr>
<tr>
<td>IDOT</td>
</tr>
<tr>
<td>MoDOT</td>
</tr>
<tr>
<td>TOTAL</td>
</tr>
</tbody>
</table>
Appendix II: St. Louis UZA 5310 Program Funding Allocation Formula

**Step 4 - Program Administration Funds Allocation**

<table>
<thead>
<tr>
<th>Co-Designee</th>
<th>Total 5310 Program</th>
<th>The Council</th>
<th>Other Co-Designees</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total Allocation</td>
<td>% of Prog.</td>
<td>Total Prog.</td>
</tr>
<tr>
<td></td>
<td>of 5310 Program</td>
<td>Admin. Funds</td>
<td>Admin. Funds</td>
</tr>
<tr>
<td></td>
<td>Funds Available</td>
<td></td>
<td>Funds</td>
</tr>
<tr>
<td>BSD</td>
<td>$756,243.20</td>
<td>3.00%</td>
<td>$22,687.30</td>
</tr>
<tr>
<td></td>
<td>$60,499.46</td>
<td></td>
<td>5.00%</td>
</tr>
<tr>
<td>IDOT</td>
<td>$196,585.42</td>
<td>0.00%</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>$15,726.83</td>
<td></td>
<td>8.00%</td>
</tr>
<tr>
<td>MoDOT</td>
<td>$937,779.38</td>
<td>0.00%</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>$93,777.94</td>
<td></td>
<td>10.00%</td>
</tr>
<tr>
<td>TOTAL</td>
<td>$1,890,608.00</td>
<td>3.00%</td>
<td>$22,687.30</td>
</tr>
<tr>
<td></td>
<td>$170,004.23</td>
<td></td>
<td>$147,316.93</td>
</tr>
</tbody>
</table>

**Amount Available to Program**

<table>
<thead>
<tr>
<th>Co-Designee</th>
<th>Total 5310 Program</th>
<th>For Projects</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total Allocation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>of 5310 Program</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Funds Available</td>
<td></td>
<td></td>
</tr>
<tr>
<td>BSD</td>
<td>$756,243.20</td>
<td>$665,743.74</td>
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<tr>
<td>IDOT</td>
<td>$196,585.42</td>
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</tr>
<tr>
<td>MoDOT</td>
<td>$937,779.38</td>
<td>$937,779.38</td>
<td>$937,779.38</td>
</tr>
<tr>
<td>TOTAL</td>
<td>$1,890,608.00</td>
<td>$1,720,603.77</td>
<td>$1,890,608.00</td>
</tr>
</tbody>
</table>

CFDA # 20.513
Appendix II to the Revised MOU (2017) by & between
Bi-State Development, East-West Gateway COG, IDOT, and MoDOT
Page 6 of 6
2010 St Louis, MO-IL Urbanized Area

St. Louis Metropolitan Area

February 2017

LEGEND

- 2010 Urbanized Area
- Interstate Highway
- County Boundary

CFDA # 20.613
Exhibit 1 to the Revised MOU (2017) by & between Bi-State Development, East-West Gateway COG, IDOT, and MoDOT

Sources: U.S. Census Bureau (2012);
East-West Gateway Council of Governments
Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities

Call for Projects

Applications Due: Friday, January 13, 2017

For information contact:

Rachael Pawlak, Transportation Planner
East-West Gateway Council of Governments
1 Memorial Drive, Suite 1600
St. Louis, MO 63102
Phone MO: (314) 421-4220
Phone IL: (618) 274-2750
E-mail: rachael.pawlak@ewgateway.org
Section 5310: Table of Contents

I. Introduction .................................................................................................................. 3
   Application and Submittal Instructions ................................................................. 3
   Section 5310 Traditional in Illinois ................................................................. 3
II. Program Information .................................................................................................... 4
   Program Overview ............................................................................................. 4
   Section 5310 Program Circular ................................................................. 4
   Program History .................................................................................................. 4
   Eligible Sub-Recipients .................................................................................. 5
   Eligible Projects ............................................................................................... 5
   Mobility Management ..................................................................................... 6
   Local Match Requirements ........................................................................ 6
   Funding Availability ....................................................................................... 6
   Geographic Boundaries .................................................................................... 7
III. Program Responsibilities ............................................................................................ 8
   Designated Recipient Roles and Responsibilities .............................................. 8
   Title VI Civil Rights/Non-Discrimination Plan .............................................. 8
   Transit Asset Management Plan ................................................................ 8
   Section 5310 Program Measures ................................................................ 9
IV. Coordination Requirements ........................................................................................ 9
   Coordinated Human Services Transportation Plan ....................................... 9
   Service Coordination ....................................................................................... 10
V. Selection Process ..................................................................................................... 10
   Evaluation Criteria .......................................................................................... 11
VI. Schedule and Procedures ....................................................................................... 12
   Section 5310 Informational Workshop .......................................................... 12

Appendix A: Section 5310 Eligible Activities .......................................................... 13
Appendix B: Definitions .......................................................................................... 17
Appendix C: Application Guidelines .................................................................... 19
Appendix D: Evaluation Criteria ............................................................................. 29
Section 5310: Program Workbook

I. INTRODUCTION

The East-West Gateway Council of Governments (the Council) in cooperation with the Missouri Department of Transportation (MoDOT), Illinois Department of Transportation (IDOT), and Bi-State Development (Metro) are pleased to administer the Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program (referred to as Section 5310 program) in the St. Louis Urbanized Area (UZA). The Section 5310 program is funded by the Federal Transit Administration (FTA) as authorized under 49 U.S.C. § 5310 (CFDA 20.513).

Sub-recipients can apply for Section 5310 Traditional projects and New Freedom Type projects. Please refer to Page 5 of this workbook and Appendix A for a listing of eligible Section 5310 project examples. A key FTA requirement requires at least 55 percent of the Section 5310 program be spent on Section 5310 Traditional projects, such as wheelchair-accessible vehicles, and specifically names non-profit organizations as the recommended sub-recipient of those grants.

Please note – The selection of Section 5310 projects is based on the urban area formula-based apportionment for the St. Louis UZA. The St. Louis UZA covers both Missouri and Illinois (referred to as the St. Louis, MO-IL UZA). Please refer to the map on Page 7 of this workbook for a depiction of the St. Louis, MO-IL UZA. The Missouri portion of the St. Louis UZA is referred to as “the St. Louis, MO UZA” and the Illinois portion of the St. Louis UZA is referred to as “the St. Louis, IL UZA.” The Council’s call for projects for Section 5310 funding is for Section 5310 Traditional projects in the St. Louis, MO UZA, and New Freedom Type projects in the St. Louis, MO-IL UZA.

Application and Submittal Instructions:
Project applications must consist of one (1) original signed hard copy and one (1) copy. Project applications must be submitted by mail or hand delivered by Friday, January 13, 2017 to:

East-West Gateway Council of Governments
One Memorial Drive, Ste 1600
St. Louis, MO 63102
Attention: Rachael Pawlak

If you are applying for a Section 5310 Traditional project and a New Freedom Type project, separate applications must be submitted. If you are applying for multiple Section 5310 Traditional vehicles that will be used for the same service or program, submit one application. You may attach additional pages to the application if needed to address the questions in the application. Applications with incomplete and/or missing information may not be considered for funding. Applicants may be asked to revise their projects. The Council reserves the right to award funding to certain parts of a project. Appendix C provides guidance on completing the Section 5310 Application.

Section 5310 Traditional in Illinois:
For applicants wishing to apply for the Section 5310 Traditional Consolidated Vehicle Program (CVP) in the St. Louis, IL UZA, contact Michael Healy, CVP Program Manager, IDOT, at (312) 793-2184 for information on project solicitation. More information can be found here: http://bit.ly/2f6iYEP. Select the “Capital” tab, and then select “Paratransit Vehicles.”
II. PROGRAM INFORMATION

Program Overview:
The Section 5310 program provides funding to help improve mobility for seniors and individuals with disabilities, by removing barriers to transportation services and expanding the transportation mobility options available. The program provides grant funds for capital and operating expenses to sub-recipients for:

- 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;
- Public transportation projects that exceed the requirements of the Americans with Disabilities Act (ADA) of 1990 (42 U.S.C. 12101 et seq.);
- Public transportation projects that improve access to fixed-route service and decrease reliance by individuals with disabilities on complementary paratransit; and
- Alternatives to public transportation projects that assist seniors and individuals with disabilities with transportation.

Section 5310 Program Circular:
For more information on the Section 5310 program, the Program Circular FTA C 9070.1G is available at http://1.usa.gov/1nNhfFp. Many of the terms used in this application are defined in Appendix B or in the Program Circular.

Program History:
The Section 5310 program was established in 1975 as a discretionary capital assistance program, and the program awarded grants to private non-profit organizations to serve the needs of seniors and persons with disabilities. Many of the non-profit agencies used the vehicles primarily for transportation of their own clients. The Section 5310 program changed to a formula program under the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA). ISTEA encouraged the coordination of human service transportation, and FTA guidance required coordination of the program with other federal human services transportation programs. The Transportation Equity Act for the 21st Century (TEA-21) enacted in 1998, reauthorized the Section 5310 program. TEA-21 increased the authorized funding levels, but made no significant program changes.

In 2005, Congress enacted the Safe, Accountable, Flexible Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), and authorized the New Freedom program to support new public transportation services and public transportation alternatives beyond those required by the ADA. SAFETEA-LU also introduced the requirement that Section 5310 and New Freedom projects must be derived from a locally developed, coordinated public transit-human services transportation plan.

Congress enacted the MAP-21 Act on July 6, 2012. MAP-21 repealed the New Freedom program and merged the New Freedom program into the Section 5310 program. As a result of this merger, activities under the New Freedom program are now eligible under Section 5310, and consistent with the New Freedom program, funds are apportioned among the large urbanized areas, small urbanized areas, and rural areas, instead of only to states, as the law previously provided. MAP-21 required that a minimum of 55 percent of the Section 5310 funding be expended on Section 5310 Traditional projects. On December 4, 2015, President Obama signed the Fixing America’s Surface Transportation (FAST) Act, reauthorizing surface transportation programs, including the Section 5310 program, through Fiscal Year 2020, but made no significant program changes.
Eligible Sub-Recipients:
Section 5310 funds have two categories of projects (i.e., Section 5310 Traditional and New Freedom Type), and not all sub-recipients are eligible for both categories.

Eligible sub-recipients of Section 5310 Traditional funding (i.e., paratransit vehicle acquisition) include:
- Private non-profit organizations; or
- State or local government authorities that are 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.

Eligible sub-recipients for the New Freedom Type activities include:
- Private non-profit organizations;
- State or local government authorities; or
- Operators of public transportation.

Private taxi companies that provide shared-ride taxi service to the general public on a regular basis are operators of public transportation, and therefore are eligible sub-recipients. Similar to general public and ADA demand response service, every trip does not have to be shared-ride in order for a taxi company to be considered a shared-ride operator, but the general nature of this service must include shared rides. Taxi companies that provide only exclusive-ride service are not eligible sub-recipients; however, they may participate in the Section 5310 program as contractors. Exclusive-ride taxi companies may receive Section 5310 funds to purchase accessible taxis under contract with an eligible sub-recipient such as a local government or non-profit organization.

Eligible Projects:
Section 5310 funds are available for capital and operating expenses to support the provision of transportation services to meet the specific needs of seniors and individuals with disabilities. All requested operating expenses must have a functional relationship to transportation for seniors and/or individuals with disabilities. Below are examples of eligible Section 5310 projects:

Eligible Section 5310 Traditional project examples (i.e., projects that meet the 55 percent requirement):
- Acquisition of expansion or replacement buses and vans, and related procurement, testing, inspection, and acceptance costs. All vehicles purchased with Section 5310 funding must be accessible by the ADA.
- Radios and communication equipment.
- Vehicle wheelchair lifts, ramps, and securement devices.
- Support facilities and equipment for Section 5310-funded vehicles (i.e., computer hardware and software, transit-related intelligent transportation systems (ITS), dispatch systems, fare collection systems).
- Projects that support mobility management and coordination programs among public transportation providers and other human service agencies providing transportation.

Eligible New Freedom Type project examples (i.e., other eligible capital and operating expenses):
- Travel training.
- Volunteer driver programs, including support costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, mileage reimbursement, and insurance.
- Building an accessible path to a bus stop including curb-cuts, sidewalks, or accessible pedestrian signals.
- Improving signage or way-finding technology.
- Incremental cost of providing same day service or door-to-door service.
- Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs.
- Supporting the administration and expenses related to voucher programs for transportation services offered by human service providers.
- Mobility management.
Please note – Mobility management may be eligible under both categories. In order for the project to qualify towards the 55 percent requirement, the project must be carried out by an eligible sub-recipient.

Examples of ineligible expenses include charter service, school bus service, depreciation expenses, private for-profit taxi service that is not shared-ride, and projects not targeted to seniors and individuals with disabilities.

Mobility Management:
Mobility management is an innovative approach for managing and delivering coordinated transportation services to customers. An example of a mobility management type project includes: a non-profit agency could receive Section 5310 funding to support the administrative costs of sharing services it provides to its own clientele with other seniors and/or individuals with disabilities, and coordinate usage of vehicles with other non-profits, but not the operating costs of service. Mobility management is an eligible capital cost, and may include:

- Operating transportation brokerages to coordinate service providers, funding resources, and customer needs.
- Providing travel training and trip planning activities for customers.
- Developing and operating travel call centers to coordinate travel information, manage eligibility requirements, and arrange customer travel.
- Planning and implementing the acquisition and purchase of ITS to operate a coordinated system.

Local Matching Requirements:
The Section 5310 program is a cost-reimbursement program. Section 5310 program funds can be used to support the net costs of a capital, mobility management, or operating project. The required matching funds for different types of projects are as follows:

- For capital and mobility management projects, Section 5310 program funds can be used to support 80 percent of the net project costs and 20 percent of the net project costs must come from local match sources.
- For operating projects, Section 5310 program funds can be used to support 50 percent of the net project costs and 50 percent of the net project costs must come from local match sources.

All of the local match funds must be provided from sources other than federal Department of Transportation (DOT) funds. Some examples of local match sources include: state or local appropriations, dedicated tax revenues, private donations, revenue from service contracts, transportation development credits, and net income generated from advertising and concessions. If requesting a vehicle capital project, the local match must be in cash from non-DOT sources.

Non-cash share such as donations, volunteered services, or in-kind contributions is eligible to be counted toward the local match as long as the value of each is documented and supported, represents a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget. Farebox revenue may not be used as local match. Farebox revenue is considered income and is deducted from the total project cost to determine the net project cost.

Income from contracts to provide human service transportation may be used either to reduce the net project cost (i.e., treated as revenue) or to provide local match for Section 5310 operating assistance. In either case, the cost of providing the contract service is included in the total project cost. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service.

Funding Availability:
The federal funding available for the St. Louis, MO-IL UZA is based on leftover federal fiscal year (FFY) 2015 funding, the full FFY 2016 allocation, and an estimated FFY 2017 allocation. The amount available to program is approximately $3.12 million. Please note – the FTA FFY 2017 apportionments and allocations have not been released at this time. Projects cannot be awarded FFY 2017 funding until the apportionments and allocations have been released.
**Geographic Boundaries:**
The FTA Section 5310 Circular states that funding boundaries for large areas are to be determined by their 2010 Census Urbanized Area (UZA). The map below shows the 2010 Census designated UZA in yellow. The Council’s call for projects for Section 5310 funding is for Section 5310 Traditional projects in the St. Louis, MO UZA, and New Freedom Type projects in the St. Louis, MO-IL UZA. **Please note** – county-level maps are available for reference at [http://bit.ly/2gfUcC7](http://bit.ly/2gfUcC7).

**2010 St Louis, MO-IL Urbanized Area**

For applicant’s interested in applying for Section 5310 Traditional vehicles in the St. Louis, IL UZA, please contact IDOT for information on their CVP solicitation. For agencies outside of the yellow area, applicants interested in Section 5310 funding on the Missouri side are to consult MoDOT and on the Illinois side are to consult IDOT.

The table below describes to whom the project sponsor should submit their application, based on the service area and the project type. The table also identifies the administering agency. **Please note** – MoDOT and IDOT have separate applications and deadlines.

<table>
<thead>
<tr>
<th>Service Area</th>
<th>Project Type</th>
<th>Submit to Agency</th>
<th>Administered by Agency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rural Missouri</td>
<td>Section 5310 Traditional</td>
<td>MoDOT</td>
<td>MoDOT</td>
</tr>
<tr>
<td>Rural Missouri</td>
<td>New Freedom Type</td>
<td>MoDOT</td>
<td>MoDOT</td>
</tr>
<tr>
<td>St. Louis UZA, Missouri</td>
<td>Section 5310 Traditional</td>
<td>The Council</td>
<td>MoDOT</td>
</tr>
<tr>
<td>St. Louis UZA, Missouri</td>
<td>New Freedom Type</td>
<td>The Council</td>
<td>Bi-State Development</td>
</tr>
<tr>
<td>St. Louis UZA, Illinois</td>
<td>Section 5310 Traditional</td>
<td>IDOT</td>
<td>IDOT</td>
</tr>
<tr>
<td>St. Louis UZA, Illinois</td>
<td>New Freedom Type</td>
<td>The Council</td>
<td>Bi-State Development</td>
</tr>
<tr>
<td>Rural Illinois</td>
<td>Section 5310 Traditional</td>
<td>IDOT</td>
<td>IDOT</td>
</tr>
<tr>
<td>Rural Illinois</td>
<td>New Freedom Type</td>
<td>n/a</td>
<td>n/a</td>
</tr>
</tbody>
</table>

Bold rows indicate which projects are included in the Council’s call for projects.
III. PROGRAM RESPONSIBILITIES

Designated Recipient Roles and Responsibilities:
The Council, MoDOT, IDOT, and Bi-State Development serve as the designated recipients for the St. Louis, MO-IL UZA. The Council is responsible for the development of the CHSTP, and the solicitation and selection process of Section 5310 Traditional projects (i.e., paratransit vehicles) in the St. Louis, MO UZA, and New Freedom Type projects in the St. Louis, MO-IL UZA. MoDOT is responsible for the program administration of the Section 5310 Traditional projects in the St. Louis, MO UZA, and Bi-State Development is responsible for the program administration of the New Freedom Type projects in the St. Louis, MO-IL UZA. IDOT is responsible for the selection process and project administration of the Section 5310 Traditional projects in the St. Louis, IL UZA.

The responsibilities for each type of project are allocated between the co-designees as follows:

<table>
<thead>
<tr>
<th>Geographical Area</th>
<th>Section 5310 Traditional Projects</th>
<th>New Freedom Type Projects</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Selection Process</td>
<td>Project Administration</td>
</tr>
<tr>
<td>St. Louis, MO UZA</td>
<td>The Council</td>
<td>MoDOT</td>
</tr>
<tr>
<td>St. Louis, IL UZA</td>
<td>IDOT</td>
<td>IDOT</td>
</tr>
</tbody>
</table>

Title VI Civil Rights/Non-Discrimination Plan:
All sub-recipients are required by FTA to develop a Title VI Civil Rights/Non-Discrimination plan that conforms to FTA requirements. In 2013, MoDOT conducted workshops of Title VI plans, as well as Limited English Proficiency (LEP) components of Title VI Civil Rights/Non-Discrimination plans. The workshop presentations and the Title VI Civil Rights/Non-Discrimination plan template is available for download under the heading “Presentations” at [http://bit.ly/2e7FcSW](http://bit.ly/2e7FcSW).

Transit Asset Management Plan:
On July 26, 2016, the FTA published a final rule that requires public transportation providers to develop and implement transit asset management (TAM) plans. A sub-recipient that operates service that is open to the public or a segment of the general public (e.g. elderly persons or persons with disabilities) must comply with the final rule to develop TAM plans. Tier II providers (those transit operators that do not operate rail fixed-guideway public transportation systems and have either 100 or fewer vehicles in fixed-route revenue or have 100 or fewer vehicles in general demand responsive service during peak regular service hours) are eligible to participate in a group TAM plan that would be developed by a sponsor (e.g. state DOT). Tier I providers (those operators with 101 or more vehicles in revenue service during peak regular service or operators of fixed-guideway public transportation systems) are required to develop their own, individual TAM plan.

A non-profit sub-recipient under the Section 5310 program that operates a closed-door service (e.g. for members of a specific senior center or for participants in a specific sheltered workshop program only), is not a provider of public transportation and is not subject to the final rule (i.e., are not required to develop a TAM plan).

Section 5310 Program Measures:
The Section 5310 Program Circular, page II-2, #3, requires that certain performance measures be gathered. FTA is required by law to “establish performance goals to define the level of performance” and to also “establish performance indicators to be used in measuring relevant outputs, service levels, and outcomes” for each of its program. MoDOT and Bi-State Development will collect and report the following program measures to FTA.

Section 5310 Traditional Project Performance Measures:
- **Gaps in Services Filled:** Providing 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 Section 5310 Traditional projects implemented in the current reporting year.
- **Ridership:** Actual or estimated number of rides (as measured by one-way trips) provided annually for seniors and individuals with disabilities on Section 5310-supported vehicles and services as a result of Section 5310 Traditional projects implemented in the current reporting year.

New Freedom Type Project Performance Measures:
- **Service Improvements:** 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 New Freedom Type projects implemented in the current reporting year.
- **Physical Improvements:** 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 New Freedom Type projects implemented in the current reporting year.
- **Ridership:** Actual or estimated number of rides (as measured by one-way trips) provided for seniors and individuals with disabilities as a result of New Freedom Type projects implemented in the current reporting year.

IV. COORDINATION REQUIREMENT

Coordinated Human Services Transportation Plan:
Title 49 U.S.C. 5310 requires that projects selected for funding be “included in a locally developed, coordinated public transit-human services transportation plan.” FTA maintains flexibility in how projects appear in the coordinated public transit-human services transportation plan. Projects may be identified as strategies, activities, and/or specific projects addressing an identified service gap or transportation coordination objective articulated and prioritized within the plan. The Council’s Coordinated Human Services Transportation Plan (CHSTP) was updated and approved by the Board of Directors in June 2016 in accordance with the federal requirements. The key elements of the CHSTP include:
- Demographic profile of persons with disabilities and older adults.
- An inventory of known human service agencies and transportation providers in the St. Louis region.
- Identified gaps and barriers in existing transportation services and regional coordination.
- Goals and strategies that address the noted gaps in service.
- Priorities for implementation of the identified strategies based on resources, time, and feasibility.

The CHSTP is required to be updated every four years. Transportation service providers are strongly encouraged to get involved with this planning process. Contact the Council for more information.

Service Coordination:
If a transportation provider or human service agency operates in your project service area or serves the same type of needs, you should contact the provider in order to reduce possibilities for duplication of services. Send each provider or agency an individual letter advising the provider or agency of your Section 5310 application. In the letter, describe the proposed service, number of vehicles requested/used, target population to be served, service area boundaries, etc. The transportation provider or human service agency is encouraged to submit written comments referencing the application and indicating:

- Whether the services they are now providing are designed to meet the special needs of seniors and/or individuals with disabilities in the service area of the Section 5310 project;
- Whether they wish to participate in some way in the provision of the services proposed in the Section 5310 application;
- Any other comments of approval or disapproval about the Section 5310 project they wish the Council to consider.

Include copies of your letters and all responses with your application.

Agency service areas vary a great deal. If you are unsure about whether you can coordinate with an agency, contact that agency. If you are unsure who operates in your service area, contact Council staff.

Examples of major transportation providers (provider – service area):
- Bi-State Development (Metro) – St. Louis City, St. Louis County, and St. Clair County
- Madison County Transit – Madison County
- St. Clair County Transit District – St. Clair County
- St. Charles Area Transit – St. Charles City
- JeffCo Express – Jefferson County
- OATS, Inc. – St. Louis County, St. Charles County, Jefferson County, and Franklin County
- Area Agency on Aging – St. Louis AAA – St. Louis City; Mid-East AAA – St. Louis County, St. Charles County, Jefferson County, and Franklin County; AgeSmart Community Resources AAA of Southwestern Illinois – Madison County, Monroe County, and St. Clair County
- Eastern Missouri Transportation Coordinating Council – St. Charles County and Franklin County
- Illinois Human Service Planning regions – Region 9 – Madison County; Region 11 – Monroe County and St. Clair County
- Volunteer driver programs – St. Louis County Older Residents Program – St. Louis County; ITN St. Charles – St. Charles County
- Local human service agencies – private for-profit and private not-for-profit transportation providers in the St. Louis UZA
- Coordinating agencies – Agencies that work with your organization in providing transportation services to seniors and individuals with disabilities in the St. Louis UZA

V. SELECTION PROCESS

Projects submitted for funding are prioritized and selected using a competitive process. The selection criteria was approved by the CHSTP Stakeholder Committee. The Council reviews and scores the applications according to the criteria listed below. After scoring the proposals, projects recommended for funding will be presented to the Council’s Missouri and Illinois Transportation Planning Committee. The TPC will review the projects recommended for funding and make a recommendation to the Council’s Board of Directors. The list of approved projects will be amended to the Transportation Improvement Program (TIP).
Evaluation Criteria:
Projects will be evaluated based on information provided in the application. For a project to be considered for funding, the following minimum requirements must be met:

- The project sponsor must meet the sub-recipient criteria as defined in the Section 5310 Circular.
- The proposed project must be eligible for Section 5310 funding under FTA guidelines.
- The project must serve the target population – seniors and/or persons with disabilities.
- The proposed project must be non-duplicative.
- The proposed project must identify one or more local funding source and provide evidence that the source(s) are committed to supplying the necessary local match for the project.
- The project must address one of the strategies identified in the CHSTP.

The Council will use a competitive process to select and evaluate St. Louis, MO UZA Section 5310 Traditional projects and St. Louis, MO-IL UZA New Freedom Type projects. The following selection criteria include a maximum of 100 total points. The Council scores the Section 5310 projects according to the criteria described below:

1. **Responsiveness to CHSTP Gaps and Strategies (25 points):**
   - Points will be awarded based on the project’s responsiveness in addressing the gaps identified in the CHSTP (10).
   - Points will be awarded based on how many strategies the project addresses, and how well the project responds to the strategies in the CHSTP (15).

2. **Sponsor Experience and Management (25 points):**
   - Points will be awarded based on the project sponsor’s:
     i. Experience in managing transportation services for seniors and/or individuals with disabilities (5),
     ii. Availability of sufficient management, staff, and resources to implement project (5),
     iii. Stability of local match funding sources (5),
     iv. History of managing federal transportation projects (5), and
     v. Ability to sustain project after initial grant funding is expended (5).

3. **Coordination among Agencies (20 points):**
   - Points will be awarded based on the coordination efforts and demonstrated partnerships to address gaps and avoid duplicated services.

4. **Benefits to Target Population (20 points):**
   - Points will be awarded based on the estimated number of seniors and/or individuals with disabilities that the project will benefit (10).
   - Points will be awarded if the sponsor demonstrates improved benefits to target population over time for existing projects, or estimates benefit to target population to be achieved for new projects (5).
   - Points will be awarded to projects that serve more than one jurisdiction (5).

5. **Project Budget (5 points):**
   - Points will be awarded based on how efficiently the project provides benefits to the users (cost per customer served).

6. **Marketing and Promotion (5 points):**
   - Points will be awarded based on how the sponsor markets the transportation service to the target population and promotes awareness.

Please see Appendix D for more explanation on the scoring criteria.
VI. SCHEDULE AND PROCEDURES

The schedule for this call for projects is provided below. The schedule is subject to change.

<table>
<thead>
<tr>
<th>Approximate Date</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>November 30, 2016</td>
<td>Section 5310 Workbook and Application available online.</td>
</tr>
<tr>
<td>December 13, 2016</td>
<td>Section 5310 Informational Workshop held by the Council, MoDOT, and Bi-</td>
</tr>
<tr>
<td></td>
<td>State Development on Tuesday, December 13, 2016 to clarify program</td>
</tr>
<tr>
<td></td>
<td>requirements, application procedures, and project selection criteria. The</td>
</tr>
<tr>
<td></td>
<td>Informational Workshop will be held at the MoDOT TMC and it is not</td>
</tr>
<tr>
<td></td>
<td>mandatory to attend to be eligible for funding.</td>
</tr>
<tr>
<td>November 30, 2016 –</td>
<td>Council staff is available to provide assistance to individual applicants as</td>
</tr>
<tr>
<td>January 13, 2017</td>
<td>needed. Contact Rachael Pawlak at (314) 421-4220 or</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:rachael.pawlak@ewgateway.com">rachael.pawlak@ewgateway.com</a> if you have any questions.</td>
</tr>
<tr>
<td>January 13, 2017</td>
<td>Deadline for receipt of complete application (one original and one copy).</td>
</tr>
<tr>
<td></td>
<td>Applications must be submitted to the Council. The deadline includes</td>
</tr>
<tr>
<td></td>
<td>mailed applications.</td>
</tr>
<tr>
<td>January 16, 2017 –</td>
<td>Council staff organizes and reviews applications. Applications are</td>
</tr>
<tr>
<td>February 24, 2017</td>
<td>evaluated based on a competitive selection process. Council staff</td>
</tr>
<tr>
<td></td>
<td>develops a draft recommended project list, which is distributed to the</td>
</tr>
<tr>
<td></td>
<td>Council Transportation Planning Committee (TPC).</td>
</tr>
<tr>
<td>March 1, 2017</td>
<td>TPC meets to approve recommended project list. Applicants are notified</td>
</tr>
<tr>
<td></td>
<td>about the recommendations after the TPC approves the recommended</td>
</tr>
<tr>
<td></td>
<td>project list.</td>
</tr>
<tr>
<td>March 21, 2017</td>
<td>Recommended project list is presented to the Council Executive Advisory</td>
</tr>
<tr>
<td></td>
<td>Committee (EAC).</td>
</tr>
<tr>
<td>March 29, 2017</td>
<td>Recommended project list presented to the Council Board of Directors for</td>
</tr>
<tr>
<td></td>
<td>final approval, and amended into FY 2017-20 TIP.</td>
</tr>
</tbody>
</table>

Section 5310 Informational Workshop:
A Section 5310 Informational Workshop is scheduled for Tuesday, December 13, 2016 at the MoDOT Transportation Management Center (TMC). Location information is provided below. Staff from the Council will provide information on Section 5310, including program eligibility, projects applications, scoring criteria, and available funding. Attendance at this Workshop is not required for applicants to participate in this funding opportunity, but is strongly encouraged.

When and where:
December 13, 2016 – 10:00 AM-Noon
MoDOT TMC, Room 209, 14301 South Outer 40 Road, Chesterfield, MO 63017
Appendix A: Section 5310 Eligible Activities

Section 5310 funds are available for capital and operating expenses to support the provision of transportation services to meet the specific needs of seniors and individuals with disabilities.

Section 5310(b) provides that of the amounts apportioned to states and designated recipients, not less than 55 percent shall be available for Section 5310 Traditional projects – those public transportation capital projects planned, designed, and carried out to meet the specific needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable, or inappropriate. Notably, this 55 percent is a floor, not a ceiling – recipients may use more than 55 percent of their apportionment for this type of project.

Eligible capital expenses that meet the 55 percent requirement:

a. Rolling stock and related activities for Section 5310-funded vehicles
   1) Acquisition of expansion or replacement buses and vans, and related procurement, testing, inspection, and acceptance costs;
   2) Vehicle rehabilitation or overhaul;
   3) Preventive maintenance;
   4) Radios and communication equipment; and
   5) Vehicle wheelchair lifts, ramps, and securement devices.

b. Passenger facilities related to Section 5310-funded vehicles
   1) Purchase and installation of benches, shelters, and other passenger amenities.

c. Support facilities and equipment for Section 5310-funded vehicles
   1) Extended warranties that do not exceed the industry standard;
   2) Computer hardware and software;
   3) Transit-related intelligent transportation systems (ITS);
   4) Dispatch systems; and
   5) Fare collection systems.

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

e. Acquisition of transportation services under a contract, lease, or other arrangement. This may include acquisition of ADA-complementary paratransit services. Both capital and operating costs associated with contracted services are eligible capital expenses.

f. Support for mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. Mobility management is an eligible capital cost. Mobility management activities may include:
   1) The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, seniors, and low-income individuals;
   2) Support for short-term management activities to plan and implement coordinated services;
   3) The support of state and local coordination policy bodies and councils;
   4) The operation of transportation brokerages to coordinate providers, funding agencies, and passengers;
   5) The provision of coordination services, including employer-oriented transportation management organizations' and human service organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;
6) The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangement for customers among supporting programs; and
7) Operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of geographic information systems (GIS) mapping, global positioning system technology, coordinated vehicle scheduling, dispatching and monitoring technologies, as well as technologies to track costs and billing in a coordinated system, and single smart customer payment systems. (Acquisition of technology is also eligible as a standalone capital expense).

g. Capital activities (e.g., acquisition of rolling stock and related activities, acquisition of services, etc.) to support ADA-complementary paratransit service may qualify toward the 55 percent requirement, so long as the service is provided by an eligible recipient/sub-recipient.

Other eligible capital and operating expenses “New Freedom Type projects” (up to 45 percent):

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.

b. Public transportation projects (capital and operating) that exceed the requirements of the ADA. The following activities are examples of eligible projects meeting the definition of public transportation service that is beyond the ADA.

1) Enhancing paratransit beyond minimum requirements of the ADA. ADA-complementary paratransit services can be eligible under the Section 5310 program in several ways:
   i. Expansion of paratransit parameters beyond the three-fourths mile required by the ADA;
   ii. Expansion of current hours of operation for ADA paratransit services that are beyond those provided on the fixed-route services;
   iii. The incremental cost of providing same day service;
   iv. 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;
   v. Enhancement of the level of service by providing escorts or assisting riders through the door of their destination;
   vi. Acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for wheelchairs under the ADA regulations, 49 CFR part 38 (i.e., larger than 30” x 48” and/or weighing more than 600 pounds), and labor costs of aides to help drivers assist passengers with oversized wheelchairs. This would permit the acquisition of lifts with a larger capacity, as well as modifications to lifts with a 600-pound design load, and the acquisition of heavier duty vehicles for paratransit and/or demand-response service in order to accommodate lifts with a heavier design load; and
   vii. Installation of additional securement locations in public buses beyond what is required by the ADA.

2) Feeder services. Accessible “feeder” service (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA.

c. Public transportation projects (capital and operating) that improve accessibility. The following activities are examples of eligible projects that improve accessibility to the fixed-route system.

1) Making accessibility improvements to transit and intermodal stations not designated as key stations. Improvements for accessibility at existing transportation facilities that are not designated as key stations established under 49 CFR 37.47, 37.51, or 37.53, and that are not
required under 49 CFR 37.43 as part of an alteration or renovation to an existing station, so long as the projects are clearly intended to remove barriers that would otherwise have remained. Section 5310 funds are eligible to be used for accessibility enhancements that remove barriers to individuals with disabilities so they may access greater portions of public transportation systems, such as fixed-route bus service, commuter rail, light rail, and rapid rail. This may include:

i. Building an accessible path to a bus stop that is currently inaccessible, including curbcuts, sidewalks, accessible pedestrian signals, or other accessible features;

ii. Adding an elevator or ramps, detectable warnings, or other accessibility improvements to a non-key station that are not otherwise required under the ADA;

iii. Improving signage or wayfinding technology; or

iv. Implementation of other technology improvements that enhance accessibility for people with disabilities including ITS.

2) Travel training. Training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services.

d. Public transportation alternatives (capital and operating) that assist seniors and individuals with disabilities with transportation. The following activities are examples of projects that are eligible public transportation alternatives.

1) Purchasing vehicles to support accessible taxi, ride-sharing, and/or vanpooling programs. Section 5310 funds can be used to purchase and operate accessible vehicles for use in taxi, ride-sharing, and/or vanpool programs provided that the vehicle meets the same requirements for lifts, ramps, and securement systems specified in 49 CFR part 38, subpart B, at a minimum, and permits a passenger whose wheelchair can be accommodated pursuant to part 38 to remain in his/her personal mobility device inside the vehicle.

2) Supporting the administration and expenses related to voucher programs for transportation services offered by human service providers. This activity is intended to support and supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Vouchers can be used as an administrative mechanism for payment of alternative transportation services to supplement available public transportation. The Section 5310 program can provide vouchers to seniors and individuals with disabilities to purchase rides, including: (a) mileage reimbursement as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Providers of transportation can submit the voucher reimbursement to the recipient for payment based on predetermined rates and contractual agreements. Transit passes or vouchers for use on existing fixed-route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense which requires a 50/50 (federal/local) match.

3) Supporting volunteer driver and aide programs. Volunteer driver programs are eligible and include support costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs. The costs of enhancements to increase capacity of volunteer driver programs are also eligible. FTA encourages communities to offer consideration for utilizing all available funding resources as an integrated part of the design and delivery of any volunteer driver/aide program.

e. Limits on operating assistance. Given the 55 percent requirement for Section 5310 Traditional capital projects, a recipient may allocate up to 45 percent of its apportionment for operating assistance. However, this funding is limited to eligible projects as described in 49 U.S.C 5310(b)(1)(B-D) and described in this section (b, c, and d) above. Operating assistance for required ADA complementary paratransit service is not an eligible expense.
Appendix B: Definitions

**Americans with Disabilities Act (ADA):** Public Law 336 of the 101st Congress, enacted July 26, 1990 (42 U.S.C. § 12101 et seq.). The ADA prohibits discrimination and ensures equal opportunity for persons with disabilities in employment, state and local government services, public accommodations, commercial facilities, and transportation.

**Capital Project:** A category of reimbursable project expenses that include all activities identified in 49 U.S.C. 5302(3). Eligible activities under this project category are explained in Chapter III of the Section 5310 Program Circular (FTA C 9070.1G).

**Closed-Door Service:** A sub-recipient that operates service that is closed to the general public and only available to a particular clientele. For example, for members of a specific senior center or for participants in a specific sheltered workshop program.

**Coordinated Public Transit-Human Service Transportation Plan:** A locally developed, coordinated transportation plan that identifies the transportation needs of seniors and individuals with disabilities, provides strategies for meeting those needs, and prioritizes transportation services for funding and implementation.

**Demand Responsive System:** Any non-fixed route system of transporting individuals that requires advanced scheduling including services provided by public entities, non-profits, and private providers. An advance request for service is a key characteristic of demand responsive service.

**Designated Recipient:** An entity designated, in accordance with the planning process under sections 5303 and 5304 of title 49, United States Code, by the governor of a state, responsible local officials, and publicly owned operators of public transportation, to receive and apportion amounts under 49 U.S.C. 5336 to urbanized areas of 200,000 or more in population; or a state or regional authority, if the authority is responsible under the laws of a state for a capital project and for financing and directly providing public transportation.

**Disability:** The term disability has the same meaning as in Section 3(1) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102). The term “disability” means, with respect to an individual –

a) a physical or mental impairment that substantially limits one or more major life activities of such individual;
b) a record of such an impairment; or
c) being regarded as having such an impairment.

**Human Service Transportation:** Transportation Services provided by or on behalf of a human service agency to provide access to agency services and/or to meet the basic, day-to-day mobility needs of transportation-disadvantaged populations, especially individuals with disabilities, seniors, and people with low incomes.

**Large Urbanized Area:** An urbanized area (UZA) with a population of 200,000 or more individuals, as determined by the Bureau of the Census.

**Mobility Management:** Consists of short-range planning and management activities and projects for improving coordination among public transportation and other transportation service providers carried out by a recipient or sub-recipient through an agreement entered into with a person, including a government entity, under 49 U.S.C. chapter 53 (other than section 5309). Mobility management does not include operating public transportation services.

**Net Project Cost:** The part of a project that reasonably cannot be financed from operating revenues (i.e., farebox recovery).
**Non-Profit Organization:** A corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501(c) 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.

**Open-Door Service:** A sub-recipient that operates service that is open to the general public or a segment of the general public, for example, elderly persons or persons with disabilities.

**Operating Expenses:** Those costs necessary to operate, maintain, and manage a public transportation system. Operating expenses usually include such costs as driver salaries, fuel, and items having a useful life of less than one year.

**Paratransit:** A comparable transportation service required by the ADA for individuals with disabilities who are unable to use fixed-route transportation systems.

**Public Transportation:** Regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low income, and does not include: intercity passenger rail transportation provided by Amtrak, intercity bus service, charter bus service, school bus service, sightseeing service, courtesy shuttle service for patrons of one or more specific establishments, or intraterminal or intrafacility shuttle services.

**Revenue:** Funds generated through the transportation service. This may include registration fees, fares, or ride-based donations.

**Seniors:** An individual who is 65 years of age or older.

**Sub-Recipient:** A state or local governmental authority, a private non-profit organization, or an operator of public transportation that received a grant under Section 5310 indirectly through a recipient.

**Urbanized Area (UZA):** An area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an urbanized area by the Secretary of Commerce.

**Useful Life:** The expected lifetime of project property, or the acceptable period of use in service. Useful life of revenue rolling stock begins on the date the vehicle is placed in revenue service and continues until it is removed from service.
Appendix C: Application Guidance

1. **Applicant Agency Information:**
   - **Project Title:** The title of the applicant agency’s project should be a brief, easy way to identify the project and distinguish it among other projects (e.g., Transportation to Work Program, Evening and Weekend Transportation Program, Vehicle Acquisition for Senior Transportation).
   - **Legal Name of Organization:** List legal name as shown on articles of incorporation or charter.
   - **List of all DBA Names:** List all doing business as (DBA) names used by the applicant agency.
   - **Executive Director:** Name of applicant agency’s executive director.
   - **Street Address:** Physical location of main office of organization.
   - **City:** Place/location of main office.
   - **State:** State of main office.
   - **County:** County location of main office.
   - **ZIP+4:** Nine digit postal code for main office.
   - **Mailing Address:** Address where mail is to be sent including city, state, and ZIP+4.
   - **Phone Number:** Phone number of main office.
   - **Fax Number:** Fax number of main office.
   - **Congressional District(s):** Applicant agency’s district.
   - **Non-Profit Number:** Non-Profit Corporation Number as issued by the Missouri or Illinois Secretary of State.
   - **Federal Employer ID Number (FEIN):** Can be found on applicant agency’s federal tax filings.
   - **DUNS Number:** Any agency applying for a grant or cooperative agreement with funds from the federal government must have a DUNS number. This is a nine-digit identification number that provides a unique identification for single business entities. Applicant agencies that currently do not have a DUNS number can obtain one for free from Dun and Bradstreet ([www.dnb.com](http://www.dnb.com)). It takes approximately five weeks to receive a DUNS number after the information requested is imputed in the “Instructions on How to Obtain a DUNS Number.”

2. **Person to Contact with Regard to this Application:**
   - **Name:** Applicant agency’s contact person name for project.
   - **Title:** Contact person’s title.
   - **Phone Number:** Phone number of contact person.
   - **Fax Number:** Fax number of contact person.
   - **Email:** Email address of contact person.

3. **Organization Type:**
   Applicant agency must identify the organization type. Section 5310 funding is limited to private non-profit organizations, state or local government authorities, and operators of public transportation.
4. **Project Type:**
Applicant agency must classify the project type. Section 5310 funds are available for capital, mobility management, and operating expenses to support the provision of transportation services to meet the specific needs or seniors and individuals with disabilities. Only non-profit organizations and certified state or local government authorities in the Missouri portion of the St. Louis Urbanized Area are eligible to receive a Section 5310 Traditional project.

5. **Project Status:**
Applicant agency must identify whether the project is a continuation of an existing project, an expansion of an existing project, or a new project.

6. **Project Service Area:**
Identify the areas that will be served by the project. Applicants must attach a map showing the service area boundaries. To be an eligible sub-recipient, the applicant agency must serve the St. Louis Urbanized Area. This means that trips must originate or terminate in the St. Louis Urbanized Area (the yellow area on the map on Page 7).

7. **Vehicle Fleet:**
Applicant agency must identify the type of all vehicles operated by the agency, the number of each type, whether or not the vehicles are ADA equipped, and the funding source (e.g., Section 5310, JARC, New Freedom, Section 5311, etc.). Attach a vehicle fleet list if there is not enough space provided.

8. **Title VI/Non-Discrimination Plan:**
Identify whether or not the applicant agency has a Title VI/Non-Discrimination Plan.

9. **Transit Asset Management Plan:**
A sub-recipient that operates service that is open to the public or a segment of the general public (e.g. elderly persons or persons with disabilities) must comply with the FTA final rule to develop and implement a Transit Asset Management (TAM) plan.

Tier I providers (those operators with 101 or more vehicles in revenue service during peak regular service or operators of fixed-guideway public transportation systems) are required to develop their own, individual TAM plan. Identify whether or not the applicant agency has a TAM Plan.

Tier II providers (those transit operators that do not operate rail fixed-guideway public transportation systems and have either 100 or fewer vehicles in fixed-route revenue or have 100 or fewer vehicles in general demand responsive service during peak regular service hours) are eligible to participate in a group TAM plan that would be developed by a sponsor (i.e., State DOT). Identify whether or not the applicant agency is included in a group TAM plan.

A non-profit sub-recipient under the Section 5310 program that operates a closed-door service (e.g. for members of a specific senior center or for participants in a specific sheltered workshop program only), is not a provider of public transportation and is not subject to the final rule.

10. **Project Description:**
This is a brief overview of the project that tells the reviewers how the applicant agency intends to spend the grant funds. **Be as clear and concise as possible. The application reviewers should be able to determine exactly what it is you are proposing in the first three sentences.** The description should include the goals and objectives of the project, and the outcomes and benefits. Describe who will be served and how they will be served. Include information on the type of service provided (i.e., closed-door, open-door, demand response, etc.) and any rider fees.
11. Prior Grants:
If applicable, identify the status of the applicant agency’s most recent JARC, New Freedom, or Section 5310 grants and how the proposed project compliments or expands the existing JARC, New Freedom, or Section 5310 project.

12. Expansion of Existing Project:
If applicable, answer this question if the applicant agency is proposing to expand an existing project. Describe how the proposed project will expand existing service.

13. Vehicle Request Form:
A. If applicable, fill this form out if the applicant agency is applying for funding for a Section 5310 Traditional vehicle purchase. **This should only be filled out by eligible sub-recipients of Section 5310 Traditional funding who are located and serve the Missouri portion of the St. Louis Urbanized Area. All vehicles purchased with Section 5310 funding must be accessible by the ADA.**

**Eligible sub-recipients of Section 5310 Traditional funding in Missouri include:**
- Private non-profit organizations; or
- State or local government authorities that are 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.

Identify the vehicle priority, requested vehicle type, and the purpose for the request (i.e., replacement, expansion vehicle, new start). If the applicant agency is proposing to replace a vehicle, identify the vehicle type, year, mileage at the time of submittal, vehicle condition (i.e., out of service, poor, fair, good, excellent), and the VIN for each replacement vehicle. The vehicle condition definitions are:

- **Out of Service:** Vehicle is not suitable for safe and/or reliable daily operations.
- **Poor:** Vehicle is marginally suitable for safe and/or reliable daily operations, though is frequently at risk for being removed from service. Vehicle can be expected to last <1 year at current level of use before requiring permanent removal from service.
- **Fair:** Vehicle is suitable for safe and/or reliable daily operations, though is beginning to exhibit significant wear and tear. Vehicle can be expected to last 1-2 years at current level of use before requiring permanent removal from service.
- **Good:** Vehicle is suitable for safe and/or reliable daily operations. Vehicle can be expected to last 3-4 years at current level of use before requiring permanent removal from service.
- **Excellent:** Vehicle is suitable for safe and/or reliable daily operations. Vehicle can be expected to last 4+ years at current level of use before requiring permanent removal from service.

**Vehicles will be eligible to be considered for replacement when the following minimum mileage standards or time frames (whichever occurs first) are met at the time of submittal:**
- Medium-size, medium-duty transit buses (approximately 25’ - 35’): 200,000 miles or at least 7 years in revenue service.
- Medium-size, light-duty transit buses (approximately 25’ - 35’) cutaways: 150,000 miles or at least 5 years in revenue service.
- Regular and specialized vans, sedans, and light-duty buses: 100,000 miles or at least 4 years in revenue service.

Applicants can be awarded partial vehicle requests. This is why it is important to identify the priority of each requested vehicle.

B. If applicable, explain the need for each vehicle replacement. Examples: the vehicle is in poor condition and requires more maintenance; the agency is replacing a certain vehicle type with a different vehicle type (e.g., need different accessibility features, need more or less space, etc.); the agency is replacing a vehicle that meets the useful life criteria to sustain existing services; the agency is requesting an expansion vehicle to increase customers, etc. **The applicant agency must identify the need for each replacement.**

14. **Equipment Request Form:** (excludes vehicles)
   A. If applicable, describe the equipment requested. Examples of equipment include: computer hardware and software, transit-related intelligent systems (ITS), dispatch systems, fare collection systems.
   B. If applicable, explain the purpose of the equipment and explain how it supports transportation service to meet the specific needs of seniors and individuals with disabilities. Identify if the equipment is for a Section 5310-funded vehicle or a non-Section 5310-funded vehicle.
   C. If applicable, identify the life expectancy, or useful life, of the equipment requested. If available, use the manufacturer’s estimated useful life.

15. **Coordinated Human Service Transportation Plan (CHSTP) Requirement:**
The applicant agency must identify the transportation gaps that the project is designed to meet. The identified gaps start on page 29 in the CHSTP. More than one gap can be selected. If the transportation gap experienced does not fall under one of the six categories, select ‘other.’

The applicant agency must also identify the overarching CHSTP goal that the project fits under to address the gaps in transportation. The goals and strategies start on page 33 in the CHSTP. More than one goal can be selected.

16. **Need Justification:**
   A. Clearly identify the unmet transportation needs that the applicant agency and/or agency customers experience. If ‘other’ was selected in Question 15 under ‘CHSTP Identified Gaps in Transportation,’ explain the gap here. Then, identify how the project is responsive to at least one of the five overarching goals and corresponding strategies in the CHSTP. Below are examples to show how the CHSTP ties into the Section 5310 projects. **The project must meet the needs of seniors and persons with disabilities, and each strategy must relate to the proposed Section 5310 project.**

**Example 1 (Traditional vehicle capital request):**
   --- Transportation Gap: **Cost** – Applicant agency’s existing vehicle has met its useful life, but the vehicle is experiencing frequent/costly maintenance issues that impact the applicant agency’s ability to maintain existing levels of service.
   --- Goal: **Sustain Existing Services**
   --- Strategy: Replace existing vehicle to sustain existing services.

**Example 2 (New Freedom Type operating request):**
   --- Transportation Gap: **Spatial** – The applicant agency cannot provide service to customers in a specific location where transportation currently does not exist.
   --- Goal: **Enhanced Services**
   --- Strategy: Provide new service to individuals with disabilities in an underserved geographic area.
Example 3 (Traditional vehicle capital request):
- Transportation Gap: Capital/Infrastructure – Applicant agency’s existing vehicle has met its useful life, but the vehicle type does not fit the transportation service anymore (e.g., the vehicle is too small, too large, there are not enough wheelchair secured locations, etc.).
- Goal 1: Sustain Existing Services
- Strategy 1: The requested vehicle supports the demand and type of transportation service offered.
- Goal 2: Independence
- Strategy 2: The updated vehicle improves accessibility and safety.

Example 4 (New Freedom Type operating request):
- Transportation Gap: Temporal – The applicant agency currently cannot provide weekend service to customers, but weekend service has been identified as a need in the service area for the agency’s customer base.
- Goal: Enhanced Services
- Strategy: Provide expanded service to seniors and persons with disabilities through increased off-peak service hours.

Please note – the above examples are brief. Provide as much information as needed to explain the unmet transportation need, and how the project strategy will address the unmet transportation need.

B. Identify if the applicant agency’s customers can use public transportation (i.e., Metro, Madison County Transit, and St. Clair County Transit).

C. If the applicant agency’s customers cannot use public transportation, explain why not. For example, public transportation is not available at the location needed or the time needed, the type of disability prevents the customers from riding public transportation, inaccessible infrastructure prevents customers from accessing public transportation, etc.

17. Project Service Levels:
A. The applicant agency must provide the service levels provided per month by the Section 5310 project for each target population. The target population includes:
- Senior, disabled clients: persons age 65+ who are also disabled.
- Senior, not disabled clients: persons age 65+ who are not disabled.
- Disabled, not senior clients: persons younger than 65 who are disabled.
- Other: general public, youth, etc.

Include both current and proposed one-way trips per month and current and proposed unduplicated persons per month. Be certain that the data is provided in a ‘per month’ format.

B. Provide the current and proposed start time and end time of the transportation service. If transportation is not provided on the weekends, leave those fields blank. If your agency does not currently provide transportation service, leave the current start/end time fields blank. **Do not provide the hours that the agency is open, only provide the transportation service days and hours.**

C. If applicable, provide details here if the transportation service is split between morning and evening hours (e.g., your agency transports passengers from 7:00 – 9:00 A.M. and then again from 3:00 – 5:00 P.M., Monday through Friday) OR the transportation service is provided on certain weekdays (e.g., service is provided Tuesday and Thursday, from 10:00 A.M. – 3:00 P.M.). Be certain to provide the current and proposed days and hours of service.
D. Estimate the types of trips provided with your Section 5310 project. The total of all trip types should equal 100 percent. Identify ‘other’ trip types (e.g., library, errands, beauty salon).

18. Project Implementation:
A. Describe how the transportation project is carried out to meet the special needs of seniors and persons with disabilities. Provide a well-defined operational plan for delivering services or for completing a capital project. **Describe project tasks and timelines for carrying out the project, including key milestones.** If applicable, include information on existing contracts for transportation service.

B. Identify when the project is projected to start and estimated completion date (if applicable). There may not be a completion date if the service is ongoing.

C. Section 5310 projects must be targeted toward meeting the transportation needs of seniors and individuals with disabilities, although the projects may be used by the general public. **It is not sufficient that seniors and individuals with disabilities are included (or assumed to be included) among the people who will benefit from the project.**

Explain how the target population will be given priority and how transportation service for seniors and individuals with disabilities will not be compromised.

19. Project Marketing and Promotion:
Explain how the applicant agency will target seniors and persons with disabilities to utilize the transportation service.

20. Project Evaluation:
Section 5310 sub-recipients are required to track and report their progress throughout the grant cycle and determine the overall impact of the project when all funds have been expended. Applicants should identify what particular measures will be monitored and evaluated. How will the applicant determine the success of the project?

MoDOT and Bi-State Development will collect and report the following program measures to FTA:

**Section 5310 Traditional Project Performance Measures:**
- Providing 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 Section 5310 Traditional projects implemented in the current reporting year.
- Actual or estimated number of rides (as measured by one-way trips) provided annually for seniors and individuals with disabilities on Section 5310-supported vehicles and services as a result of Section 5310 Traditional projects implemented in the current reporting year.

**New Freedom Type Project Performance Measures:**
- 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 New Freedom Type 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 New Freedom Type projects implemented in the current reporting year.
- Actual or estimated number of rides (as measured by one-way trips) provided for seniors and individuals with disabilities as a result of New Freedom Type projects implemented in the current reporting year.

21. Innovation:
FTA encourages sub-recipients to develop innovative solutions to meet the needs of seniors and individuals with disabilities in their communities. If applicable, describe any project innovations.
22. Service Coordination:
   A. Provide any MOUs, letters of support, or other documentation indicating cooperation or support for the proposed project. Indicate which local governments are supporting the project and in which ways. Describe how the partnership(s) will manifest in the project, and who is responsible for what specific duties.

   Examples of coordination include: shared use of vehicles, dispatching or scheduling, shared maintenance, back-up transportation, staff training programs, joint procurement of services and supplies, coordination of client trips with other transportation agencies. If there is no coordination or partnerships, explain why.

   Coordination is not a requirement to be eligible for Section 5310 funding, however, coordination among agencies is one of the criterion used to evaluate and competitively score Section 5310 projects (worth 20 out of 100 points).

   B. Coordination can help reduce duplications in transportation service. Identify transportation services that exist in the applicant agency’s service area and explain how the proposed Section 5310 project will complement the existing transportation service rather than duplicate those services.

   C. Identify any barriers the applicant agency has experienced in coordinating with other agencies.

23. Agency’s Technical and Financial Capacity:
   A. Given that Section 5310 is a cost-reimbursement program and there is a required local match, the applicant agency must describe the agency’s experience, technical and administrative ability, and financial capacity to ensure that the agency is capable of carrying the financial burden of the project, and to successfully manage the project. Has the agency implemented similar projects? How long has the agency managed transportation services for seniors and/or persons with disabilities? Describe the agency’s management, staff, and resources to implement the project.

   B. Section 5310 funding cannot be guaranteed in the future. The applicant agency must demonstrate how this grant funding would support the sustainability of the project. Identify how this Section 5310 funding is helping to leverage other funding and partnerships.

24. Proposed Budget and Funding Request:
   A. The application contains three separate funding request tables: capital, mobility management, and operating. For capital and mobility management projects, Section 5310 program funds can be used to support 80 percent of the net project costs and 20 percent of the net project costs must come from local match sources. For operating projects, Section 5310 program funds can be used to support 50 percent of the net project costs and 50 percent of the net project costs must come from local match sources. The net project cost is the part of a project that reasonably cannot be financed from operating revenues (i.e., farebox revenue).

   Please note – projects will be awarded in whole dollars. All vehicles purchased with Section 5310 funding must be accessible by the ADA. All requested items to be federally reimbursed must have a direct relationship to the Section 5310 project.

   For vehicle purchases, identify the vehicle type, and if applicable, the floor plan and options requested in the expense item column (e.g., WBC-CC-Options 1,2,6). Enter the total cost for the vehicle(s). For pricing options for the lowered floor minivans and wide/narrow body cutaways, view MoDOTs Bid Award Memorandum at: http://bit.ly/2fvxd6p. For pricing options for the lowered floor mobility vehicle (MV-1) and medium/high roof conversion vans, view MoDOTs Bid Award Memorandum at: http://bit.ly/2fNscE0.
The table will generate the federal share, the local match, and the total project cost. Vehicles with the exact same specifications can be listed as one expense item (e.g., 3 WBC-CC-Options 1,2,6). Enter in the total cost of the 3 vehicles (i.e., unit cost * 3). Vehicles with different specifications must be listed separately.

For non-vehicle capital purchases, identify the equipment or other capital requested and the total cost. Be as descriptive as possible. For example, if your project is to install benches, shelters, signage, etc., identify the number to be installed, the cost for installation, and any other items related to the installation. The table will generate the federal share, the local match, and the total project cost.

For mobility management projects, identify the activities to be included in the mobility management program and the total cost. Examples include: mobility manager salary, software, marketing, etc. Mobility management does not include operating public transportation services. Applicants can request one to three years of Section 5310 funding. Remember that revenue generated from the project should be used to offset the cost of the project (i.e., the net project cost). Enter in the estimated project fare revenues, if applicable. The table will generate the total project cost, the federal share, and the local match.

For operating projects, provide the expense items and the total cost. Operating projects fund costs to operate, maintain, and manage the transportation service. Examples include: salaries/fringe benefits, materials/supplies, fuel, oil, tires/parts/maintenance, vehicle insurance, marketing, software, staff training, volunteer driver reimbursements, transportation vouchers, etc. Applicants can request one to three years of Section 5310 funding. Remember that revenue generated from the project should be used to offset the cost of the project (i.e., the net project cost). Enter in the estimated project fare revenues, if applicable. The table will generate the total project cost, the federal share, and the local match.

B. Identify the specific sources and amounts of funds that will match the Section 5310 funds requested. The local match must come from sources other than United States Department of Transportation (US DOT) funds. Examples include: state or local government funding that does not include federal US DOT funds, private donations, agency funding, in-kind contributions, and in-kind labor (including volunteer time) contributed to the project. Non-cash share must be documented and included in the net project costs in the project budget. Farebox revenue may not be used as local match. Farebox revenue is considered income and is deducted from the total project cost to determine the net project cost.

If requesting a vehicle capital project, the 20 percent local match must be in cash from non-DOT sources.

Income from contracts to provide human service transportation may be used either to reduce the net project costs (i.e., treated as revenue) or to provide local match for operating assistance. In either case, the cost of providing the contact service is included in the total project cost. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service.

C. The applicant agency must state whether or not they will accept partial funding for the project. Examples include: 1) an agency requested Section 5310 Traditional funding for six vehicles, but would accept one vehicle, or 2) an agency requested New Freedom Type funding to operate a transportation service for three years, but would accept the funding to operate the transportation service for one year. The applicant agency must still be able to meet the project goals with any reductions in the project funding. The applicant agency must provide an explanation of how the project goals are met with the decreased funding.
25. Additional Information:
Provide any additional information that you think would be beneficial for the reviewers to know about the proposed project.

Local Match Certification:
This is a required certification for all project applicants. The applicant agency must certify that there are sufficient funds to pay the non-federal share of the project expenditures. The amount of local match funds required is automatically computed from the funding request tables. The certification must be signed and dated by the applicant agency’s President/Executive Director/Chairperson, the agency’s Board of Directors, or the Chief Elected Official and the agency’s Chief Financial Officer.

Title VI & Nondiscrimination Certification:
This is a required certification for all project applicants. The applicant agency must certify that it has reviewed the federal requirement regarding nondiscrimination in federally assisted programs, believes that it complies with the required policies and procedures, it acknowledges its understanding that if the applicant does now have the required policies and procedures in place prior to federal funding being obligated, then the applicant’s project may become ineligible for federal funding. The certification must be signed and dated by the applicant agency’s President/Executive Director/Chairperson, the agency’s Board of Directors, or the Chief Elected Official.

Transit and Paratransit Operators Contacted Certification:
This is a required certification for all project applicants. The applicant agency must certify that the agency has made a good faith effort to notify public and private transit and paratransit provider in the applicant agency’s service area concerning the transportation service proposed. The certification must be signed and dated by the applicant agency’s President/Executive Director/Chairperson, the agency’s Board of Directors, or the Chief Elected Official.

Section 5310 Traditional Project Certifications:
This is a required certification for only Section 5310 Traditional projects. The certification must be signed and dated by the applicant agency’s President/Executive Director/Chairperson or the agency’s Board of Directors, or the Chief Elected Official.

New Freedom Type Project Certifications:
This is a required certification for only New Freedom Type projects. The certification must be signed and dated by the applicant agency’s President/Executive Director/Chairperson, the agency’s Board of Directors, or the Chief Elected Official.

Local Government Authority Certification:
This is a required certification for government entities that are requesting Section 5310 Traditional projects. State or local governmental authorities must be 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. Check the appropriate box. The certification must be signed and dated by the applicant agency’s President/Executive Director/Chairperson, the agency’s Board of Directors, or the Chief Elected Official.
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## Appendix D: Evaluation Criteria

### Responsiveness to CHSTP Gaps and Strategies (25 points):

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<th>Criteria</th>
<th>Scoring Explanation</th>
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| Points will be awarded based on the project’s responsiveness in addressing the gaps identified in the CHSTP (10). | • Does the applicant clearly identify and address unmet needs of seniors and/or individuals with disabilities?  
  • Does the project address a recognized need in the community? |
| Points will be awarded based on how many strategies the project addresses, and how well the project responds to the strategies in the CHSTP (15). | • Does the applicant clearly identify which strategy in the CHSTP the project responds to?  
  • Does the project address a high priority strategy?  
    a) Maintain or replace vehicles/equipment needed to sustain existing services. 
    b) Ensure that procured vehicles support the demand and type of transportation service offered (i.e., rightsizing).  
    c) Provide new or expanded service to the underserved geographic areas or populations.  
    d) Improve information on existing services and provide in appropriate formats (i.e., digital media, traditional media) to customers and human service transportation providers.  
    e) Create/maintain existing partnerships that regularly address the identified gaps in the CHSTP.  
    f) Update vehicles as needed to address the special needs of seniors/individuals with disabilities.  
    g) Promote walkable communities with improved pedestrian accessibility to public transportation options and enhanced amenities at transit facilities.  
  • Does the project address multiple strategies?  
  • Does the applicant clearly identify how the strategy addresses the unmet needs of seniors and/or individuals with disabilities? |
### Sponsor Experience and Management (25 points):

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<th>Scoring Explanation</th>
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| Experience in managing transportation services for seniors and/or individuals with disabilities (5). | • Does the project relate to other services or facilities provided by the agency?  
• Is the scope of work within the capacity of the applicant agency to accomplish?  
• Does the applicant agency have experience in maintaining vehicle fleet? |
| Availability of sufficient management, staff, and resources to implement project (5).         | • How thorough is the implementation plan?  
• Does the proposal include project tasks, timelines, benchmarks, key milestones, key personnel, deliverables, and routes/schedules as applicable?  
• Does the operational plan correspond with the project goals/objectives? |
| Stability of local match funding sources (5).                                | • Is the source of the local share stable?                                                                                                           |
| History of managing federal transportation projects (5).                  | • Has the applicant agency received FTA funding in the past?  
• Did the applicant agency successfully implement previous transportation projects? |
| Ability to sustain project after initial grant funding is expended (5).      | • Does the applicant agency demonstrate a long-term commitment to the project to continue the effort beyond the availability of the requested grant resources?  
• Is the applicant agency financially capable of sustaining operations after the initial grant funding is expended? |

### Coordination among Agencies (20 points):

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| Points will be awarded based on the coordination efforts and demonstrated partnerships to address gaps and avoid duplicated services. | • To what extent does the project demonstrate coordination among various entities?  
• Does the proposal describe how key stakeholders will remain involved and informed throughout the process?  
• Did the applicant agency attach one or more letters from other agencies describing how they will be coordinating with the applicant in the provision of transportation services? |
### Benefits to Target Population (20 points):

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| Points will be awarded based on the estimated number of seniors and/or   | - What is the estimated number of seniors and/or individuals with disabilities served by the project?  
| individuals with disabilities that the project will benefit (10).        | Higher service levels will result in greater points.                               |
| Points will be awarded if the sponsor demonstrates improved benefits to  | - Will the project increase service quantity? (number of trips, service hours,      |
| target population over time for existing projects, or estimates benefit  |  geographic coverage, specialized service types, trip purpose)                     |
| to target population to be achieved for new projects (5).                | - Will the project increase reliability and service quality? (increase frequency,  |
|                                                                          |  improve response time, reduce travel time per vehicle, reduce time spent by      |
|                                                                          |  rider on vehicle)                                                                   |
|                                                                          | - Will the project improve operation of services? (increase number of destinations  |
|                                                                          |  per trip, increase efficiency of ride dispatching, decrease number of ride        |
|                                                                          |  denials, provide training for disabilities assistance)                             |
|                                                                          | - Will the project provide cost savings? (cost per trip/ rider, cost per hour,    |
|                                                                          |  cost per mile)                                                                     |
|                                                                          | - Will the project improve accessibility or awareness? (travel training, increased  |
|                                                                          |  transit access, improved information)                                             |
|                                                                          | - Does the project only maintain existing service?                                  |
| Points will be awarded to projects that serve more than one jurisdiction  | - Does the project serve more than one jurisdiction?                                |
|                                                                         | - Is the program limited to only agency clients?                                    |

### Project Budget (5 points):

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<tr>
<th>Criteria</th>
<th>Scoring Explanation</th>
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<tr>
<td>Points will be awarded based on how efficiently the project provides</td>
<td>- Is the cost of the project reasonable given</td>
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<tr>
<td>benefits to the users.</td>
<td>the service provided?</td>
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### Marketing and Promotion (5 points):

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<th>Criteria</th>
<th>Scoring Explanation</th>
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<td>Points will be awarded based on how the sponsor markets the transportation</td>
<td>- How comprehensive are the applicant agency’s proposed strategies for marketing</td>
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<tr>
<td>service to the target population and promotes awareness.</td>
<td>the program and promoting public awareness (including both low-income seniors/</td>
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<td></td>
<td>disabled individuals, LEP)?</td>
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Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Program Application

Applicant Agency: 

Project Title: 

Amt. of Federal Funds Requested: 

**Submittal Instructions:**

Submit two applications (one original and one copy) by **Friday, January 13, 2017**. If you are applying for a Section 5310 Traditional project and a New Freedom Type project, separate applications **must** be submitted. You may attach additional pages to the application if needed to address the questions in the application. Applications with incomplete and/or missing information may not be considered for funding.

Mail: East-West Gateway Council of Governments
One Memorial Drive, Ste 1600
St. Louis, MO 63102
Attention: Rachael Pawlak

**Technical Assistance:**

If you have any questions, contact Rachael Pawlak at (314) 421-4220 or rachael.pawlak@ewgateway.org.

For guidance on completing the Section 5310 Application, please read **Appendix C** in the Section 5310 Program Workbook. The Section 5310 Program Workbook can be found [here](#).
Section 5310: Application Checklist

Applicant Agency: ____________________________

The following must be included in your submittal:

1. Cover Letter

2. Application Checklist

3. Application Form

4. Required Certifications-

   **Certifications for both Section 5310 Traditional Projects and New Freedom Type Projects:**
   - Local Match Certification
   - Title VI & Nondiscrimination Certification
   - Transit and Paratransit Operators Contacted Certification

   **Section 5310 Traditional Project Certifications**

   **New Freedom Type Project Certifications**

   For governmental entities applying for a Section 5310 Traditional project, Local Government Authority Certification

5. Service area map

6. Letters from transportation providers and agencies in your project area that serve the same type of needs

7. For non-profit organizations, a copy of the organization's State certificate of incorporation and/or IRS determination letter
Section 5310: Application Form

Project Title: ____________________________________________________________

1. Applicant Agency Information:

Legal Name of Organization: ________________________________________________

List of all DBA Names: _____________________________________________________

Executive Director: _______________________________________________________

Street Address: ___________________________________________________________

City: __________________ State: ______________ County: ___________ ZIP+4: _______

Mailing Address: __________________________________________________________

Phone Number: __________________ Fax Number: _____________________________

Congressional District(s): __________________ Non-Profit Number: ______________

Federal Employer ID Number (FEIN): __________________ DUNS Number: __________

2. Person to Contact with Regard to this Application:

Name: _________________________________________________________________

Title: _________________________________________________________________

Phone Number: __________________ Fax Number: _____________________________

Email: _________________________________________________________________

3. Organization Type:

_______________________________________________________________

4. Project Type: ____________________ 5. Project Status: ____________________
6. Project Service Area:

What is the service area of the proposed transportation project? List counties, municipalities, etc. Attach an 8 ½” x 11” map depicting project location with service boundaries for operating projects and expected area to be served for capital projects.

<table>
<thead>
<tr>
<th>Number</th>
<th>Type</th>
<th>ADA Equipped? (Y or N)</th>
<th>Funding Source*</th>
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*If the funding sources is not listed in the drop-down menu above, you can manually enter in the funding source.

7. Vehicle Fleet:

Number and type of all vehicles operated by your agency (indicate which vehicles are ADA equipped and funding source). Attach a vehicle fleet list if there is not enough space provided below.

8. Title VI/Non-Discrimination Plan:

Does the applicant agency have a Title VI/Non-Discrimination Plan? (If yes, please attach a copy) □ Yes □ No

9. Transit Asset Management Plan:

Does the applicant agency have a Transit Asset Management Plan? (If yes, please attach a copy) □ Yes □ No

Is the applicant agency included in the State Transit Asset Management Plan? □ Yes □ No

10. Project Description:

Give a description of the project or program proposed under this grant. Clearly state the goals and objectives and describe the outcomes and benefits. Include who will be served and how they will be served.
10. Project Description, con't.:

If your agency has received a JARC, New Freedom, or Section 5310 grant in the past, please describe the status of the most recent grant and the success of the project. If applicable, how will your proposed project compliment or expand the existing project?

11. Prior Grants:

If you are proposing the expansion of an existing project, explain how the expanded project will differ from your agency's current service (i.e., coverage area, hours of service, trip purpose, service level, etc.). For example, will reservation requirements be less restrictive allowing same-day reservations instead of requiring reservations 24 hours in advance.

12. Expansion of Existing Project:

If you are proposing the expansion of an existing project, explain how the expanded project will differ from your agency's current service (i.e., coverage area, hours of service, trip purpose, service level, etc.). For example, will reservation requirements be less restrictive allowing same-day reservations instead of requiring reservations 24 hours in advance.
### 13. Vehicle Request Form:

A. Provide information on the requested vehicle(s) below. Only fill out the tables below if the project is a capital, Section 5310 Traditional vehicle request in the St. Louis, MO UZA. All vehicles purchased with Section 5310 funds must be accessible.

#### Example

<table>
<thead>
<tr>
<th>Section 5310 Vehicle(s) Requested</th>
<th>Information on Vehicle(s) for Which Replacement is Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle Priority</td>
<td>Requested Vehicle Type</td>
</tr>
<tr>
<td>1</td>
<td>NBC</td>
</tr>
<tr>
<td>2</td>
<td>NBC</td>
</tr>
</tbody>
</table>

#### Section 5310 Vehicle(s) Requested

<table>
<thead>
<tr>
<th>Vehicle Priority</th>
<th>Requested Vehicle Type</th>
<th>Purpose for Request</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

#### Information on Vehicle(s) for Which Replacement is Requested

<table>
<thead>
<tr>
<th>Vehicle Type</th>
<th>Vehicle Year</th>
<th>Current Mileage</th>
<th>Vehicle Condition</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

#### Replacement Criteria: To be eligible for replacement, current vehicles must meet either Criteria 1 or Criteria 2 at the time of application, whichever comes first.

<table>
<thead>
<tr>
<th>Vehicle Type</th>
<th>Criteria 1</th>
<th>Criteria 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medium-size, medium-duty transit buses (approximately 25' - 35')</td>
<td>200,000 miles OR at least 7 years in revenue service</td>
<td></td>
</tr>
<tr>
<td>Medium-size, light-duty transit buses (approximately 25' - 35') - cutaways</td>
<td>150,000 miles OR at least 5 years in revenue service</td>
<td></td>
</tr>
<tr>
<td>Regular and specialized vans, sedans, and light-duty buses</td>
<td>100,000 miles OR at least 4 years in revenue service</td>
<td></td>
</tr>
</tbody>
</table>

*If your vehicle’s type is not listed in the drop-down menu above, you can manually enter in your vehicle type.*
13. **Vehicle Request Form, con’t.**

B. If proposing a replacement vehicle, explain why the vehicle(s) need replacement to ensure continuance of existing services. Provide reasons or explanations for low mileage, efficiencies, or usage.

---

14. **Equipment Request Form (excludes vehicles):** Only applies if you are requesting equipment.

A. Provide a description of the equipment you are requesting.

---

B. What is the intended purpose of the equipment and how does it support the intent of the Section 5310 program?

---

C. What is the life expectancy of the equipment you are requesting? Please list manufacturer's recommended life expectancy, if available.
15. **Coordinated Human Services Transportation Plan (CHSTP) Requirement:**

Specify what transportation gaps this project is designed to meet and what goal will be used to address those gaps by checking *all applicable* boxes below. For more information on the identified gaps, overarching goals, and corresponding strategies, the CHSTP is available for download at [http://bit.ly/2fPTe16](http://bit.ly/2fPTe16).

<table>
<thead>
<tr>
<th>CHSTP Identified Gaps in Transportation</th>
<th>CHSTP Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Cost</td>
<td>□ Maintain existing services where there are continued needs</td>
</tr>
<tr>
<td>□ Temporal</td>
<td>□ Enhance the usability of existing services</td>
</tr>
<tr>
<td>□ Spatial</td>
<td>□ Expand education and outreach on available options</td>
</tr>
<tr>
<td>□ Awareness</td>
<td>□ Improve communication and coordination among agencies</td>
</tr>
<tr>
<td>□ Capital/Infrastructure Accessibility</td>
<td>□ Improve safety and accessibility</td>
</tr>
<tr>
<td>□ Institutional</td>
<td></td>
</tr>
<tr>
<td>□ Other</td>
<td></td>
</tr>
</tbody>
</table>

16. **Need Justification:**

A. Describe the unmet transportation need(s) and identify how the project is responsive to at least one of the five overarching goals and corresponding strategies identified in the CHSTP.

B. Are the customers of your agency able to use public transportation?

- □ No, due to the nature of the customer’s disability
- □ No, due to the unavailability of public transportation
- □ Yes, for certain trips
- □ Yes

C. If no, please further describe how public transportation is insufficient, inappropriate, or unavailable to the targeted population group.
17. Project Service Levels:

A. Identify the current and proposed number of one-way passenger trips to be provided per month by this project, and the unduplicated persons to be served per month - for example, if a person is taken to a nutrition site, later to a grocery store, and then home, 3 one-way trips have been provided, but only one unduplicated person.

<table>
<thead>
<tr>
<th>Target Population</th>
<th>One-Way Trips per Month</th>
<th>Unduplicated Persons per Month</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Current</td>
<td>Proposed</td>
</tr>
<tr>
<td>Senior, Disabled Clients</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Senior, not Disabled Clients</td>
<td></td>
<td></td>
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<tr>
<td>Disabled, not Senior Clients</td>
<td></td>
<td></td>
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<tr>
<td>Other*</td>
<td></td>
<td></td>
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</tbody>
</table>

*Explain Other: __________________________

B. Provide the current and proposed service days/hours for your transportation project/services:

<table>
<thead>
<tr>
<th>Services Days</th>
<th>Current</th>
<th>Proposed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Start Time</td>
<td>End Time</td>
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<tr>
<td>Monday - Friday</td>
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<td>Saturday</td>
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<tr>
<td>Sunday</td>
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</tbody>
</table>

C. If the transportation service hours vary, describe here. For example: 1) transportation service is available from 7:00 - 9:00 A.M. and then again from 3:00 - 5:00 P.M., Monday through Friday; 2) transportation service is available Tuesday and Thursday only, from 10:00 A.M. - 3:00 P.M.; 3) transportation service is offered Monday only at 10:00 A.M.

D. Identify the type of trips to be provided with your Section 5310 project (% of use, total should equal 100%):

<table>
<thead>
<tr>
<th>Trip Type</th>
<th>Percent</th>
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<tbody>
<tr>
<td>Medical</td>
<td>%</td>
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<tr>
<td>Education</td>
<td>%</td>
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<tr>
<td>Nutrition</td>
<td>%</td>
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<tr>
<td>Recreation</td>
<td>%</td>
</tr>
<tr>
<td>Shopping</td>
<td>%</td>
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<tr>
<td>Employment</td>
<td>%</td>
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<tr>
<td>Other*</td>
<td>%</td>
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<tr>
<td>TOTAL</td>
<td>%</td>
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*Explain Other: __________________________
18. Project Implementation:

A. Provide an operational plan for delivering services. If proposing a service activity, include information on operations (fares, routes, schedules, eligibility requirements, etc.). If capital is requested, describe how the capital will be utilized. For mobility management projects, outline how the project will increase participation and coordination of transit for seniors and individuals with disabilities.

B. If funded, what is the project beginning and end date?

Beginning Date: ___________________________  End Date: ___________________________

C. If the project will serve others in addition to the target population(s), specify how you will assure that the target population will be given priority on all project activities and how the availability of service to the target population will not be compromised by the provision of services to those other than the target population.
19. **Project Marketing and Promotion:**

Specify how the project is marketed to the target population(s).

---

20. **Project Evaluation:**

How will the project be monitored and evaluated on an ongoing basis? What criteria will be used to establish the success of the project?

---

21. **Project Innovation:**

A. Does the project contain innovative ideas that could be applied elsewhere in the region?

B. If yes, describe.
22. **Service Coordination:**

A. Describe how your project develops and implements coordinated services. Identify partners and stakeholders that work with your organization in providing transportation services to seniors and individuals with disabilities, and explain their roles in the service. *Letters of support are required for any project partner. If no project partners are included, please describe why no partners are involved in the project.*

B. Identify existing transportation services available and how the proposed project will complement rather than duplicate those services.

C. Identify any barriers your agency has experienced in coordinating with other agencies. Barriers may be found in a range of areas including insurance, funding, capacity, and mission.
23. Agency’s Technical and Financial Capacity:

A. Describe your agency's experience, technical and administrative ability, and financial capacity to successfully and efficiently manage this transportation project and serve the target population.

B. Describe your agency's ability to continue to fund the project after the federal funding is expended.
# 24. Proposed Budget and Funding Request:

A. Identify the item(s) that will be federally reimbursed. Enter the total net cost of the expense item. The total net cost, federal share, and local match will be automatically generated. Please note: projects will be awarded in whole dollars.

<table>
<thead>
<tr>
<th>Expense Item</th>
<th>Total Net Cost (100%)</th>
<th>Federal Share (80%)</th>
<th>Local Match (20%)</th>
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<td>TOTAL CAPITAL*</td>
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*For vehicle purchases, please refer to MoDOT’s Bid Award Memorandum to view vehicle prices. In the expense item column, identify the vehicle type, and if applicable, the floor plan and options (example: WBC-CC-Options 1,2,6).
24. Proposed Budget and Funding Request, con't.:

A. Identify the item(s) that will be federally reimbursed. For each year of funding requested, enter the total cost of the expense item and projected fare revenue (if applicable). The total project cost, federal share, and local match will be automatically generated. Please note: projects will be awarded in whole dollars.

<table>
<thead>
<tr>
<th>Expense Item</th>
<th>Total Cost (100%)</th>
<th>Federal Share (80%)</th>
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<td><strong>Total First Year</strong></td>
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<td>Projected Fare Revenue Collected</td>
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<td><strong>Net MM Cost First Year</strong></td>
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<td>Projected Fare Revenue Collected</td>
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<td>Projected Fare Revenue Collected</td>
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<td><strong>Net MM Cost Third Year</strong></td>
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**TOTAL MOBILITY MANAGEMENT**
Identify the item(s) that will be federally reimbursed. For each year of funding requested, enter the total cost of the expense item and projected fare revenue (if applicable). The total project cost, federal share, and local match will be automatically generated. Please note: projects will be awarded in whole dollars.

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<tr>
<th>Expense Item</th>
<th>Total Cost (100%)</th>
<th>Federal Share (50%)</th>
<th>Local Match (50%)</th>
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<tr>
<td>Total First Year</td>
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<tr>
<td>Projected Fare Revenue Collected</td>
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<td>Net Operating Cost First Year</td>
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<th>Expense Item</th>
<th>Total Cost (100%)</th>
<th>Federal Share (50%)</th>
<th>Local Match (50%)</th>
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<td>Projected Fare Revenue Collected</td>
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<td>Net Operating Cost Second Year</td>
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<th>Expense Item</th>
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<td>Projected Fare Revenue Collected</td>
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<tr>
<td>Net Operating Cost Third Year</td>
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</tbody>
</table>

| TOTAL OPERATING |                   |                     |                   |
24. **Proposed Budget and Funding Request, con't.:**

B. Indicate the specific sources and the amounts of the local match funds.

C. Would your agency accept partial funding for this project? If yes, are there any funding minimums, limits, or thresholds for your agency to accept partial funding? Provide an explanation of how the project goals are met with decreased funding.

25. **Additional Information:**

Provide any additional information about your project that you would like to share.
Section 5310: Required Certifications for All Project Types

LOCAL MATCH CERTIFICATION

Project Title: 

Amt. of Local Match Funds Required: 

Applicant Agency: 

The applicant certifies that there are sufficient funds are available to pay the non-federal share of project expenditures for the Section 5310 project.

Name (print): 

Signature: 

Title: 

Date: 

Chief Financial Officer:

Name (print): 

Signature: 

Date: 

Глава финансового начальника:

Name (print): 

Signature: 

Date: 
Section 5310: Required Certifications for All Project Types

TITLE VI & NONDISCRIMINATION CERTIFICATION

Title VI

A recipient of any federal funds from the U.S. Department of Transportation (“DOT”) must comply with federal statutes, regulations, executive orders, and other pertinent directives that govern nondiscrimination in federally assisted programs. Below is a list of the statutes and regulations that may apply to a recipient’s program; however, other federal requirements regarding nondiscrimination may be imposed by DOT.


B. All requirements imposed by or pursuant to the Code of Federal Regulations, Title 49: Transportation, Subtitle A: Office of the Secretary of Transportation, Part 21: Nondiscrimination in Federally-Assisted Programs of the Department of Transportation --Effectuation of Title VI of the Civil Rights Act of 1964.

As part of federal requirements, a recipient of funds from DOT must ensure that it has written policies and procedures in place to ensure nondiscrimination in its programs, up to and including, developing a Title VI Plan.

Nondiscrimination

A recipient of any federal funds from DOT must also comply with federal statutes, regulations, executive orders, and other pertinent directives that govern nondiscrimination in federally assisted programs, including those related to equal employment opportunity and disadvantaged business enterprise participation in federally projects. Below is a list of the statutes and regulations that may apply to a recipient’s program; however, other federal requirements regarding nondiscrimination may be imposed by DOT.


   1. 49 CFR Part 37 --Transportation Services for Individuals with Disabilities (ADA).
   5. 28 CFR Part 36 --Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities.
By submitting its application for 5310 Program funds and signing below, the applicant certifies that it has reviewed the federal requirements regarding nondiscrimination in federally assisted programs and believes that it complies with the required policies and procedures. Also, the applicant acknowledges its understanding that if the applicant does not have the required policies and procedures in place prior to federal funds being obligated, then the applicant's project may become ineligible for federal funding.

Name (print):  

Signature:  

Title:  

Date:  

9. 36 CFR Part 1194 --Electronic and Information Technology Accessibility Standards.

10. Federal civil rights and nondiscrimination directives implementing those federal laws and regulations, unless the federal government determines otherwise in writing.


Section 5310: Required Certifications for All Project Types

TRANSIT AND PARATRANSPORT OPERATORS CONTACTED CERTIFICATION

I certify that our organization has made a good faith effort to notify public and private transit and paratransit providers in our service area concerning the transportation service we propose to provide for seniors and/or persons with disabilities.

Name (print): ________________________________________________

Signature: ________________________________________________

Title: ________________________________________________

Date: ________________________________________________
Section 5310: Required Certifications for Section 5310 Traditional Projects

*Only sign these certifications if your project is a Section 5310 Traditional project.*

MISSOURI DEPARTMENT OF TRANSPORTATION
FTA 49 U.S.C. SECTION 5310
STANDARD ASSURANCES

The applicant organization hereby agrees to the following Standard Assurances pursuant to the Section 5310 program:

It has legal authority to apply and receive a capital assistance grant. It will comply with all applicable requirements of FTA Circular 4704.1, Equal Employment Opportunity Policy and Requirements for grant recipients. It will comply with all requirements of Title VI, Civil Rights Act of 1964, with FTA Circular 4702.1B, Interim Guidelines for Title VI - Information Specific to FTA Programs, and with 49 CFR Part 21, Nondiscrimination in Federally Assisted Programs of the Department of Transportation - Effectuation of Title VI of the Civil Rights Act of 1964. Its programs will be conducted or its facilities operated in compliance with all requirements imposed by or pursuant to 49 CFR Parts 27, 37 and 38, Transportation for Individuals with Disabilities: Final Rule. It will comply with all applicable provisions with the Missouri Property Management Standards for Section 5310. It will give FTA and the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant. It will operate and maintain any facility or equipment constructed or purchased as part of a Federal grant in accordance with the minimum standards as may be required or prescribed by the applicable Federal, State and Local agencies for the maintenance and operation of such facilities. It recognizes FTA's and MoDOT's authority to conduct audits for the purpose of verifying compliance with the requirements and stipulations stated above. Based on information submitted in the applicant organization's application, the service provided or offered to be provided by existing public or private transit operators are unavailable, insufficient or inappropriate to meet the special needs of elderly or disabled persons with the service area. Private transit and paratransit operators have been offered a fair and timely opportunity to participate to the maximum extent feasible in the provisions of the proposed special transportation services for elderly and disabled. Projects in urbanized areas are included in the Annual Element of the local Transportation Improvement Program. The applicant organization possesses the necessary fiscal and managerial capabilities to implement and manage its proposed project. The applicant organization has or will have the required non-federal cash match for the project or such match will be provided in whole or in part from other state, local or private sources. The applicant organization is considered under state law as a private nonprofit organization or public entity and has the legal capacity to contract with the state to carry out the proposed project. The applicant organization has or will have by the time of delivery sufficient funds to operate the vehicles and equipment to be purchased under this project.

CHARTER BUS REQUIREMENTS
49 U.S.C. 5323(d) 49 CFR Part 604

Charter Service Operations - The Applicant agrees to comply with 49 U.S.C. 5323(d) and 49 CFR Part 604 and any Charter Service regulations or FTA directives that may be issued, except to the extent FTA determines otherwise in writing. The Applicant understands and agrees that: (1) the charter service it or its subrecipients, lessees, third party contractors, or other participants in the Project provide; (2) the definitions of FTA’s Charter Service regulations will apply to the Applicant’s charter operations, and (3) a pattern of violations of FTA Charter Service regulations may require corrective measures and imposition of remedies, including barring the Applicant, subrecipient, lessee, third party contractor, or other participant in the Project from receiving Federal financial assistance from FTA, or withholding an amount of Federal Assistance as set forth in Appendix D of FTA’s Charter Service regulations.
Section 5310: Required Certifications for Section 5310 Traditional Projects

*Only sign these certifications if your project is a Section 5310 Traditional project.

**SCHOOL BUS REQUIREMENTS**
49 U.S.C. 5323(f) 49 CFR Part 605

*School Bus Operations* - Pursuant to 69 U.S.C. 5323(f) and 49 CFR Part 605, recipients and subrecipients of FTA assistance may not engage in school bus operations exclusively for the transportation of students and school personnel in competition with private school bus operators unless qualified under specified exemptions. When operating exclusive school bus service under an allowable exemption, recipients and subrecipients may not use federally funded equipment, vehicles, or facilities.

**ENERGY CONSERVATION REQUIREMENTS**
42 U.S.C. 6321 et seq. 49 CFR Part 18

*Energy Conservation* - The Applicant agrees to comply with mandatory standards and policies relating to energy efficiency, which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act.

**CLEAN WATER REQUIREMENTS**
33 U.S.C. 1251

*Clean Water* - (1) The Applicant agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq. The Applicant agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

(2) The Applicant also agrees to include these requirements in each subcontract exceeding $100,000 financed in whole or in part with Federal assistance provided by FTA.

**LOBBYING**

**Modifications** have been made to the Clause pursuant to Section 10 of the Lobbying Disclosure Act of 1995, P.L. 104-65 [to be codified at 2 U.S.C. § 1601, et seq.]


- Language in Lobbying Certification is mandated by 49 CFR Part 19, Appendix A, Section 7, which provides that Applicants file the certification required by 49 CFR Part 20, Appendix A.

Modifications have been made to the Lobbying Certification pursuant to Section 10 of the Lobbying Disclosure Act of 1995.


Section 5310: Required Certifications for Section 5310 Traditional Projects

*Only sign these certifications if your project is a Section 5310 Traditional project.

**LOBBYING, CON’T.**

**APPENDIX A, 49 CFR PART 20--CERTIFICATION REGARDING LOBBYING**
Certification for Contracts, Grants, Loans, and Cooperative Agreements
(To be submitted with each bid or offer exceeding $100,000)

The Applicant certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Applicant shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, et seq.)]

(3) The Applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such expenditure or failure.]

The Applicant certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Applicant understands and agrees that the provisions of 31 U.S.C. A 3801, et seq., apply to this certification and disclosure, if any.

**FEDERAL CHANGES**
49 CFR Part 18

**Federal Changes** - Applicant shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Agreement (Form FTA MA (20) dated October 2013) between Purchaser and FTA, as they may be amended or promulgated from time to time during the term of this contract. Applicant’s failure to so comply shall constitute a material breach of this contract.
Section 5310: Required Certifications for Section 5310 Traditional Projects

*Only sign these certifications if your project is a Section 5310 Traditional project.

**CLEAN AIR**

42 U.S.C. 7401 et seq 40 CFR 15.61 49 CFR Part 18

Clean Air - (1) The Applicant agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. §§ 7401 et seq. The Applicant agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

(2) The Applicant also agrees to include these requirements in each subcontract exceeding $100,000 financed in whole or in part with Federal assistance provided by FTA.

**NO GOVERNMENT OBLIGATION TO THIRD PARTIES**

No Obligation by the Federal Government.

(1) The Purchaser and Applicant acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this contract and shall not be subject to any obligations or liabilities to the Purchaser, Applicant, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.

(2) The Applicant agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clause shall not be modified, except to identify the sub-Applicant who will be subject to its provisions.

**PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS AND RELATED ACTS**


Program Fraud and False or Fraudulent Statements or Related Acts.

(1) The Applicant acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § § 3801 et seq. and U.S. DOT regulations, "Program Fraud Civil Remedies," 49 C.F.R. Part 31, apply to its actions pertaining to this Project. Upon execution of the underlying contract, the Applicant certifies or affirms the truthfulness and accuracy of any statement it has made, it may make, or causes to be made, pertaining to the underlying contract or the FTA assisted project for which this contract work is being performed. In addition to other penalties that may be applicable, the Applicant further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Applicant to the extent the Federal Government deems appropriate.

(2) The Applicant also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1) on the Applicant, to the extent the Federal Government deems appropriate.

(3) The Applicant agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the sub-Applicant who will be subject to the provisions.

**TERMINATION**

49 U.S.C. Part 18 FTA Circular 4220.1F

a. Termination for Convenience (General Provision) The Missouri Department of Transportation (MoDOT) may terminate this contract, in whole or in part, at any time by written notice to the Applicant when it is in the Government's best interest. The Applicant shall be paid its costs, including contract closeout costs, and profit on work performed up to the time of termination. The Applicant shall promptly submit its termination claim to MoDOT for payment. If the Applicant has any property in its possession belonging to MoDOT, the Applicant will account for the same, and dispose of it in the manner MoDOT directs.
Section 5310: Required Certifications for Section 5310 Traditional Projects

*Only sign these certifications if your project is a Section 5310 Traditional project.*

TERMINATION, CON’T.

49 U.S.C. Part 18 FTA Circular 4220.1F

b. Termination for Default [Breach or Cause] [General Provision] If the Applicant does not deliver supplies in accordance with the contract delivery schedule, or, if the contract is for services, the Applicant fails to perform in the manner called for in the contract, or if the Applicant fails to comply with any other provisions of the contract, MoDOT may terminate this contract for default. Termination shall be effected by serving a notice of termination on the Applicant setting forth the manner in which the Applicant is in default. The Applicant will only be paid the contract price for supplies delivered and accepted, or services performed in accordance with the manner of performance set forth in the contract. If it is later determined by MoDOT that the Applicant had an excusable reason for not performing, such as a strike, fire, or flood, events which are not the fault of or are beyond the control of the Applicant, MoDOT, after setting up a new delivery of performance schedule, may allow the Applicant to continue work, or treat the termination as a termination for convenience.

c. Opportunity to Cure [General Provision] MoDOT in its sole discretion may, in the case of a termination for breach or default, allow the Applicant [thirty (30) to sixty (60) days, depending on severity] in which to cure the defect. In such case, the notice of termination will state the time period in which cure is permitted and other appropriate conditions. If Applicant fails to remedy to MoDOT's satisfaction the breach or default or any of the terms, covenants, or conditions of this Contract within [ten (10) days] after receipt by Applicant or written notice from MoDOT setting forth the nature of said breach or default, MoDOT shall have the right to terminate the Contract without any further obligation to Applicant. Any such termination for default shall not in any way operate to preclude MoDOT from also pursuing all available remedies against Applicant and its sureties for said breach or default.

d. Waiver of Remedies for any Breach In the event that MoDOT elects to waive its remedies for any breach by Applicant of any covenant, term or condition of this Contract, such waiver by MoDOT shall not limit MoDOT’s remedies for any succeeding breach of that or of any other term, covenant, or condition of this Contract.

GOVERNMENT-WIDE DEBARMENT AND SUSPENSION (NONPROCUREMENT)

49 CFR Part 29 Executive Order 12549

Instructions for Certification

1. By signing and submitting this application, the prospective lower tier participant is providing the signed certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, (Recipient) may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to (Recipient) if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.


5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized in writing by (Recipient).

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction", without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
Section 5310: Required Certifications for Section 5310 Traditional Projects

*Only sign these certifications if your project is a Section 5310 Traditional project.

GOVERNMENT-WIDE DEBARMENT AND SUSPENSION (NONPROCUREMENT), CONT.’
49 CFR Part 29 Executive Order 12549

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List issued by U.S. General Service Administration.

8. Nothing contained in the foregoing shall be construed to require establishment of system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under Paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to all remedies available to the Federal Government, (Recipient) may pursue available remedies including suspension and/or debarment.

"Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction"

(1) The prospective lower tier participant certifies, by submission of this bid or proposal, that neither it nor its "principals" (as defined at 49 C.F.R. § 29.105(p)) is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) When the prospective lower tier participant is unable to certify to the statements in this certification, such prospective participant shall attach an explanation to this proposal.

CIVIL RIGHTS REQUIREMENTS


Civil Rights - The following requirements apply to the underlying contract:

(1) Nondiscrimination - In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, section 202 of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12132, and Federal transit law at 49 U.S.C. § 5332, the Applicant agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. In addition, the Applicant agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.

(2) Equal Employment Opportunity - The following equal employment opportunity requirements apply to the underlying contract:

(a) Race, Color, Creed, National Origin, Sex - In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal transit laws at 49 U.S.C. § 5332, the Applicant agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 C.F.R. Parts 60 et seq., (which implement Executive Order No. 11246, "Equal Employment Opportunity," as amended by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of the Project. The Applicant agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the Applicant agrees to comply with any implementing requirements FTA may issue.
CIVIL RIGHTS REQUIREMENTS, CONT.


(b) Age - In accordance with section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § 623 and Federal transit law at 49 U.S.C. § 5332, the Applicant agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Applicant agrees to comply with any implementing requirements FTA may issue.

(c) Disabilities - In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. § 12112, the Applicant agrees that it will comply with the requirements of U.S. Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630, pertaining to employment of persons with disabilities. In addition, the Applicant agrees to comply with any implementing requirements FTA may issue.

(3) The Applicant also agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

(4) The following information is required by the Federal Transit Administration. The economic/racial/ethnic composition of your governing body or riders will not be considered as a factor in awarding grants.

Our governing body (board of director, city council, etc.) is made up predominantly of minority and/or low-income individuals.

Potential riders/clients of our transportation service will be predominantly minority and/or low-income individuals.

BREACHES AND DISPUTE RESOLUTION
49 CFR Part 18, FTA Circular 4220.1F

Disputes - Disputes arising in the performance of this Contract, which are not resolved by agreement of the parties, shall be decided in writing by the Missouri Department of Transportation (MoDOT), Director, Multimodal Operations. This decision shall be final and conclusive unless within [ten (10)] days from the date of receipt of its copy, the Applicant mails or otherwise furnishes a written appeal to the Director, Multimodal Operations. In connection with any such appeal, the Applicant shall be afforded an opportunity to be heard and to offer evidence in support of its position. The decision of the Director, Multimodal Operations shall be binding upon the Applicant and the Applicant shall abide by the decision.

Performance During Dispute - Unless otherwise directed by MoDOT, Applicant shall continue performance under this Contract while matters in dispute are being resolved.

Claims for Damages - Should either party to the Contract suffer injury or damage to person or property because of any act or omission of the party or of any of his employees, agents or others for whose acts he is legally liable, a claim for damages therefor shall be made in writing to such other party within a reasonable time after the first observance of such injury of damage.

Remedies - Unless this contract provides otherwise, all claims, counterclaims, disputes and other matters in question between MoDOT and the Applicant arising out of or relating to this agreement or its breach will be decided by arbitration if the parties mutually agree, or in a court of competent jurisdiction within the State in which MoDOT is located.
Section 5310: Required Certifications for Section 5310 Traditional Projects

*Only sign these certifications if your project is a Section 5310 Traditional project.

BREACHES AND DISPUTE RESOLUTION, CON’T.

49 CFR Part 18, FTA Circular 4220.1F

Rights and Remedies - The duties and obligations imposed by the Contract Documents and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law. No action or failure to act by MoDOT or Applicant shall constitute a waiver of any right or duty afforded any of them under the Contract, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.

STATE AND LOCAL LAW DISCLAIMER

State and Local Law Disclaimer - The use of many of the suggested clauses are not governed by Federal law, but are significantly affected by State law. The language of the suggested clauses may need to be modified depending on state law, and that before the suggested clauses are used in the grantees procurement documents, the grantees should consult with their local attorney.

INCORPORATION OF FEDERAL TRANSIT ADMINISTRATION (FTA) TERMS

FTA Circular 4220.1F

Incorporation of Federal Transit Administration (FTA) Terms - The preceding provisions include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the preceding contract provisions. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F, dated March 13, 2013, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Applicant shall not perform any act, fail to perform any act, or refuse to comply with any (name of grantee) requests, which would cause (name of grantee) to be in violation of the FTA terms and conditions.

Name (print):

__________________________________________

Signature:

__________________________________________

Title:

__________________________________________

Date:

__________________________________________
Section 5310: Required Certifications for New Freedom Type Projects

*Only sign these certifications if your project is a New Freedom Type project.

**FEDERAL FISCAL YEAR 2016 CERTIFICATIONS AND ASSURANCES FOR FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS**
(Signature page alternative to providing Certifications and Assurances in TrAMS)

Name of Applicant: ________________________________

The Applicant agrees to comply with the applicable provisions below. Included are the most common groups for agencies applying for Section 5310 federal funds. For a full list of the 2016 FTA Certifications and Assurances, visit: https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/2016_Certs_and_Assurances_FINAL_0.pdf.

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Initial</th>
</tr>
</thead>
<tbody>
<tr>
<td>01.</td>
<td>Required Certifications and Assurances for Each Applicant.</td>
<td></td>
</tr>
<tr>
<td>02.</td>
<td>Lobbying.</td>
<td></td>
</tr>
<tr>
<td>03.</td>
<td>Procurement and Procurement Systems.</td>
<td></td>
</tr>
<tr>
<td>04.</td>
<td>Private Sector Protections.</td>
<td></td>
</tr>
<tr>
<td>05.</td>
<td>Rolling Stock Reviews and Bus Testing.</td>
<td></td>
</tr>
<tr>
<td>06.</td>
<td>Demand Responsive Service.</td>
<td></td>
</tr>
<tr>
<td>07.</td>
<td>Intelligent Transportation Systems.</td>
<td></td>
</tr>
<tr>
<td>08.</td>
<td>Interest and Financing Costs and Acquisition of Capital Assets by Lease.</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Alcohol and Controlled Substances Testing.</td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td>State of Good Repair Program.</td>
<td></td>
</tr>
<tr>
<td>13.</td>
<td>Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs.</td>
<td></td>
</tr>
<tr>
<td>14.</td>
<td>Urbanized Area Formula Grants Programs and Passenger Ferry Grants Program.</td>
<td></td>
</tr>
<tr>
<td>15.</td>
<td>Seniors and Individuals with Disabilities Program.</td>
<td></td>
</tr>
<tr>
<td>16.</td>
<td>Rural Areas and Appalachian Development Programs.</td>
<td></td>
</tr>
<tr>
<td>17.</td>
<td>Tribal Transit Programs (Public Transportation on Indian Reservations Programs).</td>
<td></td>
</tr>
<tr>
<td>19.</td>
<td>Public Transportation Emergency Relief Program.</td>
<td></td>
</tr>
<tr>
<td>20.</td>
<td>Expedited Project Delivery Pilot Program.</td>
<td></td>
</tr>
<tr>
<td>21.</td>
<td>Infrastructure Finance Programs.</td>
<td></td>
</tr>
<tr>
<td>22.</td>
<td>Paul S. Sarbanes Transit in Parks Program.</td>
<td></td>
</tr>
<tr>
<td>23.</td>
<td>Hiring Preferences.</td>
<td></td>
</tr>
</tbody>
</table>
Section 5310: Required Certifications for New Freedom Type Projects

*Only sign these certifications if your project is a New Freedom Type project.*

FFY 2016 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE
(Required of all Applicants for federal assistance to be awarded by FTA and all FTA Grantees with an active Capital or Formula Award)

AFFIRMATION OF APPLICANT

Name of Applicant: __________________________________________

Name and Relationship of Authorized Representative: ______________________________________

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in federal fiscal year 2016, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply to each Award for which it now seeks, or may later seek federal assistance awarded by FTA during federal fiscal year 2016.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 et seq., and implementing U.S. DOT regulations, “Program Fraud Civil Remedies,” 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with a federal public transportation program authorized by 49 U.S.C. chapter 53 or any other statute.

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of the Applicant are true and accurate.

Signature: _______________________________ Date: _______________________________

Name Authorized Representative of Applicant: ______________________________________

AFFIRMATION OF APPLICANT’S ATTORNEY

For (Name of Applicant):

As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under state, local or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

Signature: _______________________________ Date: _______________________________

Name Attorney for Applicant: __________________________________________

Each Applicant for federal assistance to be awarded by FTA and each FTA Recipient with an active Capital or Formula Project or Award must provide an Affirmation of Applicant’s Attorney pertaining to the Applicant’s legal capacity. The Applicant may enter its electronic signature in lieu of the Attorney's signature within FTA's electronic award and management system, provided the Applicant has on file and uploaded to FTA’s electronic award and management system this hard-copy Affirmation, signed by the attorney and dated this federal fiscal year.
Section 5310: Required Certification for Local Government Authorities

*For Government Entities only.

LOCAL GOVERNMENT AUTHORITY CERTIFICATION

For governmental entities to be eligible for the "Traditional - Capital" 5310 funding, the state or local government authority needs to be approved by the 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. See 49 U.S.C. 5310(b)(1) and (b)(2).

I certify that:

☐ Our agency is approved by the State to coordinate services for seniors and individuals with disabilities.

OR

☐ There are no non-profit organizations readily available in the area to provide the service.

Name (print): __________________________________________________________

Signature: ____________________________________________________________

Title: ________________________________________________________________

Date: _________________________________________________________________
2017 Rolling Stock Capital Assistance Application

THIS VEHICLE WAS PURCHASED WITH FUNDS THROUGH THE ILLINOIS CONSOLIDATED VEHICLE PROCUREMENT PROGRAM

FUNDED BY THE FEDERAL TRANSIT ADMINISTRATION AND/OR ILLINOIS DEPARTMENT OF TRANSPORTATION

Program Contact:

Illinois Department of Transportation
Office of Intermodal Project Implementation
69 W. Washington, Suite 2100
Chicago, IL 60602

Mike Healy, Section Chief – CVP
312-793-2184
mike.healy@illinois.gov
### Section I. General Information

#### A. Definitions

<table>
<thead>
<tr>
<th>Transportation Provider Types</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Transportation Provider</td>
<td>Organizations providing regular, continuing shared-ride surface transportation services that are open to the general public or to a segment of the general public defined by age, disability, or low-income status and does not include intercity rail transportation, intercity bus service, charter bus service, school bus service, sightseeing service, or shuttle service.</td>
</tr>
<tr>
<td>Specialized Transportation Provider</td>
<td>Non-profit organizations providing transportation services to meet travel demand from mobility-challenged populations, including seniors and individuals with disabilities.</td>
</tr>
<tr>
<td>Certified Public Provider (CPP)</td>
<td>Public transportation providers certified by IDOT as functioning in areas where specialized transportation demand is greater than the ability of local specialized transportation providers to meet. Upon application for CPP status and certification by IDOT, CPPs become eligible for Sec. 5310 funding.</td>
</tr>
</tbody>
</table>

#### Federal Transit Administration (FTA) Funding Programs

<table>
<thead>
<tr>
<th>Funding Program</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sec. 5310 Capital Assistance</td>
<td>Capital Assistance for the Mobility of Seniors and Individuals with Disabilities. Sec. 5310 applicants are either private non-profits or else public transportation providers that have been certified by IDOT as eligible to receive Sec. 5310 funds (see “Certified Public Provider”).</td>
</tr>
<tr>
<td>Sec. 5311 Formula Grants</td>
<td>Formula Grants to Non-Urbanized Areas made to public transportation providers.</td>
</tr>
<tr>
<td>Sec. 5339 “Bus &amp; Bus Facilities”</td>
<td>The FTA's reconstituted 'Bus &amp; Bus Facilities' grant program. In Illinois, public transportation providers that receive Sec. 5307 or Sec. 5311 funds are also eligible to receive capital assistance funded through FTA Sec. 5339.</td>
</tr>
</tbody>
</table>

#### CVP Application Service Categories

<table>
<thead>
<tr>
<th>Service Category</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Existing Service</td>
<td>Public or specialized transportation services currently offered on a recurring and consistent basis.</td>
</tr>
<tr>
<td>Expansion Service</td>
<td>Additional clients, territories, and/or hours of operation planned by public or specialized transportation providers in augmentation of existing service.</td>
</tr>
<tr>
<td>New Service</td>
<td>Clients, territories, and hours of operation planned by public or specialized transportation providers that are not at present providing any transportation service.</td>
</tr>
</tbody>
</table>

#### Geographic Definitions

<table>
<thead>
<tr>
<th>Urbanized Area Definition</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Northeastern Illinois (NEIL)</td>
<td>Shorthand for the Chicago, IL urbanized area, as defined by the U.S. Census. Inclusive of Cook, Lake, McHenry, DuPage, Will, and Kane Counties, as well as northeastern Grundy County.</td>
</tr>
<tr>
<td>“Downstate”</td>
<td>Shorthand for all areas of Illinois outside of the NEIL region.</td>
</tr>
<tr>
<td>Illinois Urbanized Areas</td>
<td><strong>Large (&gt;200,000 population)</strong> - NEIL, St. Louis, Rockford, Rock Island, Peoria <strong>Small (population between 50,000 and 199,999)</strong> - Springfield, Champaign, Bloomington-Normal, Decatur, Alton/Cape Girardeau, Kankakee, DeKalb, Carbondale, Danville</td>
</tr>
</tbody>
</table>

For precise maps of urbanized area boundaries, please visit: [https://www.census.gov/geo/maps-data/maps/2010ua.html](https://www.census.gov/geo/maps-data/maps/2010ua.html)
B. Application Technical Instructions & Submission Requirements

The CVP Application Requires a Two-Step Submission Process:

1. When all information fields are fully and accurately filled out, please save this PDF and submit it to the CVP Section Chief via e-mail at mike.healy@illinois.gov while CCing your regional HSTP coordinator or local MPO. This portion of your application must be submitted by 11:50 p.m. on May 31, 2017.

2. To ensure veracity of claims regarding vehicle maintenance and driver training, as well as compliance with all necessary State and Federal program requirements, please e-mail the following to mike.healy@illinois.gov and your local HSTP Coordinator/MPO no later than 11:59 p.m. on June 30, 2017:

   a. Scanned PDF of Page 6 ('Applicant Information'), signed by applicant's authorized representative,
   b. A formal letter of endorsement from the local public transportation provider in applicant's proposed service area,
   c. Scanned PDF of Acceptance of Binding IDOT & FTA Certifications and Assurances signed by applicant's authorized representative and Affirmation of Attorney signed by applicant's legal counsel (see DPIT CVP 04: Appendix A),
   d. Notice of publication of a public meeting held regarding this application and minutes thereof (sample language for this notice can be found in DPIT CVP 05: Appendix B),
   e. Scanned copy of Opinion of Counsel signed by applicant's legal counsel (see DPIT CVP 06: Appendix C),
   f. Signed Board Resolution designating authorized signatory representative for applicant (see DPIT CVP 07: Appendix D),
   g. Any and all documentation materials referenced and/or requested in application Section(s) III, V, VI and/or VII.

PLEASE NOTE THAT FAILURE TO COMPLY WITH ITEMS a.-f. ABOVE, ESPECIALLY AND INCLUDING THE SUBMISSION OF ALL LISTED ITEMS TO BOTH IDOT AND YOUR LOCAL HSTP COORDINATOR/MPO CAN AND WILL RESULT IN THE FORFEITURE OF SCORING OPPORTUNITIES AND/OR THE INVALIDATION OF YOUR ENTIRE APPLICATION.

C. Scoring Criteria

<table>
<thead>
<tr>
<th>Sec. 5310 Competitive Application Scoring Criteria</th>
<th>(applicable to private non-profit applicants only)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level of Existing Services</td>
<td>As determined by hours of operation compared to statewide applicant pool and/or peak vehicle need.</td>
</tr>
<tr>
<td>Equipment Utilization</td>
<td>As determined by vehicle miles traveled (VMTs) or number of one-way vehicle trips per day, compared to statewide applicant pool.</td>
</tr>
<tr>
<td>Asset Maintenance</td>
<td>As determined by defined questions and reviewer's judgment of required materials.</td>
</tr>
<tr>
<td>Management Capacity</td>
<td>As determined by defined questions and reviewer's judgment of required materials and administrative review of applicant transportation budgets.</td>
</tr>
<tr>
<td>Coordination Efforts</td>
<td>As determined by inclusion of required materials and local administrative review (see Sec. VII).</td>
</tr>
<tr>
<td>Total</td>
<td></td>
</tr>
</tbody>
</table>

D. Application Review Process, Criteria, and Award Timeline

When you submit your application and submit the required materials mentioned in items a.-f. above, to mike.healy@illinois.gov and your local HSTP Coordinator/MPO, the CVP Section Chief will send a reply message acknowledging receipt. Your HSTP coordinator or MPO contact will review your application for required documents and contact you regarding any missing or supplemental information required for full review. Any documents missing, delayed, or requiring authorizations from an applicant's Board of Directors must be provided within 30 days of May 31, 2017, the application deadline (e.g., by June 30, 2017). If missing documents are not received by this deadline, the application will be deemed incomplete and ineligible for consideration. The Department may require additional information during the full review.

Only when all information needed for full evaluation has been received, will the full review be completed.
When final review of the application is complete, the Office will make its award recommendation to the Secretary of Transportation. Following the Secretary's approval, vehicles will be ordered and titled to awardees with an IDOT lien on the vehicle, which will serve as a mechanism for the enforcement of compliance on the part of the grantee with all certifications, assurances and attestations made relative to project performance and use of project equipment on the part of the grantee.

Your projects will be judged on: consistency with program goals and objectives, meeting public or specialized transportation needs, demonstrated and anticipated use of project equipment, maintenance of any vehicles granted during prior cycles, capacity to financially and administratively manage transportation projects, regional coordination efforts, ability to meet federal and state program requirements, and funding availability.

- If your request is for new service, the application must demonstrate a recognizable effort to create all necessary documentation as if it were for existing service. Reasonable estimates may be used for preliminary figures regarding materials such as planned hours of operation, budgets, etc. Please understand that estimates presented on this application will be used as performance benchmarks in future Sec. 5310 program reviews.

Acknowledgement of receipt ensures the Department's review of your application, though it does not ensure approval of the project. The Department considers that the submission represents the applicant's intent to undertake or continue the proposed transportation project promptly, with the receipt of the approved vehicle.

Additional Guidance

If you have any questions or need additional information, contact

Mike Healy  
Section Chief - CVP 
Phone: 312-793-2184  
E-mail: mike.healy@illinois.gov

Or attend a 2016 CVP Application Informational Meeting (see next section)
E. 2017 CVP Application Informational Meeting

Through the Consolidated Vehicle Procurement (CVP) Program, the Illinois Department of Transportation makes grants to municipalities, mass transit districts, counties, and private or non-profit organizations for ramp and lift equipped paratransit vehicles. Funding for these grants comes from various sources, including Federal Transit Administrations (FTA) Sections 5310, 5311, and 5339 funding programs, as well as State sources.

IDOT will hold two non-mandatory but very helpful informational meetings to help you prepare an application. One will be held in Springfield and one in Chicago. We strongly encourage attending this meeting to learn more about recent changes to the CVP application review and scoring process, as well as answer any questions unique to your agency. Even if you are a former applicant, there are new updates to the application. Each session will last approximately two and a half hours. Please attend the session more convenient for you.

When and Where:

**CHICAGO**
April 25, 2017
10 a.m.
69 W. Washington
Suite 2100
Chicago, IL 60602

**SPRINGFIELD**
April 18, 2017
10 a.m.
Springfield Mass Transit District
928 S. 9th St.
Springfield, IL 62703

Click Here to RSVP

or RSVP TO

Mike Healy
Section Chief - CVP
Phone: 312-793-2184
E-mail: mike.healy@illinois.gov

F. A Note on EXPANSION or NEW Service

Many portions of this application inquire about current vehicle fleet and programs. For those proposing expanded or new service(s), we are aware that several documents, or data may not exist. For the purposes of this application please provide qualified estimates/projections for new or expanded service(s). This data will then be used as a benchmark for your agency in future program evaluation efforts.
A BRIEF GUIDE TO THE 2017 CVP APPLICATION

NECESSARY SECTIONS FOR EACH TYPE OF APPLICANT

My organization is a
PRIVATE NON-PROFIT
which means it is eligible for
SEC. 5310 funding only

SEC. II - APPLICANT INFORMATION
SEC. III - VEHICLE REQUEST FORM & BUDGET
A. Project Budget
B. Project Justification
C. Current Paratransit Veh. Inventory
D. Geographic Area Served

My organization is a
CERTIFIED PUBLIC PROVIDER
that does not receive other FTA funding
which means it is a public body that has been
approved by IDOT to receive Sec. 5310 funding, but
has not received any other type of funding from the
Federal Transit Administration

SEC. II - APPLICANT INFORMATION
SEC. III - VEHICLE REQUEST FORM & BUDGET
A. Project Budget
B. Project Justification
C. Current Paratransit Veh. Inventory
D. Geographic Area Served

My organization is a
CERTIFIED PUBLIC PROVIDER
that receives other FTA funding
which means it is a public body that has been
approved by IDOT to receive Sec. 5310 funding, and
also receives other types of funding (e.g., Sec. 5307, Sec.
5311, etc.) from the Federal Transit Administration

SEC. II - APPLICANT INFORMATION
SEC. III - VEHICLE REQUEST FORM & BUDGET
A. Project Budget
B. Project Justification
C. Current Paratransit Veh. Inventory
D. Geographic Area Served

My organization is a
PUBLIC BODY
e.g., a city, county, mass transit district, etc.
that currently receives Sec. 5307 or 5311
funding but has not been approved by IDOT
as eligible for Sec. 5310 funding

SEC. II - APPLICANT INFORMATION
SEC. III - VEHICLE REQUEST FORM & BUDGET
A. Project Budget
B. Project Justification
C. Current Paratransit Veh. Inventory
D. Geographic Area Served

My organization is a
PUBLIC BODY
that receives other FTA funding

SEC. II - APPLICANT INFORMATION
SEC. III - VEHICLE REQUEST FORM & BUDGET
A. Project Budget
B. Project Justification
C. Current Paratransit Veh. Inventory
D. Geographic Area Served

SUBMIT APPLICATION TO MIKE.HEALY@ILLINOIS.GOV

REMEMBER! DOWNSTATE RURAL/ NON-URBANIZED APPLICANTS: CC YOUR HSTP COORDINATOR
DOWNSTATE URBANIZED APPLICANTS: CC YOUR MPO
# Section II. Applicant Information

<table>
<thead>
<tr>
<th>Date Submitted</th>
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<tbody>
<tr>
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</table>

## Applicant Information

<table>
<thead>
<tr>
<th>Legal Name</th>
</tr>
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<tbody>
<tr>
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</table>

<table>
<thead>
<tr>
<th>Mailing Address</th>
<th>County/Counties Served</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Contact Name</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Phone</th>
<th>Fax</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<table>
<thead>
<tr>
<th>HSTP Region and/or Urbanized Area (see Appendix E)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Federal Tax ID number (FEIN)</th>
<th>DUNS Number</th>
</tr>
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<td></td>
</tr>
</tbody>
</table>

Type of Applicant (Please Refer to the Table in Part I, A)

- [ ] PRIVATE NON PROFIT
- [ ] IDOT CERTIFIED PUBLIC BODY (NO OTHER FTA FUNDS)
- [ ] IDOT CERTIFIED PUBLIC BODY (RECEIVES OTHER FTA FUNDS)
- [ ] SECTION 5311 GRANTEE

## For Vehicle Information/ Issues

<table>
<thead>
<tr>
<th>Contact Name</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Phone</th>
<th>Fax</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## All Applicants Must Answer These Questions

Does A Minority Group Manage Your Organization Or Is Operation Minority Based?

- [ ] Yes
- [x] No

Does Your Agency Provide Service To Minorities?

- [ ] Yes
- [ ] No

Does Your Application Have The Support Of Your Local Public Transportation Provider? *

- [ ] Yes
- [ ] No
- [ ] N/A

*For a searchable map & database of Illinois public transportation providers, please visit the following website the Illinois Statewide Public Transportation Plan: [http://ilpublictransportation.businesscatalyst.com/map_transit.htm](http://ilpublictransportation.businesscatalyst.com/map_transit.htm)

By this application, it is the intent of ____________________________ to request vehicle(s) through the State of Illinois’ Consolidated Vehicle Procurement (CVP) program; and will meet all applicable state, federal and local acceptance, application and maintenance requirements. I certify that the information and statements provided in this application, and all supporting documents are correct and complete.

Signature of Authorized Representative (As authorized by board resolution, see Appendix D)  

<table>
<thead>
<tr>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

Print name of Authorized Official  

<table>
<thead>
<tr>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>
Section III. Vehicle Request Form & Budget
(to be completed by all applicants)

Example

<table>
<thead>
<tr>
<th>CVP Vehicles Requested</th>
<th>Information on Vehicles for Which Replacement is Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle Priority</td>
<td>Vehicle Type Requested*</td>
</tr>
<tr>
<td>-</td>
<td>MDL</td>
</tr>
</tbody>
</table>

Please fill out the below table to register your 2016 CVP vehicle request.
(Double-click the table to access)

*Requested Vehicle Types and Descriptions (See DPIT CVP 10: Consolidated Vehicle Procurement Catalog)
- MV - Mini-Van w/ramp (2 wheelchairs/5 passengers)
- LDL - Light Duty Paratransit w/lift (3 wheelchairs/12 passengers)
- MDL - Medium Duty Paratransit w/lift (5 wheelchairs/14 passengers)
- SMD - Super Medium Duty Paratransit w/lift (5 wheelchairs/26 passengers)

Vehicle Replacement Criteria
To be eligible for replacement, current vehicle must meet either Criteria 1 or Criteria 2 at time of application.

<table>
<thead>
<tr>
<th>Type</th>
<th>Criteria 1</th>
<th>Criteria 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Autos/Mini-Vans/Raised Roof Vans</td>
<td>95,000 Miles</td>
<td>OR 5 yrs, in documented unsafe &amp; poor operating condition</td>
</tr>
<tr>
<td>Light Duty Paratransit Vehicle</td>
<td>100,000 Miles</td>
<td>OR 7 yrs, in documented unsafe &amp; poor operating condition</td>
</tr>
<tr>
<td>Medium Duty Paratransit/School Bus</td>
<td>120,000 Miles</td>
<td>OR 8 yrs, in documented unsafe &amp; poor operating condition</td>
</tr>
<tr>
<td>Super Medium Duty Paratransit Vehicle (&gt;16 passenger)</td>
<td>180,000 Miles</td>
<td>OR 9 yrs, in documented unsafe &amp; poor operating condition</td>
</tr>
<tr>
<td>Heavy Duty Transit Vehicle (&gt;30 pass)</td>
<td>280,000 Miles</td>
<td>OR 10 yrs, in documented unsafe &amp; poor operating condition</td>
</tr>
</tbody>
</table>

If vehicle is eligible for replacement under Criteria 2, please provide documentation supporting reason(s) why the vehicle is in unsafe or poor condition, e.g., photos, receipts, repair estimates, etc. If a vehicle needing replacement did not reach the appropriate mileage criteria before becoming unsafe and/or inoperable, please provide a brief explanation as to why.
A. Project Budget (to be completed by all applicants)

Example

<table>
<thead>
<tr>
<th>Vehicle Type</th>
<th>Passengers</th>
<th>Replacement</th>
<th>Expansion</th>
<th>New Service</th>
<th>Total Units</th>
<th>Unit Costs</th>
<th>Totals Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minivan</td>
<td>6</td>
<td>1</td>
<td></td>
<td></td>
<td>1</td>
<td>$41,000</td>
<td>$41,000</td>
</tr>
<tr>
<td>Light Duty</td>
<td>12</td>
<td></td>
<td>2</td>
<td></td>
<td>2</td>
<td>$57,000</td>
<td>$114,000</td>
</tr>
<tr>
<td>Medium Duty</td>
<td>14</td>
<td></td>
<td></td>
<td>3</td>
<td>3</td>
<td>$63,000</td>
<td>$189,000</td>
</tr>
<tr>
<td>Super-Medium Duty</td>
<td>26</td>
<td></td>
<td></td>
<td></td>
<td>1 2 3 6</td>
<td>$100,000</td>
<td>$0</td>
</tr>
</tbody>
</table>

Total 2016 CVP Request

<table>
<thead>
<tr>
<th>Number of Vehicles Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 2 3 6</td>
</tr>
<tr>
<td>$344,000</td>
</tr>
</tbody>
</table>

Please enter your vehicle requests into the **blank/white cells below** and make note of your 2016 CVP budget request *(Double-click the table to access.)*

B. Project Justification (To Be Completed By Private Non-Profit Applicants Only)

Please provide a brief defense of your proposal. Make sure to address the following topics:

- Describe the transportation program and needs of individuals in your current/proposed service area.
  - If you are proposing new or expanded service, identify how these needs are currently not being met.
- Explain how the current transportation program will change if this grant is not approved.
- Describe how transportation services support, buttress, and enable your agency's overall mission.
C. Current Paratransit Vehicle Inventory  (To Be Completed By Private Non-Profit Applicants Only)

## Vehicle Condition Definitions

<table>
<thead>
<tr>
<th>Condition</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Out of Service</td>
<td>Vehicle is not suitable for safe and/or reliable daily operations.</td>
</tr>
<tr>
<td>Poor</td>
<td>Vehicle is marginally suitable for safe and/or reliable daily operations, though is frequently at risk for being removed from service. Vehicle can be expected to last &lt;1 yr. at current level of use before requiring permanent removal from service.</td>
</tr>
<tr>
<td>Fair</td>
<td>Vehicle is suitable for safe and/or reliable daily operations, though is beginning to exhibit significant wear &amp; tear. Vehicle can be expected to last 1-2 years at current level of use before requiring permanent removal from service.</td>
</tr>
<tr>
<td>Good</td>
<td>Vehicle is suitable for safe and/or reliable daily operations. Vehicle can be expected to last 3-4 years at current level of use before requiring permanent removal from service.</td>
</tr>
<tr>
<td>Excellent</td>
<td>Vehicle is suitable for safe and/or reliable daily operations. Vehicle can be expected to last 4+ years at current level of use before requiring permanent removal from service.</td>
</tr>
</tbody>
</table>

### Odometer Reading as of

<table>
<thead>
<tr>
<th>Year</th>
<th>Manufacturer</th>
<th>Type</th>
<th>VIN</th>
<th>03/31/15</th>
<th>03/31/17</th>
<th>Lift / Ramp Equipped?</th>
<th>Condition</th>
<th>Contract Number (if IDOT vehicle)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011</td>
<td>Ford</td>
<td>MD</td>
<td>2P4GPZB1VRZ20936</td>
<td>95,446</td>
<td>195,446</td>
<td>✗ Yes No</td>
<td>Fair</td>
<td>665</td>
</tr>
</tbody>
</table>

Please complete all of the following sections with your current fleet inventory. Please attach additional pages if necessary.

### Add Row
D. Geographic Area Served (To Be Completed By Private Non-Profit Applicants Only)

Please list the census tracts in which you operate service. Census Tract Reference Maps can be found online at [http://www.census.gov/geo/maps-data/maps/2010tract.html](http://www.census.gov/geo/maps-data/maps/2010tract.html).

To access a brief online tutorial on how to identify your organization's served Census tracts, please [click here](http://www.census.gov/geo/maps-data/maps/2010tract.html).

<table>
<thead>
<tr>
<th>Census Track(s)</th>
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<tbody>
<tr>
<td>1</td>
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<td>23</td>
</tr>
<tr>
<td>24</td>
</tr>
<tr>
<td>25</td>
</tr>
</tbody>
</table>

*Note:* Please include all census tracts served, including tracts for which you only serve a portion/part of the territory within. If you have any additional comments regarding your service territory, please register them below.
Section IV. Level of Current Service & Equipment Utilization
(To be completed by Private Non-Profit applicants & Non-FTA Funded CPPs only)

A. Hours of Service
Please list the total hours each day during which your organization offers paratransit services.

- **Note:** this is an unduplicated count of hours. E.g., if you had multiple vehicles providing service between 9 a.m. and 11 a.m., the total number of service hours would be 2.

- **New/prospective applicants:** if you do not already offer paratransit services, enter the number of hours in which you are planning to offer service.

<table>
<thead>
<tr>
<th>Monday</th>
<th>Tuesday</th>
<th>Wednesday</th>
<th>Thursday</th>
<th>Friday</th>
<th>Saturday</th>
<th>Sunday</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

B. Total Annual One-Way Trips
Please enter your transportation program's one-way trip information for 2016.

- This is a “per person” count. E.g., transporting 3 people to a medical appointment 3 trips; transporting 3 people to the store and then back home 6 trips.

<table>
<thead>
<tr>
<th>By Trip Type</th>
<th>CY2016 Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medical Trips</td>
<td></td>
</tr>
<tr>
<td>Work Trips</td>
<td></td>
</tr>
<tr>
<td>Educational Trips</td>
<td></td>
</tr>
<tr>
<td>Nutrition Trips</td>
<td></td>
</tr>
<tr>
<td>Shopping Trips</td>
<td></td>
</tr>
<tr>
<td>Social/Recreational Trips</td>
<td></td>
</tr>
<tr>
<td>Other Trips</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Average Number of Vehicles Used to Provide Service on a Daily Basis**

**Peak Number of Vehicles Used to Provide Service on a Daily Basis**
**Section V. Asset Control & Maintenance**  
(To be completed by Private Non-Profit applicants & Non-FTA Funded CPPs only)

### A. Fleet Control

**Does your transportation program maintain an individual vehicle file for each vehicle?** Does each vehicle file include the following elements? (Applicants with existing transportation programs must include or attach completed sample forms/files to receive credit; applicants proposing new service must include or attach sample forms/files to receive credit)

<table>
<thead>
<tr>
<th>Element</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle Title</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Warranties</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Warranty Claims</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Insurance Policy Card</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vendor Contract Information</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Copies of repair/maintenance orders with inspection</td>
<td></td>
<td></td>
</tr>
<tr>
<td>documentation and date resolved</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Details on any malfunctions of ADA/lift equipment</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### B. Asset Maintenance

**Does your agency have a written, board adopted vehicle maintenance policy?** Must include or attach to receive credit. (Applicants with existing transportation programs must include or attach completed sample forms/files to receive credit; applicants proposing new service must include or attach sample forms/files to receive credit)

**Does your agency have a written, board adopted preventative maintenance schedule for all vehicles?** Must include or attach to receive credit. (Applicants with existing transportation programs must include or attach completed sample forms/files to receive credit; applicants proposing new service must include or attach sample forms/files to receive credit)

**Does your agency perform preventative maintenance for all vehicles?** Must include or attach sample documentation (tune-up receipt, oil change receipt, etc.) to receive credit.

**Comments**
Section VI. Management Capacity
(To be completed by Private Non-Profit applicants & Non-FTA Funded CPPs only)

A. Staff Training & Competency

Does your agency have a board adopted driver training policy/curriculum, including training syllabi, schedules and established periods for “refresher” trainings on the following subjects?

(Applicants with existing transportation programs must include or attach completed sample forms/files to receive credit; applicants proposing new service must include or attach sample forms/files to receive credit)

<table>
<thead>
<tr>
<th>Subject</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Client Assistance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Defensive Driving</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Emergency Procedures</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPR/First Aid</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operation of ADA/lift Equipment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Formal Vehicle Orientation, Including Communications Equipment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Formal Route &amp; Territory Orientation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Does your agency maintain driver files, with each file containing the following elements?

(Applicants with existing transportation programs must include or attach completed sample forms/files to receive credit; applicants proposing new service must include or attach sample forms/files to receive credit)

<table>
<thead>
<tr>
<th>Element</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Licensing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If any drivers require CDL licensing, applicant must provide documentation of 1) drug &amp; alcohol testing program and 2) completed DOT physical examinations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Completed Trainings</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Driving and service record, including and special achievements or documented incidents</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments
**B. Financial Planning & Management**  
(To be completed by Private Non-Profit applicants & Non-FTA Funded CPPs only)

Please complete the below budget worksheet.

<table>
<thead>
<tr>
<th>Item</th>
<th>CY 2016 (Actual)</th>
<th>CY 2017 (Projected)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Passenger Fares &amp; Passenger Donations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Income from Service Contracts</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Income from Operating Grants</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Income from Donations/Fundraising</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (please list below)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[other 1]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[other 2]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[other 3]</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Revenues</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pro-rate for % of time if transportation staff have other program duties</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Drivers (salary + benefits)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dispatch/Supervisor (salary + benefits)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintenance (labor)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintenance (parts)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fuel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Insurance Costs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vehicle Storage</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (please list below)</td>
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<td></td>
</tr>
<tr>
<td>[other 1]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[other 2]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[other 3]</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Expenses</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Net Revenues/Deficit</strong></td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**Comments**

Are transportation programs running at a net surplus or deficit?

If transportation programs are running a net surplus, where are surplus funds directed?

If transportation programs are running at a net deficit, from where are funds pulled to cover shortfalls?
Section VII.

Coordination Efforts
(To be completed by Private Non-Profit applicants & Non-FTA Funded CPPs only)

A. Notifying Other Transportation Providers

To protect the interests of all existing public and private transit and paratransit operators, the applicant must take the following action:

STEP 1 Prepare a mailing list of other public & specialized transportation providers in your service area. **Send each provider an individual letter or e-mail** advising of your intent to pursue Section 5310 funds through IDOT's CVP application process.

In the letter, describe the proposed service, number of vehicles to be used, population to be served, and boundaries of the service area. State the following:

"In accordance with federal grant program requirements, all public and private transit operators must be given a fair and timely opportunity to participate in the provision of the proposed services and to submit written comments on the proposed project to the Department of Transportation (IDOT)."

Include copies of your messages and responses with your application. All other area public and private transit operators are encouraged to submit written comments referencing the application and indicating:

- whether the services they are now providing or are prepared to provide would constitute a duplication or redundancy of services for mobility challenged seniors and/or individuals with disabilities in the service area of the CVP project applicant;
- whether they wish to participate in some way in the provision of the services proposed in the CVP application;
- any other comments they have about the application.

Each applicant should indicate in their message(s) where and by what date written comments should be submitted.

STEP 2 Prepare and publish a public notice in a newspaper of general circulation in the service area (see DPIT CVP 05: Appendix B).

A copy of the notice as it appears, and any written comments/replies must be forwarded to IDOT with the application.

B. Federal Coordination Requirements

As part of the federal government's human services coordination initiative, all Section 5310 recipients must certify that projects are derived from a locally developed, coordinated public transit-human services transportation plan (HSTP). In the rural areas of Illinois, the Department has developed 11 regions each staffed with an HSTP Regional Coordinator (see DPIT CVP 11: Appendix E). In downstate urbanized areas with populations of 50,000 or more, the Metropolitan Planning Organization (MPO) is the HSTP agency (see DPIT CVP 11: Appendix E) and in the Northeastern Illinois Region (Cook, Lake, DuPage, Kane, Will and McHenry Counties), the HSTP contact agency is the Illinois Department of Transportation. All Section 5310 applicants should be actively involved in the development of these plans, and each Section 5310 application outside of Northeastern Illinois will need to be endorsed by their respective HSTP local transportation planning committee/urbanized area coordination offices in order to be considered for funding by the Department.
Coordination between transportation services is a vital federal program requirement for client service and the most effective use of paratransit vehicles. Agencies receiving federal and state grants must contact and coordinate to the extent possible with all other services provided in their geographic service area to assure the most beneficial services to those in need.

C. Downstate Public Provider Endorsement

Letters of support from other public and/or specialized transportation providers significantly impact your application coordination score. Feel free to include letters of support from legislators, administrators, or other elected officials, but please be aware that the inclusion of such materials will not affect application scoring. A quick guide for obtaining letters of support from other transportation providers:

- Mail the request early to allow sufficient time for response.
- Plan for written or phone follow-up (which also must be documented to meet the minimum requirement for coordination).
- **For applicants outside of the Northeastern Illinois area, you are required to provide letter of support from the local public transportation provider in order to be eligible for funding.**
- Please list all other public and non-profit transportation services for the general public, elderly persons, and persons with disabilities operating in your current or proposed service area. Note any comments or outline your coordination plan below.

<table>
<thead>
<tr>
<th>Agency/Provider</th>
<th>Clientele</th>
<th>Website</th>
<th>Phone</th>
<th>Days of Operation</th>
<th>Hours</th>
<th>Contact Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

D. Northeastern Illinois Local Provider Endorsement

For applicants within the Northeastern Illinois region, the Northeastern Illinois Region HSTP Conformance Worksheet must be completed (following page) in order to be considered for endorsement. You must also contact PACE Suburban Bus for their endorsement and letter of support. All requests for letters of support should be sent in writing, attention:

Melinda Metzger  
Deputy Executive Director  
PACE Suburban Bus  
550 W. Algonquin Road  
Arlington Heights, IL  60005  
Melinda.Metzger@pacebus.com
Northeastern Illinois Region HSTP Conformance Worksheet

ONLY TO BE COMPLETED BY NORTHEASTERN ILLINOIS REGION APPLICANTS
(Cook, DuPage, Kane, Lake, McHenry, and Will Counties)

To complete this form, please refer to the Northeastern Illinois Region's HSTP Management plan which can be found at http://www.rtachicago.com/section-5310/section-5310.html

Please identify the following RTA HSTP Strategies addressed by the service you plan to provide with the vehicle or vehicles requested. The numbers in the chart below reference the RTA Coordinated Public Transit Report on their website.

<table>
<thead>
<tr>
<th>RTA HSTP STRATEGIES (p. 17-18)</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Improving Service Integration (check all that apply)</td>
</tr>
<tr>
<td>- Contracting with agency operators</td>
</tr>
<tr>
<td>- Contracting with common service providers</td>
</tr>
<tr>
<td>- Short term loans</td>
</tr>
<tr>
<td>☐ Improving Accessibility (check all that apply)</td>
</tr>
<tr>
<td>- Accessibility improvements at non-key rail stations</td>
</tr>
<tr>
<td>- Improving access to fixed-route bus routes</td>
</tr>
<tr>
<td>☐ Tools That Improve Productivity (check all that apply)</td>
</tr>
<tr>
<td>- Tools that improve data integrity, fare collection, cost sharing/allocation, billing/reporting, and transfers</td>
</tr>
<tr>
<td>- Consolidating functions</td>
</tr>
<tr>
<td>- Centralized information</td>
</tr>
<tr>
<td>- Tools that support live dispatch</td>
</tr>
<tr>
<td>- Sharing resources</td>
</tr>
<tr>
<td>☐ Flexible Transit Services (check all that apply)</td>
</tr>
<tr>
<td>- Agency/employment “tripper” services</td>
</tr>
<tr>
<td>- Community bus routes</td>
</tr>
<tr>
<td>- Taxi subsidy program</td>
</tr>
<tr>
<td>- Volunteer driver/escort program</td>
</tr>
<tr>
<td>- Reverse commute</td>
</tr>
<tr>
<td>- Improving access to fixed-route bus routes</td>
</tr>
</tbody>
</table>