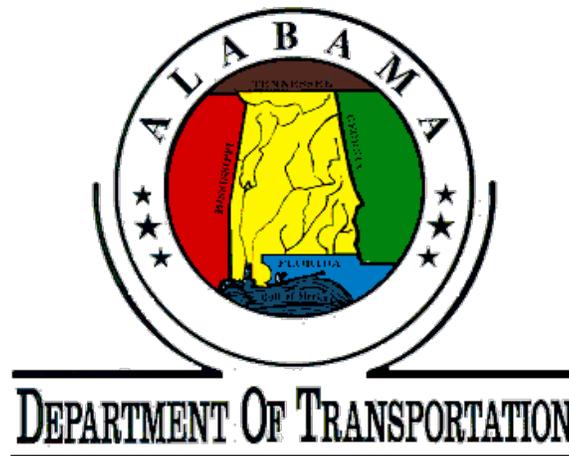


**ALABAMA DEPARTMENT OF TRANSPORTATION
LOCAL TRANSPORTATION BUREAU
Public Transit Section**

**Enhanced Mobility of Seniors and Individuals with Disabilities Program
(Section 5310)**

**HUNTSVILLE URBANIZED AREA
(City of Huntsville and Madison County)**

**COMPETITIVE GRANT
For
Fiscal Year 2021**



Dissemination Date:

May 15, 2020

***Due Date to Submit Applications to Top of Alabama
Regional Council of Governments (TARCOG):***

July 17, 2020

***Due Date for TARCOG to Submit Any Applications
That They Prepare to ALDOT:***

July 17, 2020

***Due Date for TARCOG to Submit the Endorsed
Applications to ALDOT:***

July 24, 2020

Table of Contents

1	Tentative Schedule for the FY-2021 Grant Cycle.....	4
2	General Information.....	5
2.1	FTA Circular (Section 5310).....	5
2.2	Designated Recipient for Huntsville Urbanized Area.....	5
2.3	Competitive Application Process	5
2.4	Project Selection and Grant Award Process	5
2.5	The Huntsville Urbanized Area Section 5310 Goal and Objectives	6
2.6	Eligible Applicants.....	6
2.7	Eligible Projects	7
2.7.1	Eligible Projects (Traditional).....	7
2.7.2	Eligible Projects (Non-Traditional)	7
2.7.3	Minimum of 55% Reserved for “Traditional” Capital Projects.....	7
2.8	New Freedom Initiative	8
2.9	Meal Delivery.....	8
2.10	Charter Service	8
2.11	Match Ratios and Sources.....	8
2.11.1	Match Ratios	8
2.11.2	Eligible Local Match Sources.....	9
2.12	Section 5310 Requires Coordination.....	9
2.13	TARCOG Review and Endorsement.....	9
2.14	Transportation Improvement Program.....	10
2.15	Responsibilities of Successful Applicants (ALDOT Subrecipients)	10
2.15.1	Record and Reporting Requirements.....	10
2.15.2	Drug and Alcohol Testing.....	11
2.15.3	Vehicle Replacement	11
2.15.4	Invoicing Procedures	11
2.15.5	Insurance and Title	12
2.15.6	Americans with Disabilities Act (ADA).....	12

2.15.7 Title VI Program..... 12

2.15.8 Certifications and Assurances..... 13

2.16 Technical Assistance 13

2.17 New Service Applicant 13

2.18 General Instructions and Format of the Application 14

2.19 Application Due Dates 14

3 Exhibits 17

4 Appendices 47

1 Tentative Schedule for the FY-2021 Grant Cycle

Date	Activity
<ul style="list-style-type: none"> • May 15, 2020 	<ul style="list-style-type: none"> • Program announcement and dissemination of grant applications to Huntsville Urbanized Area potential applicants
<ul style="list-style-type: none"> • July 17, 2020 	<ul style="list-style-type: none"> • Deadline for applications to be submitted to the Top of Alabama Regional Council of Governments (TARCOG) to request the coordination plan certification letter • If TARCOG is applying for funding or closely involved with an applicant's application, this is the deadline for submitting applications directly to ALDOT (<i>direct applications</i>)
<ul style="list-style-type: none"> • July 17, 2020 	<ul style="list-style-type: none"> • Deadline for TARCOG to submit endorsed applications to ALDOT
<ul style="list-style-type: none"> • July 24, 2020 	<ul style="list-style-type: none"> • Selection committee convenes to review applications and schedule site visits
<ul style="list-style-type: none"> • TBA 	<ul style="list-style-type: none"> • Grant Application to FTA via TrAMS
<ul style="list-style-type: none"> • TBA 	<ul style="list-style-type: none"> • Awards Announced
<ul style="list-style-type: none"> • TBA 	<ul style="list-style-type: none"> • Vehicle Orders Placed
<ul style="list-style-type: none"> • TBA 	<ul style="list-style-type: none"> • Vehicle Deliveries

This Huntsville Urbanized Area Section 5310 application is located on the website page listed below:

Alabama Department of Transportation
 Local Transportation Bureau
 Transit Section
 1409 Coliseum Boulevard
 Montgomery, AL 36110
 Telephone: (334) 242-6764
 Website: <https://www.dot.state.al.us/ltweb/transit/index.html>

Technical Assistance is available upon request.

2 General Information

✳ **Introduction:** The Huntsville Urbanized Area Section 5310 program is intended to assist private or designated public nonprofit agencies in meeting the transportation needs of older adults and people with disabilities. The Alabama Department of Transportation (ALDOT) is responsible for the management and administration of the **Federal Transit Administration (FTA) Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program**. The Public Transit Section, through the Section 5310 program, provides funds to eligible entities. **Appendix A** provides definitions for common terms used in the Section 5310 program.

✳ **Exhibits:** The Section 5310 program grant application comprises several narrative Exhibits. These Exhibits are described in detail in the following pages. The required Exhibits in the application must appear in the order they are described in these instructions. The blank forms included in this packet may be used to aid in the development of required Exhibits. Examples of several of the required Exhibits are included in these instructions.

2.1 **FTA Circular (Section 5310)**

Applicants are encouraged to become familiar with the following FTA circular: **FTA Circular 9070.1G: Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program**. This FTA Circular can be found at: <https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/enhanced-mobility-seniors-and-individuals-disabilities>

2.2 **Designated Recipient for Huntsville Urbanized Area**

The Governor has designated the Alabama Department of Transportation (ALDOT) to be responsible for administering the Section 5310 program for the Huntsville Urbanized Area, and has officially notified FTA's Region 4 office in writing of this designation. The Huntsville Urbanized Area is a large urbanized area with a population of 200,000 or more.

2.3 **Competitive Application Process**

All agencies must use this application when applying for Huntsville Urbanized Area Section 5310 program funding. Projects will be awarded through a competitive selection process for the Huntsville Urbanized Area. ALDOT, as the designated recipient, is responsible for developing and implementing the competitive selection process in order to provide for fair and equitable distribution of funds.

2.4 **Project Selection and Grant Award Process**

Completeness: Initially, applications will be reviewed for completeness, based on the **Checklist**. Any issues will be identified. Transit Section staff will determine whether an application with issues can be made complete by the applicant so that rating can commence. If Transit Section staff determines that an application with issues can be made complete, then the applicant will be offered the opportunity to address issues that are found with the application as it was submitted.

Selection Committee: A screening and selection committee comprised of ALDOT staff members who will assign points based on rating criteria (see **Appendix B**). The selection committee ratings will be averaged and ranked using a point system. Based on the funds allocated for the program, ALDOT will determine the total number of applications to be funded.

Applicants Will Be Notified of Award Status: Each applicant will be notified of the application status (approved or not approved). The notification to each unsuccessful applicant will outline reasons why the application was not approved.

Agreement: Grant award/approval letters will be sent to successful applicants after the Huntsville Urbanized Area grant has been approved by FTA. ALDOT will prepare an agreement with each successful applicant. After the applicant's FY-2021 agreement is approved and fully executed, the agency will become a subrecipient of ALDOT. This formal agreement between the Alabama Department of Transportation and the subrecipient must be executed prior to the obligation of funds. A final list of selected projects will be published on ALDOT's website.

2.5 The Huntsville Urbanized Area Section 5310 Goal and Objectives

✳ **Section 5310 Goal:** The goal of the Section 5310 program is to improve mobility for older adults and people with disabilities in the urbanized area of Huntsville and to enhance coordination of federally assisted programs and services in order to encourage the most efficient use of federal resources and achieve the national goal of improved mobility of older adults and people with disabilities. In Alabama, both private and public nonprofit agencies are required to coordinate transportation services with agencies that provide transportation services to the general public.

✳ **Huntsville Urbanized Area's Section 5310 Objectives:**

- Ensure that older adults and people with disabilities have the same rights as all people to utilize transportation facilities and services
- Make special efforts in the planning and design of transportation facilities and services to assure older adults and people with disabilities the availability of transportation services which they can effectively utilize
- Continue to provide for the special needs of older adults and people with disabilities for which general public transportation services are unavailable, insufficient, or inappropriate

2.6 Eligible Applicants

- 1) Private non-profit agencies for the specific purpose of providing transportation services that meet the special needs of seniors and individuals with disabilities
- 2) Local governmental agencies approved by ALDOT to coordinate service for seniors and individuals with disabilities
- 3) Governmental authorities certifying to ALDOT that no non-profit organizations are readily available in the area to provide the service

2.7 Eligible Projects

2.7.1 Eligible Projects (Traditional)

- 1) Capital acquisition of vehicles (Buses, Vans)
- 2) Preventive maintenance
- 3) Radios and communication equipment
- 4) Vehicle wheelchair lifts, ramps, and securement devices
- 5) Vehicle benches, shelters, and other passenger amenities
- 6) Computer hardware and software
- 7) Lease of equipment when leasing is more cost effective than purchase
- 8) Acquisition of transportation services under a contract (purchased transportation), lease or other arrangement
- 9) Introduction of new technology, through innovative and improved products, for public transportation
- 10) Transit related Intelligent Transportation Systems (ITS)
- 11) Dispatch systems
- 12) Fare collection systems
- 13) Bicycle projects (see section **2.11.1** below)

2.7.2 Eligible Projects (Non-Traditional)

- 1) Accessibility Improvements
 - a) Building an accessible path to a bus stop that is currently inaccessible (such as, curb cuts, sidewalks, accessible pedestrian signals)
 - b) Adding ramps and detectable warnings at stations
 - c) Improving signage or wayfinding technology
- 2) Public transportation alternatives that assist seniors and individuals with disabilities
 - a) Purchasing accessible vehicles for taxi, ride-sharing, and/or vanpools

2.7.3 Minimum of 55% Reserved for “Traditional” Capital Projects

At least 55% of program funds must be used on capital “traditional” projects that are:

- 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

The remaining 45% may be used on capital “non-traditional” projects that are:

- Public transportation projects that exceed the requirements of the Americans with Disabilities Act (ADA)
- Public transportation projects that improve access to fixed-route service and decrease reliance by individuals with disabilities on complementary paratransit
- Alternatives to public transportation that assist seniors and individuals with disabilities

2.8 New Freedom Initiative

Moving Ahead for Progress in the 21st Century (MAP-21) merged New Freedom activities (formerly Section 5317: New Freedom Initiative) with the Section 5310 Program. The consolidated program will continue support for non-profit providers of transportation, and it will continue to make available funds for public transportation services that exceed the requirements of the Americans with Disabilities Act, as previously provided under the New Freedom program.

2.9 Meal Delivery

Transit service providers receiving assistance under Section 5310 may coordinate and assist in providing meal delivery service for homebound people on a regular basis, if the meal delivery services do not conflict with the provision of transit services or result in a reduction of service to transit passengers. The nutrition program is expected to pay the operating costs attributable to meal delivery.

2.10 Charter Service

FTA grantees are prohibited from using federally funded equipment and facilities to provide charter service except on an incidental basis and when one or more of applicable exceptions as set forth in the charter service regulation at 49 CFR 604.9 (b) applies. Charter service is an allowable activity on an incidental basis if the applicant successfully completes the charter public notice requirements and no “willing and able” private charter providers are available. Applicants must reference Federal Transit Act, as amended 49 CFR 604.11(c). Please refer to **Appendix E** for more details on Charter Service.

2.11 Match Ratios and Sources

2.11.1 Match Ratios

- 1) Capital projects except bicycle projects (80 percent federal funds / 20 percent local funds). Capital projects are 80% federal funds / 20% local match. Vehicle-related equipment and facilities required by the Clean Air Act (CAA) or the Americans with Disabilities Act (ADA) are funded at 80% / 20%.
- 2) Bicycle Projects (90 percent federal funds / 10 percent local funds). Bicycle access projects of the types listed below are 90% federal funds / 10% local match.

- a) Providing shelters and parking facilities for bicycles in or around public transportation facilities
- b) Installing equipment for transporting bicycles on public transportation vehicles

2.11.2 Eligible Local Match Sources

The local share of eligible capital costs shall be based on the net cost of the activity. Some example 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, concessions, and incidental charter service.

In addition, the local share may be derived from federal programs that are eligible to be expended for transportation, other than DOT programs. Examples of types of programs that are potential sources of local match include: employment, training, aging, medical, community services, and rehabilitation services. For more information, see [Appendix D](#).

2.12 Section 5310 Requires Coordination

FAST Act requires projects under Section 5310 to be derived from a locally developed, coordinated public transit-human services transportation plan. Improving transportation coordination is important in Alabama communities because limited resources and a growing transportation demand exist simultaneously.

*** Projects Must Be Consistent with TARCOG’s “Coordinated Plan”:** Top of Alabama Regional Council of Governments (TARCOG) is the designated Regional Planning Council for the Huntsville Urbanized Area. In order to be awarded Section 5310 grant funding, successful projects must be derived from the TARCOG locally developed, coordinated public transit-human services transportation **plan** (“coordinated plan”). The TARCOG coordinated plan: 1) identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes; 2) provides strategies for meeting local needs; and 3) identifies potential projects that will accomplish each strategy. Applicants are encouraged to familiarize themselves with the TARCOG plan to ensure their projects are consistent with it.

Each applicant must address unmet needs and specific strategies as identified in the locally developed, coordinated public transit-human services transportation plan (in this case, the TARCOG coordinated plan) plan in order to be eligible to receive Section 5310 federal funding.

2.13 TARCOG Review and Endorsement

*** Grant Application Review by TARCOG:** Completed grant applications must be submitted to TARCOG who will review the grant applications to ensure compliance with federal coordination requirements prior to formal submission to ALDOT. Only those grant applications formally

submitted to TARCOC for review will be considered for ALDOT funding. The TARCOC contact information is as follows:

Region 12: TARCOC

Top of Alabama Regional Council of Governments

5075 Research Drive NW

Huntsville, AL 35805

(256) 830-0818

<http://tarcog.us/>

Counties: DeKalb, Jackson, Limestone, Madison, and Marshall

*** TARCOC Endorsement:** Only applications derived from the locally developed, coordinated public transit-human services transportation planning process can be considered for ALDOT funding. Therefore, TARCOC must provide project endorsements to ALDOT. Project endorsements will be on TARCOC letterhead and will include the following:

- **Page Numbers for Unmet Needs and for Strategies:** Identify the page number(s) in the TARCOC locally developed, coordinated public transit-human services transportation plan for the unmet needs and for the specific strategies that each endorsed application addresses.
- **Approval Date:** TARCOC must provide the approval date for the locally developed, coordinated public transit-human services transportation plan.

2.14 Transportation Improvement Program

Section 5310 projects located in the Huntsville Urbanized Area must be included in the Huntsville Area Metropolitan Planning Organization's Transportation Improvement Plan (TIP). Applications can be accepted prior to listing in the TIP, but grant award cannot be made until the project is listed in the TIP. The TIP and its amendments are available at the following link: <http://www.huntsvillempo.org/2016-2019-tip/>.

2.15 Responsibilities of Successful Applicants (ALDOT Subrecipients)

2.15.1 Record and Reporting Requirements

Section 5310 subrecipients must have the staffing capability to maintain records and reporting requirements for the Section 5310 Program. **Reporting shall be required throughout the duration of the active vehicle service.** The annual reporting period begins October 1st and ends on September 30th. Subrecipients are responsible for submitting quarterly and annual reports to ALDOT, in addition to any other reports as may be required. ALDOT will provide the reporting forms to the Section 5310 subrecipients. Reports may also be submitted electronically via the Alabama Transit Reporting System (ATRS). Agencies interested in using the ATRS must contact ALDOT for an account setup. Reports submitted must be accurate, complete, and timely. **Failure to comply with reporting**

requirements may affect future funding and result in the loss of approved funding and/or reassignment of project equipment.

Section 5310 subrecipients must maintain records in accordance with federal and state audit requirements during the period of contractual obligation to ALDOT and for three (3) years following the date of completion of the project. Projects may be audited without notice at any time during this period. ALDOT will conduct on-site management performance reviews at least once every three years. These reviews are carried out to ensure that subrecipients manage and administer the programs in accordance with Federal and State requirements.

2.15.2 Drug and Alcohol Testing

Subrecipients of Section 5310 assistance are not subject to FTA's Drug and Alcohol testing rules, but must comply with requirements of the Federal Motor Carrier Safety Administration (FMCA). FMCA requirements may be accessed via the following link: <http://www.fmcsa.dot.gov/>.

In accordance with the Drug-Free Workplace Act of 1988 and 49 CFR Part 32, ALDOT requires each subrecipient to maintain a drug-free workplace for all employees and to have an anti-drug policy and awareness program.

2.15.3 Vehicle Replacement

Only those vehicles meeting or exceeding useful life expectancy will be considered for replacement. Vehicle replacement eligibility must be apparent at the time of application submission. ALDOT transit staff will conduct physical inspections of all vehicles for replacement during the application review process as necessary. (See **Appendix C** for vehicle category and useful life expectancy information.)

2.15.4 Invoicing Procedures

Applicants approved for purchased transportation (or other capital funds for purposes other than vehicle procurement) will be required to invoice ALDOT on a cost reimbursement basis. Subrecipients may submit one (1) invoice monthly. Only the federal share (80% for capital and 90% for bicycle projects) of the total cost for the awarded project will be reimbursed to the subrecipients each month. Subrecipients will be required to comply with the standard ALDOT invoicing process using standard forms. Subrecipients will be required to submit receipts and other required documentation to ALDOT with invoices.

Applicants approved for vehicle capital funds will facilitate vehicle purchases through a competitive bidding process administered by ALDOT and the State of Alabama Finance Department. Successful applicants will be required to submit local matching funds to ALDOT prior to the placement of vehicle orders. The local match checks should be made payable to the Alabama Department of Transportation.

ALDOT will facilitate a thorough inspection of vehicles in advance of delivery to the Section 5310 subrecipients. ALDOT will be invoiced by the vendor(s) for payment for the vehicles, with ALDOT

making payment upon acceptance. Therefore, any problems noted by the subrecipient during delivery should be reported to ALDOT immediately.

2.15.5 Insurance and Title

Section 5310 Program subrecipients are required to maintain adequate insurance coverage in accordance with federal, state, and local requirements to provide assurance of coverage sufficient to protect the federal/state interest in the funded equipment. Appropriate measures must be taken to safeguard against loss, damage, or theft of equipment. **Subrecipients are required to show proof of insurance for vehicle(s) before the vehicles are released.**

Section 5310 Program subrecipients are responsible for vehicle licensing and title requirements. **Titles will be issued in the name of the subrecipient with the Alabama Department of Transportation listed as first lienholder throughout the active service life of all program equipment.**

2.15.6 Americans with Disabilities Act (ADA)

Subrecipients must comply with the provisions of the Americans with Disabilities Act (ADA) in the delivery of transportation services including, but not limited to: maintenance of accessibility features, procedures to ensure lift availability, lift and securement use, vehicle identification, use of accessibility features, lift deployment at any designated stop, adequate time for vehicle boarding/disembarking, use of service animals, services for persons using respirators or portable oxygen, accessible formats for public information and communication, and training. Compliance with these requirements will be monitored during on-site review visits by ALDOT staff.

2.15.7 Title VI Program

As a condition of receiving Federal Transit Administration Section 5310 program funds through ALDOT, subrecipients must comply with the requirements of the U.S. Department of Transportation's Title VI regulations. The purpose of Title VI is to ensure that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

Agencies that are awarded Section 5310 program funds will become subrecipients of ALDOT. All subrecipients must develop a Title VI Program and submit it to ALDOT consistent with reporting timelines established by ALDOT. The following Title VI items will be required:

- 1) A copy of the subrecipient's notice to the public that it complies with Title VI and informs members of the public of the protections against discrimination afforded to them by Title VI. Include a list of locations where the notice is posted.
- 2) A copy of the subrecipient's instructions to the public on how to file a discrimination complaint, including a copy of the complaint form.

- 3) A list of any Title VI investigations, complaints, or lawsuits filed with the subrecipient. This list should include only those investigations, complaints, or lawsuits that pertain to allegations of discrimination on the basis of race, color, and/or national origin in transit-related activities and programs and that pertain to the subrecipient submitting the report, not necessarily the larger agency or department of which the entity is a part.
- 4) A public participation plan that includes an outreach plan to engage minority and limited English proficient populations, as well as a summary of outreach efforts made since the last Title VI Program submission.
- 5) A copy of the subrecipient's plan for providing language assistance for persons with limited English proficiency that was based on the DOT LEP Guidance.
- 6) A table depicting the racial breakdown of the membership of those transit-related non-elected planning boards, advisory councils or committees, or similar bodies, in which the membership is selected by the subrecipient, and a description of efforts made to encourage the participation of minorities on such committees or councils.
- 7) If the subrecipient has constructed a facility, such as a vehicle storage facility, maintenance facility, operations center, etc., the recipient shall include a copy of the Title VI equity analysis conducted during the planning stage with regard to the location of the facility.
- 8) The Title VI Program must be approved by the agency's board of directors or appropriate governing entity or official(s) responsible for policy decisions prior to submission to ALDOT. Recipients shall submit a copy of the Board resolution, meeting minutes, or similar documentation with the Title VI Program as evidence that the board of directors or appropriate governing entity or official(s) has approved the Title VI Program.
- 9) Additional information will be requested if a subrecipient is a fixed route transit provider, or a Metropolitan Planning Organization (MPO).

2.15.8 Certifications and Assurances

In accordance with ALDOT direction, successful applicants will complete the Certifications and Assurances for FY-2021 after they are published in the Federal Register.

2.16 Technical Assistance

Technical Assistance is available to any Applicant for Huntsville Urbanized Area Section 5310 funds through ALDOT. New Service Applicants (see definition in Section 2.17 below) may find it particularly helpful to request Technical Assistance by calling or sending an email using the Contact Information in Section 1.

2.17 New Service Applicant

ALDOT defines a "New Service Applicant" as an entity that has not purchased a vehicle or vehicles through the Section 5310 program (formerly 16b).

2.18 General Instructions and Format of the Application

The forms and required exhibits included in this package provide the Alabama Department of Transportation with the information necessary to select projects and to ensure compliance with State and Federal requirements. The required submissions must be complete and correct. Applicants should be aware that there are severe penalties and sanctions for furnishing false information in order to obtain federal grants.

* **Only One (1) Application per Agency:** Submit only one (1) application per agency, even if the agency will be applying for assistance at multiple locations within the Huntsville Urbanized Area.

* **Completed Checklist Is Required:** The completed application package must be submitted in the order listed on the **Checklist**. One original application must be securely clipped (**no binders or dividers, please**) and submitted to the TARCOC or ALDOT as requested by instructions. On the **Checklist**, enter the page number corresponding to each Exhibit and return the **Checklist** with your application to ensure all Exhibits are included in the correct order. The completed **Checklist** will be placed at the front of the Application (before **Exhibit 1**).

* **Application Format:** Do not staple or insert into a hard-bound notebook. Use a clip or rubber band to attach pages together. The reviewer must be able to easily copy and use each Exhibit as needed.

* **Pagination / Text on One Side of Paper Only:** All pages should be on 8.5" x 11" inch paper. Number all pages consecutively in whole numbers (example: 1, 2, 3, etc.). Text on one side of the paper is the only acceptable format. The reviewer must be able to easily copy and use each Exhibit as needed.

* **Public Hearing:** A Public Hearing is required (see **Exhibit 8** for details).

* **Signatures:** Information should be typed and signed in the appropriate areas. All signatures must be the originals of the authorized official for the applicant organization or agency (for example, mayor, county commission chairman, or executive director).

2.19 Application Due Dates

Direct Applications: TARCOC is a Council of Government and is therefore eligible to apply for Huntsville Urbanized Area funds. TARCOC may either apply directly for funding or else apply for funding on behalf of other entities/organizations. Any TARCOC prepared applications must be submitted directly to ALDOT and must be received at the ALDOT Local Transportation Bureau **no later than 5:00 p.m. on July 17, 2020.**

Endorsed Applications: The deadline for submitting applications to TARCOC for endorsement is **no later than 5:00 p.m. on July 17, 2020.** TARCOC must in turn submit all endorsed applications to the ALDOT Local Transportation Bureau **no later than 5:00 p.m. on July 24, 2020.**

Fiscal Year 2021 Huntsville Urbanized Area

Section 5310 Application Checklist

Application Deadline: **July 17, 2020** to TARCOG
July 17, 2020 to ALDOT (for TARCOG-Prepared Applications)
July 24, 2020 to ALDOT (for TARCOG-Endorsed Applications)

Applicant: _____

Place completed "Checklist" in front of Exhibit 1

Exhibit	Required Application Documents	Page No.
1	Huntsville Urbanized Area Section 5310 Application Cover Page	
2	Huntsville Urbanized Area Section 5310 Current Data Sheet	
3	Vehicle Inventory and Funding Requests	
	Vehicle Inventory Form	
	Vehicle Request Budget Form	
	Non-Vehicle Funding Request Form	
4	Scope of Services (Huntsville Urbanized Area)	
4.1	Overview	
	a) Describe agency purpose and programs	
	b) Describe transportation provided/purchased or that will be provided/purchased by your agency	
	c) Describe transportation provided by other providers in the area	
	d) Describe sensitivity training	
	e) Describe unmet transportation needs this project seeks to address	
	f) Identify coordinated plan strategies this project seeks to address	
4.2	Summary of Transportation Services	
4.3	Show Need for Replacement Vehicle(s)	
4.4	Show Need for Expansion Vehicle(s)	
4.5	Show Need for New Transportation Service	
4.6	Describe Purchased Transportation	
4.7	Describe Non-Vehicle Capital Requested	
5	Fiscal, Managerial, and Operational Capacity	
6	Section 5310 Application Letter	
7	Section 5310 Authorizing Resolution	

**Fiscal Year 2021 Huntsville Urbanized Area
Section 5310 Application Checklist (continued)**

Applicant: _____

Place completed "Checklist" in front of Exhibit 1

Exhibit	Required Application Documents	Page No.
8	Public Participation Requirements * Copy of the Public Hearing Notice as it appeared in the newspaper * Notarized statement verifying publication (publisher's affidavit) * Summary or transcript of the Public Hearing signed by an official of the applicant	
9	Audit Report for the most recent fiscal year	
10	Copy of Articles of Incorporation and Bylaws (if applicable)	
11	Copy of Federal Identification Number Letter	
12	Insurance Carrier, Amounts of Coverage, and Premium Rate (if applicable)	
13	Certification of Vehicle and Equipment Maintenance Plan and Maintenance Inspection Program (complete if requesting vehicles or non-vehicle capital)	
14	Standard Assurances	
15	Title VI	
16	Applicant's Documentation of Involvement in the Coordination and Planning Process	
17	Top of Alabama Regional Council of Governments (TARCOG) Coordinated Plan Endorsement Letter	
18	Public Agency Certification of No Readily Available Service Providers	
19	Application Certification	

3 Exhibits

Exhibit 2: Huntsville Urbanized Area Section 5310 Current Data Sheet

1. Application Information:	
Legal Name:	
P. O. Box:	
Street Address:	
City/County/State/Zip+4:	
DUNS:	Congressional District:
Website:	
First Contact Person and Title:	
E-mail:	
Phone:	
Fax:	
Second Contact Person and Title:	
Phone:	E-mail:
Check Current Status Below (check all that apply):	
<input type="checkbox"/> Current 5307 Recipient	<input type="checkbox"/> Current 5310 Recipient <input type="checkbox"/> New Agency
<input type="checkbox"/> Current 5309 Recipient	<input type="checkbox"/> Current 5311 Recipient
2. Project Request (check all that apply):	
<input type="checkbox"/> Vehicles (80% of Project Cost)	
<input type="checkbox"/> Non-Vehicle Capital (80% of Project Cost)	
<input type="checkbox"/> Purchased Transportation Services (80%)	
<input type="checkbox"/> Other Capital (90%) Specify: _____	
3. Project Information:	
Population of area to be served: _____	
Number of seniors: _____ As % of Total Area Population	
Number of individuals with disabilities: _____ As % of Total Area Population	
4. This Application Is for the Huntsville Urbanized Area (Madison County).	
Check the proposed service area:	
<input type="checkbox"/> City of Huntsville only	
<input type="checkbox"/> City of Huntsville and Madison County	
Section 5310 Federal Amount Requested:	\$ _____
Total Local Match Funds:	\$ _____
Total Cost of Project:	\$ _____

EXHIBIT 3: **Vehicle Inventory and Funding Requests**
(Huntsville Urbanized Area)

Description of Forms:

Vehicle Inventory Form: The completed Vehicle Inventory Form includes the Year, Make/Model, Vehicle Identification Number, Current Miles, Lift (yes or no), Condition, Replacement, and Funding Source (5307, 5309, 5310, 5311, 5316, 5317, or other). Condition will be listed as new, excellent, good, fair, poor, or out of service. Show recent vehicle disposals and vehicles planned for disposal or transfer to another agency.

*****The “Vehicle Inventory Form” will include all vehicles that have been approved by ALDOT for the purpose of being used in the delivery of transportation services for seniors and individuals with disabilities.*****

Vehicle Request Budget Form: The completed Vehicle Request Budget Form describes the vehicle purchases that are requested. The number, cost, and proposed use (replacement, expansion, or new service) will be entered on this Form. The source(s) of local match will be listed. **All applicants will include this Form. If no vehicles are requested, write N/A on the Form.**

Non-Vehicle Funding Request Form: This Form describes non-vehicle capital purchases that are requested, including purchased transportation. The number and cost of each type of desired item will be entered on this Form. **All applicants will include this Form. If you are not requesting purchased transportation and/or non-vehicle capital, write N/A on the Form.**

Include the following as [Exhibit 3](#):

- * Vehicle Inventory Form *(if applicable)*
- * Vehicle Request Budget Form
- * Non-Vehicle Funding Request Form *(for Purchased Transportation and/or Non-Vehicle Capital)*

Exhibit 3. (continued) Vehicle Request Budget Form Agency Name: _____

All applicants will complete this Form. If no vehicles are requested, write N/A on the Form.

<i>Vehicle Type</i> <i>Price ranges are estimates and are subject to change. Prices include wheelchair stations only. Other options are not included.</i>	<i>Designed Seating Capacity</i>	<i>Number of Wheelchair Stations Per Vehicle</i>	<i>Engine Type</i> <i>G-Gas or D-Diesel</i>	<i>Number of Each Type of Vehicle Needed</i>	<i>Intended Use*</i> <i>R-Replacement</i> <i>E-Expansion</i> <i>N-New Service</i>
Mini Van \$38,500	6	1 Station Available	Gas only		
Modified Van \$51,493 - \$64,157	15		Gas only		
Cut-A-Way Chassis Bus \$49,326 - 65,034	17		Gas only		
Cut-A-Way Chassis Bus \$51,747 – 69,935	21		Gas only		
Cut-A-Way Chassis Bus \$59,516 – 71,790	25		Gas only		
Cut-A-Way Chassis Bus \$80,000 – 85,000 NA	25		Diesel only		
Cut-A-Way Chassis, HD \$83,674 – 95,247	28-30		Gas only		
Cut-A-Way Chassis, HD \$91,336 – 102,890	28-30		Diesel only		

Note: All vehicle capital requests will be evaluated by ALDOT. The number and types of vehicles awarded are contingent upon available funding.
 ***Replacement**—an agency requesting to replace vehicles funded through ALDOT. **Expansion**—an agency currently has vehicles funded by ALDOT and desires to purchase new vehicles to meet service needs. **New Service**—an agency that has not purchased vehicles through the Section 5310 program (formerly 16b).

Prices are estimates only and are rounded to the nearest \$100.

Diesel-Powered 25 passenger Cut-A-Way Chassis Bus and the 28-30 passenger vehicles are currently pending contract renewal.

List Sources of Local Funds (below). 20% Local Match is Required for all Vehicles Requested.

Name of Organization: _____	Amount: _____
Name of Organization: _____	Amount: _____

Exhibit 3. (continued) Non-Vehicle Funding Request Form

Agency Name: _____

All applicants will complete this Form. If you are not requesting purchased transportation and/or non-vehicle capital, write N/A on the Form.

Purchased Transportation or Other Capital (specify: computers, radios, etc.)	Number of Each (if applicable)	Federal Cost	Local Cost	Total Cost
Totals				

Note: All non-vehicle capital equipment will be evaluated by ALDOT. The number and type(s) of equipment awarded are contingent upon available funding.

Exhibit 4: Scope of Services (Huntsville Urbanized Area)

This Exhibit will provide an overview of your agency as well as details on the purpose of the grant application.

Definitions of “Expansion Vehicle”, “Replacement Vehicle”, and “New Service Applicant” are provided in **Appendix A**.

Description of Forms:

Applicants will include all Exhibit 4 forms. Please circle yes or no to the question at the top of each Exhibit. This will inform the ALDOT staff of the types of capital you are requesting in your application.

Include the following as Exhibit 4:

- * Exhibit 4.1: Overview
- * Exhibit 4.2: Summary of Transportation Services
- * Exhibit 4.3: Show Need for Replacement Vehicle(s)
- * Exhibit 4.4: Show Need for Expansion Vehicle(s)
- * Exhibit 4.5: Show Need for New Transportation Service
- * Exhibit 4.6: Describe Purchased Transportation
- * Exhibit 4.7: Describe Non-Vehicle Capital Requested

Exhibit 4: Scope of Services (Huntsville Urbanized Area)

Exhibit 4.1 Overview

(All Applicants Must Fully Complete Exhibit 4.1)

- a) **Describe your agency's purpose and programs.** Attach supporting documentation (such as agency brochures and newspaper articles).

- b) **Describe the transportation provided/purchased and/or that will be provided/purchased by your agency.** Include a description of your agency's clientele, your client selection process, current or potential types and number of trips, current or potential route schedules, estimated miles, and estimated hours.

- c) **Describe transportation currently provided to seniors and individuals with disabilities by other providers in your area.** Include days and hours of service, trip purposes, frequency of service, and fares.

- d) **Describe the sensitivity training program** provided to your employees on how to effectively interact with seniors and individuals with disabilities. Include a schedule of pre-employment, on-the-job training, and incremental training provided or to be provided. **Describe Sensitivity Training Only.**

- e) Describe the **unmet transportation needs** within the TARCOG public transit-human services transportation plan the proposed project seeks to address. **List page number(s) from the coordinated plan where the unmet need(s) are found.**

- f) Identify which **strategy(ies)** within the TARCOG coordinated public transit-human services transportation plan that the proposed project addresses. **List page number(s) from the coordinated plan where the strategy(ies) are found.**

Exhibit 4.2

Summary of Transportation Services
(for Applicants Requesting Vehicles)

(All Applicants Requesting Vehicles Must Fully Complete Exhibit 4.2)

All other applicants will circle "No" to the following question and then include this Form in their application.

Are you requesting replacement, expansion, or new service vehicle(s)? (Circle): Yes or No.

Provide detailed information on the type of service(s) to be provided. Please double-check your math for accuracy. Provide estimates where necessary. **Refer to Appendix A for definitions of replacement, expansion, and new service vehicles. Complete all items.**

- a) Average monthly number of clients to be served (unduplicated): _____
(Unduplicated means to count each client only once, even if he or she receives several agency services)

- b) Circle type of clients to be transported: Seniors Children All Ages Disabled

- c) List days of proposed use: _____
(Example: Monday through Friday or Tuesday-Thursday)

- d) Hours per week vehicle(s) will be used: _____

- e) Number of miles clients will be transported daily (service mile average per vehicle): _____

- f) Number of passenger trips per week: _____
(A passenger trip is each time a passenger boards and exits a vehicle. A round trip is counted as 2 passenger trips).

- g) Circle Trip Types: Medical Education Work Nutrition Recreation Other

- h) Circle Service Area: City County

- i) Are you willing to coordinate transportation services with other agencies? Circle: Yes or No

- j) Do you have any proposed agreements to coordinate transportation services with other agencies? Circle: Yes or No

- k) Do you currently have any existing agreements to coordinate transportation services with other agencies? Circle: Yes or No If yes, list agencies.

Exhibit 4.3

Show Need for Replacement Vehicle(s);

Describe Preventive Maintenance of Vehicle(s) to Be Replaced

(All Applicants Requesting Replacement Vehicles Must Fully Complete Exhibit 4.3).

All other applicants will circle "No" to the following question and then include this Form in their application.

A Replacement Vehicle must have reached its "useful life expectancy". Refer to **Appendix A** and **Appendix C** for more information.

Are you requesting replacement vehicle(s)? (Circle): Yes or No

a) Explain the need for replacement vehicle(s).

b) Provide documentation of the most recent scheduled preventive maintenance performed on each vehicle you are requesting to be replaced.

Exhibit 4.4 **Show Need for Expansion Vehicle(s)**

(All Applicants Requesting Expansion Vehicle(s) Must Fully Complete Exhibit 4.4)
All other applicants will circle "No" to the following question and then include this Form in their application.

An Expansion Vehicle is added to the Applicant's fleet to expand service and will not replace any vehicles that have been approved by ALDOT for use in delivering transportation service.

Are you requesting expansion vehicle(s)? (Circle): Yes or No

a) Explain the need for expansion vehicle(s).

b) Provide documentation of new routes, extended hours, longer trips, and/or new or improved services that show the need for additional vehicle(s).

c) Provide documentation of the most recent scheduled preventive maintenance performed on the most recent Section 5310 vehicle(s) awarded your agency (*no more than five (5)*).

Exhibit 4.6 Describe Purchased Transportation

All Applicants Requesting Purchased Transportation Services Must Fully Complete Exhibit 4.6.

All other applicants will circle "No" to the following question and then include this Form in their application.

Are you requesting purchased transportation? (Circle): Yes or No

Provide detailed information on the type of service(s) to be provided. Your response should be as accurate as possible. Provide estimates where necessary. **Complete all items.**

- a) **Number of clients to be served:** _____

- b) **Circle** type of client trips to be purchased: Seniors Children All Ages Disabled

- c) **List the names of current and/or potential public and/or private transportation provider(s) your agency will purchase services from.**

- d) **Will services be purchased under third party agreements, with daily tickets, or with monthly passes? Explain. Estimate the number of third party agreements your agency will enter into.**

- e) **Estimate the average number of daily trips to be purchased (use the table below):**

Trip Purpose	Average Number of Daily Trips
Medical/Dental	
Shopping	
Nutritional	
Personal	
Employment	
Other Purposes (<i>specify below</i>)	
1.	
2.	
3.	
Total	

- f) **Circle** Service Area: City County

Exhibit 4.7

Describe Non-Vehicle Capital Requested

All Applicants Requesting Non-Vehicle Capital Must Fully Complete Exhibit 4.7

All other applicants will circle "No" to the following question and then include this Form in their application.

Are you requesting non-vehicle capital? (Circle): Yes or No

Provide detailed information on the type of service(s) to be provided. Your response should be as accurate as possible. Provide estimates where necessary. **Complete all items.**

a) Number of clients to be served: _____

b) Circle type of clients to be served: Seniors Children All Ages Disabled

c) How will the equipment requested enhance or improve current transportation services that are provided? Explain.

d) Describe equipment to be purchased.

e) List where equipment will be installed or added-on [vehicle(s), computer(s), radio(s), etc.]. If installation or add-on is to be located on a vehicle, provide the vehicle's VIN number, year, condition, and current mileage.

f) Circle Service Area: City County

Exhibit 5: Fiscal, Managerial, and Operational Capacity

(All Applicants Must Fully Complete This Exhibit)

In this section, the Applicant must demonstrate that it has the fiscal, managerial, and operational capabilities to manage transportation funds for the duration of the project. **Information provided will be verified during site visits. Include all requested information in narrative format.**

Narrative should include the following items:

- a) Number of years of experience providing transportation
- b) Experience of project managers (number of years of experience, other relevant information)
- c) Experience managing grants (list sources of grant funds and number of years of experience)
- d) Experience of transportation coordinator (or similar title) and drivers
- e) Availability of experienced employees to manage program funds and program equipment

Exhibit 6: Section 5310 Application Letter

(All Applicants Must Complete This Exhibit)

The Application Letter must state that the grant applicant is applying for public transportation Section 5310 funding in accordance with Federal Transit Laws, as codified (49 USC Section 5310), Enhanced Mobility of Seniors and Individuals with Disabilities. This Exhibit must be on **Applicant's Letterhead** and must include the following information:

- * State name of applicant and list counties of service (or proposed service).
- * Sample Letter's Sentence 2 will need to be customized to list the number and type of vehicles (if applicable) and Purchased Transportation (if applicable). Some Applicants may request both vehicle purchase and Purchased Transportation. Take care to accurately complete Sentence 2.
- * The last sentence in Paragraph 1 confirms the source of local match and operating expenses.
- * Include applicant's statement that, to the best of its knowledge, all the information contained within the application is true and correct.
- * State name of designated contact person and telephone number.
- * Include signature of the person designated by the applicant's governing body to be responsible for administration of the grant.

This letter (on applicant's letterhead) must be addressed to:

Mr. D. E. Phillips, Jr., P. E.
State Local Transportation Engineer
Local Transportation Bureau
Alabama Department of Transportation
1409 Coliseum Boulevard
Montgomery, Alabama 36110

A sample application letter follows.

Exhibit 6 (continued) Sample Section 5310 Application Letter

Confirmation for Local Match and Operating Expenses

(Place on Applicant's Letterhead)

Date

Mr. D. E. Phillips, Jr., P. E.
State Local Transportation Engineer
Local Transportation Bureau
Alabama Department of Transportation
1409 Coliseum Boulevard
Montgomery, Alabama 36110

Dear Mr. Phillips:

FY-2021 SECTION 5310 TRANSIT PROGRAM APPLICATION (HUNTSVILLE URBANIZED AREA)

The **[Applicant]** is hereby applying for a Section 5310 Capital Assistance Grant to provide transportation services for the seniors and individuals with disabilities in **[list City of Huntsville only or Madison County]**. The **[Applicant]** is requesting **[list number of vehicles]** **[list type of vehicle or vehicles]** **[and/or purchased transportation, if applicable]**. The required local match is **[amount]**. The **[list source(s) of local match]** will provide the local match and cover all operating expenses.

The applicant attests that all information contained within this application is true and correct and that the applicant has the legal, financial, and technical capacity to carry out the proposed project. If you have questions or need further information, please contact **[designated contact person]** at **[telephone number including area code]**.

Respectfully,

Signature of Designated Official

Title

Exhibit 7: Section 5310 Authorizing Resolution
(Must Submit Original Signatures)

RESOLUTION NO. _____

WHEREAS, Federal financial assistance as authorized under Section 5310 of the Federal Transit Act Amendments of 1991, is available through the Alabama Department of Transportation to provide transportation services to meet the special needs of seniors and individuals with disabilities; and

WHEREAS, the submission of an application for said financial assistance is deemed necessary to aid in addressing the transportation needs of seniors and individuals with disabilities residents of _____, and
(City of Huntsville or Madison County)

WHEREAS, any agreement for capital financial assistance with the State of Alabama, acting by and through its Alabama Department of Transportation, will impose certain obligations upon the applicant, including the provision by it of the local share of project costs; and

WHEREAS, it is the goal of the applicant to provide the best transit project that can be provided with the funds available.

NOW, THEREFORE, be it resolved by the _____
(Board, Council, or County Commission)
of _____ as follows:
(Legal Name of Organization)

That the _____ is authorized to execute, file a
grant application, (Title of Authorized Official)
and enter into an agreement with the Alabama Department of Transportation for aid in the financing of a Section 5310 transportation assistance project.

Adopted this _____ day of _____, 20____.

Signature: _____

Attest: _____

Typed Name: _____

Typed Name: _____

Title: _____

Title: _____

Exhibit 8: Public Participation Requirements

* **Public Hearing Required:** The public participation process must comprise, at a minimum, conducting a public hearing. A public hearing must be held to allow all persons, including private transportation providers and new business entrants, equal opportunity to comment.

The hearing must be advertised by public notice in the local newspaper of widest circulation at least seven (7) days prior to the hearing. The Notice must be advertised a minimum of one (1) time.

****Please note: A copy of the Public Hearing Notice must be placed in the reception desk area, meeting rooms, transit facilities, and on the vehicles to allow all individuals including Limited English Proficiency (LEP) individuals an opportunity to participate in this hearing.****

A sample Public Hearing Notice is shown below. Customize the “Notice” as necessary. Be sure to include the address of the public hearing location as well as the contact information in your “Notice”.

PUBLIC HEARING NOTICE

The **[Applicant]** is applying to the Alabama Department of Transportation for a federal capital funding grant under Section 5310 of the Federal Transit Act. This funding is for capital assistance to help meet the transportation needs of seniors and individuals with disabilities in **[list City of Huntsville only or Madison County]**. A public hearing will be held on **[date]** at **[time]** in the **[meeting room]** at the **[facility]** at **[address including locality name]** for public comments.

Contact info:

[Contact Person’s Name]

[Contact Person’s Title]

[Applicant]

[Telephone Number]

[Email Address]

Include the following as [Exhibit 8](#):

- * Copy of the **Public Hearing Notice** as it appeared in the newspaper
- * Notarized statement verifying publication (publisher’s affidavit)
- * Summary or transcript of the public hearing signed by an official of the applicant

Exhibit 9 **Audit Report for the most recent fiscal year**
(No Sample Provided)

Exhibit 10 **Copy of Articles of Incorporation and Bylaws, if**
applicable
(No Sample Provided)

Exhibit 11 **Copy of Federal Identification Number Letter**
(No Sample Provided)

Exhibit 12 **Insurance Carrier, Amounts of Coverage, and Premium**
Rate, if applicable
(No Sample Provided)

Exhibit 13: Certification of Vehicle and Equipment Maintenance Plan and Maintenance Inspection Program

(All Applicants Requesting Vehicles or Non-Vehicle Capital Must Fully Complete Exhibit 13)

All other applicants will circle "No" to the following question and then include this Form in their application.

Are you requesting vehicles or non-vehicle capital? (Circle): Yes or No.

Certification of Vehicle and Equipment Maintenance Plan and Maintenance Inspection Program

The _____, hereby certifies it has or will develop
(Applicant)

and implement a **Section 5310 Vehicle and Equipment Maintenance Plan** that contains the following:

A schedule of maintenance inspections and servicing that will be performed and documented according to the guidelines for the vehicle and/or equipment manufacturer.

The **[Applicant]** farther certifies that to demonstrate compliance with the Vehicle Maintenance Plan, it will develop and submit the following components of the Plan:

1. An inspection checklist, which as a minimum, specifies vehicle service items to be checked and the frequency of the checks.
2. An inspection procedure manual describing inspection procedures for items on the checklist, indicating standards for each item checked, and describing corrective actions taken for any problem identified.

Name of Designated Official: _____ Date: _____

Signature of Designated Official: _____

Exhibit 14: Standard Assurances
(Must Submit Original Signature)

Alabama Department of Transportation
FTA Section 5310 Capital Assistance Program

Legal Name of Organization: _____

The applicant's organization hereby agrees to the following Standard Assurances pursuant to the Section 5310 Program:

1. It has legal authority to apply for and receive a capital assistance grant.
2. It will comply with all applicable requirements of FTA Circular 4704.1 (series) Equal Employment Opportunity Policy and Requirements for grant recipients.
3. The applicant assures affirmative compliance with Title VI of the Civil Rights Act of 1964 and related statutes.
4. Its programs will be conducted or its facilities operated in compliance with all requirements imposed by or pursuant to 49 CFR Part 27, Nondiscrimination on the Basis of Handicapped in Federally Assisted Programs and Activities Receiving or Benefiting from Federal Financial Assistance and subsequent amendments.
5. It will comply with all requirements of Section 19, Nondiscrimination, of the Federal Transit Act Amendments of 1991 and subsequent amendments.
6. The applicant's Section 5310 service provides for maximum feasible coordination of transportation services assisted under Section 5310 with transportation services assisted by other Federal sources.
7. 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.
8. 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.
9. It recognizes FTA's and ALDOT's authority to conduct audits for the purpose of verifying compliance with federal and state requirements and stipulations.

10. Based on information submitted in the organization's application, the services provided or offered to be provided by existing public or private transit operators are unavailable, insufficient, or inappropriate to meet the special needs of seniors and/or individuals with disabilities within the service area.
11. Private transit and paratransit operators have been offered a fair and timely opportunity to participate to the maximum extent feasible in the planning and provision of the proposed special transportation services for seniors and individuals with disabilities.
12. Applicant recognizes that project is in the Huntsville Urbanized Area and that if funded it will need to be included in the Huntsville Area Metropolitan Planning Organization's Transportation Improvement Program, and the State Transportation Improvement Program.
13. The applicant organization possesses the necessary fiscal and managerial capability to implement and manage the proposed project.
14. The applicant organization has or will have the required non-federal cash match for the project.
15. The applicant is recognized under State law as a private, nonprofit organization (or a public body providing services that go beyond the ADA authorized through the Fixing America's Surface Transportation Act [FAST Act]) and has the legal capacity to contract with the State to carry out the proposed project.
16. The applicant organization has, or will have at the time of delivery, sufficient funds to operate the vehicles and equipment to be purchased under this project.
17. It will comply with all requirements of 49 CFR Part 26, Participation by Disadvantaged Business Enterprise and Women Owned Businesses in Department of Transportation Programs, including the pre-award review and annual update, when required.
18. It will comply with all existing federal and state requirements regarding transportation of seniors and individuals with disabilities.

Signature of Designated Official

Date

Title of Designated Official

Exhibit 15: Title VI

(Only Current ALDOT Subrecipients Will Fully Complete This Exhibit)

All other applicants will circle "No" to the following question and then include this Form in their application.

Are you a current ALDOT Subrecipient? (Circle): Yes or No.

1) List **all active lawsuits or complaints** against the transit provider alleging discrimination on the basis of race, color, age, disability or national origin with respect to service or other transit benefits. Explain if pending or closed and the actions taken.

2) Describe **all pending applications** for financial assistance currently provided by other Federal agencies to the applicant.

3) Summarize **all civil rights compliance reviews** conducted by other local, state or federal agencies during the last three years.

4) Is **[Applicant]** considered a minority organization? Yes No. **If yes**, check the category(ies) that apply.

Black American Sub-Continent Asian-American

Hispanic American Asian-Pacific American

Native American Other

5) Does **[Applicant]** provide transportation services to minority communities? Yes No. **If yes**, check the category(ies) that apply.

Black American Sub-Continent Asian-American

Hispanic American Asian-Pacific American

Native American Other

6) Has your Title VI Coordinator/EEO Officer changed during the reporting period or since your last Title VI Plan was approved?_ Yes_ No. **If yes**, provide the name and contact information for the new Title VI Coordinator/EEO Officer.

7) Has **[Applicant]** had any projects and/or service changes that have Title VI, Limited English Proficiency (LEP), or Environmental Justice (EJ) impacts? Yes No

If yes, complete the following items:

a) Provide a brief description of these projects/service changes.

b) What did you do to ensure that populations affected by the project and/or service change had meaningful access to and involvement in the development process?

c) What is the number and percentage of LEP and/or EJ populations affected by the project and/or service change?

8) Describe how your employees were educated about Title VI and about their responsibility to ensure non-discrimination in your programs, services, and/or activities.

Exhibit 16: Applicant's Documentation of Involvement in the Coordination and Planning Process

(All Applicants Will Submit This Exhibit with Original Signature(s))

(Submit on Agency's Letterhead)

Documentation of Involvement in Coordination and Planning Process

The _____ certifies as a requirement of the
[Applicant]

Fixing America's Surface Transportation Act (FAST Act) that this project is derived from a locally developed, coordinated transit-human services transportation plan. Our agency is included in the **Top of Alabama Regional Council of Governments (TARCOG)** coordinated plan that identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes, provides strategies for meeting those local needs, and prioritizes transportation services for funding and implementation.

Name of Authorized Official: _____ Date: _____

Signature: _____

Exhibit 17: Top of Alabama Regional Council of Governments (TARCOG) Coordinated Plan Endorsement Letter (Must Submit Original Signature)

This letter from the Top of Alabama Regional Council of Governments (TARCOG) verifying endorsement must be included in the grant application.

(Submit on Top of Alabama Regional Council of Governments Letterhead)

Coordinated Plan Endorsement Letter

The Top of Alabama Regional Council of Governments (TARCOG) certifies that the

_____ project is derived from the locally
(Name of Agency)

developed, coordinated transit-human services transportation plan as required by the Fixing America’s Surface Transportation Act (FAST Act). The coordinated plan identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes, provides strategies for meeting those local needs, and prioritizes transportation services for funding and implementation.

The components addressing the unmet needs this application addresses are found on **page number(s)**_____ and the specific strategies this application addresses are found on **page number(s)**_____ of the TARCOG most recent coordinated transit-human services transportation plan. The coordination plan was approved on:

_____.
(day, month, and year)

Name of Authorized Official: _____ Date: _____

Signature: _____

Exhibit 18: Public Agency Certification of No Readily Available Service Providers

Governmental and Public Agencies Must Fully Complete Exhibit 18.

All other applicants will circle "No" to the following question and then include this Form in their application.

Are you a Governmental Body or Public Agency? (Circle): Yes or No.

(Submit on Governmental or Public Agency's Letterhead)

Public Agency Certification of No Readily Available Service Providers

The public agency, _____ hereby certifies that
(Name of Agency)

there are no nonprofit agencies readily available to provide the service proposed in this application.

Name of Authorized Official: _____ Date: _____

Signature: _____

Exhibit 19: **Application Certification**
(All Applicants Will Complete)
(Must Submit Original Signature)

(Submit on Applicant's Letterhead)

Application Certification

The information in this application is public record. Therefore, the applicant should not include information regarded as confidential.

To the best of my knowledge and belief, all data in this application are true and correct. The applicant will comply with the all state and federal requirements if federal financial assistance is awarded.

Name of Applicant: _____

Name of Authorized Official: _____ Date: _____

Signature: _____

Title: _____

4 Appendices

- * Appendix A. Definitions
- * Appendix B. Rating Criteria
- * Appendix C. Policy and Procedures for the Disposition of Project Vehicles and Equipment
- * Appendix D. Local Match from Other Federal Programs
- * Appendix E. Charter Service

[APPENDIX A: Definitions](#)

This section identifies common terms and definitions as they pertain to the Section 5310 program.

✳️ **Coordinated Public Transit-Human Services Transportation Plan (Coordinated Plan):** This is a locally developed, coordinated transportation plan that identifies the transportation needs of individuals with disabilities, seniors, and people with low incomes, provides strategies for meeting those needs, and prioritizes transportation services for funding and implementation.

✳️ **Expansion Vehicle:** The applicant currently has vehicles funded by ALDOT and desires to purchase new vehicles to meet service needs. The proposed vehicle(s) will be added to the applicant's fleet and will not be used to replace any vehicles currently in the fleet.

✳️ **Individual with Disability:** Any individual who, by reason of illness, injury, age, congenital malfunction, or other permanent or temporary incapacity or disability (including an individual who is a wheelchair user or has semi-ambulatory capability), is unable to use a public transportation service or a public transportation facility effectively without special facilities, planning, or design.

✳️ **Minority:** Socially and economically disadvantaged groups including: African Americans, Hispanic Americans, Asian Pacific Americans, Subcontinent Asian Americans, and Native Americans.

✳️ **New Service Applicant:** ALDOT defines a "New Service Applicant" as an entity that has not purchased a vehicle or vehicles through the Section 5310 program (formerly 16b). New Service Applicants may find it helpful to call or email using the Contact Information in [Section 1](#) to request Technical Assistance.

✳️ **Nonprofit Corporation:** An organization which is incorporated under the laws of the State of Alabama as a nonprofit corporation.

✳️ **Program of Projects:** A list of projects to be funded in a grant application submitted to FTA by a state or designated recipient. The program of projects (POP) lists the subrecipients and indicates whether they are nonprofit agencies or local governmental authorities, designates the areas served (including rural areas), and identifies any tribal entities. In addition, the POP includes a brief description of the projects, total project cost and federal share for each project, and the amount of funds used for program administration from the 10 percent allowed.

✳️ **Replacement Vehicle:** The applicant currently has vehicles funded by ALDOT and desires to replace vehicle(s) that have reached or exceeded their useful life expectancy (see [Appendix C](#) for information on "Useful Life"). Each proposed vehicle will "replace" a vehicle in the fleet on a one-for-one basis.

✳️ **Senior:** An individual who has reached or surpassed 65 years of age.

✳️ **Traditional Section 5310 Projects:** These are public transportation capital 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.

APPENDIX B

Rating Criteria

The Alabama Department of Transportation will evaluate all applications for funding based on the following criteria:

Evaluation Categories

Maximum Points Available = 100

FINANCIAL AND MANAGEMENT CAPABILITY:

Maximum Points: 15 points

Applicants must possess the necessary fiscal, managerial, and operational capacity to implement and manage the proposed project. Other factors considered will be funding availability and current or previous experience in the operation of passenger transportation.

NEED FOR SERVICE:

Maximum Points: 20 points

Applicants must demonstrate the need for the proposed service. Applicants will describe the target population to be served, service area (city or county), and the number and types of clients in the service area.

UTILIZATION OF REQUESTED SERVICE:

Maximum Points: 35 points

Applicants must list the days and hours of service as well as the daily number of service miles. Sensitivity training (includes pre-employment, on-the-job, and incremental) on the needs of seniors and individuals with disabilities that has been provided to employees will be considered. If no sensitivity training for employees has been conducted, the willingness to provide the training at a future time will be considered.

PROPOSED SERVICE CHARACTERISTICS:

Maximum Points: 15 points

Applicants will explain how the requested capital will be used in the transportation service to meet the needs of the proposed clients. Information will include the number and type of trips that will be provided during the operational period.

SERVICE COORDINATION:

Maximum Points: 15 points

Applicants will provide supporting documentation to verify the transportation program is derived from a locally developed, coordinated transit-human services transportation plan (“coordinated plan”). The proposed transportation services must address unmet needs and specific strategies as identified in the coordinated plan. Proposed and existing service coordination agreements will be considered.

APPENDIX C

Alabama Department of Transportation: Policy and Procedures for the Disposition of Project Vehicles and Equipment

GENERAL:

The Alabama Department of Transportation (ALDOT), as prime grantee of federal funds for the State, is responsible for maintaining an accurate inventory of all capital equipment purchased at least in part with federal funds. The following procedures provide direction and consistency regarding the disposition of project vehicles and equipment.

PROCEDURES:

- Subrecipient Sends Disposition Request Letter: The local subrecipient must submit a letter to ALDOT requesting permission to dispose of the particular vehicles(s) or equipment. The letter must include a description of the item (e.g., standard van, 15 passenger), model year, date purchased, general condition, current mileage reading, and complete vehicle identification number.
- ALDOT Sends Approval Letter: A letter from ALDOT to the local subrecipient granting approval to dispose of the vehicle/equipment will be sent to the local subrecipient. A copy of the *Disposition of Project Equipment Form* (blank) will be attached. The subrecipient must receive a letter from ALDOT granting approval prior to vehicles being disposed of or transferred.
- Subrecipient Submits *Disposition of Project Equipment Form*: Upon completion of disposition procedures, the local subrecipient shall submit to ALDOT a completed *Disposition of Project Equipment Form*, a copy of all bids or quotes, and a check made out to the Alabama Department of Transportation for the federal share of the sale price. After the vehicle or equipment is sold or disposed of, it should be removed from the inventory list.

Disposition of the project property should occur after the vehicle or equipment has reached its useful life expectancy as determined by Federal and ALDOT standards or is no longer needed for its originally intended purpose. Exceptions to this basic rule will be made when documentation indicates the vehicle or equipment is requiring excessive maintenance to remain operable.

Handicapped accessible vehicles scheduled for disposal require documentation indicating that other vehicles in the fleet or in the area are available to transport persons with disabilities. There are no exceptions to this rule.

Vehicles or equipment shall be disposed of at the current fair market value. The fair market value of a vehicle is determined by one (1) of the following methods:

- Subrecipient may obtain at least three (3) appraisals of the vehicle’s worth in writing from licensed automobile dealers
- Subrecipient may advertise in the local paper and request bids
- Subrecipient may use a local licensed automobile auction to dispose of the vehicle

Whichever manner the subrecipient chooses to use for disposal determines the fair market value and must be fully documented using the ALDOT *Vehicle Quote/Bid Sheet*. The local subrecipient may subtract a handling fee of \$100.00 per vehicle with the federal share of the balance to be submitted to ALDOT. If a vehicle is valued for less than \$100.00, the entire amount is retained by the disposing subrecipient. Additionally, the *Disposition of Project Equipment Form* should be completed and submitted to ALDOT along with payment and all supporting documentation as soon as the sale is complete.

The subrecipient will forward to the ALDOT Transit Section a copy of the back portion of the title that shows the Assignment of Title by Registered Owner. This will serve as ALDOT’s assurance that the vehicle has been removed from public transportation service.

*** Transfer to Another Agency:** In the case of a transfer of vehicles or equipment to another transportation program, no handling fee may be collected; however, fair market value must be established. The agency to which the vehicle or equipment is being transferred shall, in effect, buy out the original agency’s local interest. Please refer to the current **State Management Plan** for additional information.

*** Match:** Currently, any project equipment purchased with FTA Sections 5307, 5310, 5311, 5316, or 5317 funds involves an 80%-20% federal – local match. Capital purchases with Section 5309 funds may involve a different Federal to local match ratio.

*** Useful Life Policy:** Disposition of the project equipment should occur after the vehicle or equipment has reached its useful life expectancy or is no longer needed for its originally intended purpose. For general purposes, the useful life expectancy for vehicles is as follows:

T Y P E O F V E H I C L E	A G E O F V E H I C L E	M I L E A G E
Van (5 – 15 passenger) (Standard, raised-roof, modified)	4 years	100,000 miles
Small Bus (16 – 21 passenger) (Cutaway Type)	5 years	150,000 miles
Small Bus (24-27 passenger) (Body-in-chassis)	7 years	200,000 miles
Full Size Bus (28+ passengers) (Transit coaches)	10 years	300,000 miles

APPENDIX D: Local Match from Other Federal Programs

Local match may be derived from other federal programs that are eligible to be expended for transportation, other than funds from DOT programs. To be eligible for local match for FTA funds, the other federal funds must be used for activities included in the total net project cost of the project. Expenditure of other federal funds for transportation outside of the scope of the project cannot be applied as a credit for local match in the project. Specific program information for other types of federal funding is available from the FTA Coordinating Council on Access and Mobility (CCAM) website at <https://www.transit.dot.gov/ccam/about/initiatives>

Some Non-DOT federal programs supporting transportation are:

■ **U.S. Department of Agriculture**

- ☐ Food and Nutrition Service

■ **U.S. Department of Education**

- ☐ Office of Elementary and Secondary Education
- ☐ Office of Innovation and Improvement
- ☐ Office of Special Education and Rehabilitative Services

■ **U.S. Department of the Interior**

- ☐ Bureau of Indian Affairs

■ **U.S. Department of Health and Human Services**

- ☐ Health Resources and Services Administration
- ☐ Centers for Medicare and Medicaid Services
- ☐ Administration on Aging
- ☐ Substance Abuse and Mental Health Services
- ☐ Administration for Children and Families

■ **U.S. Department of Labor**

- ☐ Employment Standards Administration
- ☐ Veterans' Employment and Training Service
- ☐ Employment and Training Administration

■ **U.S. Department of Veterans Affairs**

- ☐ Veterans Benefits Administration
- ☐ Veterans Health Administration

[APPENDIX E: Charter Service](#)

Charter Service: Charter Service regulations (49 CFR Part 604) can be found on FTA’s website: <https://www.transit.dot.gov/regulations-and-guidance/access/charter-bus-service/charter-bus-service-regulations>.

FTA grantees are prohibited from using federally funded equipment and facilities to provide charter service except on an incidental basis and when one or more of applicable exceptions as set forth in the charter service regulation at 49 CFR 604.9 (b) applies. Charter service is an allowable activity on an incidental basis if the applicant successfully completes the charter public notice requirements and no “willing and able” private charter providers are available. Applicants must reference Federal Transit Act, as amended 49 CFR 604.11(c).

The charter service regulations provide guidance regarding exemptions and exceptions and can be found in 49 CFR Parts 604.2 and 604.6. Exemptions, which are not considered charter service, require no notification to registered Charter providers, record-keeping, quarterly reporting, or other requirements. Exceptions are considered charter service and have administrative, recordkeeping, and reporting requirements. Records for each charter service event must be retained for at least three years.

Incidental use may include meal and parcel delivery, restricted client services, and FTA allowable charters. **All allowable incidental charter service must be fully allocated with no charge to federally funded programs. No mileage, trips, and hours associated with allowable incidental charter shall be represented in the subrecipient’s annual operating statistics.**

ALDOT reviews compliance with charter rules during periodic on-site visits. Historically, ALDOT has neither obtained any information nor reported on any charter services to FTA. If, in the future, a charter service is performed under an allowable exception, the subrecipient must notify the ALDOT Program Manager. For each charter service performed in accordance with an allowable exception, the subrecipient will complete the ALDOT *Charter Service Reporting Form* (provided in the current **State Management Plan**) and e-mail it to the ALDOT Program Manager. ALDOT’s Transit Section will review and coordinate any subrecipient requests for charter service exception (including all supporting documentation) prior to submission to FTA.

ALDOT will review all complaints of charter service violations in accordance with 49 CFR Part 604. On receiving a written complaint alleging that a violation has occurred, ALDOT shall investigate and determine whether a violation has occurred. The state will look to the subrecipient to remedy any claims against the subrecipient in association with charter service in violation of 49 CFR 604.

Section 5310 subrecipients are exempt from the FTA charter rule provided the service is for program purposes only. “Program purposes” is defined as transportation that serves the needs of either human service agencies or targeted populations (such as elderly, individuals with disabilities, and low income individuals).

“Program purposes” does not include exclusive service for other groups formed for purposes unrelated to the special needs of these targeted populations. Thus, Section 5310 subrecipients who intend to provide charter service that is outside their program purposes must follow the guidelines outlined.

Section 5310 subrecipients doing any charter service under any of the allowable exceptions must file quarterly electronic reports with ALDOT utilizing the ALDOT *Charter Service Reporting Form* (provided in the current **State Management Plan**) within 15 days of the end of each quarter, listing each charter service provided and providing the specified detail in those cases where such is required. All such services must also be reported as charters on quarterly and year-end statistics reported as requested or required.

*** Exemptions:** The charter service regulation exempts the following services:

- 1) Transportation of Employees, Contractors, and Government Officials: Subrecipients are allowed to transport their employees, other transit system employees, transit management officials, transit contractors and bidders, government officials and their contractors, and official guests to or from transit facilities or projects within its geographic service area or proposed geographic service area for the purpose of conducting oversight functions such as inspection, evaluation, or review.
- 2) Private Charter Operators: The prohibitions do not apply to private charter operators that receive, directly or indirectly, Federal financial assistance under the over-the-road bus accessibility program or to non-FTA funded activities of private charter operators that receive, directly or indirectly, FTA financial assistance.
- 3) Emergency Preparedness Planning and Operation: Subrecipients are allowed to transport their employees, other transit system employees, transit management officials, transit contractors and bidders, government officials and their contractors, and official guests for emergency preparedness planning and operations.
- 4) Section 5310, 5311, 5316, and 5317 Recipients: The prohibitions do not apply to subrecipients that use Federal financial assistance from FTA for program purposes, that is, transportation that serves the needs of either human service agencies or targeted populations (elderly, individuals with disabilities) under Section 5310, 5311, 5316, or 5317. Program purposes do not include exclusive service for other groups formed for purposes unrelated to the special needs of the identified targeted populations.
- 5) Emergency Response: Subrecipients are allowed to provide service for up to 45 days for actions directly responding to an emergency declared by the President, governor, or mayor or in an emergency requiring immediate action prior to a formal declaration.
- 6) Recipients in Non-Urbanized Areas: Subrecipients in non-urbanized areas may transport employees, other transit systems’ employees, transit management officials, and transit contractors and bidders to or from transit training outside its geographic service area.

*** Exceptions:** The charter regulation excepts the following community based charter services:

- 1) Government Officials: A subrecipient is allowed to provide charter service (up to 80 charter service hours annually) to government officials (Federal, state, and local) for official government business, which can include non-transit related purposes, if the subrecipient:
 - a) Provides the service in its geographic service area
 - b) Does not generate revenue from the charter service, except as required by law

Record-Keeping After Providing Charter Service: Government organization's name, address, phone number, and e-mail address; the date and time of service; the number of passengers (also the number of government officials); the origin, destination, and trip length (miles and hours); fee collected if any; and the vehicle number for the vehicle used to provide service.

The subrecipient may petition ALDOT to petition FTA for additional charter service hours (more than 80 charter service hours annually). Refer to §604.6 for additional information.

- 2) Qualified Human Service Organization (QHSO):

A subrecipient is allowed to provide charter service to a QHSO for the purpose of serving persons:

- a) With mobility limitations related to advanced age
- b) With disabilities
- c) With low income

If the QHSO receives funding, directly or indirectly, from the programs listed in Appendix A of the regulation, the QHSO is not required to register on the FTA's charter registration website. Otherwise, the QHSO is required to register. The subrecipient may provide service only if the QHSO is registered at least 60 days before the date of the first request for charter service.

Record-Keeping After Providing Charter Service: QHSO's name, address, phone number, and e-mail address; the date and time of service; the number of passengers; the origin, destination, and trip length (miles and hours); fee collected if any; and the vehicle number for the vehicle used to provide service.

- 3) Leasing of Equipment and Driver: A subrecipient is allowed to lease its FTA funded equipment and drivers to registered charter providers for charter service only if all of the following conditions exist:
 - a) The private charter operator is registered on the FTA charter registration website
 - b) The registered charter provider owns and operates buses or vans in a charter service business
 - c) The registered charter provider received a request for charter service that exceeds its available capacity either of the number of vehicles operated or the number of accessible vehicles operated by the registered charter provider

- d) The registered charter provider has exhausted all of the available vehicles of all registered charter providers in the subrecipient's geographic service area

Record-Keeping After Providing Charter Service: Registered charter provider's name, address, phone number, and e-mail address; the number, types, and vehicle identification numbers for all vehicles leased; and support documentation for conditions (shown as letters a-d herein).

- 4) No Response by Registered Charter Provider: A subrecipient is allowed to provide charter service, on its own initiative or at the request of a third party, if no charter provider registered on the FTA's website responds to the notice issued by e-mail to registered charter providers in the geographic service area (pursuant to 604.14):

- a) Within 72 hours for charter service requested to be provided in less than 30 days, or
- b) Within 14 calendar days for charter service requested to be provided in 30 days or more.

The subrecipient is not allowed to provide charter service under this exception if a registered charter provider indicates an interest in providing the charter service described in the notice and the registered charter provider has informed the subrecipient of its interest in providing the service.

This is true even if the registered charter provider does not ultimately reach an agreement with the customer.

If the subrecipient is interested in providing charter service under this exception, the subrecipient shall provide e-mail notice to registered charter providers in the subrecipient's geographic service area by the close of business on the day the subrecipient received the request unless the request was received after 2:00 pm, in which case the notice shall be sent by the close of business the next business day.

Record-Keeping After Providing Charter Service: Group's name, address, phone number, and e-mail address; the date and time of service; the number of passengers; the origin, destination, and trip length (miles and hours); fee collected if any; and the vehicle number for the vehicle used to provide service.

- 5) Agreement with All Registered Charter Providers: The subrecipient is allowed to provide charter service directly to a customer consistent with an agreement entered into with all registered charter providers in the subrecipient's service area. The subrecipient is allowed to provide charter service up to 90 days without an agreement with a newly registered charter provider in the geographic service area subsequent to the initial agreement. Any parties to an agreement may cancel the agreement after providing a 90 day notice to the subrecipient.

- 6) Petitions to the Administrator: The subrecipient may petition ALDOT to petition the Administrator for an exception to the charter service regulations to provide charter service directly to a customer for:

- a) Events of regional or national significance. The petition shall describe how registered charter providers were consulted and will be utilized and include a certification that the

subrecipient has exhausted all the registered charter providers in its service area. The petition must be submitted at least 90 days before the first day of the event.

- b) Hardship (only for non-urbanized areas under 50,000 in population or small urbanized areas under 200,000 in population). The exception is only available if the registered charter providers have deadhead time that exceeds total trip time from initial pick-up to final drop-off, including wait time. The petition shall describe how the registered charter provider's minimum duration would create a hardship on the group requesting the charter service.
- c) Unique and time sensitive events (e.g., funerals of local, regional, or national significance) that are in the public's interest. The petition shall describe why the event is unique and time sensitive and would be in the public's interest.

The subrecipient must retain records of each charter service provided for at least three years. Charter service hours include time spent transporting passengers, time spent waiting for passengers, and "deadhead" hours (time spent getting from the garage to the origin of the trip and then the time spent from trip's ending destination back to the garage). All subrecipients that provide charter services are required to submit a charter service report to ALDOT within 15 days after charter services are performed for the applicable exceptions.

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