

# 2011-2013 Discretionary Grants Program Workshop



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# Meeting Rules

- Ask questions!
- Be careful of acronyms and unfamiliar terms others won't understand
- Questions about specific agency projects need to wait until lunch or breaks
- Contact us at PTD if you have additional questions or need clarification

# Today's Grant Program Focus



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## Programs for Seniors, People with Disabilities and People with Low Income

- §5310
- Special Transportation Fund Discretionary (also called STG)
- Also
  - Job Access and Reverse Commute (also called JARC)
  - New Freedom
  - Planning
  - Intercity
  - Mass Transit Vehicle Replacement

# Workshop Design

Part 1: Program Overview

Part 2: Roles and Responsibilities

Part 3: Application Requirements

- Operations
- Mobility Management
- Capital

## Program Goals

- Goals
  - Value local decisions
  - Fund projects in the Coordinated Plans
  - Recognize funding limitations
  - Strive for simplicity
  - Encourage Lead Agency active participation throughout the grant cycle
  - Predictability

# Program Overview

## Two fund distribution methods:

1. Locally-determined process to identify and select projects
  - 5310 and STF discretionary funds allocated by formula to each of the STF Agencies
  - Use of funds is planned in coordination with each other
  - STF Agency defines allocation of 5310 and STF Discretionary Funds after public process
  - PTD staff reviews to ensure grant eligible projects are forwarded—may negotiate to revise applications/move project to a more appropriate program, etc.

# Program Overview

## 2. Statewide Competitive

- PTD reviews applications and selects projects in these programs:
  - Job Access and Reverse Commute
  - New Freedom
  - Planning
  - Intercity
  - Mass Transit Vehicle Replacement

# Funds for 5310 and STG Programs



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- See Allocation Chart (pages 13-14 of STF Agency Instructions)
- PTD will update STG fund availability in January 2011
- Will not know about STF/STG funds until the 2011 Legislature adopts the ODOT budget
- 5310 funds are firm

## What's New?

- **Emphasis on project eligibility:**
  - Client-only transportation
  - Limited use vehicles
  - Emphasis applies to 5310, STG, New Freedom and JARC programs
- **5310 and STG Applications are now separate**
- **New Operations projects require PTD prior approval**
- **New Planning grant opportunity**

## PTD Responsibilities

- Design program and program policies
- Prepare the application forms/instructions
- Provide training and technical assistance to applicants and STF Agencies
- Review applications for eligibility
- For statewide competitive programs: conduct review and select projects
- Confirm project awards and issue grants

# Applicant Responsibilities

- Understand grant program eligibility and requirements
- Review Coordinated Plan to understand local issues, concerns
- For 5310 and STG Programs:
  - Consult with STF Agency regarding priorities, timeline and additional requirements for grant programs
  - Complete and submit the application to STF Agencies
- For Statewide Competitive Programs
  - Understand program purposes and limitations
  - Complete and submit the application to PTD

# Program Timeline

- November 2010: Grant program workshops
- November 2010 – January 2011: Local process
- January 31, 2011: 5310/STG Applications due to PTD
- February 15, 2011 and on: Other programs' due dates, see information for specific program
- March 15, 2011 – all grant questions/issues resolved
- April 2011: Recommendations announced (PTAC meeting)
- May-June 2011: Write grant agreements
- July 1 and on: Projects start after grants executed

# End of Program Overview



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# **Roles and Responsibilities of the STF Agency**



# 5310 and STG Requirements



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- Entry Level Requirements for STF Agency:
  - Must have adopted the required Coordinated Plan
  - For STF Agencies who have **never submitted** a plan:
    - Plan is due January 31, 2011.
  - For STF Agencies who are **amending** their plan:
    - Draft amendment due with applications January 31, 2011
    - Final amended plan due May 31, 2011
  - Must need the funds
    - STF Agencies are expected to use available STF funds first—before a discretionary grant

## 5310 and STG Process

- Project Selection
  - Applications reviewed at local level by STF Agencies and Review Committee
  - STF Agency decides
    - Projects to fund, and
    - Source of funds (5310 or STF discretionary)
  - PTD checks for eligibility and concurrence with the Coordinated Plan, approves funding

# STF Agency: Lead Agency Responsibilities



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- STF Agency is the “Lead Agency” for conducting the 5310/STF and STG programs locally
- STF Agency may have a coordinator or another agency perform all tasks, except final approvals
- Two or more STF Agencies may join together to complete the requirements
  - One of the STF agencies is the lead; may choose another agency to perform tasks

# STF Agency: Planning Responsibilities



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- Review and update Coordinated Plan as necessary
- Coordinated Plan is intended to
  - Identify gaps and opportunities
  - Identify goals and priorities
  - Assists to define critical needs in priority order
- If project is not derived from the Coordinated Plan (as identified by the page number and adoption date) update the plan or deny the project

# STF Agency: Application Responsibilities



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- **Appoint Review Committee**
  - Use STF Advisory Committee and add members as needed to include stakeholders and geographic balance
- **Identify priorities for local grant programs**
- **Define local provider application criteria**
- **Prepare materials for applicants**
  - Publish notice of grant availability and ensure applicant access
  - Use PTD Application form or develop your own internal application form (STF agency must still submit using PTD form)

# STF Agency: Application Responsibilities



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- Identify the Application timeline:
  - Announce application availability
  - Date applications are due to STF Agency
  - Date(s) Review Committee will meet
  - Determine and announce the public comment period
  - Define date(s) that governing board meets
  - Announce date applications are due to PTD  
(*January 31, 2011*)
  - Allow sufficient time for staff work

# STF Agency: Grant Process Responsibilities



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- STF Agency staff previews applications for completeness, eligibility, etc.
- Review applications with Review Committee
- Define a written protest procedure and make it available/publicize it

# STF Agency: Grant Process Responsibilities



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- Manage public involvement process
  - All meetings of Review Committee must be open to the public
  - Keep record of meeting notices, minutes and comments
  - Plan and publish public comment opportunity (public meeting and/or period for written comments)

# Local Review of Applications



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- Two-step review process:
  - First: Review Committee reviews and recommends projects
  - Next: Governing Board of the STF Agency approves
- Selection process similar to a procurement:
  - Consider type and purpose of project
  - Consider if/how applicant meets purpose
  - Consider cost and value provided
- May use rating worksheet or other similar tool

# Local Review of Applications



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- 5310 and STG
  - Select projects derived from Coordinated Plan
  - Prioritize the projects using a defined criteria
  - Establish full cost of the project, grant share and required match, as appropriate
- Keep a list of all projects and priorities
- Keep all rating forms and related documents

# Selection of Grant Funds

- Allocation of funds is strategic: an ART as well as a SCIENCE
- Identify the selected projects first
- Then identify the grant fund and match source
- Example: Buy a bus, and fund operations – which funds to use?
- This is an opportunity for creativity and “stretching” or leveraging the funds allocated
  - STG can be used for nearly any purpose
  - 5310 has limited uses
  - Minimizing local match contributions may lessen the overall grant funds available

# Things to Consider when Reviewing Applications



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- STF Agency should manage its own decision process
- Decisions should be fair and based on established priorities and service criteria
- May amend applications to improve value or correct problems before submitting to PTD

# Documenting the Application Review



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- Prepare application packet and submit to PTD
- Submit only applications that are recommended for funding
- Document decisions in “Consolidated List of Applications”
  - 5310 and STG have separate pages
  - Attach funded applications and all other requested information
- Keep copies on file of **all** applications submitted, whether or not they are recommended



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# End of STF Agency Responsibilities





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# Completing 5310 and STG Applications

## Overview:

- Applicant Eligibility and Project Purpose
- Application Forms and Match Required
- Forms Completion by Type of Project

# Applicant Eligibility and Project Purpose



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- Eligible Applicants include:
  - Cities, counties, tribes, nonprofit agencies, other governments (public agencies)
  - May include private-for-profit company as a partner only
- Projects need to benefit Older Adults and Persons With Disabilities in urban and rural areas

# Application Forms - Overview



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- Separate applications for 5310 and STG
- Dynamic, fill-and-save forms
- Self-calculating entries, except STG
- Limited narrative space; may add additional pages if necessary
- Updated instructions for clarity

# Application Forms – Practical Tips



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- Complete first part (applicant info summary), then save a back-up copy of application
- Use the TAB Key to move from cell to cell through the application form
- Don't use "ENTER" repeatedly instead
- Save document as you go
- For "total" calculations, you may need to page down to other sheets, then come back

# Operations Overview



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- Grant Project Opportunities and Match:
  - Purchased Service (89.73/10.27% match) – Project type eligible in STF discretionary and 5310
  - Operations (56.08/43.92% match)
  - Medicaid Match (~40/60% match) – Project type eligible in STF discretionary program only

# Mobility Management Overview



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- Projects Must Benefit
  - Special needs coordination activities in urban and rural areas
- Grant Project Opportunities and Match
  - Mobility Management (89.73/10.27% match)

# Capital Grants Overview

All capital projects match = 89.73% federal / 10.27% local

- Applying for Vehicle Projects
- Replacement vs. Expansion Vehicles
- Vehicle Purchasing
- Preventive Maintenance (PM)
- Applying for Equipment Projects
- Facilities, Signs and Shelters Projects

# Applying for Vehicle Projects



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- Include in the application how the vehicle will be used (dial-a-ride, paratransit, rural general public DAR open to the public, etc.)
- Vehicle cost estimates should include all equipment required to place the vehicle into transit service (e.g., auto chains equipment, bus wraps, etc.)
- Extended warranties allowed up to useful life of vehicle
- Describe any special vehicle equipment if it adds significantly to the cost

# Applying for Vehicle Projects



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- Work with vendors to estimate costs prior to completing your application
- Ask all vendors for price estimates to ensure the grant will cover costs
- Use ODOT PTD Crosswalk to identify vehicles eligible for ODOT PTD grant funding

# Vehicle Replacement Versus Expansion



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- **Replacement Vehicles:**
  - Replace active fleet vehicles
  - Must be “like-for-like” – same category, type
  - May increase capacity slightly
  - Back-up vehicle if it is rotated into service on a regular basis **and** has not competed for replacement in a prior biennium grant request
  - All others are Expansion vehicles

# Vehicle Replacement Versus Expansion



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- **Expansion Vehicles:**
  - Replace a smaller vehicle with larger one
  - Starting up a new transportation service
  - Expand hours or days of service
  - Add new routes or expand an existing route
  - Replacement of a vehicle used mainly for back-up (because it would add to the fleet)

# Vehicle Purchasing



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- The Grant Agreement must be executed (signed by both parties) prior to ordering
- Agencies must use state price agreements for vehicles on the contracts
- If the state contracts are not used, RFPs must be pre-approved before issuing
- All vehicle orders must be approved/submitted by ODOT

# Vehicle Purchasing

- ORCPP membership in the state ORPIN system is required to access state contracts
- Once membership is renewed, agencies do not have to go into the ORPIN system to order. Work with vendors directly.
- Use PTD's Vehicle Useful Life Standards and ORPIN Contract Crosswalk – Vehicles Available Crosswalk document. (On web site)

# Vehicle Purchasing



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- Contact vendors and obtain written quotes from all that provide that size/type on state contracts
- Request should include criteria the selection will be based on (e.g., what percent cost factor versus functional features)
- Document vendor selection
- Prepare chart of evaluation criteria
- Document the analysis and how best value determined selection using criteria published

# Vehicle Purchasing



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- Complete ODOT PTD Purchase Order form
- Submit PO to PTD Capital Program Manager
- PTD Capital Program Manager reviews, approves and submits purchase order to the vendor, with cc to agency contact

# Vehicle Preventive Maintenance (PM)



- Vehicle preventive maintenance projects include:
  - Oil, lubrication, tires
  - Tune-ups
  - Vehicle washing
  - Scheduled or routine maintenance (includes lift, seats, exterior paint, etc.)
  - Wear and tear repairs (not accident caused)
  - Parts, supplies, and labor as installed (no bulk parts or supplies—use an operations grant)
  - Required annual safety inspections

# Vehicle Preventive Maintenance (PM)



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- PM may include a single major component rehabilitation or rebuild
- Preventive Maintenance Plan must be submitted with application
- See PTD Transit Provider Handbook
- Incomplete applications may not be funded

# Vehicle Preventive Maintenance (PM)



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- Not allowed in capitalized PM grants:
  - Vehicle warranty work
  - Accident repairs
- How do I pay for such work?
  - Contact the vendor or insurance agent
  - Use other agency funds to pay (e.g. operations grants or contingency funds)

# Applying for Equipment projects



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- Capital projects must be \$5,000 minimum aggregate cost (for instance, computer system including PCs, server, printers)
- Agencies are required to conduct annual inventory and report in quarterly reports to ODOT PTD on all equipment assets—as long as they remain in service

# Applying for Equipment Projects



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- Examples of equipment projects include:
  - Computer equipment and software
  - Communications and radio equipment
  - Shop equipment
  - Security/surveillance equipment (for facilities or vehicles)
  - Replacing sign faces

# Facilities, Signs and Shelters Projects



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- Facility projects include:
  - Signs projects that include disturbing soil
  - Amenities such as benches and bike racks
  - Passenger shelters
  - Stick-frame buildings (bus barns, admin.)
  - Infrastructure improvements (sidewalks, curb cuts, etc.)

# Facilities, Signs and Shelters Projects



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- If your agency is planning to apply for a facility project:
  - Review facilities grant requirements
  - Contact the PTD Capital Program Manager
  - Begin discussions early with stakeholders, land owners, local government regulators (permits, etc.) and partner agencies

# Facilities, Signs and Shelters Projects



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## **Do not enter into these projects lightly**

- Grant requirements prior to project start:
  - Planning, stakeholder and rider/public involvement
  - Permits and permission for placement
  - Meet all ADA requirements for accessibility
  - Environmental paperwork must be completed and approved by FTA prior to grant agreement being written

# Facilities, Signs and Shelters Projects



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- Requirements after asset is put into service:
  - Must have and follow a facility maintenance plan
  - Useful life standard is 20-50 years for these projects
  - Your agency must include these assets in its inventory and in quarterly reports as long as the assets remain in transit use



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# Other Grant Program Opportunities



## Job Access and Reverse Commute and New Freedom Grant Programs

- Job Access and Reverse Commute (JARC):
  - Projects are for work-related transportation for people with low incomes.
  - Capital = 80% fed/20% local
  - Operations = 50/50%
  - Mobility Management = 80/20%
- New Freedom:
  - Projects are for services “beyond the ADA”
  - Same match rates as JARC

# JARC and New Freedom

- Programs are Offered Concurrently:
  - §5316, Job Access and Reverse Commute (JARC)
  - §5317, New Freedom
  - Must be derived from Coordinated Plan
  - DOES NOT Require STF Agency endorsement
  - PTD may contact STF Agency regarding project as part of our review

# JARC and New Freedom

- Application instructions will include updated information about funds available
  - Small Urban area JARC and NF share will be defined
  - Large Urban area JARC and NF not included
    - Contact TriMet, SAMTD and LTD directly regarding their process for allocating funds

# JARC and New Freedom



- Statewide competition and selection
  - PTD concurs that project derives from Coordinated Plan
  - Application meets purpose of programs
  - Project demonstrates good budget and outcome
  - Small Urban (Corvallis, Bend and RVTD) projects selected in separate pool from rural

# Other Discretionary Grant Programs



- Intercity Bus Program
- Mass Transit Vehicle Replacement Program
- Planning Program
- For more info. see ODOT PTD Website:  
[http://www.oregon.gov/ODOT/PT/PROGRAMS/  
disc\\_grant\\_program.shtml](http://www.oregon.gov/ODOT/PT/PROGRAMS/disc_grant_program.shtml)

# Intercity Bus Program



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- Purpose: support statewide transit network, emphasis on connecting rural communities
- Longer distance, general public service routes, few stops
- Must serve ADA passengers and carry luggage
- \$1.7 million statewide competitive grant process
- Local governments, Tribes, nonprofits and private companies may apply
- Match = 50%/50% for Operations; 80%/20% all other costs
- Applications on PTD website **due March 1, 2011**

# Mass Transit Vehicle Replacement



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- Applies to six MPOs receiving 5307 Funds only
- For replacement of urban fixed route vehicles
- Competitive solicitation for \$4 million per biennium
- Ranking criteria includes vehicle age, mileage, condition, and planned like-for-like replacement
- Applications on PTD website **due March 15, 2011**
- Following PTD approval, local TIP must be amended and agency applies for FTA 5307 grant

# New Planning Program

- Planning for transit service enhancement, increased mobility, livable and economically viable communities, and sustainability/climate change (not for MPO areas)
- Examples:
  - Transit design and development plans
  - Ridership surveys
  - ADA Paratransit plans
  - Transit service business plans
  - Environmental justice analysis and plans
- \$300,000 for small urban and rural agencies; Match = 80/20
- Applications on PTD website **due February 15, 2011**



**Oregon  
Department  
of Transportation**

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# **PTD Contact Information**



# Federal Program 5310



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## State Discretionary Program (STG)

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# General Program Support



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# QUIZ For Fun

1. All projects submitted by an STF Agency for grant funding must be derived from the agency's Coordinated Plan.
  - o True
  - o False
  
2. You should contact PTD when applying for 5310 Operations grant funding, prior to submitting your application.
  - o True
  - o False

# QUIZ For Fun

3. STF Agency responsibilities in the grant review and submittal process include:
  - A. Setting all dates in the Agency's application process
  - B. Appointing an Application Review Committee
  - C. Previewing applications for completeness and eligibility
  - D. Defining and publicizing a written protest procedure
  - E. All of the above
  
4. All 5310 grant projects have the same grant share and local match requirement.
  - o True
  - o False

# QUIZ For Fun

5. When submitting the complete packet of applications to PTD, STF Agencies should:
  - A. Submit copies of all applications received, and document the decisions that were made about each application in the “Consolidated List of Applications”
  - B. Submit only applications that are recommended for funding, and send un-funded applications back to the submitting provider with explanation of why they were not recommended
  - C. Submit only applications that are recommended for funding, and keep a copy of all applications on file
  - D. None of the above is correct

# QUIZ For Fun

6. The following are true for 5310 replacement vehicle grant requests:
  - A. Replacement vehicles must be “like-for-like”; same category and type
  - B. You may increase capacity slightly within the same category
  - C. You may replace active fleet vehicles and back-up vehicles that are regularly used
  - D. You may only replace active fleet vehicles
  - E. “A”, “B”, and “C” above only
  
7. Vehicle preventive maintenance projects may be used to fund oil & lubrication, tires, tune-ups, paint, washing, seats replacement, fleet parts and supplies, and minor accident repairs.
  - o True
  - o False

# QUIZ For Fun

8. Does Mobility Management include transit vehicle operations?
  - o Yes
  - o No
  
9. When is a Documented Categorical Exclusion (DCE) Form required to be submitted with the grant application?
  - A. For vehicle expansion projects
  - B. When requesting passenger shelter and/or signs projects
  - C. When requesting new 5310 Operations projects
  - D. For equipment requests over \$5,000 value
  - E. For a transit facility project
  - F. All of the above
  - G. “B” and “E” above only

# QUESTIONS AND ANSWERS

THANK YOU FOR  
YOUR  
PARTICIPATION!

