

## 2010 - 2013 Biennium



# Instructions for STF Agencies For Managing the Federal Transit Administration §5310 and Special Transportation Fund Discretionary Grant Programs

*This guidebook is a companion to the*

- *Grant Applications and Application Instructions.*

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For additional copies of this document and for copies of the other Public Transit Division Discretionary Grant Program documents, please go to the Public Transit website: [http://www.oregon.gov/ODOT/PT/PROGRAMS/disc\\_grant\\_program.shtml](http://www.oregon.gov/ODOT/PT/PROGRAMS/disc_grant_program.shtml):

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Cover Photo: Mr. Kenton Dick, Burns Paiute Tribe, with the Tribe's first ever transit vehicle.

## Overview

This guidebook provides information for the Special Transportation Fund (STF) Agency to use in managing the tasks associated with the state STF Discretionary and Federal Transit Administration §5310 grant programs.

The 2011-2013 Discretionary Grant Programs is being conducted in a manner very similar to grant program conducted during the 2009-2011 biennium. The changes to the 2011-2013 program are:

- The applications for STF and 5310 are separated for clarity;
- The policies regarding eligibility of client-only agencies and projects that are very limited in scope are clarified; and
- STF Agencies will not review Job Access and Reverse Commute Program (JARC; FTA §5316) and New Freedom Program (FTA §5317) applications.

Additional Discretionary Grant Programs include Job Access and Reverse Commute (JARC); New Freedom; Planning; Intercity Bus and Mass Transit Programs.

All program materials, including grant application forms and application instructions are found at the PTD website, [http://www.oregon.gov/ODOT/PT/PROGRAMS/disc\\_grant\\_program.shtml](http://www.oregon.gov/ODOT/PT/PROGRAMS/disc_grant_program.shtml), and are available in paper copy upon request.

This guidebook does not provide a comprehensive description of all aspects of the individual grant programs. Special Transportation Fund (STF) Agencies and potential applicants should also review the State Management Plan and Oregon law pertaining to the Special Transportation Fund for more information about these programs. Here are the links:

State Management Plan:

[http://www.oregon.gov/ODOT/PT/PROGRAMS/SHARED/state\\_mgmt\\_plan.shtml](http://www.oregon.gov/ODOT/PT/PROGRAMS/SHARED/state_mgmt_plan.shtml)

Special Transportation Fund Oregon Revised Statute and Administrative Rules:

[http://www.oregon.gov/ODOT/PT/PROGRAMS/stf\\_program.shtml](http://www.oregon.gov/ODOT/PT/PROGRAMS/stf_program.shtml)

Additional discretionary grant program information and materials are in the appendices.

- Appendix A: Allocation of Older Adults and People with Disabilities Funds: 5310 and STF discretionary funds by STF Agency;
- Appendix B: Excerpts from the STF Administrative Rule relating to Applicant Eligibility, Dispute Resolution, and Agreements with Recipients;
- Appendix C: Optional Review Materials;
- Appendix E: Consolidated List of Applications to be submitted to PTD by STF Agencies. (Note: You may remove these final pages from this guidebook, print the final few pages or contact PTD for a form.)

## **About the Grant Program**

The Special Transportation Fund discretionary grant program and Federal Transit Administration (FTA) §5310 grant program (5310) are separate, but closely related programs. The funds are allocated on the basis of a formula to each of the STF Agencies, who then identify the projects to fund. PTD offers these two programs at the same time with deliberately very similar policies and procedures so that STF Agencies and transit providers can coordinate the two sources of funds to maximize the use of the funds.

## **Fund Availability**

There is approximately \$26.560 million of §5310 and \$2.0 million of STF discretionary funds available. Each of the STF Agencies is eligible for a share of the §5310 and STF discretionary funds based on a formula. Refer to Appendix A for the two distribution charts.

Please be aware that the STF Discretionary fund is an estimate. PTD will update the estimate in January 2011.

## **STF Agency Eligibility**

STF Agencies must demonstrate eligibility to receive the allocations of §5310 and STF discretionary funds. STF Agencies are eligible for the allocation if:

1. They have adopted the required Coordinated Plan and submitted the adopted plan to PTD (see The Coordinated Plan, below); and,
2. There is a financial need for the funds.
  - a) STF Agencies with unspent (also called “unobligated”) STF formula funds are expected to use those funds first, before allocating additional projects to the §5310 and STF discretionary funds.
  - b) Funds retained at the local level in reserve accounts for a defined future purpose are not considered to be “unspent”: they have a purpose defined by the agency’s budget document.

## **Project Eligibility Policy Changes**

Public Transit Division is emphasizing policies which may affect project eligibility:

1. Agencies that limit service provision to clients may not be eligible for funding.
  - a) **Client-only transportation providers are eligible only if they provide rides to other older adults and people with disabilities in the community, or provide a reasonable plan for sharing vehicles with other public transportation providers in the community when not in use for their own clients.** Any questions on eligibility should be addressed to the 5310/Capital Program Manager (see contact info. below). Application materials must address these issues in order to be considered for funding.
  - b) Agencies providing client-only transportation services are eligible for Preventive Maintenance (PM) grants only for vehicles procured from Public Transit Division grants. There is a minimum grant award of \$5,000; each vehicle is allowed \$1,500 per vehicle per year, so an agency would need to have at least two vehicles to qualify for a PM grant award. STF agencies are encouraged to pool the grant-funded vehicles for smaller agencies into a single application for preventive maintenance which would be awarded to the STF Agency.
  - c) Client-only agencies are not eligible for Operations, Facility, Equipment or Mobility Management projects.
  - d) If a project for a client-only agency is approved, PTD will award the grant to the STF Agency for administration. This is to ensure that the grant property is properly procured, used, monitored, accounted for and reported.
2. Agencies whose transportation services are very limited in terms of service availability may not be eligible for funding. PTD expects grant-funded resources to be used as much as possible. To be eligible for a vehicle purchases or preventive maintenance grant, agencies must demonstrate that the vehicles are being used regularly, associated with the community needs being served. PTD will evaluate applications based on the following productivity goals, as applicable to the service.
  - a) Use each vehicle regularly for passenger transportation, and at least three days per week, four hours per day or more (144 hours per quarter or 576 hours per year per vehicle);
  - b) Operate each vehicle a minimum of 1500 miles per quarter (6000 miles per year);
  - c) Provide at least 288 passenger rides per quarter (1,152 per year).
  - d) As with client-only providers, agencies who provide very limited services should coordinate services by:
    - i) Making vehicles available to other agencies who will operate the vehicle for public transit service through a vehicle sharing arrangement during periods of time when the vehicle is not in passenger transportation service, or

- ii) Increase service levels by working with other agencies in a coordinated arrangement.
  - e) Agencies providing very limited services should work with the STF Agencies to identify other financial options to support very small programs.
3. Transit operations projects, including purchased service, must be in compliance with the Americans with Disabilities Act. PTD staff will review and approve any new operations or purchased service project for ADA compliance prior to the project being eligible for funding. Preservation projects may be subject to a review and approval as determined by PTD.

### **STF Agency as Recipient of Grant Funds**

The STF discretionary funds will be granted to the STF Agency.

The STF Agency is the presumptive grant recipient of the \$5310 funds. The \$5310 funds may be either granted to the STF Agency, as the coordinator of services, or may be granted directly to the local applicants: PTD will discuss these options with the STF Agency AFTER the projects are approved and selected for funding.

### **Program Coordination between two or more STF Agencies**

Public Transit Division would be very pleased if two or more STF Agencies would consider coordinating their discretionary grant programs. There are several good reasons for this: resource enhancement, increased communication of mutual needs, and shared investment in services crossing service areas and constituencies, etc.

Two or more STF Agencies may pool their funds and conduct a collaborative local process. Guidance for managing a jointly-managed grant program process is found in the STF Administrative Rule, [OAR 732-005-0066](#):

If you want more information, please contact Jean Palmateer, 503-986-3472 or [jean.m.palmateer@odot.state.or.us](mailto:jean.m.palmateer@odot.state.or.us) for more information.

### **Financing Capital Projects**

Capital projects that require more funding than is available from the allocation of \$5310 and STF discretionary programs have several potential options.

1. The project may be phased so that the first phase occurs in the 2011-2013 biennium.
2. Current grant funds and prospective future grants may be used to leverage an Oregon Transportation Infrastructure Bank loan from ODOT. For more information about OTIB, please contact Tom Meek at 503.986.3921, and see the website: <http://www.oregon.gov/ODOT/CS/FS/otib.shtml>.
3. Capital projects may be eligible for federal Flexible Funds available from ODOT (not PTD). <http://www.oregon.gov/ODOT/TD/TP/FlexFunds.shtml>

4. The Connect Oregon grant program may be reauthorized by the Oregon Legislature in 2011. <http://www.oregon.gov/ODOT/COMM/CO/index.shtml>
5. Capital projects may be eligible for FTA funds that are congressionally appropriated. For more information about federal fund appropriations, contact the Public Transit Division.
6. Capital projects may be eligible for special purpose discretionary grant programs, conducted by the Federal Transit Administration. The eligibility and availability of programs change frequently. For more information about potential federal fund sources, contact the Public Transit Division.

# Grant Program Procedures

## Responsibilities of the STF Agency

The STF Agency is a key partner for coordinating local community transportation resources and is the lead agency for managing the grant application and review process. STF Agencies:

- Develop and adopt a Coordinated Plan.
- Coordinate the discretionary project application, public comment and review processes for the local area.
- Ensure that STF and §5310 grant projects are derived from the Coordinated Plan.
- Submit a consolidated STF and §5310 application to PTD on behalf of the providers in the community **by January 31, 2011**.

STF Agencies may delegate the tasks associated with the grant program to another agency. The governing body of the STF Agency must act on the advice provided by its appointed review committee.

### **1. The Coordinated Plan**

An adopted Coordinated Plan is required for projects financed with STF discretionary and §5310 funds. Each project proposed for funding will need to be derived from the adopted Coordinated Plan. At this time, most STF Agencies have submitted the required plans.

**→ For STF Agencies who have NOT submitted their Coordinated Plan to PTD: the adopted plan must be submitted to PTD by January 31, 2011.**

### **2. Developing Local Procedures**

- a) STF Agencies may establish grant program policies and procedures as necessary to identify projects for funding. There are several grant program requirements that must be built into the local process, such as public involvement.
- b) The local process may include activities that are not described below, since the STF Agency may add steps as necessary to complete the local process. For example, the STF Agency may use a locally-defined application or other project identification process to identify projects for funding; the actual application that is submitted to Public Transit Division may be completed after the project is selected for funding.
- c) The local process must be fair and equitable to applicants. Per the §5310 requirements, any potentially eligible applicant should have the opportunity to apply. If the STF Agency uses a pre-application process, or other screening process other than the application prepared by Public Transit Division, to identify

projects for funding, please ensure that all potential applicants have access to the local application, as appropriate, and process information.

### **3. Tasks Required Prior to the Local Review**

- a) **Review the Coordinated Plan.** Finalize and adopt the plan as required to be eligible for the program. Update the plan as needed.
- b) **Establish and publish a local timeline** for project submission, review and approval. The schedule should include the:
  - i) Date for applications or project descriptions, as determined through the local process, to be submitted to the STF Agency. Applications will be available on the PTD website. Paper version of the application may be distributed by the STF Agency; and the STF Agency should refer potential applicants to the PTD website. If the STF Agency uses a locally defined application, be sure to make the application publicly available.
  - ii) Date(s) the applications will be reviewed. Pick date(s) prior to the STF Agency governing body meeting with sufficient time to do the review.
  - iii) Public comment period, prior to or concurrent with the application review and approval process.
  - iv) Date the STF Agency governing body will review the recommendations from the STF Advisory Committee and any public comments.
  - v) NOTE: If the STF Agency is unable to submit the applications to PTD until after January 31, 2011, the STF agency must negotiate with PTD in advance to set an alternative date for submission.
- c) **Appoint the Review Committee.** The review will include the STF Advisory Committee and may also include additional stakeholders. In areas with a metropolitan planning organization (MPO), the MPO should be invited to participate in the review.
- d) **Announce that the grant application is available.** See the sample public announcement, which may be modified to meet the requirements of the local process.
- e) **If the STF Agency establishes local priorities and eligibility criteria unique to the local area, you are required to notify potential applicants before they apply.**

#### ***Sample Public Announcement – Availability of Grant Funds***

*(STF Agency)*, in *(county/counties)*, announces the opportunity for eligible transportation providers to apply for state STF discretionary and federal \$5310 funds. Funds are allocated to the *(STF Agency)* by the Oregon Department of Transportation. Grant applications are for the 2011-2013 Biennium. Projects providing transportation services for seniors and people with disabilities are

eligible for grant funding. Applications are available at the Public Transit Division Web site:

[http://www.oregon.gov/ODOT/PT/PROGRAMS/disc\\_grant\\_program.shtml](http://www.oregon.gov/ODOT/PT/PROGRAMS/disc_grant_program.shtml)

The application packet includes instructions and eligibility guidelines. Applications submitted for projects in (*county/counties*) must be submitted to (*STF Agency*), not later than 5:00 PM on (*date*). Contact (*person, phone, email*) for more information.

#### **4. Collect and preview the applications.**

STF Agencies will accept applications. If PTD receives an application, we will send it to the STF Agency for review. STF Agencies should preview the applications prior to being reviewed by the review committee. Applications that are incomplete, not understandable, are clearly ineligible, or have other substantive problems should be returned for correction or should be denied.

#### **5. Review Applications.**

The application review is a two-step process.

- a) Review by the Review Committee: In consultation with the STF Agency and in reference to the Coordinated Plan, the Review Committee should prepare for the review by establishing priorities for the local program that are based on the adopted coordinated plan. Once established, priorities and other qualifications should be documented and applied consistently. PTD recommends that STF Agencies look at the projects before allocating funds, and that the staff to the STF Agency takes the lead in fund allocation details.
- b) STF Agency Review: The governing body of the STF Agency will consider the recommendations from the review committee and staff. The STF Agency makes the final decision. It is the responsibility of the STF Agency to determine how best to use the funds allocated to it for a variety of programs. The STF Agency may choose to limit the use of funds for particular purposes. The review and decisions must be made in a public meeting. It may be at a special meeting or one of the STF agency's regularly scheduled meetings.

#### **6. Public Involvement**

STF Agencies must ensure that there is an opportunity for public comment during the grant application review process. The public, including public and private transportation providers; users of service; potential passengers including seniors, people with disabilities and people with low income; and agencies serving seniors, people with disabilities and people with low income; and other stakeholders such as local businesses, should have the opportunity to comment on the applications and the potential impact of the proposals. See the sample public notice below.

People selected by the STF Agency to serve on the review committee are "public officials". All meetings of the review committee must be public meetings, with an

agenda and a public notice. The review committee should take steps to avoid conflict of interest and the appearance of conflict of interest.

Invite public comment after the applications are submitted to the STF Agency and before funding decisions are made. Please offer at least a 10-day comment period. You must provide at least an opportunity for written comment. A public meeting with a comment period is desirable and probably more effective. See the sample notice:

***Sample Public Announcement – Request for Public Comment***

*(STF Agency), in (county/counties), is requesting comments for the following projects proposed for funding from the Public Transportation Discretionary Grant program offered by the Oregon Department of Transportation.*

*(list the applicant – amount of funds requested – type of project, example:*

- XYZ Public Transit, \$40,000 to replace one bus*
- 124 Agency, \$25,000 to operate transit service for seniors and people with disabilities*
- ABC Inc, \$15,000 for three passenger shelters)*

*Additional information is available from (contact, address, city, and phone number). (STF Agency) invites comments on the proposed applications by sending a written response by (date) to: (contact, address, city, zip) (Optional: and by attending the public meeting scheduled on day, time, and location).*

**7. Protest Procedure**

Each STF Agency must have a process to resolve protests of funding decisions. If the STF Agency does not have a procedure, one must be created. The protest procedure for Public Transit Division is in Appendix B.

**8. Allocate the funds to 5310 and STG**

The STF Agency needs to determine the source of funds to use for the project recommended for funding. PTD recommends that the review committee identify the projects that are recommended for funding and allow the staff to use the recommendations when identifying the source of funds for each project.

Use the following guidelines when making funding decisions:

a) Special Transportation Discretionary Funds:

- i) STF discretionary, like the STF formula funds, may be used for any purpose associated with public or special transportation projects benefiting older adults and people with disabilities.
- ii) The STF Agency may require local match for the STF discretionary funds as a means to stretch or conserve the money.

- iii) An STF discretionary allocation may be used as match for other transit grants.
- b) §5310 funds require local match and project need to fit within one of the following project types:
  - i) Vehicle replacement (89.73% federal share/10.27% local share)
  - ii) Expansion vehicles (89.73/10.27%)
  - iii) Preventive maintenance (89.73/10.27%)
  - iv) Mobility management (89.73/10.27%)
  - v) Purchased Service (89.73/10.27%)
  - vi) Other capital, e.g., passenger shelters, computer and communications equipment and associated software and installation (89.73/10.27%)
  - vii) 5310 Pilot Operations program (56.08/43.92%) *(NOTE PTD will be providing additional guidance on the use of funds for the pilot program, which has a statewide limitation of ~\$900,000.)*

**9. Submit the Applications**

See Appendix E for information to document and submit the applications to Public Transit Division.

**Public Transit Division Review**

After the application packets are submitted PTD staff will review all projects identified for funding to ensure that the projects and applicants are eligible for the funding sources. If a project meets the criteria, the project will be funded as submitted. If a project does not meet the criteria, the staff will contact the STF Agency regarding the problem. The STF Agency will have two weeks to resolve the problem or to substitute another project that does meet the program criteria.

**Appendix A**

**STF Agency 5310 Allocation (Federal funds requiring local match):** This is the allocation planned for distribution. We do not anticipate any changes.

STF Agency	5310 Total 2011-2013 Biennial Allocation
Baker County	\$182,065
Basin Transit Service	\$478,850
Benton County	\$484,366
Columbia County	\$316,798
Coos County	\$522,128
Crook County	\$209,683
Curry County	\$245,148
Deschutes County	\$1,053,446
Douglas County	\$826,086
Gilliam County	\$108,818

Grant County Transportation District	\$131,546
Harney County	\$133,850
Hood River County Transportation District	\$171,438
Jefferson County	\$183,176
Josephine County	\$670,543
Lake County	\$135,701
Lane Transit District	\$2,309,324
Lincoln County	\$351,558
Linn County	\$788,654
Malheur County	\$223,669
Morrow County	\$142,561
Rogue Valley Transit District	\$1,446,435
Salem Area Mass Transit District	\$2,518,466
Sherman County	\$108,623
Sunset Empire TD	\$267,496
Tillamook County Transit District	\$235,896
TriMet	\$9,623,592
Umatilla County	\$482,587
Union County	\$200,459
Wallowa County	\$132,356
Wasco County	\$197,951
Wheeler County	\$109,048
Yamhill County	\$608,500
Burns Paiute Tribe	\$100,661
Confederated Tribes of Grand Ronde	\$112,669
Confederated Tribes of Siletz	\$113,017
Confederated Tribes of Umatilla	\$107,268
Confederated Tribes of Warm Springs	\$118,920
Coquille Indian Tribe	\$102,231
Cow Creek Tribe of Umpqua Indians	\$103,055
Confederated Tribes of Coos, et al	\$102,304
Klamath Tribes	\$111,060
<b>TOTAL</b>	<b>\$26,572,000</b>

**STF Agency STF Discretionary Allocation (state funds):** Please note that these are estimates for planning purposes only. The final allocation will be published in Jan 2011.

<b>STF Agency</b>	<b>STG Total 2011-2013 Biennial Allocation</b>
Baker County	\$30,000
Basin Transit Service	\$30,000
Benton County	\$30,000
Columbia County	\$30,000
Coos County	\$30,000
Crook County	\$30,000
Curry County	\$30,000
Deschutes County	\$52,387
Douglas County	\$33,952
Gilliam County	\$30,000
Grant County Transportation District	\$30,000
Harney County	\$30,000
Hood River County Transportation District	\$30,000
Jefferson County	\$30,000
Josephine County	\$30,000
Lake County	\$30,000
Lane Transit District	\$111,691
Lincoln County	\$30,000
Linn County	\$35,577
Malheur County	\$30,000
Morrow County	\$30,000
Rogue Valley Transit District	\$65,929
Salem Area Mass Transit District	\$131,141
Sherman County	\$30,000
Sunset Empire TD	\$30,000
Tillamook County Transit District	\$30,000
TriMet	\$519,156
Umatilla County	\$30,000
Union County	\$30,000
Wallowa County	\$30,000
Wasco County	\$30,000
Wheeler County	\$30,000
Yamhill County	\$30,167
Burns Paiute Tribe	\$30,000
Confederated Tribes of Grand Ronde	\$30,000
Confederated Tribes of Siletz	\$30,000
Confederated Tribes of Umatilla	\$30,000
Confederated Tribes of Warm Springs	\$30,000
Coquille Indian Tribe	\$30,000
Cow Creek Tribe of Umpqua Indians	\$30,000
Confederated Tribes of Coos, et al	\$30,000
Klamath Tribes	\$30,000
<b>TOTAL</b>	<b>\$2,000,000</b>



## APPENDIX B: Excerpts for the STF Administrative Rules

### Applicant Qualifications

732-005-0076

#### *Recipient Qualifications*

*(1) To be eligible to receive STF moneys for a Project, a Recipient will meet, or have the capacity to meet, the following qualifications, as applicable to the type of Project being funded. A Recipient will:*

*(a) Be an entity eligible to enter into agreements;*

*(b) Have the legal, managerial and operational capacity to perform the Project;*

*(c) Not be debarred or suspended from federal grants;*

*(d) Maintain compliance with federal, state and local laws and regulations including, and not limited to, those pertaining to passenger transportation, civil rights, labor, insurance, safety and health, as applicable;*

*(e) Comply with the laws or rules of this program;*

*(f) Properly use STF moneys; and*

*(g) Perform the Project in a safe, prudent and timely manner.*

*(h) If a Recipient is identified as ineligible to receive other funds offered by the state or federal government resulting from a failure to meet the criteria identified in subsection (a) through (g) of this section, the Recipient may be ineligible to receive STF moneys.*

*(2) A STF Agency may require additional eligibility qualifications of Recipients as necessary to implement its STF Program.*

*(3) The Division may require additional eligibility qualifications of Recipients as necessary to implement the Discretionary Program.*

*(4) The STF Agency will confirm the eligibility of a Recipient prior to awarding STF moneys and entering into an agreement.*

*(5) The STF Agency will ensure that Recipients maintain eligibility while receiving STF moneys.*

*(6) A Recipient found by the STF Agency or Division to be ineligible may be required to repay moneys received during the period of ineligibility.*

### Dispute Resolution

732-005-0071

#### *Protest Procedure*

*The Division will conduct a process to resolve protests of funding decisions made by the Oregon Department of Transportation.*

*(1) Within 30 days of notification of a funding decision, the STF Agency may file a protest of the decision.*

*(a) The STF Agency will address the protest to the Administrator of the Division; and*

*(b) The protest will identify the project or proposed project affected by the funding decision, the Recipient or proposed Recipient affected by the decision, any arguments pertaining to the protest, and the requested remedy.*

*(2) The Division will investigate the protest and will make a written statement of finding within 30 days.*

*(3) Within 10 working days of receipt of the statement of finding, the STF Agency may request a review of the statement of finding. After a review of the statement of finding, the Administrator of the Division will issue a final decision.*

## **Agreements with Recipients**

732-005-0061

### *Management of Agreements*

*(1) The Division will enter into an agreement with a STF Agency after approval of the STF Agency's application for STF moneys.*

*(a) The agreement will include:*

*(A) A description of the use of the funds;*

*(B) A beginning and end date;*

*(C) Termination and suspension clauses;*

*(D) Other applicable requirements of these rules; and*

*(E) Sanctions for failure to comply with the requirements of the agreement, including and not limited to, withholding and repayment of funds for cause.*

*(b) Inspection of records and Projects:*

*(A) An STF Agency, and any organization acting on the STF Agency's behalf, will permit the Division, the Secretary of State of the State of Oregon, or their authorized representatives, upon reasonable notice, access to all data and records relating to the STF moneys.*

*(B) The Division, the Secretary of State of the State of Oregon, or their authorized representatives, upon reasonable notice, may inspect the Projects financed with STF moneys including, but not limited to, the financial records, physical premises and Capital Items used to deliver Public Transportation Services.*

*(2) The STF Agency will enter into written agreements with Recipients for Projects financed with Formula Program and Discretionary Program moneys.*

*(a) The form of the agreement will include:*

*(A) A statement of work to be performed in consideration of the STF moneys;*

*(B) A beginning and end date;*

*(C) Termination and suspension clauses;*

*(D) Other applicable requirements of OAR 732-005-0000 through 732-020-0045; and*

*(E) Sanctions associated with failure to perform, including but not limited to, withholding and repayment of funds for cause.*

*(F) The STF Agency may impose additional requirements under its own authority.*

*(b) The STF Agency will submit copies of Recipient agreements to the Division.*

*(c) The STF Agency will monitor the performance of the agreement on a regular basis, and will take action when the terms and conditions of the agreement are not being met.*

*(d) Recipients, and any organization acting on the Recipient's behalf, will permit the STF Agency, the Division, the Secretary of State of the State of Oregon, or their authorized representatives, upon reasonable notice, access to all data and records relating to the transportation system supported in whole or part by the STF, and will allow inspection of the Projects supported in whole or part by the STF including, but not limited to, the physical premises and Capital Items used to deliver transportation services.*

*(e) The Division may terminate or suspend an agreement between itself and a STF Agency, and may require repayment of funds, if the STF Agency fails to take action against a Recipient failing to comply with OAR 732-005-0000 through 732-020-0045.*

## **APPENDIX C: Optional Review Materials**

STF Agencies should consider the following items when reviewing project applications. Public Transit Division staff will use similar considerations when evaluating eligibility of applicants and projects.

### **Applicant Qualifications**

- Applicant has positive history of past grants – reports on time, accurate, match available as required, etc.
- (If a non-profit agency) Applicant is current in agency incorporation, registration and annual report submissions to state and federal governments.
- Applicant is fiscally responsible and is capable of managing grant funds. Agency has a budget that includes all sources and uses of funds. The budget is adopted, managed and revised as necessary by the governing board.
- Applicant has adequate staff and resources to manage the project.
- The staff has basic knowledge of transportation and receives training as required for duties.
- Services currently operated by applicant have no pattern of complaints, accidents, or service disruptions.
- Vehicles are maintained appropriately.

### **Project Qualifications:**

- Project design is for, or benefits, older adults and/or people with disabilities as its primary purpose.
- Project design is appropriate to purpose and type of project.
- Service is accessible to people with disabilities in conformance to ADA.
- Vehicles are appropriate for type of service, and meet age or mile replacement requirements, as appropriate (see chart in Application Packet).
- Agency has adequate revenue to maintain services and meet matching obligations.

### **Sample Review Worksheet**

Applicant: \_\_\_\_\_

Project Description \_\_\_\_\_

Total project cost \$ \_\_\_\_\_ Grant Request \$ \_\_\_\_\_ Local Share \$ \_\_\_\_\_

1. Project is derived from the Coordinated Plan (pass/fail) YES  NO   
Page number \_\_\_\_\_

2. Justification for the Project (25 points) **POINTS** \_\_\_\_\_  
▪ Project meets local needs  
▪ Project is cost effective  
▪ Project does not unnecessarily duplicate existing service

3. Project planning and budget (25 points) **POINTS** \_\_\_\_\_  
• The project design and planning is adequate  
• The project budget is appropriate for scale of project  
• The match/local share is appropriate and available

4. Project Management (25 points) **POINTS** \_\_\_\_\_  
• The applicant will provide adequate fiscal, managerial and operational management  
• The applicant has a good history of project management

5. Efficiency and Effectiveness (25 points) **POINTS** \_\_\_\_\_  
• The project will make the local services more reliable.  
• The project will provide more rides or will improve access to the local services.  
• The project improves coordination, e.g., reducing duplication or leveraging resources.

**TOTAL POINTS** \_\_\_\_\_

## **APPENDIX D: Consolidated List of Applications Submitted to the Public Transportation Discretionary Grant Program**

### **Submission Guidelines**

1. STF Agency Cover Page: Include one cover page for all projects. An individual designated by the STF Agency must sign the certification.
2. Submit a copy of your Coordinated Plan if your plan was amended for the grant program, or if your agency has never submitted a plan. Be sure that the date of adoption is identified on the cover of the plan or an attached document.
3. Complete two Consolidated Lists of Applications Recommended for Funding—one for §5310 applications and one for STF discretionary applications. Each should include the following information:
  - a. Identify each project separately.
  - b. Indicate whether the project is derived from the Coordinated Plan.
  - c. Identify the page of the plan (either the original plan or the amended plan, as appropriate) on which the project is derived or identified.
  - d. Identify the amount of grant funds being requested – this is especially important if the amount is different from the original request.
  - e. Indicate if the application is recommended with conditions and provide comments, as needed.
  - f. Send copies of applications for all projects, including those not recommended.



**RECOMMENDED Projects to be funded with §5310**

**Allocation of 5310: \$** \_\_\_\_\_

1. Applicant: \_\_\_\_\_

Type of Project: \_\_\_\_\_

Total Project Cost \$ \_\_\_\_\_ Grant Request \$ \_\_\_\_\_

This project is derived with the Coordinated Plan. Page \_\_\_\_\_

This project is recommended with conditions: \_\_\_\_\_

Comments:

2. Applicant: \_\_\_\_\_

Type of Project: \_\_\_\_\_

Total Project Cost \$ \_\_\_\_\_ Grant Request \$ \_\_\_\_\_

This project is derived with the Coordinated Plan. Page \_\_\_\_\_

This project is recommended with conditions: \_\_\_\_\_

Comments:

3. Applicant: \_\_\_\_\_

Type of Project: \_\_\_\_\_

Total Project Cost \$ \_\_\_\_\_ Grant Request \$ \_\_\_\_\_

This project is derived with the Coordinated Plan. Page \_\_\_\_\_

This project is recommended with conditions: \_\_\_\_\_

Comments:

**Total 5310 funding allocated: \$** \_\_\_\_\_

***Please copy this page if additional pages are needed.***

**RECOMMENDED Projects to be funded with STF Discretionary**

**Allocation of STF discretionary funds: \$ \_\_\_\_\_**

1. Applicant: \_\_\_\_\_

Type of Project: \_\_\_\_\_

Total Project Cost \$ \_\_\_\_\_ Grant Request \$ \_\_\_\_\_

This project is derived from the Coordinated Plan. Page \_\_\_\_\_

This project is recommended with conditions: \_\_\_\_\_

Comments:

2. Applicant: \_\_\_\_\_

Type of Project: \_\_\_\_\_

Total Project Cost \$ \_\_\_\_\_ Grant Request \$ \_\_\_\_\_

This project is derived from the Coordinated Plan. Page \_\_\_\_\_

This project is recommended with conditions: \_\_\_\_\_

Comments:

3. Applicant: \_\_\_\_\_

Type of Project: \_\_\_\_\_

Total Project Cost \$ \_\_\_\_\_ Grant Request \$ \_\_\_\_\_

This project is derived from the Coordinated Plan. Page \_\_\_\_\_

This project is recommended with conditions: \_\_\_\_\_

Comments:

Total STF Discretionary funding allocated: \$ \_\_\_\_\_

***Please copy this page if additional pages are needed.***