

NORTH CAROLINA DEPARTMENT OF TRANSPORTATION



Program Overview

Enhanced Mobility of Seniors and Individuals with Disabilities Program

Operating

(Federal Section 5310)

North Carolina Department of Transportation
Integrated Mobility Division
July 12, 2021

Introduction

Program Authority

The Governor, pursuant to the provisions of 49 USC 5310 has designated the North Carolina Department of Transportation (NCDOT) as administrator and recipient of the 5310 Program funds apportioned to North Carolina for projects in the small urban and rural areas of the state. This authority was established through legislative action as set forth in Article 2B of Chapter 136 of the North Carolina General Statutes.

The Integrated Mobility Division (IMD) of NCDOT shall have principal responsibility and legal authority for the administration of the state managed portions of this program. IMD shall administer the program in accordance with the guidance published by the Federal Register and Federal Transit Administration circulars and in accordance with existing federal and state regulations pertaining to the administration of federal grants by NCDOT.

Integrated Mobility Division Goals

The Integrated Mobility Division has goals to achieve the definition of coordinated transportation services. Those goals are:

1. Support general public transportation in rural North Carolina (less than 50,000 population) and provide a coordinated network
2. Enhance access in rural areas to health care, shopping, education, employment, public services and recreation.
3. Encourage the most efficient use of **all** transportation funds used to provide passenger transportation in rural areas through coordination of programs and services.

Period of Performance

IMPORTANT: This application for 5310 funds covers the period of performance from July 1, 2022 to June 30, 2023. NCDOT will only accept applications for one year projects.

IMPORTANT Announcements:

- This application package is for 5310 Operating projects from Community Transportation (CT) systems, and non-transit agencies such as a Rural Planning Organization (RPO) applying for volunteer reimbursement for mileage only.
- There are separate applications for all capital projects, including Mobility Manager and 5310 Capital Purchase of Service for non-CT applicants.

- **Section 5310 Operating funds will only be approved for line item G-313 Transportation of Clients/Others for transit systems or G-621 Volunteer Reimbursement.** Full documentation (invoice, clients served, 5310 progress report) from transit agencies will be required when submitting claims. Operating expenses for drivers and other staff, fuels and oils, and other expenses are not eligible items.
- **Operating projects approved will be on a cost-per-trip reimbursement basis (50/50 cost sharing ratio – no state match will be provided for operating projects).**
- 5310 Operating application packages must be complete and correct before they will be considered for funding. Funding for approved projects will be based upon a funding formula using the number of applications received and the amount of funding assigned to a designated district per the Statewide Locally Coordinated plan.
- Transit systems will use one checklist, the Unified Application Checklist, for all FY 2023 grants applied for.
- **Verification of DUNS number is a required document in the set of master documents.** An application without a DUNS number will not be reviewed.
- Only applications from Community Transportation systems proposing projects benefiting seniors and individuals with disabilities living in rural areas and/or small urban areas, or non-transit systems such as an RPO applying for volunteer reimbursement projects will be reviewed for funding with this application. Requests for 5310 funding in a large urbanized area, contact your Metropolitan Planning Organization (MPO) to find out how their FTA appropriated large urban 5310 funds are awarded. A definition of small urbanized area and rural area are included in Appendix A of the Overview.
- The final Section 5310 Program circular defines a Senior as an individual **65** years or older.
- FTA-required reporting measures will be included in the progress reports that grantees submit with each claim. These are described on page six (6) of this Overview.
- The applicant must be the one administering the project, determining eligibility, arranging transit services, and/or operating the funded service. Passing through grant funding to another entity will not be allowed.
- Applications from applicants with a business address inside a large urban area as defined by the 2010 census will not be considered. (See a list in Appendix C of the Overview of counties with large urban areas.) Farebox revenue cannot be used as matching funds in a project.
- Required state and federal attachments will be submitted once in Enterprise Business Services (EBS) using the Drop Box, instead of attaching them to each application. The instructions for using the Drop Box are included on page nine (9) of this Overview.

Program Monitoring and Oversight

See the list of Regional Grant Specialists from NCDOT/IMD included in the application package

who can assist you as you complete this application.

Funding Programs

Section 5310 – Elderly Individuals and Individuals with Disabilities Program

The goal of the Section 5310 program is to improve mobility for seniors and individuals with disabilities throughout the country, by removing barriers to transportation services and expanding the transportation mobility options available. Toward this goal, FTA provides financial assistance for transportation services planned, designed, and carried out to meet the special transportation needs of seniors and individuals with disabilities in all areas. A senior is an individual who is 65 years of age or older and the term 'disability' is defined in section 3(1) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).

The Section 5310 “Other Section 5310 Projects” provides grant funds for capital and operating expenses to recipients for:

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

Federal/State/Local Cost Participation

The federal share for eligible operating costs may not exceed 50 percent of the net operating costs of the activity. The local share for eligible operating costs shall be not less than 50 percent of net operating costs, which is determined after deducting fares. The state does not participate in operating expenses.

Eligible Sources of Local Match

All FTA formula program grants administered by NCDOT require the local match be provided from sources other than federal Department of Transportation funds. Examples of possible local match sources include:

- local or state appropriations
- dedicated tax revenues
- federal funds – non-USDOT
- private donations
- revenue from human services contracts and net income generated from advertising and concessions

Fares collected from a proposed transit service cannot be used as matching funds. The net cost of an operating budget is determined after deducting fares. NCDOT will only participate in the net operating cost.

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

Use of Other Non-USDOT Federal Funds for Local Match

The local match may be derived from federal funding programs other than DOT programs. Federal programs used as match must include funding for transportation. **To use these funds as local match for FTA funds, the cost of the activities funded by the non-DOT federal funds must be integrated into the total net project costs of the FTA grant.** The transportation activities funded by the non-USDOT federal funds must be inside the scope of the 5310 project to be used as part of your local match.

<p>Applicants are responsible for verifying the eligibility of non-USDOT federal funds the applicant proposes to use as their local match.</p>

The state-funded Rural Operating Assistance Program (ROAP) funds can also be used as matching funds for the 5310 Operating grant. These funds are allocated to the county or to a transportation authority. Applicants should inquire with the county manager and/or county finance office about the availability of the ROAP funds.

Program Measures and Reporting Requirements

This program has federally mandated reporting requirements. Grantees will be required to report on their project each time they make a claim for reimbursement from their funded grant.

Quarterly reports will be required regardless of financial activity. Grantees will submit both quantitative and qualitative information on each of the following measures:

Other Section 5310 Projects

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

ELIGIBILITY

2010 Census Related Eligibility Criteria

Under the FAST Act, the 5310 program provides an apportionment to NCDOT to award to applicants from the rural and small urbanized areas of North Carolina. A small urbanized area encompasses a population of at least 50,000, but less than 200,000 as determined by the Bureau of Census. The small urbanized areas in North Carolina include the areas of Burlington-Graham, Gastonia, Goldsboro, Greenville, High Point, Jacksonville, New Bern and Rocky Mount. A rural area encompasses a population of fewer than 50,000 people that live outside a designated large or small urbanized area. Applicants must provide services in a small urbanized or rural area to be eligible for the 5310 funds administered by NCDOT. NCDOT will not accept or fund applications for projects in the large urbanized areas.

If a new applicant has a project approved for funding, the applicant must receive a pre-award audit before funding is granted. This is a Federal requirement.

Eligible Section 5310 Project Applicants

Section 5310(b) provides that of the amounts apportioned to the state, not greater than 45 percent shall be available for other than traditional Section 5310 projects which are those public transportation projects that exceed the ADA minimum requirements; projects that improve access to fixed route service and decrease reliance by individuals with disabilities on ADA paratransit complementary service and projects that provide alternatives to public transportation that assist seniors and individual with disabilities with transportation.

Eligible applicants are limited to:

Private nonprofit organizations - Must be able to submit a copy of your IRS Tax Identification Number Certificate as proof of 501(c)(3) eligibility and attach a copy of the charter and bylaws as filed with North Carolina Department of Secretary of State.

Local governmental authorities - According to 49USCS 5302 a local governmental authority includes a political subdivision of the state, an Indian tribe, or a public corporation, board, or commission established under the laws of the state.

Private operators of public transportation that receive a Section 5310 grant indirectly through a recipient. - Must be able to document that they are and have been providing shared-ride service to the public or to special categories of users on a regular basis prior to the posting of this application. "Shared-ride" means two or more passengers in the same vehicle who are otherwise not traveling together. Every trip does not have to be shared-ride in order to be considered a shared-ride operator.

Strategies or Activities to Address Needs or Gaps in Service

To be eligible for Section 5310 funding, the FAST Act requires projects and services funded through Section 5310 be derived from or included in a locally developed, Coordinated Public Transit – Human Service Transportation Plan; and that the plan was developed and approved through a process that includes the participation of seniors and individuals with disabilities, public and private transportation providers, community agencies and other stakeholders. FTA maintains flexibility in how projects appear in the coordination plan. The applicant's proposed project may be identified as filling a transportation need, or as strategies and activities addressing an identified service gap or transportation coordination objective articulated and prioritized within the plan. This plan cannot be more than four (4) years old in air quality nonattainment and maintenance areas and five (5) years in air quality attainment areas.

The locally developed, Coordinated Public Transit –Human Service Transportation Plan includes 1) an assessment of available services that identifies current transportation providers, 2) an assessment of transportation needs for individuals with disabilities and seniors, 3) strategies, activities, and/or projects to address the identified gaps between current services and needs, as well as opportunities to improve efficiencies in service delivery, 4) priorities for implementation based on resources, time, and feasibility.

The applicant will be asked to provide the page number from the locally developed, Coordinated Public Transit-Human Services Transportation Plan that mentions or describes the strategy or action included in the application. **The application will not be considered unless a copy of the locally coordinated plan from the applicant's service area is attached with the application documents.**

Eligible Activities

Other 5310 Projects

Up to 45 percent of the apportionments may be utilized for additional public transportation projects:

- That exceed the ADA minimum requirements,
- Improve access to fixed route service and decrease reliance by individuals with disabilities on ADA complementary paratransit service, or
- Provide alternatives to public transportation that assist seniors and individuals with disabilities with transportation.

Such projects must be planned and designed to meet the specific needs of seniors and individuals with disabilities, although the services may also be used by the general public. Some expenses are eligible under both categories of eligible expenses.

Applying for Funds

Application Introduction

Preparing a competitive Section 5310 Program application is a multi-step process. The application includes multiple forms to be completed and certain actions to be taken before the application deadline. Some of the forms are in Excel and Word format, and others are online forms that require passwords to access and complete. The information in your application becomes public record. Applicants should not include information that may be regarded as confidential. Applicants are encouraged to read through all of the documents in the package before beginning an application. **IMPORTANT: An applicant will be allowed to submit an unlimited number of applications for their small urban or rural service area. Duplicate projects within a service area will not be funded. Applicants can apply for one year of funding only. New applicants must pass a pre-award audit to be considered for funding.**

Application Documents

The Section 5310 Program Application Package can be found on the NCDOT website at <https://connect.ncdot.gov/business/Transit/Pages/Transit-Grants.aspx>. The grant application package is in a single compressed (zipped) file. After downloading this file, unzip the file on your computer to access the individual documents and forms. This package will include the 5310 Operating Application Overview, 5310 Operating Application, and a folder containing the application Master Documents outlined beginning on page 12. Applicants applying for multiple grants are only required to submit one set of Master Documents. The Unified Application Checklist will provide a list of additional documents required for this grant.

Enterprise Business Services Drop Box

The FY 2023 Section 5310 – Operating grant application must be transmitted through the online **NCDOT Grants Module, Enterprise Business Services (EBS), no later than 11:59 pm EST, Friday, October 8, 2021. An incomplete application will not be reviewed.** The documents identified in the Master Documents tab and the Section 5310 Operating tab on the Unified Application Checklist must be submitted as attachments in the **Drop Box** within EBS. Note that documents with original signatures must be scanned for electronic submittal (ensure that seal is visible for documents with seals) and some forms/other documents must be saved and attached in their original form (Microsoft Word/Excel), as indicated in the Unified Application Checklist.

All documents are to be uploaded in the “FY 2023 Application” tab in the Drop Box and must use the following naming convention: SystemName.FY.DocumentName; i.e., “CarolinaCo.FY23.TitleVIReport”. Regional Grants Specialists will review uploaded documents and attach them to the appropriate online budget forms which can be found in the EBS Search box under Programs at P2023*, then select the 5310 Operating budget to complete.

For convenience, Transit systems may attach one zipped file containing all the supporting documents for all the grants applied for in addition to the 5311 Admin grant

Application Timeline for FY 2023

DATES	TASK/EVENT
July 12, 2021	<ul style="list-style-type: none"> Grant Application Package Distributed
July 12 – October 8, 2021	<ul style="list-style-type: none"> Regional Grants Specialists Available to Assist Grantees with Questions
October 8, 2021	<ul style="list-style-type: none"> Grant Application Due to NCDOT
October – December 2021	<ul style="list-style-type: none"> Grant Application Review Process
January - March 2022	<ul style="list-style-type: none"> IMD makes funding recommendation to NCDOT BOT
April – June 2022	<ul style="list-style-type: none"> FTA grant review and award for federal funding
July 1, 2022	<ul style="list-style-type: none"> Effective date of one year grant agreement

General Guidance

Federal and State Compliance

Grantees that receive only Section 5310 assistance are not subject to FTA's Drug and Alcohol testing rules, but must comply with the Federal Motor Carrier Safety Administration (FMCSA) rule for employees who hold Commercial Driver's Licenses (49 CFR part 382). Section 5311 grantees that also receive funding under one of the covered FTA programs should include any employees funded under Section 5310 projects in their testing program. An FTA compliant testing program, as required by the receipt of FTA operating or capital funding (5307, 5309, 5311), can be used for Section 5310 employees; there is no need to have two testing programs. Employees of a grantee of Section 5310 funds from a designated recipient of another FTA program (such as 5307 or 5311) should also be included in the designated recipient's testing program.

There will be other contractual provisions the applicant must agree to. A first time grantee is subject to pre-award audits. Applicants who become grantees will also be required to compile reports for NCDOT so that we can prepare progress reports for the Federal Transit Administration. Grantees will provide these reports each time they enter a claim in the EBS Grants System. Quarterly reports are required regardless of financial activity.

Procurement and Third Party Contracting

Procurement and third party contracting activities are primarily the responsibility of the subrecipient. Subrecipients should follow established local procedures and applicable state or federal standards in accordance with the North Carolina Consolidated Procurement Code (as amended). The procurement and contract standards set forth under N.C. G. S. 143 Article 8 and FTA Circular 4220.1F shall apply to the procurement of all goods and services the subrecipient will purchase under the project contract.

For more information on procurement and third party contracting refer to the *Procurement and Third Party Contracting* document and *Circular 4220.1F, Third Party Contracting Guidance*.

Preparing to Apply

Master Application Documentation

The project must be derived from the unmet needs or gaps in service listed in the locally developed, Coordinated Public Transportation-Human Services Plan, having this plan at hand will help begin the project planning. The applicant will need to list the pages from the plan that include the strategies or activities used in the project and include an electronic copy of the plan with the application.

Applicants are strongly encouraged to review the federal Certifications and Assurances as you are preparing to begin the application. The Certifications and Assurances contain various federal requirements the applicant must comply with before and during the project. There will be additional contractual provisions to comply with if the project is funded.

The forms in the application package were prepared in Microsoft Excel or Word format. The applicant will enter information into table cells, click on check boxes and/or enter paragraphs of narrative. Some of the forms require a signature, a corporate seal and/or need to be notarized. These should be added to the form after it is completed in Excel or Word and printed. An unsigned document is considered incomplete.

The documents below represent the master set of documents that apply to all grant applications. Transit systems who have completed them for a 5311 or 5307 grant do not need to complete an additional set. Section 5310 Program Application Checklist **tab** on the Unified Application Checklist is a companion list to the master list of the documents you must include when you submit your 5310 application (an example of an additional document is a map of the service area). Some documents require a signature, seal, and/or to be notarized, make sure all requirements for the individual documents are complete. Use the checklists to help you plan your work from the beginning. An incomplete application will not be reviewed until all documents are complete.

	<i>DOCUMENTS</i>	COMMENTS
1	<i>Authorizing Resolution</i>	Each applicant will accurately complete and submit with its grant application a Governing Board Approved Transportation Program authorizing resolution. The Transportation Program Resolution is for Federal and State funded projects that provide general public transportation.
2	<i>Certifications and Assurances, Attorney's Affirmation, Lobbying Certification, Equivalent Service Certification, and 5333(b) Labor Warranty</i>	In accordance with 49 U.S.C. 5323(n), Certifications and Assurances have been compiled for the North Carolina Community Transportation Program. NCDOT requires sub- recipients to certify to all applicable categories. Certifications and Assurances documents are received from the FTA. All State and Federal certification documents will be distributed as a package upon receipt of federal documents.

3	<i>Title VI Certification</i>	<p>All Recipients of FTA and State funds must comply with Title VI of the 1964 Civil Rights Act, Section 601. Title VI states 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.”</p> <ul style="list-style-type: none"> ▪ Additional federal information may be found in FTA Circular 4702.1B “Title VI Requirements and Guidelines for Federal Transit Administration Recipients,” dated October 1, 2012 at: http://www.fta.dot.gov/documents/FTA_Title_VI_FINAL.pdf
4	<i>Disadvantaged Business Enterprise (DBE) Certification</i>	<p>All recipients and sub-recipients of grant funds from the FTA and/or the State of North Carolina must participate in the DBE Program/Minority Business Enterprises (MBE) Program. DBE Program information may be found at https://www.ebs.nc.gov/VendorDirectory/default.html. All required actions are marked with an * and must be done or explained why not completed. Verification must be kept on file for 5 years post-close of the grant.</p>
5	<i>DBE/MBE/WBE/HUB Anticip. Vendor Award</i>	<p>Expected DBE/MBE/WBE/ and HUB to be used in FY2023.</p>
6	<i>Public Hearing Notice</i>	<p>As part of the 5310 application, a public hearing must be held in front of the applicant’s governing body. The public hearing may cover multiple grant requests to include 5311, Appalachian Program, 5310 Enhanced Mobility for Seniors and Individuals with Disabilities, 5307 and ROAP. The applicant must publish one public notice in a newspaper(s) having general circulation in the project’s proposed service area. It is recommended that the Public Hearing Notice provide a minimum of seven (7) calendar days’ notice and a maximum of fourteen (14) calendar days’ notice between the time that the Public Hearing Notice is published in the newspaper and the actual public hearing date. In accordance with the DOT LEP Guidance, 70 FR 74087, (December 14, 2005), a public notice will also be published in <u>Spanish</u> in counties that have 1,000 or 5% of their population that speaks Spanish at home, but speaks English less than well. Applicants in the counties listed in Appendix B <u>MUST</u> publish a public hearing notice in English and Spanish. A Spanish version of the public notice is in the application package. Applicants should ensure the accuracy of the translation.</p>

7	<i>Public Hearing / Public Hearing Record / Public Hearing Minutes</i>	<p>The applicant must hold a public hearing on the proposed project(s) to allow members of the community the opportunity to comment on transportation needs and the grant application. Each grant request (i.e., 5311, Appalachian, 5310, or ROAP) must be addressed individually with the hearing formally opened and closed, and reflected in the minutes. During the hearing, the public should explicitly be asked if they wish to comment on the proposed funding. The public hearing will be held before the governing board.</p> <ul style="list-style-type: none"> ▪ County Commissioners - county applicants ▪ Board of Directors - non-profit applicants ▪ Authority Board of Directors or Executive Board - public transportation authorities ▪ City/Town Council - municipalities <p>The Clerk/Secretary to the Board must complete, sign and certify the Public Hearing Record form. Either indicate that NO public comments were made <u>or</u> public comments were made and enter the estimated date for board approval of meeting minutes. A copy of the board approved minutes must be submitted to support the Transportation Program Resolution and if there were any public comments made.</p>
8	<i>Public Hearing Outreach</i>	<p>Outreach efforts beyond holding a public hearing must be conducted to inform the public including minorities, women, elderly, disabled, LEP, low income individuals, and persons who are not human service agency clients, about the availability of 5310 funds and to discuss transportation service needs. These efforts should include, but are not limited to surveys, presentations to groups, committees, fliers and/or posters. The intent is to remove barriers and conditions that prevent these groups from receiving access, participation, and benefits of the 5310 funded services.</p> <p>Services and benefits must be distributed in a non-discriminatory manner. Title VI of the Civil Rights Act of 1964 applies. This form should include a <u>DETAILED DESCRIPTION</u> of public hearing outreach efforts by the applicant to inform the public <u>(INCLUDING MINORITY, WOMEN, ELDERLY, DISABLED, LIMITED ENGLISH PROFICIENCY (LEP), AND LOW INCOME INDIVIDUALS)</u> about the public hearing to comment on the 5310 Operating application.</p>
9	<i>Local Share Certification for Funding</i>	<p>The Legal Applicant must certify to the North Carolina Department of Transportation that the required local funds for the FY2023 Section 5310 program will <u>be</u> available as of July 1, 2022 for FY2023, which has a period of performance of July 1, 2022 – June 30, 2023</p>
10	<i>Surface Transportation Providers</i>	<p>List of all private transportation providers.</p>

11	<i>Transportation Advisory Board Composition or Governing Board</i>	Each applicant is <u>REQUIRED</u> to have a Transportation Advisory Board (TAB) or a Governing Board. A TAB/Governing Board is made up of stakeholders from the service area that care about the services provided by the transit system. The make-up of the TAB/Governing Board is representative of the various target audiences in the service area and includes one or more actual passengers of the transit system. An “ <u>ACTIVELY ENGAGED</u> ” Transportation Advisory Board/Governing Board is expected to discuss unmet needs in the service area, service design and scheduling, billing rates and fares, and to resolve complaints. They also monitor compliance with federal regulations and the status of any deficiencies noted in any official federal, state, or local review or report.
12	<i>Equal Employment Opportunity (EEO)</i>	Threshold Requirements: Any applicant, recipient, or sub-recipient is required to comply with program requirements in Chapter III if it meets the following thresholds: <ul style="list-style-type: none"> a. Employees 100 or more transit-related employees*; and b. Requests or receives capital or operating assistance under Sections 3, 4(i), or 9 of the FTA; assistance under 23 U.S.C. 142(a)(2) or 23 U.S.C. 103(e)(4), or any combination thereof, in excess of \$1 million in the previous Federal fiscal year; or c. Request and receives planning assistance under Sections 8 and/or 9 in excess of \$250,000 in the previous Federal fiscal year. d. Employers with 50-99 employees must have a plan and keep it on site and available if requested.
13	<i>Conflict of Interest Form(s)</i>	All TAB and/or Governing Board members must sign an <u>annual</u> Conflict of Interest form. Signed forms must be scanned and uploaded.
14	<i>DUNS Verification Form</i>	All applicants must verify that their DUNS number has been verified and is active. A copy of the verification is a document to be uploaded into EBS. Refer to application package for instructions and sample.
15	<i>Unified Application Checklist</i>	Attach completed checklist showing all other required documents that are to be uploaded into EBS

Metropolitan Transportation Improvement Plans (MTIP)

The FTA requires that projects receiving funds under Sections 5310 – Enhanced Mobility of Seniors and Individuals with Disabilities Program address the unmet transportation needs or gaps in service as described in the locally developed, Coordinated Public Transportation- Human Service Plan. If the proposed service is within an urbanized area, the project must be listed in the MTIP if it is funded. Grantees preparing to operate a 5310 funded service in a small urbanized area should notify the MPO staff immediately that they have applied for funding from these programs. This will allow the MPO staff and committee to begin the process of amending the MTIP and requesting an amendment of the STIP before the project is presented to FTA.

Section 5310 Program Application

The Section 5310 Program application includes the following three parts:

- Part I – Applicant Information. This part includes business and location information about the applicant. The applicant will need to provide a DUNS number in this part of the application. The DUNS number is a unique nine-digit number issued by Dun & Bradstreet and required for all applicants. A DUNS number may be obtained free of charge at <http://fedgov.dnb.com/webform>.
- Part II – Project Information. In this part, the applicant identifies which of the funding programs they are applying for, how much support the applicant is applying for, and information about the scope of the proposed project.
- Part III – Project Description. This part includes questions that ask the applicant to defend the need for the project, to describe planning and implementation details, and to demonstrate organizational preparedness and fit. NCDOT will be deciding whether the applicant's project is worthy of funding based on the answers to the questions. The details are important and applicants should provide much more than brief answers to these questions.

Missed Deadline and Incomplete Applications

An incomplete application will result in the application being returned for correction. Only complete applications will be reviewed. Applicants are strongly encouraged to refer to the Application Checklist to assure the completeness of the application. If you have questions, there is a list of Regional Grant Specialists that can provide more information and assistance. Applications are due on or before **October 8, 2021**. **Do not mail applications to NCDOT.**

Appendix A – Definitions

Definitions

Accessible Taxi – An accessible taxi is a vehicle that is used by a private provider of on-demand transportation service to the public that is regulated and licensed for such use by the municipality, county, or other government entity. An accessible taxi is one which has the capacity to accommodate a passenger who uses a wheelchair as defined in DOT Final Rule.

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

Applicant- An eligible entity that has submitted an application for funding, but which has not yet been awarded a grant for the funding cycle.

Competitive Selection Process - A process to rank and choose which projects will be funded. The projects selected must be derived from a locally developed, Coordinated Public Transit-Human Services Transportation Plan.

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

- A. A physical or mental impairment that substantially limits one or more major life activities of such individual;
- B. A record of such an impairment; or
- C. Being regarded as having such an impairment.

Federal Transit Administration – The agency under the U.S. Department of Transportation that provides financial assistance to develop new transit systems and improve, maintain, and operate existing systems.

Grantee – Also referred to as a sub-recipient, a grantee is an eligible entity that has applied for funds, has been awarded funds, and has executed a contract with the designated recipient of FTA funds.

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

Lead Planning Agency - The agency selected at the local level to lead the planning process for development of the coordinated public transit-human services transportation plan.

Locally Developed, Coordinated Public Transit-Human Services Transportation Plan - Means a plan that identifies the transportation needs of individuals with disabilities, older adults and people with low incomes and provides strategies for meeting those local needs and prioritizes transportation services for funding and implementation.

Mass Transportation or Mass Transit – Synonymous with public transportation.

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

Non-profit Organization - Means a corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501(c) which is exempt from taxation under 26 U.S.C. 501(a) or one which has been determined under state law to be non-profit and for which the designated state agency has received documentation certifying the status of the non-profit organization.

Other Section 5310 Projects – Other Section 5310 projects are those Public transportation projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities; including Public transportation projects that exceed the requirements of the Americans with Disabilities Act (ADA) of 1990 (42 U.S.C. 12101 et seq.); Public transportation projects that improve access to fixed route service and decrease reliance on complementary paratransit; and Alternatives to public transportation projects that assist seniors and individuals with disabilities with transportation.

Paratransit – Type of passenger transportation which is more flexible than conventional fixed-route transit but more structured than the use of private automobiles. Most often refers to wheelchair-accessible, demand response service.

Preventive Maintenance – All maintenance costs related to vehicles and non-vehicles. Specifically, it is defined as all the activities, supplies, materials, labor, services and associated costs required to preserve or extend the functionality and serviceability of the asset in a cost effective manner, up to and including the current state of the art for maintaining such an asset.

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

Purchase of Services or Purchased Transportation - Transportation services provided to an entity from a public or private transportation provider based on a written contract. The provider is obligated in advance to provide a transportation service for the entity using its own employees in vehicles operated by the provider. Purchased transportation does not include

franchising, licensing operations, management services, cooperate agreements, or private conventional bus service.

Recipient - Means a state agency designated by the governor to receive funds apportioned by formula to the states under Federal Section 5310, 5316, or 5317. NCDOT is the designated agency in North Carolina for the Section 5310 Program in rural areas and small urban areas.

Rural Area – The term ‘rural area’ means an area encompassing a population of fewer than 50,000 people that has not been designated in the most recent decennial census as an “urbanized area” by the Secretary of Commerce.

Senior – The term ‘senior’ means an individual who is 65 years old or older.

Small urbanized areas - As used in the context of FTA formula grant programs are urbanized areas (UZA) with a population of at least 50,000 but less than 200,000 as determined by the Bureau of Census. The small urbanized areas in North Carolina include the areas of Burlington-Graham, Gastonia, Goldsboro, Greenville, High Point, Jacksonville, New Bern and Rocky Mount.

Subrecipient - Refers to a state or local governmental agency, non-profit organization or operator of public transportation services, including private operators of public transportation services that receives a grant under Federal Section 5310, 5316, or 5317 indirectly through a recipient.

Urbanized Area - Means an area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an “urbanized area” by the Secretary of Commerce. **Small urbanized areas** as used in the context of FTA formula grant programs are urbanized areas with a population of at least 50,000 but less than 200,000.

Appendix B

Public Hearing Notice in Spanish Required

County population includes at least 1000 persons
who speak Spanish at home and English "less than well."

Alamance County, North Carolina
Alleghany County, North Carolina
Bladen County, North Carolina
Brunswick County, North Carolina
Buncombe County, North Carolina
Burke County, North Carolina
Cabarrus County, North Carolina
Catawba County, North Carolina
Chatham County, North Carolina
Cleveland County, North Carolina
Columbus County, North Carolina
Craven County, North Carolina
Cumberland County, North Carolina
Davidson County, North Carolina
Davie County, North Carolina
Duplin County, North Carolina
Durham County, North Carolina
Forsyth County, North Carolina
Franklin County, North Carolina
Gaston County, North Carolina
Granville County, North Carolina
Greene County, North Carolina
Guilford County, North Carolina
Harnett County, North Carolina
Henderson County, North Carolina
Hoke County, North Carolina
Iredell County, North Carolina

Johnston County, North Carolina
Lee County, North Carolina
Lenoir County, North Carolina
Lincoln County, North Carolina
Mecklenburg County, North Carolina
Montgomery County, North Carolina
Moore County, North Carolina
Nash County, North Carolina
New Hanover County, North Carolina
Onslow County, North Carolina
Orange County, North Carolina
Pender County, North Carolina
Pitt County, North Carolina
Randolph County, North Carolina
Robeson County, North Carolina
Rockingham County, North Carolina
Rowan County, North Carolina
Sampson County, North Carolina
Stanly County, North Carolina
Surry County, North Carolina
Union County, North Carolina
Vance County, North Carolina
Wake County, North Carolina
Wayne County, North Carolina
Wilkes County, North Carolina
Wilson County, North Carolina
Yadkin County, North Carolina

Appendix C

Overview of Counties with Large Urban Areas

Buncombe County, North Carolina

Cabarrus County, North Carolina

Cumberland County, North Carolina

Davidson County, North Carolina

Durham County, North Carolina

Forsyth County, North Carolina

Guilford County, North Carolina

Henderson County, North Carolina

Haywood County, North Carolina

Hoke County, North Carolina

Iredell County, North Carolina

Mecklenburg County, North Carolina

New Hanover County, North Carolina

Orange County, North Carolina

Rowan County, North Carolina

Wake County, North Carolina

Union County, North Carolina

*Alexander County, North Carolina (WPRTA)

*Burke County, North Carolina (WPRTA)

*Caldwell County, North Carolina (WPRTA)

*Catawba County, North Carolina (WPRTA)

**WPRTA – WESTERN PIEDMONT REGIONAL TRANSIT AUTHORITY*

Updated August 31, 2015