

Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program

**Subrecipient Training
January 9, 2020**

City of Phoenix

PUBLIC TRANSIT DEPARTMENT



Overview

- Today's Agenda
 - Program Overview (10 Min)
 - Reimbursements & Reporting (15 Min)
 - Milestone Progress Reports (15 Min)
 - Civil Rights & Title VI (30 Min)
 - Federal Compliance (30 Min)
 - BREAK
 - Vehicle Requirements (30 Min)
 - Questions & Resources (20 Min)
 - Breakout groups (30 Min)



5310 Technical Assistance

Breakout Tables

- Representatives from Maintenance, Grants, Compliance and Civil Rights

FAQ Comment Cards

- Please complete and submit

Survey Monkey



Program Overview

- In FY 2019, Phoenix/Mesa UZA awarded \$3,297,280
 - Capital (vehicles/equipment) purchases
 - Preventive Maintenance
 - Operating Assistance
 - Mobility Management Programs
- Today's Goal is to assist and educate sub-recipient agencies on FTA and Section 5310 grant management requirements



Grant Reimbursements

Stephanie Rangel, Budget Analyst II

Qualifying expenditures are reimbursed to the subrecipient by the FTA through the City of Phoenix, when submitted with appropriate accompanying documentation



Eligibility for Reimbursement

- Current Grant Agreement on file, valid for 24-month term from FTA Grant Award Date
- Allowable budget line items are specific to the items approved for each agency
- Reimbursements requests will be for Operating Assistance, Preventive Maintenance and Mobility Management



Operating Assistance

Items must *directly* support the transportation or mobility management program

- Volunteer Driver Program
- Background Checks & Fingerprint Cards
- Voucher/Mileage Reimbursement Programs
- Federal match 50%, Local match 50%



Preventive Maintenance

Costs required to preserve or extend the functionality and serviceability of the FTA funded assets

- Expenses for tires, wheelchair ramp repairs, oil changes, mechanical services
- Submit a detailed vendor invoice with vehicle information, supplies, materials, labor, services and associated costs
- Federal match 80%, Local match 20%



Mobility Management

- Expenses for planning coordination of service
- Technology dispatch/call center systems
- Travel Training events
- Time-sheets, sign-in sheets and meeting agendas should be submitted with each request
- Federal match 80%, Local match 20%



Reimbursement Forms

At a minimum, grant reimbursement requests should include the following forms (provided with finalized Grant Agreement):

- FTA Grant Expenditure Reimbursement Request form with subrecipient authorization signatures

FTA Grant Expenditure Reimbursement Request Application			
<small>The information provided will be used by the City of Phoenix Public Transit Department (PTD) to monitor sub-recipient expenditures for FTA-funded projects and disburse FTA funds for eligible costs. No further FTA funds may be disbursed unless this report is completed and submitted as required.</small>			
SUB-RECIPIENT ORGANIZATION NAME AND ADDRESS Maricopa Association of Governments 302 N. 1st Ave., Suite 300 Phoenix, AZ 85003 Attn: Accounts Receivable	GRANT AGREEMENT NUMBER	REQUEST NO.	
	146902--0		3
	REPORTING PERIOD (Dates)		
	FROM: 07/01/2018	TO: 09/30/2018	
	TOTAL	LOCAL MATCH	FTA SHARE
TOTAL ELIGIBLE PROJECT COSTS	\$ 215,000.00	\$ -	\$ 215,000.00
TOTAL PREVIOUS PAYMENTS	\$ 84,712.00	\$ -	\$ 84,712.00
CURRENT REIMBURSEMENT REQUESTED	\$ 40,247.00	\$ -	\$ 40,247.00
REMAINING FUNDING	\$ 90,041.00	\$ -	\$ 90,041.00
REQUIRED SIGNATURES			
<small>This document must be signed by the sub-recipient's Transit Manager and Chief Financial Officer or their designated representative(s).</small>			
CERTIFICATION			
<small>We certify the financial expenditures submitted for reimbursement with this report, including supporting documentation, are eligible and allowable expenditures, have been incurred compliant with all applicable Federal laws and regulations, have not been previously requested, and all matching requirements have been met. In addition, we understand that any discovery of a violation of a Federal law or regulation, or failure to follow any applicable Federal directives may result in withdrawal of federal participation.</small>			
SIGNATURE OF TRANSIT MANAGER OR DESIGNEE	DATE		
	10/29/18		
TYPED OR PRINTED NAME AND TITLE	TEL. NUMBER		



Reimbursement Forms

Vendor Invoice form that ensures expenses are in-line with the approved budget items

INVOICE

AZ-2016-017-00 Transaction Number 3

To: City of Phoenix, Public Transit Dept.
302 N. 1ST Ave. , Suite 900
Phoenix, Az 85003
Attn: Accounts Payable
SAP Code: 48462/PT67140001-1

From: Maricopa Association of Governments
302 N. 1st Ave., Suite 300
Phoenix, AZ 85003
Attn: Accounts Receivable

Invoice Number: 3

Invoice Date: 9/30/2018

RE: Request for reimbursement of FTA share of qualified grant expenditures.

Qty Ord	FTA Apportionment				Local Match			
	Award	Total Requests To Date	Prior Report Total Requests	Current Request	Required Total	Total Reported To Date	Prior Report Total Reported	Current Reporting
Section 5310 Enhanced Mobility (100/0)								
	<u>11.79.00 Program Support Administration</u>							
	215,000	124,959	84,712	40,247	0	0	0	0
Totals:	215,000	124,959	84,712	40,247	0	0	0	0



Reimbursement Forms

- Lead sheet with summary of expenses
- Financial Reports that disclose and ensures all allowable expenses were used for authorized purposes only
- Documentation of In-kind and local match expenditures
- Accounting records with Source Documentation, such as cancelled checks, paid bills, and timesheets



Reimbursement Forms

- All reimbursements are based on actual disbursements (i.e., payments already made), not on obligations.
- May be requested on a quarterly basis
- Average processing time 15-30 days
- Submit via email to Stephanie Rangel @ stephanie.rangel@phoenix.gov



QUESTIONS?

Stephanie Rangel

Budget Analyst II

City of Phoenix Public Transit

Stephanie.Rangel@phoenix.gov

602-262-4506



Reporting Requirements

All subrecipients will be required to submit ***annual*** progress reports including ridership, program milestones, fleet condition, and program measures to the City of Phoenix

Specific reporting requirements will be outlined in the Grant Pass Through Agreement



Milestone Progress Reports

Distributed in September of each year

MPR include:

- Grant Summary of Funding
- Vehicle Inventory – Mileage & Condition
- Performance Measures
- Ridership Data
- Accident Reporting – Details on vehicles taken out of service



Milestone Progress Reports

FY 2020	
Phoenix-Mesa Urbanized Area	
Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities	
Subrecipient Annual Milestone Report	
Applicant Name:	SAMPLE
Reporting Period:	10/1/2019 to 9/30/2020

SECTION 1 - GRANT SUMMARY						
This section provides a history of your agency's awarded grants, grant agreements project description and current grant status.						
Grant Number	Agreement Number	Expiration Date	Project Description	Federal Award	Local Match	Grant Status
xxx	xxx	xxx	(2) Cutaways & (1) Minivan RAMP	\$ 158,100	\$ 27,900	Awarded
xxx	xxx	xxx	(1) Cutaway *Transfer from UCP 12/2018	\$ 48,582	\$ 8,573	Completed

SECTION 2 - VEHICLE INVENTORY								
In this section, please report only for Section 5310 grant funded vehicles in which the City of Phoenix is the lienholder. Provide the current odometer reading, the estimated year to replace the vehicle and the overall condition of the vehicle based on the table below.								
Grant Number	Vehicle Make	Vehicle Year	VIN	License Plate	Odometer Reading	Est. Replacement Year	Cond Code	
AZ-2019-003	Minivan with Ramp	2019	xxx	*Not delivered				
AZ-2019-003	Cutaway	2019	xxx	*Not delivered				
AZ-2019-003	Cutaway	2019	xxx	*Not delivered				
AZ-16-X002	Starcraft Starlite	2014	xxx	WCHRT81				

VEHICLE CONDITION DEFINITIONS (Cond. Code)	
Excellent	Brand new or less than one year old, no major problems exists, or only routine preventative maintenance is required.
Good	Elements are in good working order, requiring only nominal or infrequent minor repairs.
Adequate	Requires frequent minor repairs or infrequent major repairs. Elements are in adequate working order and the asset's usage can continue.
Poor	Requires frequent major repairs, elements are in poor working order, and/or future usage requires significant investment, which may not be cost-effective.
Failure	In sufficiently poor condition that continued use is impossible or non-cost-effective.



Milestone Progress Reports

Accident Reporting: For the Phoenix-grant funded vehicles listed above, please indicate if an accident occurred during the reporting period. Provide as much detail as possible, including the accident report (date, location, injuries) and vehicle information (VIN, make, damages). If no accidents occurred, write not applicable (N/A).

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SECTION 3 - PERFORMANCE MEASURES

In this section, please provide both quantitative and qualitative details that support your agency's performance within the reporting period, per the Program Measures listed in the Section 5310 Program Guidelines.

Ridership & Gaps in Service filled: Provide an update for your project. What was accomplished in your 5310 program in this past year? If projects are behind you must include reasons why any scheduled milestones or completion dates were not met, identifying problem areas and discussing how the problems will be solved. Discuss the expected impacts of delays and the steps planned to minimize these impacts.

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Provide the number of unduplicated people served in your 5310 program (annual)

Provide the number of boardings* (one-way trips) provided with your 5310 program vehicles or volunteer drivers (annual)

*Each time your participant boards the vehicle counts as a boarding. If you are taking six people to the grocery store and back, that equals twelve boardings. If you are taking two people to the doctor, then to grocery, and then home, that equals six boardings. If you are taking one person to the post office and back, that equals two boardings.



Milestone Progress Reports

SECTION 4 - SUBRECIPIENT REQUIRED REPORTS & DOCUMENTATION

The following documents/reports must be submitted as part of your Annual Subrecipient Milestone Report

	Submitted	Type	Due Date:	Date Submitted:
Yes or No		Completed Milestone Progress Report	10/15/2019	
Yes or No		Vehicle Maintenance & Annual Inspection	10/15/2019	
Yes or No		Vehicle Maintenance Plan	10/15/2019	
	Not due yet	Updated Vehicle Insurance	3/1/2020	Not due yet
Yes or No		Sam.gov Registration	9/25/2019	
Yes or No		Title VI- Annual submissions (investigations, laws	10/15/2019	
	Not due yet	Civil Rights: Title VI, DBE, ADA and EEO Plan	11/27/2021	Not due yet
Yes or No		Single Audit	10/15/2019	
	NA	Change Orders over \$100K	NA	NA
Yes or No		Claims Settled or over \$100K	10/15/2019	
	Not due yet	Match Funds Check	TBD	Not due yet
	NA	Quarterly Reimbursement Requests	NA	NA
<p>Name and Title of the Agency's Representative completing report: <input type="text"/></p>				
<p>Email: <input type="text"/></p>				



Milestone Progress Reports

INSTRUCTIONS: Fill in all areas that are yellowtan.

Report to be completed and sent by due date via e-mail to wendy.miller@phoenix.gov.

Reports are due by October 15.

Section 1: Grant Summary- This section is filled out for you by the City of Phoenix. Please review to make sure the information is correct. Any changes should be reported to Wendy Miller.

Section 2: Vehicle Inventory- In this section, please report only for Section 5310 grant funded vehicles in which the City of Phoenix is the lienholder. Provide the current odometer reading, the estimated year to replace the vehicle and the overall condition of the vehicle based on the table provided.

Section 2: Vehicle Inventory- Accident Reporting: For the Phoenix-grant funded vehicles listed above, please indicate if an accident occurred during the reporting period. Provide as much detail as possible, including the accident report (date, location, injuries) and vehicle information (VIN, make, damages). If none, write NA.

Section 3: Performance Measures - Ridership & Gaps in Service filled: Provide an update for your project. What was accomplished in your 5310 program in this past year? please provide both quantitative and qualitative details that support your agency's performance within the reporting period, per the Program Measures listed in the Section 5310 Program Guidelines. Include reasons why any scheduled milestones or completion dates were not met, identifying problem areas and discussing how the problems will be solved. Discuss the expected impacts of delays and the steps planned to minimize these impacts.

Section 3: Performance Measures - People Served: Provide the number of unduplicated people served in your 5310 program (annual). *Unduplicated- Count the number of people in your programs only once.

Section 3: Performance Measures - Boardings: Provide the number of boardings (one-way trips) provided with your 5310 program vehicles or volunteer drivers (annual). **Each time your participant boards the vehicle counts as a boarding. If you are taking six people to the grocery store and back, that equals twelve boardings. If you are taking two people to the doctor, then to grocery, and then home, that equals six boardings. If you are taking one person to the post office and back, that equals two boardings.

Section 4: Subrecipient Reports & Documentation- this section is used to indicate documentation that is required to be submitted to the City of Phoenix. Please provide any requested or delinquent documents via email along with the Milestone Progress report.

- a. Completed Milestone Progress Report (this form).
- b. Vehicle Maintenance & Annual Inspection- provide a copy of the annual maintenance plan (must be updated every 3 years minimum), annual inspection report completed by certified mechanic, and copies of all receipts and documentation for vehicle preventive maintenance and repairs on all 5310 funded vehicles issued by City of Phoenix.
- c. Updated vehicle insurance - Provide current copy of certificate of insurance (Acord form) for your agency, listing all vehicle identification numbers (VIN), showing coverage limits and Phoenix listed as loss payee/additional insured.
- d. Sam.gov registration with active status- Subrecipients must initially register with Sam.gov and maintain an active status at all times.
- e. Civil Rights: Title VI, DBE, ADA and EEO Plan - Subrecipients must work with City of Phoenix Title VI Coordinator to have an approved plan on file and submit annual reports and data as requested/required.
- f. Single audit- Subrecipients receiving \$750,000 or more in federal funding are required to conduct a single audit annually and provide a copy to the City of Phoenix.
- g. Include a list of all change orders and amounts exceeding \$100,000, pending or settled, during the reporting period. This list should be accompanied by a brief description.
- h. Provide a list of all outstanding claims exceeding \$100,000, and all claims settled during the reporting period. This list should be accompanied by a brief description, estimated costs, and the reasons for the claims.
- i. Match Funds Check- Subrecipient must provide a check for matching funds on time as requested.
- j. Quarterly Reimbursements- Subrecipient must provide a timely reimbursement request for operating assistance or mobility management projects a minimum of quarterly.



Milestone Progress Reports

MPR also includes a checklist of all required reports and documentation

- Completed Vehicle Reports
- Updated Vehicle Insurance
- Sam.gov Registration
- Title VI Status
- Single Audit (if applicable)
- Change Orders
- Legal Claims filed & settled against the Subrecipient



QUESTIONS?

Wendy Miller

Section 5310 Program Manager

City of Phoenix Public Transit

Wendy.Miller@phoenix.gov

602-262-4077