DRAFT NEW FREEDOM FUNDING APPLICATION 2012

Introduction

The Safe, Accountable, Flexible, Efficient Transportation Equity Act (SAFETEA-LU) of 2005 created a funding program, called New Freedom, to encourage services and facility improvements to address the transportation needs of persons with disabilities that go beyond those required by the Americans with Disabilities Act.

The features of the New Freedom Program are:

- Funds are allocated through a formula based upon population of persons with disabilities.
- Allocations go to designated recipients in areas over 200,000, to States for areas under 200,000 and non-urbanized areas; States may transfer funds to urbanized or non-urbanized area programs as long as funds are used for New Freedom Program purposes.
- States and designated recipients must select grantees competitively.
- Matching share requirements are flexible to encourage coordination with other federal programs that may provide transportation, such as Health and Human Services or Agriculture.
- Projects must be included in or consistent with the locally-developed human service transportation coordinated plan
- 10 percent of funds may be used for planning, administration and technical assistance.

The New Freedom Program is intended to fill the gaps between human service and available public transportation services and to facilitate the integration of individuals with disabilities into the workforce and full participation in the community. The New Freedom formula grant program seeks to reduce barriers to transportation services and expand the transportation mobility options available to people with disabilities beyond the requirements of the ADA of 1990.

The designated recipient of New Freedom funds in urbanized areas over 200,000 in population has the principal authority and responsibility for administering the New Freedom Program. In the Capital District, the "designated recipient" is the Capital District Transportation Authority (CDTA). In cooperation with the Metropolitan Planning Organization (MPO), which is the Capital District Transportation Committee (CDTC), the designated recipient (CDTA) is responsible for conducting the competitive selection process and awarding grants to subrecipients.

CDTA's and CDTC's responsibilities include:

a. notifying eligible local entities of funding availability;

b. developing project selection criteria;

c. determining applicant eligibility;

d. conducting the competitive selection process

e. forwarding an annual program of projects (POP) and grant application to FTA;

f. ensuring that all subrecipients comply with Federal requirements;

g. documenting the designated recipient's procedures in a State Management Plan or a Program Management Plan as appropriate;

h. certifying that allocations of grants to subrecipients are distributed on a fair and equitable basis; and

i. certifying that all projects are derived from a locally developed, coordinated public transit-human services transportation plan developed through a process that consists of representatives of public, private, and non-profit transportation and human services providers with participation by the public.

The Capital District Transportation Committee (CDTC) is the Metropolitan Planning Organization (MPO) for Albany, Rensselaer, Saratoga and Schenectady Counties. CDTC, with the aid of the Regional Transportation Coordination Committee, developed the *Coordinated Public Transit-Human Services Transportation Plan (CPTHTS) for the Capital District*. This plan outlines a vision for improving mobility options for the disabled, aging, and low-income population subgroups living in the region, based on identified needs, gaps and barriers. Selection criteria for this solicitation were developed from the Coordinated Plan and will be used to prioritize project submissions. Those projects that directly address the identified needs, gaps, and barriers in the plan and serve people with disabilities will receive the highest priority for funding. The coordinated plan can be viewed or downloaded from CDTC's website at (http://www.cdtcmpo.org/rtp2035/transit.pdf).

Up to $217,000 in New Freedom funds is to be available for programming under this solicitation. There is about $23,000 in New Freedom funds for use in the Saratoga Springs urbanized area (see Table below). Projects in Saratoga Springs must also be consistent with the recommendations identified in the *Coordinated Public Transit-Human Services Transportation Plan for the Capital District.* This solicitation is for both the Albany-Schenectady-Troy and Saratoga Springs areas (the Saratoga Springs Urban Area is part of planning area covered by CDTC, the Metropolitan Planning Organization for the Capital District).

Proposed projects under the New Freedom solicitation, therefore, can be for the entire region, using all funds available, or can be tailored to each of the two urbanized areas, as long as the projects are consistent with the locally developed coordinated plan. There is no cap per project submission (beyond the total amount available for the program); however, the evaluation committee reserves the right to approve components of project submissions to ensure that all of the projects funded are the best mix (in terms of meeting goals and objectives of the program) and to ensure cost effectiveness.

CAPITAL DISTRICT NEW FREEDOM FFY 2012 *Estimated* FUNDS AVAILABLE

Federal funds only	**FFY12**	**Total**
Albany-Schenectady-Troy	$194,000	$194,000
Saratoga	$23,000	$23,000
Total	**$217,000**	**$217,000**
Program Amount if all Capital projects (80/20)		
	FFY12	**Total**
Albany-Schenectady-Troy	$242,500	$242,500
Saratoga	$28,750	$28,750
Total	**$271,250**	**$271,250**
Program Amount if all Operating projects (50/50)		
	FFY12	**Total**
Albany-Schenectady-Troy	$388,000	$388,000
Saratoga	$46,000	$46,000
Total	**$434,000**	**$434,000**

DEADLINES FOR APPLICATION SUBMISSION

Applications for New Freedom funding must be submitted to the address below no later than **5:00 PM Eastern Standard Time on April 19, 2013**. Applications received after that date and time will not be considered.

Six paper applications (original and five copies) must be submitted to the CDTC by April 19, 2013 by 5:00PM. **If your project is approved, CDTC will require a copy of the application in electronic format**. CDTC and a sub-committee of the RTCC will review, score and rank the applications. Following approval by CDTC's Planning Committee the selected projects will be sent to the CDTA to include in a grant application to the FTA for funding. Applications should be mailed or delivered to:

Ms. Anne Benware
CDTC
1 Park Place Main Floor
Albany, NY 12205

The information in this application is a public record. Applicants should not include information that may be regarded as confidential. The applicant will comply with the necessary FTA Certifications and Assurances if awarded for funding.

Disadvantaged, minority and women-owned business enterprises will be afforded full opportunity to submit proposals and there will be no discrimination on the basis of race, creed, color, sex, national origin, disability or marital status in the award of the contract or any subcontract.

If selected for funding, the applicant will be required to submit appropriate background Certifications and Assurances, and other documentation necessary to meet the requirements of the FTA's Urbanized Area Formula Grant Program (Section 5307 program under Title 1, United States Code). Additional FFY 2012 FTA Certifications and Assurances information can be found at:
http://www.fta.dot.gov/documents/2012_Certs_Appendix_A.pdf

Reporting requirements under New Freedom can be found at
http://www.fta.dot.gov/documents/FTA_C_9045.1_New_Freedom.pdf.

Additional information and guidance on the New Freedom program can be found at:
http://www.fta.dot.gov/grants/13093_3549.html

PROJECT APPLICATION PROCEDURE

Projects selected for funding under this solicitation must benefit persons with disabilities living in the Capital District (Albany, Rensselaer, Schenectady counties and Saratoga County excluding the village of South Glens Falls and the Town of Moreau). If selected for funding, the applicant will be required to submit appropriate background Certifications and Assurances, and other documentation necessary to meet the requirements of the FTA's Urbanized Area Formula Grant Program (Section 5307 program under Title 1, United States Code). Additional FFY 2012 FTA Certifications and Assurances information can be found at: http://www.fta.dot.gov/documents/2012_Certs_Appendix_A.pdf

Eligible Applicants:

New Freedom is a formula grant program. Applicants may include private non-profit organizations, state or local governmental authorities or operators of public transportation services including private operators of public transportation services. The Capital District Transportation Authority (CDTA) is the designated recipient[1] for New Freedom in the Capital District and is an eligible applicant for these funds. *Applicants other than the "designated recipient" for New Freedom must enter to an agreement with the designated recipient for funds as a sub-recipient[2] and must follow all federal reporting and administrative guidelines (see FTA Circular C9045.1).*
http://www.fta.dot.gov/documents/FTA_C_9045.1_New_Freedom.pdf

Eligible Use of Program Funds:

New Freedom Program funds are available for capital and operating expenses that support new public transportation services beyond those required by the Americans with Disabilities Act of 1990 (ADA) and new public transportation alternatives designed to assist individuals with disabilities with accessing transportation services, including transportation to and from jobs and employment support services. For the purpose of the New Freedom Program, "new" service is any service or activity that was not operational on August 10, 2005, and did not have an identified funding source as of August 10, 2005, as evidenced by inclusion in the Transportation Improvement Plan (TIP) or the STIP.

Eligible projects funded with New Freedom funds may continue to be eligible for New Freedom funding indefinitely as long as the project(s) continue to be part of the coordinated plan.

Both** new **public transportation services and new public transportation alternatives must (1) be targeted toward individuals with disabilities; and (2) meet the intent of the program by removing barriers to transportation and assisting persons with disabilities with transportation, including transportation to and from jobs and employment services. FTA will interpret eligibility of transit with regard to the requirement of "beyond the minimum requirements of the ADA".

[1] In large urbanized areas over 200,000 in population, the designated recipient is an entity designated, in accordance with the planning process under 49 U.S.C. 5303, 5304, and 5306, by the chief executive officer of a State, responsible local officials, and publicly owned operators of public transportation, to receive and apportion amounts under the New Freedom program that is attributable to a transportation management area.
[2] Subrecipient: Refers to a State or local governmental authority, non-profit organization, or operator of public transportation services that receive a grant under New Freedom indirectly through a recipient.

All New Freedom projects selected for funding **must address needs and/or gaps that were identified the Locally Developed Coordinated Public Transit-Human Services Transportation Plan (**http://www.cdtcmpo.org/rtp2035/transit.pdf**)**. The Coordinated Plan for the Capital District recommends that priority be given to New Freedom projects that request operating assistance, with a 50/50 match, over capital projects that require an 80/20 match. Travel training and mobility management programs are specifically identified in the locally Developed Coordinated Public Transit-Human Services Transportation Plan and would receive higher consideration than other proposed projects not specifically included in the plan. Weekend and late night transportation service to the mobility disabled population is also identified as a need.

Eligible Projects:

Projects specifically addressing the needs identified in the coordinated plan will be given higher priority than other proposed projects. For other proposed projects, the applicant must make the case that the projects are consistent with the Coordinated Public Transit-Human Services Transportation Plan for the Capital District. Eligible projects may include, but are not limited to capital, planning, and operating assistance to support activities such as:

a. New Human Service Agency Transportation Services beyond minimum requirements of the ADA
b. Enhancing paratransit beyond minimum requirements of the ADA
c. Feeder Services
d. Making accessibility improvements to transit and intermodal stations not designated as key stations
e. Travel training
f. Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs
g. Supporting the administration and expenses related to new voucher programs for transportation services offered by human service providers
h. Supporting new volunteer driver and aide programs
i. Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation
j. New and expanded fixed route service and/or new or expanded demand response service*

The list of eligible activities is intended to be illustrative, not exhaustive. Recipients are encouraged to develop innovative solutions to meet the needs of individuals with disabilities in their communities.

Federal/Local Matching Requirements.

New Freedom funds may be used to finance capital, planning and operating expenses. The Federal share of eligible capital and planning costs may not exceed 80 percent of the net cost of the activity. The Federal share of the eligible operating costs may not exceed 50 percent of the net operating costs of the activity.

The local share of eligible capital costs shall be no less than 20 percent of the net cost of the activity, and the local share for eligible operating costs shall be no less than 50 percent of the net operating

* contingent upon FTA determination of eligibility

costs. All of the local share must be provided from sources other than Federal DOT funds. Funds provided under other Federal programs (other than those of the Department of Transportation) may be used for local/state match and revenue from service contracts may be used as local match. Some examples of sources of local match which may be used for any or all of the local share include: state or local appropriations; other non-DOT Federal funds; dedicated tax revenues; private donations; revenue from human service contracts; toll revenue credits; and net income generated from advertising and concessions. Non-cash share such as donations, volunteer services, or in-kind contributions is eligible to be counted toward the local match as long as the value of each is documented and supported, represents a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget. 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 New Freedom operating assistance. In either case, the cost of providing the contract service is included in the total project cost.

a. Exceptions. The Federal share is 90 percent for vehicle-related equipment and facilities required by the Clean Air Act (CAA) or the Americans with Disabilities Act (ADA). It is only the incremental cost of the equipment or facility required by the CAA or ADA that may be funded at 90 percent, not the entire cost of the vehicle or facility, even if the vehicle or facility is purchased for use in service required by the ADA or CAA. Designated recipient wishing to apply for assistance at the higher match ratio should consult the FTA regional office for further guidance regarding methods of computing the incremental cost before submitting an application. .

b. Use of Other Federal Funds. Local match may be derived from other Federal programs that are eligible to be expended for transportation, other than funds from DOT programs. Examples of types of programs that are potential sources of local match include: employment, training, aging, medical, community services, and rehabilitation services. To be eligible for local match for FTA funds, the other Federal funds must be used for activities included in the total net project costs of the FTA grant. Expenditure of other Federal funds for transportation outside of the scope of the project cannot be applied as a credit for local match in the FTA grant. Specific program information for other types of Federal funding is available at http://www.unitedweride.gov/

Administrative Requirements:

CDTA, as the Designated Recipient and sub-recipients of New Freedom monies allocated to the Capital District must follow the provisions under Department of Transportation (DOT) regulations, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 49 CFR part 18 (sometimes referred to as the "common grant rule" or "common rule). For private non-profit agencies, grant management requirements are contained in 49 CFR part 19, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations." Applicants other than the "designated recipient" for New Freedom must enter to an agreement with the designated recipient for funds and must follow all federal reporting and administrative guidelines (see FTA Circular C 9045.1, "New Freedom Program guidance and application instructions" *http://www.fta.dot.gov/documents/FTA_C_9045.1_New_Freedom.pdf*).

The designated recipient must enter into a written agreement with each subrecipient stating the terms and conditions of assistance by which the project will be undertaken and completed. *Financial records, supporting documentation, and all other records pertinent to a designated recipient must be retained by the designated recipient (and its subrecipients) and must be made readily available to authorized representatives of the DOT and the Comptroller General of the United States for a period of three years from the date the State electronically submits the final Financial Status Report (SF–269A).*

All reporting and record keeping guidelines are addressed in the FTA Circular C9045.1 which can be found at http://www.fta.dot.gov/documents/FTA_C_9045.1_New_Freedom.pdf

Project Selection:

Projects will be awarded through a competitive selection process. A review committee comprised of staff from CDTC and the Regional Transportation Coordination Committee will review, score and rank the project applications. The list of projects approved by the Regional Transportation Coordination Committee will be submitted to the FTA for funding.

SCORING CRITERIA

The following information and scoring criteria will be used to score and rate project applications for New Freedom funding.

1. Project Needs/Goals and Objectives (25 points): The project should directly address the projects outlined in the Action Plan of the locally developed Coordinated Public Transit-Human Services Transportation Plan (CPTHSTP). Additional projects should be tailored to address the transportation needs and/or gaps identified through the locally developed Coordinated Public Transit-Human Services Transportation Plan. The project application should clearly state the overall program goals and objectives, and demonstrate how the project is consistent with the objectives of the New Freedom program and the recommendations set forth in the CPTHSTP.

2. Implementation Plan (25 points): For projects seeking funds to support program operations, applicants must provide a well-defined service operations plan, and describe implementation steps and timelines for carrying out the plan. The project application should indicate the number of disabled persons expected to be served, and the number of trips (or other units of service) expected to be provided. The service operations plan should identify key personnel assigned to this project and their qualifications. For projects seeking funds for capital purposes, the applicant must provide a solid rationale for use of New Freedom funds for this purpose, and demonstrate that no other sources of funds or insufficient funds are available to meet this need. Also, an implementation plan and timelines for completing the capital project should be provided.

3. Project Budget (20 points): Applicants must clearly state their understanding of the financial reporting requirements as a designated recipient or sub-recipient set forth in FTA Circular C9045.1. The applicant should state their willingness and ability to submit appropriate background Certifications and Assurances, and other documentation necessary to meet the requirements of the FTA's Urbanized Area Formula Grant Program (Section 5307 program under Title 1, United States Code). Projects must submit a clearly defined project budget, indicating anticipated project expenditures and revenues, including documentation of matching funds.

4. Coordination/Program Outreach (15 points): Proposed projects will be evaluated based on their ability to coordinate with other community transportation and/or social service resources. Project sponsors should clearly identify project stakeholders, and how they will keep stakeholders involved and informed throughout the project. Project sponsors should also describe how they would promote public awareness of the project. Letters of Support should be included in this part of the application.

5. Experience (10 points): Project sponsors must demonstrate prior experience and success with the types of activities proposed in the application. Project sponsors should demonstrate their institutional capability to carry out the service delivery aspect of the project as described.

6. Program Effectiveness and Performance Indicators (5 points): The project will be scored based on the project sponsor's ability to demonstrate that the proposed project is an appropriate match to the action plan set forth in the coordinated plan, and is a cost-effective approach. Project sponsors should identify clear, measurable outcome-based performance measures to track the effectiveness of the service in meeting the identified goals.

Scoring Matrix

Scoring Question	Possible Points
Project Needs/Goals/Objectives (25 points)	
Does it primarily meet the needs of persons with disabilities?	10
Does it cover projects identified in the Action Plan of the CPTHSTP?	5
Does it cover an area of need targeted by the CPTHSTP?	5
Does the project establish or improve mobility to the target population?	5
Implementation Plan (25 points)	
Is there a well defined service plan?	10
Is a timeline included?	5
Does applicant estimate the number of persons and trips served?	5
Are key personnel assigned to the project qualified to work on the project?	5
Project Budget (20 Points)	
Can the applicant realistically be a sub-recipient to CDTA?	5
Does the budget appropriately match the level of project activity?	5
Did applicant submit letter of commitment or other proof of the matching funds?	5
Are expected revenues and expenditures detailed in the application?	5
Project Coordination/Outreach (15 points)	
Does the project involve collaboration with others?	10
Are letters of support included in the application?	5
Experience (10 points)	
Does the applicant have prior experience with the type of project proposed?	10
Project Effectiveness/Performance Measures (5 points)	
Is there a methodology identified to measure and evaluate the impact of the project in meeting its identified goals?	5

FUNDING APPLICATION

PART I – COVER INFORMATION

Applicant Data

Legal Name: _____

Contact Person: _____

Address: _____

City, State, Zip: _____

Telephone: _____

Fax: _____

E-mail: _____

Project Description

TITLE_____

BRIEF DESCRIPTION_____
_____
_____
_____

_____

FUNDING PROGRAM: New Freedom – Albany-Schenectady-Troy____
New Freedom – Saratoga____

____

PROJECT TYPE: Capital Only____
Operating Only____
Both Capital and Operating_____

ESTIMATED NUMBER OF MOBILITY DISABLED PERSONS TO BE SERVED in the Albany-Schenectady-Troy Urbanized Area _____

ESTIMATED NUMBER OF MOBILITY DISABLED PERSONS TO BE SERVED in the Saratoga Springs Urbanized Area _____

PART II - NARRATIVE

Project Need/Goals and Objectives

1. Describe how the project fits with the Action Plan and/or Needs/Gaps Assessment of the locally developed Coordinated Public Transit-Human Services Transportation Plan (CPTHSTP). Describe the project's goals and objectives. Estimate the number of mobility disabled people that will be served and/or the number of service units that will be provided. Describe the specific community this project will serve, and provide pertinent demographic data and/or maps.

Implementation Plan & Timeline

1. Describe key personnel assigned to this project, and their qualifications. Describe your agency's ability to manage the project.

2. Describe implementation steps required to complete the project. **Include a timeline** for project implementation.

Project Budget

1. The Project sponsor should provide a complete budget indicating project revenues and expenditures in the format provided in Part III including documentation of matching funds.

2. The Project Sponsor should clearly state their understanding of the financial reporting requirements as a designated recipient or sub-recipient set forth in FTA Circular C9045.1. The applicant should state their willingness and ability to submit appropriate background Certifications and Assurances, and other documentation necessary to meet the requirements of the FTA's Urbanized Area Formula Grant Program.

Coordination and Program Outreach

1. Describe how the project will be coordinated with public and/or private transportation and social service agencies serving mobility impaired populations. Projects coordinated with other agencies will score higher than those that are not collaborative efforts.

2. Describe efforts to market the project, and ways to promote public awareness of the program. Letters of support should be obtained from key stakeholders and attached to the grant application.

Experience: Describe any prior experience and success with the types of activities proposed in the application.

Program Effectiveness and Performance Indicators

The project sponsor should clearly describe how the proposed project is an appropriate match to the action plan set forth in the coordinated plan, and is a cost-effective approach. Project sponsors should identify clear, measurable outcome-based performance measures to track the effectiveness of the service in meeting the identified goals.

PART III - PROJECT BUDGET

Project Funding

Local matching funds will be required for all application submittals. For tasks within projects requiring operating funds, the minimum required match is 50% from non-federal transportation funds. For tasks within projects that require capital expenditures, the minimum required match is 20% from non-federal transportation funds. For multi-task projects, please show the budget (total cost, federal share, local match) by task or project component, and for the entire project.

Task Description	Total Cost	Federal Capital Share	Federal Operating Share	Total Federal Share	Sponsor Capital Share	Sponsor Operating Share	Total Sponsor Share
		=80% of Total Cost	=50% of Total Cost	=Capital Share + Operating Share	=20% of Total Cost	=50% of Total Cost	=Total Cost - Total Federal Share

Note: The applicant is required to demonstrate a commitment to providing local match funds. This can be in the form of a letter and/or a copy of an existing grant agreement or supporting documentation where funds will be drawn from.

Will there be a commitment of funds beyond the grant period? ___Yes ___No

Describe: _____
_____
_____

The Budget Chart is available in excel format at: http://www.cdtcmpo.org/newfreedom/matrix.xls. Using the excel spreadsheet is preferred over completing the chart by hand above. If your project is approved for funding, you will be required to furnish your entire application in electronic format.

APPLICATION CHECKLIST – DUE: APRIL 19, 2013 5:00 p.m. EST

Applicants should use this checklist to ensure that all applicable parts of the application and attachments are completed and submitted.

PART I. COVER INFORMATION

❑ Funding Request – Grants Title Page

PART II. PROJECT NARRATIVE

Please include the following documents:

❑ Project Needs/Goals and Objectives
❑ Implementation Plan & Timeline
❑ Coordination and Program Outreach
❑ Experience
❑ Program Effectiveness

PART III. PROJECT BUDGET

❑ Proposed Project Budget Spreadsheet