# Memorandum

**To:** Chair and Commissioners **Date**: February 3, 2009

**From:** JOHN F. BARNA, JR.
Executive Director

**File No:** Agenda Item 4.8
Action

**Ref:** **AMENDMENT TO THE SCORING CRITERIA AND WORKSHEET FOR THE FTA SECTION 5310 PROGRAM FOR ELDERLY AND DISABLED INDIVIDUALS, RESOLUTION G-09-02, AMENDING RESOLUTION G-08-02**

**Recommendation:** Staff recommends that the Commission adopt the revised scoring criteria and worksheet for the Section 5310 Program, to incorporate minor updates for the FFY 2009 cycle.

**Issue:** Should the Commission adopt the revised Quantitative Scoring Criteria and Project Rating Worksheet for the Federal Transit Administration (FTA) Section 5310 Grant Program?

**Background:** FTA Section 5310 Program for Elderly and Disabled Individuals was established in 1975 and has been administered by Caltrans since its inception. The Program provides annual grants to purchase transit capital equipment to meet the specialized needs of elderly and/or disabled persons for whom mass transportation services are unavailable, insufficient, or inappropriate.

As mandated by Assembly Bill 772 (1996), the Commission directs Caltrans on how to allocate funds for the Program. The Commission provides this direction by adopting the application, evaluation criteria and forms used to score grant applications.

In 2007, the project application and evaluation criteria had to be updated to incorporate new federal provisions for the Section 5310 Program, including the coordinated public transit-human services transportation plan requirement and management mobility activities.

Consequently, the Commission convened its Section 5310 Advisory Committee, which consists of members from Regional Transportation Planning Agencies, state and local social service agencies, the California Association for Coordinated Transportation, Caltrans and Commission staff.

The committee met four times in the second half of 2007 to consider updates to the application and evaluation criteria to account for the SAFETEA-LU changes to the Program. The revised application and evaluation criteria were adopted at the February 2008 Commission meeting.

These documents needed some minor updating. Therefore, the Commission reconvened the Section 5310 Advisory committee to get its recommendations in making the updates. The Committee met on January 22, 2009 and developed the updated scoring criteria and worksheet being presented to the Commission at this meeting for their consideration and adoption.

Attachment

CALIFORNIA TRANSPORTATION COMMISSION

QUANTITATIVE SCORING CRITERIA AND WORKSHEET FOR THE
FEDERAL TRANSIT ADMINISTRATION (FTA) SECTION 5310
ELDERLY AND DISABLED GRANT PROGRAM

Resolution G-09-02
Amending Resolution G-08-02

1.1 WHEREAS, Federal law (Title 49 U.S.C. Section 5310) provides for capital grants for the purpose of assisting private non-profit corporations and under certain circumstances, public agencies in providing transportation services to meet the needs of elderly persons and persons with disabilities for whom public mass transportation services are otherwise ***unavailable, insufficient, or inappropriate***; and

1.2 WHEREAS, State law, AB 772 (Chapter 669, Statutes of 1996), placed the following three mandates on the Commission regarding that Program:

- direct Caltrans on how to allocate funds for the Program,
- establish an appeals process for the Program,
- hold at least one public hearing prior to approving its Program of projects; and

1.3 WHEREAS, Commission staff worked with a 15-member advisory committee made up of individuals from the Regional Transportation Agencies, state and local social service agencies, the California Association for Coordinated Transportation, and Caltrans staff, to develop a Program process that will provide for a statewide ranked list of projects to be adopted by the Commission and funded by Caltrans; and

1.4 WHEREAS, on November 7, 2001, the Commission approved Resolution G-01-34 to adopt the project selection process, as follows:

Regional Transportation Planning Agencies will score projects from their region utilizing the Commission's adopted project scoring criteria and send a scored list of their projects to Caltrans. Caltrans will forward the regional lists to the statewide review committee. The statewide review committee will compile a draft statewide prioritized list based on the project scores calculated by the regions and determine a "cut-off point" (score) on the draft list, at which 110% of the estimated available program funding will be expended. The statewide committee will review the projects above the "cut-off point" on the draft list based on the Commission's adopted criteria. The committee will rescore any projects that are incorrectly scored by the regions and create a statewide-prioritized list of projects with a cost equal to 110% of the estimated available funds.

Ties in scoring that occur at the funding cut-off that will result in a project not being funded when another project with the same score will be funded, will be broken as follows:

- First priority will be given to vehicle replacement projects with the vehicle having the greatest mileage, in excess of the minimum requirement for program participation, being ranked higher.

- Second priority will be given to service expansion projects with the project serving the most persons being ranked higher.

- Third priority will be given to other equipment projects with the highest ranking being given to the equipment that will coordinate the greatest number of vehicles.

The statewide evaluation committee will hold a staff level conference for all stakeholders to discuss the statewide-prioritized list and hear any appeals on technical issues. Only appeals based on actions that occurred at the statewide level will be considered and the appealing agency will have to demonstrate, using documentation from their original application, that the statewide committee incorrectly followed the adopted criteria. Appeals regarding regional scoring will be heard by the responsible regional agencies prior to submitting their scored lists to Caltrans.

The statewide evaluation committee will submit a final statewide-prioritized list to the Commission. The Commission will hold a public hearing to discuss the prioritized list and overall program policy, after which the Commission will adopt the prioritized list as the annual Elderly and Disabled Transit Program. Caltrans will fund projects in priority order until all available funds have been utilized.

1.5 WHEREAS, in 2007, the project application and evaluation criteria had to be updated to incorporate new federal provisions for the Section 5310 Program, including the coordinated public transit-human services transportation plan requirement and management mobility activities. Consequently, the Commission convened its Section 5310 Advisory Committee, which consists of members from Regional Transportation Planning Agencies, state and local social service agencies, the California Association for Coordinated Transportation, Caltrans and Commission staff.

1.6 WHEREAS, on February 14, 2008, the Commission approved Resolution G-08-02, adopting the recommendations from the Section 5310 Advisory Committee to update the Application and Scoring Criteria to incorporate new federal requirements, including plans to coordinate public transit-human services transportation and management mobility activities; and

1.7 WHEREAS, on January 22, 2009, the Commission reconvened the Section 5310 Advisory Committee, and the Committee developed the recommendations used to make some minor updates in the attached scoring criteria and worksheet.

2.1 NOW THEREFORE BE IT RESOLVED, that the Commission has determined that the process will utilize objective project scoring criteria and a statewide review committee consisting of representatives from the State Departments of Rehabilitation, Developmental Services, Aging, and Transportation, with Commission staff acting in the role of facilitator/coordinator for the statewide committee.

2.2 BE IT FURTHER RESOLVED, that the Commission adopts the updated scoring criteria and worksheet as described in Attachment 1 of this resolution.

2.3 BE IT FURTHER RESOLVED, that Resolution G-08-02 is hereby amended.

Attachment

FTA Section 5310
Elderly & Disabled Specialized Transit
2009 Federal Funding Cycle

# Quantitative Scoring & Project Rating Worksheets

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| | Coordination - Use of Vehicles/Equipment (6 points) | | |
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| **Section IV** | Service Effectiveness ..... | 7 | 30 |
| | Project Scoring Form ..... | 8 | |
| | Maximum Total Per Requested Project | | 100 |


| |
|---|
| Scored by: (RTPA Name and Phone Number) |
| Agency submitting Application: |
| Signature of Person Scoring and Verified Eligibility of Applicant |

## Quantitative Scoring & Project Rating

**SECTION – I**

(See Application Part III – Pg. 15-18)

Ability of Applicant

Evidence of an applicant's experience and history of providing efficient and effective transit services.

| | Score |
|---|---|
| **1a.**<br>Applicant has experience providing existing specialized transportation services for elderly or individuals with disabilities for:<br>More than 5 years = 4 ____<br>3 to 5 years = 3 ____<br>1 to < 3 years = 2 ____<br>Less than 1 year = 0 ____<br>**OR**<br>**1b.**<br>Applicant has experience in providing social services (non-transportation) for elderly or individuals with disabilities:<br>Applicant demonstrates support from the local RTPA or CTSA (attach letter) = 2 ____<br>And applicant has provided social services for<br>More than 3 years = 2 ____<br>1 to 3 years = 1 ____<br>Less than 1 year = 0 ____ | |
| **Scoring criteria for the following questions:**<br>0 = Does not address question<br>1 = Addresses question without attaching relevant documentation.<br>2 = Addresses question completely and attaches relevant documentation<br><br>**2. Driver training program:**<br>New and continuing driver training, including classroom and road testing = 2 ____<br>Sensitivity Training, Emergency Preparedness, First Aid, and CPR = 2 ____<br>**3. Dispatching Plan:**<br>Description of dispatching plan = 2 ____<br>**4. Maintenance plan including the following:**<br>Pre- and post- trip inspection description = 2 ____<br>Preventative and routine maintenance description, with maintenance and inspection forms = 2 ____<br>Contingency plans for when equipment is not available for service = 2 ____<br>**5. California Highway Patrol (CHP) Inspections**<br>Inclusion of satisfactory CHP or Caltrans inspection or documentation that such an inspection is not required = 2 ____<br>**Annual Budget/Fund Sources:**<br>**6**. Agency describes other funding received or why other funding is not available = 2 ____<br>**7**. Qualified audit for agency included with no instances of non-compliance = 2 ____<br>**Emergency Operations and Response Planning:**<br>**8.** Emergency planning and drill activities, and county coordination. = 2 ____<br>**9.** Identified available accessible vehicles (including capacity) to the county for use in emergency evacuations. = 2 ____<br>**Proposed Budget for Transportation Program:**<br>**10**. All sources of estimated income are identified for proposed project. = 2 ____<br>**11.** Budget for applicant agency includes prior, current, and budget year. = 2 ____<br>**12**. Appropriate funding source for local match is identified. = 2 ____ | |
| Total Points Maximum 32 | |

**Quantitative Scoring & Project Rating** **SECTION – II**

(See Application Part III – Pg. 19 and 20) **Coordination Planning**

0 – Does not address question and/or does not include Coordinated Plan section or page number
3 – Addresses question & indicated Coordinated Plan section and/or page number

**COORDINATED PLAN REQUIREMENTS** (Maximum 12 points (3 points per question)

| | |
|---|---|
| ***Element 1:*** *An assessment of available services that identifies current transportation providers (public, private, and non-profit).*<br>1. Generally describes available non-profit, public transit or Paratransit, including fixed route, dial-a-ride, ADA complementary Paratransit services as contained in the Coordinated Plan by section and/or page number. | |
| ***Element 2****: An assessment of transportation needs for individuals with disabilities, older adult. This assessment can be based on the experiences and perceptions of the planning partners or on more sophisticated data collection efforts, and gaps in service.*<br>2. Describes transportation needs of individuals with disabilities or elderly individuals to be served by the proposed project as contained in the Coordinated Plan by section and/or page number. | |
| ***Element 3:*** *Strategies, activities, and/or projects to address the identified gaps between current services and needs, as well as opportunities to achieve efficiencies in service delivery.*<br>3. Identifies coordination strategies activities and/or efficiencies by name. Accurately describes <u>how this project addresses strategies, activities and/or efficiencies.</u> Includes section and/or page number of Coordinated Plan. | |
| ***Element 4:*** *Priorities for implementation based on resources (from multiple program sources), time, and feasibility for implementing specific strategies and/or activities identified.*<br>4. Identifies the Coordinated Plan's implementation priorities. Accurately describes <u>how this project addresses them</u>. Includes section and/or page number of Coordinated Plan. | |
| **Total Planning Score Maximum 12** | |

**COORDINATION – USE OF VEHICLES/EQUIPMENT** Maximum 6 points (3 points each)

(See Application Part III – Pg. 21)

| | |
|---|---|
| 1. Clearly describes how vehicles, equipment or services in agency's **existing** fleet are used to provide coordinated service for another agency's clients or how these vehicles are shared with another agency(s). | |
| 2. Clearly describes plan for coordinating use of **requested** vehicle(s) or equipment. (1 point per type of coordination or sharing of resources, up to 3 points.) Examples:<br>• Shared use of vehicles<br>• Dispatching or scheduling<br>• Maintenance<br>• Back up transportation<br>• Staff training programs<br>• Joint procurement of services and supplies from funding sources other than Section 5310<br>• Active participation in local social service transportation planning process<br>• Coordination of client trip(s) with other transportation agencies<br>• Other – please describe | |
| 3. Clearly identifies attempts the agency has made to coordinate. Explains why coordinating isn't possible. Provides supporting documentation letter from CTSA or RTPA confirming that no opportunities for coordination currently exist for requested equipment. | |
| **Total Coordination of Vehicles Score Maximum 6** | |

**REPLACEMENT –** Vehicles to be replaced that are currently in Active Service.

**VEHICLE USEFUL LIFE CRITERIA**

| TYPE OF VEHICLE | EXISTING VEHICLE MILES AND AGE | SCORE |
|---|---|---|
| **Minivan, Modified Van** | 175,000 to 200,000 or 8 years | ..... 20 |
| | 150,000 to 174,999 or 7 years | ..... 15 |
| | 125,000 to 149,999 or 6 years | ..... 10 |
| | 100,00 to 124,999 or 5 years | ..... 5 |
| | Less than 100,000 miles or 4 years old not eligible | ..... 0 |
| **Bus Type I, IA, IB, II, III** | 225,000 - 250,000 or 9 years | ..... 20 |
| | 200,000 – 224,999 or 8 years | ..... 15 |
| | 175,000 – 199,999 or 7 years | ..... 10 |
| | 150,000 – 174,999 or 6 years | ..... 5 |
| | Less than 150,000 or 5 years not eligible | ..... 0 |
| **Bus Type VII** | 275,000 – 300,000 or 11 years | ..... 20 |
| | 250,000 – 274,999 or 10 years | ..... 15 |
| | 225,000 – 249,999 or 9 years | ..... 10 |
| | 200,000 – 224,999 or 8 years | ..... 5 |
| | Less than 200,000 or 7 years not eligible | ..... 0 |
| **Bus Type VIII** | 425,000 – 449,999 or 14 years | ..... 20 |
| | 400,000 – 424,999 or 13 years | ..... 15 |
| | 375,000 – 399,999 or 12 years | ..... 10 |
| | 350,000 – 374,999 or 11 years | ..... 5 |
| | Less than 350,000 or 10 years not eligible | ..... 0 |

**Replacement:** Determination that an applicant's vehicle needs to be replaced in order to continue its existing transportation services. For each new vehicle requested a vehicle currently in **active service** will be removed and sold or placed into backup service. Sedans and SUV's are no longer eligible as replacement vehicles.
**Active Service:** Vehicle is providing service throughout the agency's normal days and hours of operation.
**Excessive Maintenance:** Vehicle does not meet minimum useful life but needs to be replaced due to excessive maintenance. Requests must have prior approval from Branch Chief of the Elderly and Disabled Specialized Transit Program.

**Use the chart below to score each replacement vehicle.** **Maximum 20 points each**

| Type of Vehicle | VIN - last 5 numbers | Disposition: Sell or Backup | Mileage | Age | Score |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |
| | | | | | |
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| | | | | | |

** If requesting new system (base station and mobile radios) score under **Other Equipment**.*

**Quantitative Scoring & Project Rating** **SECTION – III**

(See Application Part III – Pg. 23 Proposed Services) **Proposed Transportation Services**

**NEW OR SERVICE EXPANSION – Determination that requested additional equipment would be fully utilized (days and hours, passenger trips, service area) including usage of vehicle by another agency through a coordination plan.**

**Use the chart below to score each new or service expansion vehicle.**

*Round to the nearest whole number.* Score

| | | | | | |
|---|---|---|---|---|---|
| Projected service hours per week to be provided with requested vehicle will increase total existing service hours by: | | | | | |
| > 38 | = | 7 points | 27 to 29 | = | 3 |
| 36 to 38 | = | 6 | 24 to 26 | = | 2 |
| 33 to 35 | = | 5 | 20 to 23 | = | 1 |
| 30 to 32 | = | 4 | < 20 hours | = | 0 points |
| **AND** Projected number of daily one-way **Passenger Trips** divided by Proposed total vehicle service hours: | | | | | |
| > 7 per service hour | = | 7 points | 4 | = | 3 |
| 7 | = | 6 | 3 | = | 2 |
| 6 | = | 5 | 2 | = | 1 |
| 5 | = | 4 | < 2 per service hour | = | 0 points |
| **AND** Projected number of miles for proposed vehicle per day is: | | | | | |
| > 105 miles per vehicle | = | 6 points | | | |
| 91 to 105 | = | 5 | 46 to 60 | = | 2 |
| 76 to 90 | = | 4 | 30 to 45 | = | 1 |
| 61 to 75 | = | 3 | < 30 miles per vehicle | = | 0 points |

Maximum 20 Points

| Proposed New or SE Vehicle | Total Score Each Vehicle |
|---|---|
| | |
| | |
| | |
| | |
| | |

## Quantitative Scoring & Project Rating

**SECTION – III**

(See Application Part III – Pg. 24 Other Equipment)

**OTHER EQUIPMENT - Determination that ancillary equipment will provide critical support to the applicant's transportation program.**

**Use the chart below to score each equipment request.**

| Criteria | Points | Score |
|---|---|---|
| 1. Equipment will coordinate fleet of **10 or more** vehicles (app. page 22 or 23) 10 | 15 | |
| 9 | 13 | |
| 8 | 11 | |
| 7 | 9 | |
| 6 | 7 | |
| 5 | 5 | |
| 4 | 3 | |
| Less than 3 vehicles | 1 | |

| | | |
|---|---|---|
| 2. Applicant is currently using manual system for scheduling, vehicle tracking, etc. and/or has no dispatch communication equipment. (Application page 14) | 5 | |
| OR | | |
| 3. Applicant needs to replace inadequate equipment to improve efficiency. (Application page 14) | | |
| More than 5 years | 5 | |
| 3 to 5 years | 3 | |
| Less than 3 years | 0 | |
| | Total Points | |

**Other Equipment*:*** - Computer system, Software, Maintenance equipment, Communication system or other.

Describe and Score **each** request — Maximum Points 20

| **Equipment Requested** | **Score** |
|---|---|
| | |
| | |
| | |

(See Application Part III – Pg.22, 23 Transportation Services)

Determination that existing fleet is fully utilized (days and hours, passenger trips and service area) including usage of vehicle(s) by another agency through a coordination plan.

*Round to the nearest whole number.*

| **Existing transportation provider**: Total service hours per week divided by number of vehicles (excluding vehicles in back up service):<br>**First-time transportation provider**: Total projected service hours per week divided by number of vehicles (excluding vehicles in back up service): | | SCORE |
|---|---|---|
| Over 36 hours per week = 10<br>35 to 36 = 9<br>33 to 34 = 8<br>31 to 32 = 7<br>29 to 30 = 6 | 27 to 28 = 5<br>25 to 26 = 4<br>23 to 24 = 3<br>20 to 22 = 2<br>Less than 20 hours per week = 0 | |
| **AND** **Existing transportation provider**: Sum of the total one-way passenger trips per day divided by total service hours per day (excluding backup service):<br>**First-time transportation provider**: Projected number of daily one-way passenger trips divided by total vehicle service hours: | | SCORE |
| Over 8 passengers per service hour = 10<br>7 to 8 = 8<br>5 to 6 = 6 | 3 to 4 = 4<br>1 to 2 = 2<br>Less than 1 passenger per service hour = 0 | |
| **AND** **Existing transportation provider**: Total miles per day divided by number of vehicles:<br>**First-time transportation provider**: Projected number of miles for requested vehicle per day: | | SCORE |
| Over 102 miles per vehicle = 10<br>95 to 102 = 9<br>87 to 94 = 8<br>79 to 86 = 7<br>71 to 78 = 6<br>63 to 70 = 5 | 55 to 62 = 4<br>47 to 54 = 3<br>39 to 46 = 2<br>Over 30 to 38 = 1<br>Less than 30 miles per vehicle = 0 | |
| **Additional Points Possible -Total cannot exceed 30 points** | | |
| **Existing transportation provider**: Current wheelchair users as a percentage of current total users:<br>**New or expanded transportation provider**: Projected wheelchair users as a percentage of current total users: | | SCORE |
| More than 65% = 10<br>61 to 65% = 9<br>56 to 60% = 8<br>51 to 55% = 7<br>46 to 50% = 6 | 41 to 45% = 5<br>36 to 40% = 4<br>31 to 35% = 3<br>26 to 30% = 2<br>20 to 25% = 1<br>Less than 20% = 0 | |
| | **Total Score**<br>Maximum 30 | |

## Project Rating Worksheet

**Agency**: _____ RTPA: _____

| | Project Request | If Replacement Vehicle - VIN | Sect 1 (Max 32pts) | Sect II (Max 18pts) | Sect III (Max 20pts) | Sect IV (Max 30pts) | Total (Max 100pts) |
|---|---|---|---|---|---|---|---|
| 1 | | | | | | | |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
| 5 | | | | | | | |
| 6 | | | | | | | |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | | | | | | | |