

# WETAP

## APPLICATION GUIDELINES

Issued May 30, 2012

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**Wisconsin Employment Transportation Assistance Program**

Sponsored by the Wisconsin Department of Transportation

[www.dot.wisconsin.gov/localgov/transit/wetap.htm](http://www.dot.wisconsin.gov/localgov/transit/wetap.htm)

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## PROGRAM BACKGROUND

### Introduction

The Wisconsin Department of Transportation (WisDOT) is pleased to sponsor the Wisconsin Employment Transportation Assistance Program (WETAP). This is an annual competitive grant program that integrates state and federal funding sources into one coordinated program to help local areas assess and address transportation needs for low-income workers.

### Program Objectives

Lack of transportation is a significant barrier to getting and keeping jobs for low-income workers. Improving transportation services can improve the economic outcomes among these workers and the State. The following objectives should be met through the funded projects:

- Provide new or expanded transportation services that resolve the employment-related transportation needs of eligible low-income workers.
- Encourage ridesharing through public transportation expansion, vanpools, or carpools; and innovative individual solutions, such as car repair programs, used car loan programs.
- Develop coordinated transportation solutions based on a local planning process involving local stakeholders.

## ELIGIBILITY

### Eligible Applicants

- Private non-profit organizations;
- State or local governmental authority; and
- Operators of public transportation services, including private operators of public transportation services

### Eligible Projects

Projects must provide new or expanded service designed to fill transportation gaps for low-income workers. Eligible projects include, but are not limited to:

- late-night and weekend service
- guaranteed ride home service
- shuttle service
- transportation to training and/or interviews
- expanding fixed-route public transit service
- marketing efforts to promote transit solutions
- car loan programs that assist individuals in purchasing and repairing vehicles for shared-rides in areas that do not have public transportation
- mobility management and transportation coordination programs

- demand-responsive van service
- ridesharing and carpooling activities
- childcare transportation
- voucher programs\*

\* The creation of a new voucher program and the enhancement of an existing voucher program are eligible activities if they are targeted to support trips made by individuals with limited income to employment or employment-related activities, such as education and training programs. WETAP funds can be used to access rides through volunteer driver programs, taxis, or trips provided by a human service agency. WETAP funds cannot be used to purchase vouchers that can then be exchanged for rides on existing fixed-route services, ADA complementary paratransit services, or shared-ride taxi service if that service is funded in part by the U.S. Department of Transportation. For a map of the federally-funded transit systems in Wisconsin see the WETAP website and for a list of the public transit systems receiving state and federal funding see the coordination section of this document. Vouchers can be used to purchase rides that occur outside of the service area or hours of fixed-route and complementary services (e.g., for a ride home from a second-shift job that finishes after fixed route services have stopped for the day).

## Ineligible Projects

Ineligible projects include, but are not limited to:

- Gas vouchers
- Bus pass vouchers
- Shared-ride taxi vouchers
- Vehicle maintenance expenses for individuals
- Vehicle insurance subsidies
- Bicycle (purchase or maintenance) program
- Capital purchases

## Eligible Customers

Eligible customers are low-income individuals and public assistance recipients. Low-income is defined as individuals whose family income is at or below 200% of the federal poverty level.

<b>Federal Poverty Level Guidelines for 2012</b>		
<b>Persons in Family</b>	<b>Poverty Guideline</b>	<b>200% Poverty Level</b>
1	\$11,170	\$22,340
2	\$15,130	\$30,260
3	\$19,090	\$38,180
4	\$23,050	\$46,100
5	\$27,010	\$54,020
6	\$30,970	\$61,940
7	\$34,930	\$69,860
8	\$38,890	\$77,780
For each additional person add:	\$3,960	\$7,920

## Eligible Match

All WETAP proposals must include a minimum of 25% local match. The objective for local match is to ensure local commitment, promote long-term vision, and support the transportation initiative. Local match must comply with local, state, and federal guidelines required for that funding source.

Examples of cash match:

- State or local funding
- Private donations
- Net income generated from advertising, concessions, and loan repayment
- Other non-USDOT federal funds

Examples of in-kind match:

- Donated facility space to operate the program
- Labor contributed to the project (see note on valuing volunteer time below)
- Legal services contributed to the project

All in-kind match must:

- be represented as an expense in the applicant's budget
- represent a cost that would otherwise be eligible under the project
- be reported in the quarterly/monthly billing forms
- be formally documented in the grantee's records and be available upon WisDOT request
- not be included as a contribution for any other federally-assisted or state-assisted project or program
- be allowable under the applicable cost principles (non-profits see OMB Circular A-122; Local and Indian Tribal Governments see OMB Circular A-87)
- be documented in a letter of support, if outside the applicant's organization

### Valuing Volunteer Time

Actuals should always be used to value time when available. When actuals are not available WisDOT requests that you use the data available from the Wisconsin Department of Workforce Development's WorkNet site at <http://worknet.wisconsin.gov/worknet/>. Click on 'Wage Comparison' to begin the search.

#### *Example 1 – Actual value of time is available*

Your agency's director devotes 1 hour per week to the oversight of your project for a total of 50 hours per calendar year. The director's salary, including benefits, is \$65 per hour and the funding for the director comes from non-US DOT funding (e.g, charitable donations). In this case, the value of the in-kind contribution is estimated at \$3,250 (\$65 per hour x 50 hours) for the year. Over the course of the year, the director may only end up devoting 45 hours to the project, so the actual value of the in-kind contribution is \$2,925 (\$65 x 45).

#### *Example 2 – Actual value of time not available*

Your vanpool project uses 2 volunteers to drive the van. Use the WorkNet website to find the value of a taxi driver or bus operator in your service area (county). You will get the average wage for an entry level, average and experienced driver in your county, as well as the statewide average. You are welcome to use the value that you feel is most appropriate and works best for your grant. The most important thing is to select the occupation that best describes the type of work the volunteers are performing for your organization for this project. You don't want to undervalue your volunteers, nor should you overvalue their time. Once you have established the hourly rate, multiply that value by the anticipated number of hours they will be donating to the project for the entire year.

## APPLICATION INFORMATION

### Proposal Criteria

The evaluation criteria used to score proposals is available on the WisDOT WETAP website (see 2013 WETAP evaluation form). Keep these criteria in mind while completing the application.

### Required Documents

The following documents must be included to be considered a complete application packet:

**A. 2013 WETAP Application**

Email a completed electronic application file. No paper copies need to be submitted.

**B. Written Responses**

See the *Written Responses* tab in the 2013 WETAP Application for the list of questions and length limitations. Please ensure that the name of the applying agency is listed on the first page. Email the electronic file in Word or pdf format. No paper copies need to be submitted.

**C. Letters of Acknowledgement**

Any eligible agency can apply, but applications must be locally or regionally coordinated. All applications must have a letter of acknowledgement from each of the following:

- Workforce Development Board (WDB)
- Regional Planning Commission (RPC) or Metropolitan Planning Organization (MPO), *where applicable*

See the WETAP website for a list of contacts and maps for the WDBs, RPCs and MPOs.

Mail one of each letter. Originals can be mailed directly by WDB/RPC/MPO or by applicant.

**D. Local Match Support Documentation**

Include documentation of all cash and in-kind commitments for the required local match of project costs (e.g. MOU, letter of support, award letter). Mail one of each.

**E. Federal Transit Administration's (FTA) Certifications and Assurances**

See the WETAP website to download the document. Provide initials and signatures as required. Mail one original.

**F. Federal Funding Accountability and Transparency Act (FFATA) Report**

See the WETAP website to download the document. Complete form and mail one original.

**G. Single Audit**

If your agency receives more than \$500,000 a year in Federal funds from all sources then you must submit your most recent single audit.

**H. Non-profit Documentation**

If your agency is applying as a private non-profit then you must attach proof of non-profit status (e.g. articles of incorporation, list of board members, proof of insurance) and a financial plan (letter of credit from a financial institution and/or balance sheet may be substituted).

## Coordination

*Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)* requires that awarded projects funded under most FTA programs, including JARC, are derived from a “locally developed Coordinated Public Transit-Human Services Transportation Plan”. This ensures that applicants are coordinating services with other private, public and non-profit transportation providers. Proposed WETAP projects must be identified by a strategy and/or action item in a county, multi-county or regional plan. This strategy/action item, along with a page number, must be provided on the coordination tab of the WETAP Application excel document. For more information visit the WisDOT coordination web page at <http://www.dot.wisconsin.gov/localgov/coordination/index.htm>.

For your reference, links are provided below to two lists of public transit systems in Wisconsin receiving state and federal funding. The lists are divided by urbanized and non-urbanized areas.

- Public transit systems serving communities of more than 50,000 in population: <http://www.dot.wisconsin.gov/localgov/docs/kit-over50000.pdf>
- Public transit systems serving communities of less than 50,000 in population: <http://www.dot.wisconsin.gov/localgov/docs/kit-under50000.pdf>

## Due Date

Applications must be received by **July 13, 2012, 4:00 PM**.

Mail:

Sarah Probasco  
Wisconsin Department of Transportation  
Bureau of Transit, Local Roads, Railroads and Harbors  
4802 Sheboygan Avenue, Room 951  
PO Box 7913  
Madison, WI 53707-7913

Email:

sarah.probasco@dot.wi.gov

Late and/or incomplete applications will not be considered.

## Process

Decisions for the recommendation of funding for projects are made as part of the federally mandated open, competitive grant application process. Decisions are based on the scoring of an application's content using the following: 1) evaluation criteria, 2) ranking as compared to other applications, and 3) available funding.

### Appeals

An applicant may file an appeal with WisDOT on the results of a non-funding recommendation. In order to be considered, an appeal must be based on a perceived issue with the process by which a grant application is scored and awarded. Upon receipt of a request to appeal, WisDOT will investigate and review the process to ensure that all aspects of the evaluation were performed in an

appropriate manner and in compliance with state and federal rules. Requests to appeal that are related to the merits, scoring and ranking of an application will not result in final outcome reconsideration unless, through an appeal's initial review process, WisDOT identifies underlying factors in the evaluation process that demonstrate an inappropriately conducted evaluation process which resulted in scoring or ranking that prompted denial of the project being selected for grant award.

An appeal must be made in writing via U.S. Mail. The letter of appeal from the applicant must include the organization name, contact person, address, telephone number, project description, and the grounds for appeal. The letter of appeal must be postmarked no later than 14 calendar days from the date of WisDOT's notice of the applicant's funding status.

Appeals should be sent via U.S. Mail to:

Adam Boardman, Bureau Director  
Wisconsin Department of Transportation  
Bureau of Transit, Local Roads, Railroads & Harbors  
4802 Sheboygan Avenue, Room 951  
PO Box 7913  
Madison, WI 53707-7913

A written decision will be provided within 10 working days of receipt of the appeal. The decision rendered through the appeal process shall be the final decision and is not subject to further appeal or judicial review.

## Timeline

Application released	May 30, 2012
Applications due to WisDOT	July 13, 2012
Awards Announced	October/November 2012
Grant Cycle Begins	January 1, 2013
Grant Cycle Ends	December 31, 2013

## FUNDING

### Funding Sources

- This program is funded in part by the Federal Transit Administration (FTA) as authorized under 49 U.S.C. § 5316 *Job Access Reverse Commute* (CFDA 20.516).
- WisDOT also provides state funding through *Transportation Employment and Mobility* (TEAM) program (s. 85.24).
- Local match is provided by the grantee through cash and/or in-kind services available to support the project(s).



## Funding Distribution

WETAP provides state and federal dollars for demonstration projects with the objective of eventual self-sustainability.

- Grants are awarded for one year with no guarantee of continued funding.
- An application is required each year to be considered for future funding.
- Preference will be given to projects showing the greatest level of coordination.
- Preference will also be given to those projects showing an ability to become self-sustainable or alternatively funded after a reasonable number of years.

Federal Job Access Reverse Commute (JARC) funding is allocated by formula to States. The formula is based on the number of eligible low-income and welfare recipients in urbanized and rural areas and is intended to provide an equitable funding distribution to states and communities.

JARC formula funding is divided into three categories:

- Projects serving large urbanized areas with populations of 200,000 or more
- Projects serving small urbanized areas with populations of 50,000 – 199,999
- Projects serving non-urbanized (rural) areas with populations under 50,000

If you have questions about what category your project falls under contact the WETAP Program Manager.

The Federal Fiscal Year (FFY) 2012 allocation will be used to fund calendar year (CY) 2013 WETAP projects, but the complete year's funding was not yet available from the FTA at the time of application release. However, the FFY 2012 allocation will most likely be similar to the FFY 2011 allocation. Federal and State carryover funds from previous year allocations may also be available.

The FFY 2011 JARC annual allocation was:

AREA	FY 2011
<a href="#">Milwaukee urbanized area</a>	\$750,299
<a href="#">Madison urbanized area</a>	\$171,714
<a href="#">Small urbanized areas</a>	\$889,466
Non-urbanized (Rural)	\$596,243

\* Click on the links for maps of the various urbanized areas.

The State funds available for WETAP 2013 are:

FUNDING SOURCE	CY 2013
TEAM (WisDOT)	\$332,600

## Additional Funding Considerations

- Planning for the proposed project and any costs incurred prior to the contract period (calendar year) are not eligible for WETAP funding.
- Continuing projects must have met all WETAP grant requirements in previous grant cycles in order to be an eligible applicant for the next WETAP cycle.
- WETAP funding cannot replace existing sources of funds used for transportation services.
- Funding through the WETAP program is done by quarterly reimbursement, unless a waiver request for monthly reimbursement has been received and approved by WisDOT. The first reimbursement check cannot be issued until federal and state funds have been secured and a contract has been established. *Please be advised that this may not be concurrent with the beginning of the contract period.*

## GRANTEE RESPONSIBILITIES

Below are highlights of the grantee responsibilities if an award is executed. For a complete list of state and federal requirements please request a sample contract.

- Comply with the federally-mandated Certifications and Assurances. This document will be signed at the time of application and an updated version will be signed when contracts are issued.
- Submit quarterly billing and outcome forms (see Appendix A of Application) within 30 days of the close of each quarter. However, if a waiver request for monthly reimbursement has been received and approved by WisDOT, then billing and outcome forms must be received within 30 days of the close of each month.
- Each quarter one grantee will be selected at random to provide supporting documentation for all expenses incurred and billed during the billing period (e.g. receipts, timesheets). The grantee will be notified of their selection by the close of the quarter and must then provide the documentation along with the billing and outcome reports for that period.
- Complete funding reconciliation within 90 days of the close of the contract.
- Provide a copy of the agency's annual single audit to the WETAP Program Manager, if required (see Single Audit section of Application on the 'General Info' tab).
- Follow all state and federal procurement procedures. WisDOT procurement web page: <http://www.dot.wisconsin.gov/localgov/transit/procurement.htm>. Please note that if any vendors are going to be obtained with the funding from this grant, a copy of the draft RFP must be provided to the program manager prior to the RFP being issued. For an overview of purchasing guidelines please see Appendix B in the WETAP Application excel document.
- Successful applicants will be required to comply with Title VI of the Civil Rights Act requirements of the FTA. You will be required to develop and post a notification of Title VI rights, develop and follow Title VI complaint procedures and a Title VI complaint form. WisDOT has samples available for your use. Please note FTA is revising its Title VI regulations and these requirements may change.

- The recipient must include the following notification language of federal participation in all its requests for proposals, solicitations, contracts, press releases, brochures, web site, or other publications, etc. funded under this grant:

*This project is funded in part by the Federal Transit Administration (FTA) as authorized under 49 U.S.C. § 5316 Job Access Reverse Commute (CFDA 20.516).*

## PROJECT BUDGET

The project's proposed budget is submitted in the application packet via the 2013 WETAP Application excel form. If the project is selected for award the applicant may be asked to revise the budget. Any revisions to the proposed budget will be added to the application as an amendment. Any requests by the applicant/grantee to change the budget must be submitted to the WETAP Manager for approval.

The following are definitions of commonly confused budget line items:

*Project Operation* – Costs paid for direct expenses to grant operation (i.e. payment to transportation vendor for services rendered; cost of vouchers)

*Other Operating Costs* – Office supplies, facility and utility expenses, leases, etc.

### **Operating vs. Capital Expenses**

All eligible expenses associated with providing mobility management are regarded as capital expenses. Additionally, the principal value of loans for vehicle repair/purchase shall be regarded as a capital expense. Mobility management and vehicle loans are the only allowable capital expenses under WETAP.

## PROJECT OUTCOMES

All grant projects will be evaluated on the performance and completion of the specific measurements and outcomes as outlined in the grant application.

All grantees will be required to complete Quarterly Billing and Outcome Forms for both capital and operating projects, unless a waiver request for monthly reporting has been received and approved by WisDOT. These reports will be compared to the data provided in the application for purposes of compliance, evaluation and future funding consideration.

Final reimbursement for grantees will be withheld until the final grantee reports are submitted and all performance and outcome criteria specified in the grant have been achieved.

Any modification to the grant project (once awarded) must be submitted in writing to the WETAP Manager. Upon approval, a written application amendment will be issued.

Organizations must be willing to share project success for potential replication by other organizations.

### **Outcome Definitions**

Trip-Based Service

*Number of one-way rides provided:* Report the number of regular and sponsored unlinked passenger trips.

Regular Unlinked Passenger Trips (UPT) is service operated as part of the normal transit schedule. Complementary ADA paratransit trips are regular UPT. Also, bus, vanpool and intercity bus services are regular UPT.

Sponsored Unlinked Passenger Trips is transportation that is paid in whole or in part directly to the transit provider by a third party. They are offered by transit providers as part of a Coordinated Human Services Transportation Plan. Common sponsors include Veteran Administration, Medicaid, sheltered workshops, Association for Retarded Citizens-Arc, Assisted Living Centers, and Head Start programs. Sponsored UPT only apply to the Demand Response mode.

*Total hours of service:* Report the total vehicle revenue hours.

Vehicle revenue hours (VRH) are the total amount of hours for the reporting period that all vehicles travel in revenue service\*. VRH include layover but exclude deadhead, operator training, and vehicle maintenance testing, as well as school bus and charter services. For demand response mode, VRH are the total amount of hours for the reporting period that all vehicles travel from the time they pull-out to go into revenue service to the time they pull-in from revenue service. This includes the hours of personal vehicles used in service.

*Total miles of service:* Report the total vehicle revenue miles.

Vehicle revenue miles (VRM) are the miles that vehicles are scheduled to or actually travel while in revenue service\*. Vehicle revenue miles include layover/recovery time, but exclude deadhead, operator training, vehicle maintenance testing, and, school bus and charter services. For demand response mode, annual VRM are the total amount of miles for the reporting period that all vehicles travel from the time they pull-out to go into revenue service to the time they pull-in from revenue service. This includes the miles of personal vehicles and taxi cabs used in service.

Revenue Service (Miles, Hours, and Trips) is the time when a vehicle is available to the general public and there is an expectation of carrying passengers.

These passengers either:

- Directly pay fares
- Are subsidized by public policy, or
- Provide payment through some contractual arrangement.

Vehicles operated in fare free service are considered in revenue service. Revenue service includes:

- Layover / recovery time.

Revenue service excludes:

- Deadhead
- Vehicle maintenance testing
- School bus service, and
- Charter service.

*Number of jobs accessed:* Actual or estimated number of jobs accessed as a direct result of this project.

If one worker starts riding the service daily to go to the same job, report that one job was accessed that month. The following month do not report this same worker. The number of jobs accessed at the end of the year (totaled from your quarterly reports) should not count the same job more than once.

*Route length (one-way in miles):* Route length is the distance in miles from the first stop to the last stop.

#### Information-Based Service (Mobility Management)

*Number of contacts made:* Number of in-person, email or phone contacts made per month. Contact with the same person multiple times can be counted as multiple contacts.

*Number of referrals made:* Number of contacts that were referred onto another service outside of your project. Referrals to programs within your agency that are not WETAP-funded projects count towards your referral total.

*Number of jobs accessed:* Actual or estimated number of jobs accessed as a direct result of this project.

*Number of one-way work-related rides provided:* Report the actual number of one-way work-related rides were provided if the mobility manager directly provides rides. Do not count rides in this section that are included in the trip-based service or capital investments sections.

#### Capital Investments (Vehicle Loans)

*Number of jobs accessed:* Actual or estimated number of jobs accessed as a direct result of this project.

If one vehicle loan is made to an individual to drive to work and they carpool with one other individual, report that two jobs were accessed that month. The following month do not report these same jobs. The number of jobs accessed at the end of the year (totaled from your monthly reports) should not count the same job more than once.

*Number of one-way trips provided as part of the ride-sharing component:* Actual or estimated number of one-way shared trips that were provided via the purchased or repaired vehicles. Do not count any rides that carpooling was not used.

## DEFINITIONS

### **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. More information on the ADA requirements of public transportation can be found at: [http://www.fta.dot.gov/laws/leg\\_reg\\_3301.html](http://www.fta.dot.gov/laws/leg_reg_3301.html)

### **Capacity Building**

Capacity building can be defined as “the development of building blocks within a region/community to address a critical transportation need.” A fundamental goal of capacity building is to enhance the ability to evaluate and address the crucial questions related to policy and modes of implementation.

### **Disadvantaged Business Enterprise (DBE) Program**

The DBE program goal is to create a level playing field for firms owned by disadvantaged individuals in all federal aid and state transportation contracts. The program started with the Surface Transportation Assistance Act of 1982. The act set a national goal of placing at least 10 percent of federal highway and transit funds with persons who qualify as disadvantaged small business operators. A subsequent act in 1987 included women. These funds invested in highway, airport and transit in Wisconsin translates into millions of dollars in transportation-related contracts and project work for DBE firms. The 2011-2013 DBE goal for transit projects in Wisconsin is 5.25% of all contractable opportunities.

Firms eligible to participate in the DBE program include any small business at least 51 percent owned, operated and fully controlled on a daily basis by a member or members of the following groups. In the case of publicly held firms, a member or members of the listed groups must own at least 51 percent of the stock issued. These groups include:

- African Americans
- Native Americans
- Hispanic
- Asian-Pacific
- Asian-Indian Americans
- Women
- Individuals found to be disadvantaged as defined by the Small Business Act under the 8(a) program

### **FFY**

Federal Fiscal Year

### **FTA**

Federal Transit Administration

### **ICTC**

Wisconsin’s Interagency Council on Transportation Coordination

### **Large Urbanized Area**

Urbanized areas (defined as such by the U.S. Census Bureau and used in the context of FTA formula grant programs) with a population of more than 200,000.

### **Locally Developed, Coordinated Public Transit-Human Services Transportation Plan**

A plan that assesses available transportation resources, identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes, and provides prioritized strategies for funding and implementation to address transportation needs and gaps. In Wisconsin, coordination plans may be organized at the local, county, multi-county or regional level. SAFETEA-

LU requires coordination plans be developed through a process that includes a broad base of stakeholders including representatives of public, private and non-profit transportation and human service providers, and participation by members of the public.

### **Local Public Bodies**

Local public bodies include counties, municipalities, or agencies thereof. Transit commissions and Native American Tribes are also considered local public bodies.

### **Mobility Management**

Mobility management is a transportation management solution that focuses on the transportation needs of individuals through collaboration with local, county or regional public and private transportation providers, and community partners and stakeholders to develop and improve transportation coordination and service delivery. Mobility management:

- maximizes the use of fiscal and capital resources.
- improves the effectiveness and efficiency of funding, ride coordination and customer access.
- identifies the needs, gaps and barriers in service for the transportation disadvantaged (elderly, disabled, low-income) through collaboration.
- develops strategies to remedy transportation needs for the transportation disadvantaged.

Mobility management activities are eligible for WETAP funding as a capital expense.

### **Mobility Manager**

Under WETAP's definitions, a Mobility Manager is the transportation coordination leader responsible for the development and implementation of a mobility management program and its activities at the program management level.

### **Net Operating Cost (Deficit)**

Total project costs minus project revenue (e.g. passenger fares and other operating revenues).

### **Non-urbanized Area**

Any area outside of an urbanized area. The term "non-urbanized area" includes rural areas and urban areas under 50,000 in population that are not included in an urbanized area.

### **Operating Expenses**

Operating expenses are those costs directly related to project operations. Operating expenses include vehicle operations, vehicle maintenance, non-vehicle maintenance, and general administration.

### **Public Transportation**

Public transportation is defined in CHAPTER 53 OF TITLE 49, as amended by the SAFETEA-LU:

"...transportation by a conveyance that provides regular and continuing general or special transportation to the public, but does not include school bus, charter, or intercity bus transportation or intercity passenger rail transportation provided by the entity described in chapter 243 (or a successor to such entity)."

### **SFY**

State Fiscal Year

### **Small Urbanized Area**

Urbanized areas (defined as such by the U.S. Census Bureau and used in the context of FTA formula grant programs) with a population of at least 50,000 but less than 200,000.

**Transportation Coordination**

A process where human service agencies, transportation providers, consumer groups and public officials work together to develop and improve services for the elderly, persons with disabilities, and persons of low income. Goals of transportation coordination are to achieve:

- more cost effective service delivery;
- increased capacity to serve unmet needs and gaps in service;
- improved quality of service;
- improved assessment of individual mobility needs;
- improved communication so access to services are easily understood by riders;
- coordination of transportation resources funded by different programs.


**WisDOT**

Wisconsin Department of Transportation



## APPENDIX A: Purchase Guidelines

### MICRO AND SMALL PURCHASE GUIDELINES

The Wisconsin Department of Transportation (WisDOT), as the designated recipient of Federal Transit Administration (FTA) grant funds, is responsible for ensuring that sub-recipients are aware of and comply with federal procurement requirements as listed in [FTA Circular 4220.1F – Third Party Contracting Guidance](#). This document presents basic information to transit systems about the procurement process, in particular micro and small purchases, using FTA funds. It is not comprehensive and should be taken as a reference guide in making these types of purchases. WisDOT transit staff also offers the [WisDOT Procurement Manual](#)  (340 KB) to further assist local officials through the procurement process. The [FTA Best Practices Procurement Manual](#) is another resource that provides additional federal procurement assistance.

In order to qualify for reimbursement, all purchases made with FTA funds must follow appropriate procurement procedures. Each procurement, regardless of dollar threshold, shall start with an **independent cost estimate** and conclude with written documentation of the price as **fair and reasonable**, or of **fair market value**.

#### General Information

- A primary goal of any procurement using federal funding (taxpayer dollars) is to promote fair and open competition for the bid.
- An Independent Cost Estimate serves as a useful comparative tool for establishing a fair and reasonable price of an item.
- In creating a description or specification of the item to be purchased, care should be taken to not make product specifications unduly restrictive.
- Do not divide items such that they fit under a lower dollar threshold. For example, purchasing like items separately - “splitting” - so that the individual dollar amount are at a lower level procurement is not allowed.
- If the estimated price of an item is close to a dollar threshold, it is prudent to follow guidelines of greater level.
- It is important to have clear documentation – communications and actions - of the procurement process to ensure accurate review of the procurement by WisDOT. Submit appropriate documents to WisDOT electronically (email).
  - Documentation should be provided to WisDOT after the sub-recipient has received bids for the item and performed a cost analysis to determine that a price is fair and reasonable. But, materials should be provided before the sub-recipient issues a purchase order for the item.

#### Micro Purchases

- \$0 to \$2,999
- Independent Cost Estimate – surveying industry sources (internet, catalogs, vendors, transit systems), or previous purchases of like items. This estimate shall be done separately from input by vendors that might bid on the item. This is required to maintain proper ‘independence’ of the analysis and allows vendors to bid.
- Written quote from vendor – a minimum of one (1) vendor quote is required, but three (3) vendor quotes is preferred.
- Establish that a price for the item is fair and reasonable, or of fair market value: Must describe how a fair and reasonable determination is made – this statement can be made

based on a comparison to the independent cost estimate (preferred), or based on prior knowledge and expertise of a transit system administrator.

- Sub-recipients can initiate micro purchase procurements independently if they have the capacity to do so. But, a detailed summary of a procurement process shall still be provided to WisDOT for approval of reimbursement request – to ensure reimbursable purchases, materials should be communicated to WisDOT prior to the purchase order.
- See attached micro purchase procurement boiler plate for appropriate documentation guidelines.

#### Small Purchases

- \$3,000 to \$49,999
- Independent Cost Estimate – surveying industry sources (internet, catalogs, vendors, transit systems), or previous purchases of like items. This estimate shall be done separately from input by vendors that might bid on the item. This is required to maintain proper ‘independence’ of the analysis and allows vendors to bid.
- Create an accurate description, “specifications,” of item to be purchased – technical requirements for the material, product or service to be procured. Excessively detailed product descriptions should be avoided to unduly restrict competition for bid.
- Ensure three (3) price quotes minimum are obtained for the item to be purchased – written quotes from vendors.
- Establish that a price for the item is fair and reasonable, or of fair market value – this analysis and statement shall be done by comparing bid prices from vendors to the independent cost estimate.
- Detailed summary of procurement process shall be provided to WisDOT for approval – to ensure reimbursable purchases, materials should be communicated to WisDOT prior to purchase order.
- See attached small purchase procurement boiler plate for appropriate documentation guidelines.

#### Larger Purchases

- \$50,000 and over
- Must follow formal sealed bid procurement process (e.g. item specifications, independent cost estimate, request for proposal, etc.)
- To initiate the procurement, contact the WisDOT program manager for non-ARRA purchases and Ian Ritz for ARRA purchases.

*Note: This page does not provide comprehensive procurement information. It provides key, basic elements and should be viewed as a simple outline of the procurement process. Each procurement is unique and transit systems shall keep WisDOT Program and Procurement Managers informed about the purchase throughout the process. See FTA C 4220.1F for full procurement regulations and FTA Best Practices Procurement Manual for more information.*

## APPENDIX B: Example Outcome Report

The below form is the Outcome Report and, along with a billing form (similar to the operating and capital budgets in this application), is due to WisDOT within 30 days of the close of each quarter (or month if the grantee receives an approved waiver).

### Wisconsin Employment Transportation Assistance Program Outcome Report

Grantee Name: \_\_\_\_\_

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

Reporting Period: Indicate the ending month for this report: \_\_\_\_\_ Month \_\_\_ Year

**Fill in the following as appropriate. Report data for current quarter only. PLEASE SUBMIT FORM WITHIN 30 DAYS OF THE CLOSE OF EACH CALENDAR QUARTER.**

<b>Trip-Based Service</b>	
<b>Trips on Fixed Route, Flexible Route, Shuttle Service, Demand Response or Vanpool</b>	
Number of One-Way Rides Provided	0
Total Hours of Service	0
Total Miles of Service	0
Number of Jobs Accessed	0
Route Length (one-way in miles)	0
<b>User-side Subsidy (Vouchers)</b>	
Number of Vouchers Provided	0
Number of One-Way Rides Provided	0
Number of Jobs Accessed	0

<b>Information-Based Service</b>	
<b>Mobility Management</b>	
Number of Contacts Made	0
Number of Referrals Made	0
Number of Jobs Accessed	0
Number of One-Way Work-Related Rides Provided	0

<b>Capital Investments</b>	
<b>Vehicle Purchase and Repair Loans plus Repair Grants</b>	
Number of Vehicle Purchase Loans	0
Average value of Vehicle Purchase Loans	0
Number of Vehicle Repair Loans	0
Average value of Vehicle Repair Loans	0
Number of Vehicle Repair Grants	0
Average value of Vehicle Repair Grants	0
Number of Jobs Accessed	0
Number of One-Way Work-Related Rides Provided as Part of Required Ride-Sharing Component	0

<b>Participant Demographics</b>	
<b>Trip Purpose for Trip-Based Service Only</b>	
Work	0
Job Seeking or Interview	0
Childcare	0
School	0
Other	0
<b>Employment</b>	
Number of Employed Participants	0
Number of Unemployed Participants	0
<b>Income</b>	
Number of participants with income at or below 200% of the Federal Poverty Line	0
Number of participants with income above 200% of the Federal Poverty Line	0

<b>Disadvantaged Business Enterprise (DBE) Participation</b>	
Total Contractable Opportunities*	\$0.00
Total Dollars paid to DBE-Certified firms	\$0.00
Name of DBE-Certified firm:	
Name of DBE-Certified firm:	

\* The total contractable opportunities are any dollars contracted to a third party (DBE or non-DBE) for services needed to carry out the goals set forth in the approved WETAP application.