

Senior Mobility Program Project U Funding and Policy Guidelines

March 2016

November 2018

1.0 Overview

The Measure M2 (M2) Project U – Senior Mobility Program (SMP) provides funding to support local, community-based transportation service for seniors. Originally established in 2001 using limited state funding for bus operations, M2 Project U SMP funding was established to continue and expand the existing program. A formula funding allocation was established for all Orange County ~~local jurisdictions~~ participating cities and eligible agencies based upon their senior population. One percent of M2 net revenue is used to fund the program and participating cities and eligible agencies ~~local jurisdictions~~ must provide a minimum 20 percent local match of the total annual program expenditures.

~~The OCTA Board of Directors approved these guidelines on March 28, 2016.~~

~~Included in the SMP are eligible non-profits. These agencies are funded locally and must also comply with the Guidelines.*Although the senior transportation programs conducted by Abrazar, Inc., Jewish Federation and Family Services, the Korean American Senior Association and Southland Integrated Services, Inc. are not funded through Measure M2, their programs must comply with all the requirements in these Guidelines~~

~~The purpose is to provide structure and definitions for all eligible M2 jurisdictions receiving SMP funding. OCTA shall enforce the provisions spelled out in these guidelines.~~

2.0 Objectives

- To provide for local, community-based senior transportation services.
- To allow participating cities and eligible agencies ~~local jurisdictions~~ to develop and implement senior transportation services to serve their community.
- To provide transit options for seniors which complement rather than duplicate OCTA fixed route and ACCESS paratransit service.

3.0 Eligibility Requirements

Participation in the SMP is contingent upon maintaining M2 eligibility. Participating cities and eligible agencies ~~Local jurisdictions~~ must be eligible to receive M2 funding, established on an annual basis as specified in the M2 Ordinance Requirements for Eligible Jurisdictions, to receive the formula allocation for this program.¹ Adherence to strict funding guidelines is required.

¹ Orange County Transportation Authority Ordinance No. 3, Attachment B, Section III

Participating cities and eligible agencies~~Local jurisdictions~~ are required to submit a Service Plan as described in Section 7.0 and must enter into a cooperative funding agreement with OCTA that defines the conditions of use of SMP funds prior to receiving their SMP funding allocation.

4.0 Funding Allocation Method & Distribution

Funding for the program is identified as one percent of M2 net sales tax revenue and will be allocated to eligible participating cities and eligible agencies~~local jurisdictions~~ based upon the participating cities and eligible agencies~~'jurisdiction's~~ percentage of the senior population of the county. Senior population is determined by using the most current official decennial Census information provided by the U.S. Census Bureau.

Funding allocations are based on actual sales tax receipts. Funding will be distributed on a bi-monthly basis. SMP funds must be expended within three years of receipt.

OCTA may grant a two-year extension beyond the three-year expenditure limitation; however, an extension may not exceed five years from the date of the initial funding allocation. Participating cities and eligible agencies~~Jurisdictions~~ requesting an extension beyond the three-year limitation must submit a justification letter for review and approval by OCTA at least 90 days prior to the end of the third fiscal year.

In the event the time limits for use of SMP funds are not satisfied, any retained SMP funds that were allocated to an eligible participating city and eligible agency~~jurisdiction~~, including interest, shall be returned to OCTA.

5.0 Match Requirements

Participating cities and eligible agencies~~jurisdictions~~ must provide a minimum 20 percent local match of the total annual program expenditures. Match funding may be made up of cash subsidies, fare revenues, donations, or in-kind contributions such as salaries and benefits for the participating cities and eligible agencies~~'jurisdiction's~~ employees who perform work on the program. Participating cities and eligible agencies~~Jurisdictions~~ may also be required to submit supporting documentation to substantiate local match expenditures. Participating cities and eligible agencies ~~-Jurisdictions~~ are not required to contribute the minimum match requirement on a monthly basis; however, the minimum 20 percent match requirement must be met by the end of each fiscal year, defined as June 30.

Participating cities and eligible agencies~~Jurisdictions~~ not satisfying the annual 20 percent match shall be subject to withholding of funds from future bi-monthly allocations equal to the difference between the amount of Measure M funds actually spent and the amount of Measure M funds actually matched.

Example:

Total Program Expenditures	\$100,000
Total M2 Funding Allocation	\$ 80,000
20% Required Match	\$ 20,000
Actual Reported Match	\$ 15,000

Withholding Calculation:

Total M2 Funds Spent	\$ 80,000
M2 Funding Eligibility Based on Actual Reported Match	- <u>\$ 60,000</u>
Withholding from Future Allocation(s)	\$ 20,000

6.0 Service Guidelines

Services provided under the SMP are available to individuals 60 years of age and older. Participating cities and eligible agencies~~Jurisdictions~~ have discretion in the types of trips provided within Orange County, such as trips to/from senior centers, medical appointments, shopping, personal care, and social/recreational activities. Participating cities and eligible agencies~~Jurisdictions~~ should use discretion when providing trips for social/recreational activities when developing their Service Plan to ensure prudent and appropriate use of taxpayer funds. SMP trips outside Orange County are restricted to medical trips only within approximately 10 miles of the Orange County border.

Participating cities and eligible agencies~~Jurisdictions~~ also have discretion in how the service is operated. Senior transportation services may be operated using employees, volunteers, or the jurisdiction may contract with a third-party service contractor. Contractors must be selected using a competitive procurement process and the participating city and eligible agency~~jurisdiction~~ must ensure the contractor is in compliance with program guidelines and provisions included in the cooperative funding agreement.

Participating cities and eligible agencies~~Jurisdictions~~ whose program offers subsidized taxi service for seniors must ensure trips provided with SMP funding are consistent with the trip types as specified in these guidelines.

Wheelchair accessible vehicles must be available for SMP service.

Participating cities and eligible agencies~~Jurisdictions~~ will perform, or ensure that a contractor performs, maintenance of all vehicles used in the Senior Mobility Program. Participating cities and eligible agencies~~Jurisdictions~~ will ensure that its operators, or its contracted operators, are properly licensed and trained to

proficiency to perform duties safely, and in a manner which treats its riders with respect and dignity.

Participating cities and eligible agencies~~Jurisdictions~~ may receive one retired OCTA ACCESS paratransit vehicle(s) per year, free of charge, to support their senior transportation programs. ~~Additional subject to availability. Any~~ retired ACCESS vehicles in excess of one per year may be purchased, ~~based on availability,~~ for a cost equivalent to the refurbishment costs incurred by OCTA.

7.0 Service Plan Adoption

Participating cities and eligible agencies ~~Participating jurisdictions~~ shall submit to OCTA a SMP Service Plan which defines program services (Exhibit A). The Service Plan must be submitted using a template provided by OCTA and must be adopted by the participating cities and eligible agencies'~~jurisdiction's~~ governing body and approved by the OCTA Board of Directors. Any ~~deviation from~~revision to the adopted SMP Service Plan must be submitted to OCTA in advance for review and approval ~~and~~. Revisions to the trips listed on the service plan will require an amendment to the cooperative funding agreement prior to implementing a change in program services.

88.0 Insurance

Participating cities and eligible agencies~~jurisdictions~~ shall procure and maintain insurance coverage as specified in their Senior Mobility Program cooperative agreements with ~~OCTA~~the Authority.

9.0 Drug and Alcohol Testing

Participating cities and eligible agencies~~jurisdictions~~ shall establish and implement an alcohol and drug testing program that complies with applicable laws~~41 U.S.C. sections 701-707, (the Drug Free Workplace Act of 1988), and will produce any documentation necessary to establish its compliance with sections 701-707.~~

10.0 Marketing and Outreach

Participating cities and eligible agencies ~~jurisdictions~~ shall participate as appropriate in OCTA marketing and outreach efforts to encourage the use of fixed route transit service by older adults.

11.0 Recognition of OCTA Sponsorship

Participating cities and eligible agencies~~jurisdictions~~ shall note ~~OCTA Authority~~ sponsorship in any promotional material for senior mobility services funded by OCTA and shall display an OCTA-provided OC Go Senior Mobility Program decal on vehicles used in this Program, excluding taxis.

12.0 Vehicle Maintenance

Participating cities and eligible agencies~~jurisdictions~~ shall perform or ensure that a contracted vendor performs maintenance of all vehicles used in the Program, including:

Daily pre-trip inspections and completion of checklists identifying each vehicle component and system inspected.

Scheduled preventive maintenance that meets or exceeds the vehicle manufacturer's standards.

Maintaining maintenance records for each vehicle for five years.

If required, cooperation in annual motor coach carrier terminal inspections conducted by the California Highway Patrol.

13.0 Eligible Expenses

Participating cities and eligible agencies~~jurisdictions~~ shall ensure M2 funds are used for eligible direct program-related expenses which may include contract service providers, staff time, vehicle maintenance, fuel, insurance, vehicle acquisition, program supplies and materials, marketing materials, and community outreach. Participating cities and eligible agencies~~Jurisdictions~~ shall ensure all costs are program-related and are fair and reasonable. Administrative costs up to 10 percent are allowed and considered eligible program expenses. All program expenses are subject to audit.

No M2 funding shall be used by a participating city and eligible agency~~jurisdiction~~ for other than transportation purposes authorized in the M2 Ordinance.

914.0 Program Revenue

Participating cities and eligible agencies~~jurisdictions~~ must maintain adequate controls for collecting and reporting program revenue, including donations, fees, and cash fares. Program revenue must be used to support the transportation service and may be used as part of the participating cities and eligible agencies'~~jurisdiction's~~ 20 percent local match requirement.

1015.0 Reporting

Participating cities and eligible agencies~~jurisdictions~~ are required to submit ~~monthly~~ reports using ~~a reporting template~~templates provided by OCTA ~~(Exhibit B)~~. Required ~~monthly~~ reporting data will~~may~~ include, but ~~is~~are not be limited to, the following:

A. Operational Reports

- Number of Trips by Category
- Vehicle Service Hours
- Vehicle Service Miles

Operational reports are due 30 days after the end of the service month.

B. Financial Reports

- Program Cost Detail by Expense Category and % of Total Operating Cost
- Fares, Fees and Other Operating Revenue
- Participating City and Eligible AgencyJurisdiction Total Contribution & Source
- Participating City and Eligible AgencyJurisdiction Share as % of Total Operating Cost
- Cumulative Participating City and Eligible AgencyJurisdiction Share to Date
- OCTA Contribution
- OCTA Contribution as % of Total Operating Cost
- Cumulative Contribution Received from OCTA
- Total Monthly Program Operating Cost
- Cumulative Total Program Operating Cost

Financial reports are due 60 days after the end of the quarter. Reports must be signedcertified by the participating city and eligible agencyjurisdiction's Finance Director or Finance Director's financial designee.

Participating cities and eligible agenciesJurisdictions shall ~~also~~ be required to maintain supporting documentation to substantiate reporting data. Supporting documentation may include, but is not limited to, actual receipts, contractor invoices, trip sheets, payroll, timesheets, fuel logs, and maintenance records/receipts.

C. ~~Reports are due~~Annual Questionnaire and Document Request (AQDR)

Participating cities and eligible agenciesJurisdictions shall certify their compliance with these Guidelines annually by the last day of the following month. A preliminary report mayhaving their City Manager or City Manager's department director designee sign a completed version of a questionnaire sent out by OCTA. Jurisdictions shall also submit all compliance-related documents requested by OCTA. Completed AQDRs must be submitted; however, submission of a final report is required to OCTA within 1590 days of the last dayend of the following month.fiscal year reported upon.

Failure to meet the established reporting ~~deadline~~deadlines for ~~two months at any time during the fiscal year of these reports~~ may result in future withholding of funding and/or other sanctions to be determined.

M2 funding is subject to audit. Participating cities and eligible agenciesJurisdictions shall maintain program documentation and records for a period of no less than five years. Program documents and records, including but not limited to payroll, trip sheets, invoices, vehicle maintenance, fuel, and other program-related expenses, shall be available for review by OCTA SMP administrators, auditors, and authorized agents upon request. Participating cities and eligible agenciesJurisdictions must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in withholding or loss of future funding. Failure to comply with the approved Service Plan will require remediation which may include repayment, reduction in overall allocation, and/or other sanctions to be determined by the OCTA Board of Directors.

Audits shall be conducted by the OCTA Internal Audit Department, or other authorized agent, as determined by OCTA.

OCTA's failure to insist in any one or more instances of a participating city and eligible agencyjurisdiction's performance of the provisions set forth in these guidelines shall not be construed as a waiver or relinquishment of the participating city and eligible agencyjurisdiction's obligation to comply with these guidelines.

Moreover, only the OCTA Board of Directors shall have the authority to alter and/or waive any requirements/obligations set forth in these guidelines.



Senior Mobility Program

Agency Service Plan

~~Cities and eligible agencies~~~~Jurisdictions and agencies~~ participating in the Orange County Transportation Authority (OCTA) Senior Mobility Program (SMP) must complete the following Service Plan in order to receive SMP funding. The Service Plan must be developed in accordance with SMP Guidelines and submitted to OCTA for review. Upon review from OCTA, the Service Plan must be formally adopted by the agency's council or governing body and approved by the OCTA Board of Directors. Any modifications to trip types (Item 3 below) requires submittal of a new Service Plan.

Participant Information:

Agency _____ Date _____

Program Contact _____

Phone _____ Email _____

Service Description:

1. Program goals and objectives:

2. Indicate how SMP service will be operated: *(Please check all that apply)*

- | | |
|--|--|
| <input type="checkbox"/> Directly-Operated | <input type="checkbox"/> Subsidized Taxi Program |
| <input type="checkbox"/> Contract Service Provider | <input type="checkbox"/> Other (Please Describe) |
| <input type="checkbox"/> Volunteers | |

3. Eligible trips provided under the SMP are limited to the following categories.

<u>Amusement parks</u> <u>Aquariums/zoos</u> <u>Beaches and parks</u> <u>Charity and social group events</u> <u>Community/cultural events</u> <u>Education/employment-related</u> <u>Family and friends</u> <u>Funerals/memorial services</u> <u>Government offices and services</u> <u>Libraries/museums/cultural sites</u>	<u>Medical</u> <u>Movie theaters/concerts</u> <u>Nutrition programs</u> <u>Personal care</u> <u>Religious institutions</u> <u>Restaurants</u> <u>Senior Centers</u> <u>Shopping</u> <u>Sporting/fitness</u> <u>Transit hubs/centers</u>
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Describe any other types of trip provided in the box below:

4. SMP Guidelines restricts trips outside of Orange County to medical trips within approximately 10 miles of the Orange County border. Do you intend to provide medical trips outside of Orange County?

☐ Yes

☐ No

If yes, please list any destinations outside Orange County: (*ex. - medical trips to the VA Hospital in Long Beach*)

1.

2.

3.

5. Fare structure:

6. Number of vehicles:

7. Projected annual ridership:

8. Source(s) of 20 percent match funding:

Program Requirements:

- ~~1. Jurisdiction/Agency shall follow competitive procurement practices in selection of vendors for all services which it does not provide using its own work force. Any~~

- ~~Request for Proposals (RFP) for services shall specify the use of vehicles meeting Americans with Disabilities Act (ADA) accessibility standards.~~
- ~~2. Jurisdiction/Agency will perform, or ensure that a contracted vendor performs, maintenance of all vehicles used in the Senior Mobility program, including, at a minimum:~~
 - ~~a) Daily Pre-Trip Inspections that meet or exceed the guidelines provided in the attached Pre-Trip Inspection Checklist (Attachment 2)~~
 - ~~b) Scheduled preventative maintenance that meets or exceeds the guidelines provided in the attached PM Checklist, including the maintenance of all accessibility features of the vehicles.~~
 - ~~c) Maintain maintenance records for each vehicle for five (5) years and, if required, cooperate fully in annual motor coach carrier terminal inspections conducted by the California Highway Patrol.~~
 - ~~3. Jurisdiction/Agency will ensure that its operators, or its contracted vendor's operators, are properly licensed and trained to proficiency to perform duties safely, and in a manner which treats its riders with respect and dignity. Disability awareness and passenger assistance will be included in this training.~~
 - ~~4. Jurisdiction/Agency will establish and implement an alcohol and drug program that complies with 41 U.S.C. sections 701-707, (the Drug Free Workplace Act of 1988), and will produce any documentation necessary to establish its compliance with sections 701-707.~~
 - ~~5. Jurisdiction/Agency will submit a monthly report to OCTA's Community Transportation Services Department as illustrated in Attachment 3.~~
 - ~~6. Jurisdiction/Agency will participate in OCTA marketing and outreach efforts to encourage use of fixed route transit service by older adults.~~
 - ~~7. Jurisdiction/Agency will note OCTA sponsorship in any promotional material for service funded under this agreement and will display an OCTA Senior Mobility Program logo on vehicles used in this program (excluding taxis).~~
 - ~~8. Jurisdiction/Agency will ensure that it maintains adequate oversight and control over all aspects of services that are provided by a contracted vendor.~~

IN WITNESS WHEREOF, _____ (Agency Name) _____ has formally adopted the Senior Mobility Program Agency Service Plan as written above.

AGENCY REPRESENTATIVE

(Signature)

Name: _____

Title: _____

OCTA REPRESENTATIVE

(Signature)

Name: _____

Title: _____