



**Accessible Transportation & Workforce Interagency Cooperative**

**Fiscal Year 2011  
Instruction Guide**

**Urbanized Area Formula  
Job Access and Reverse Commute (JARC)  
and  
New Freedoms Initiatives (NFI)  
Grant Application Process**

**Pittsburgh Urbanized Area**

**March 5, 2010**

**Application Deadline: April 7, 2010 by 12:00 Noon**

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## **FISCAL YEAR 2011 JOB ACCESS AND REVERSE COMMUTE AND NEW FREEDOM PROGRAM GUIDE AND APPLICATION**

### ***Introduction***

The Accessible Transportation & Workforce Interagency Cooperative (ATWIC) is requesting applications for projects within the Pittsburgh urbanized area for funding under two Federal Transit Administration (FTA) programs:

- Urbanized Area Formula (Section 5316) Job Access and Reverse Commute (JARC)
- Urbanized Area Formula (Section 5317) New Freedom Initiatives (NFI).

ATWIC, a joint partnership of the Port Authority of Allegheny County, the Southwestern Pennsylvania Commission (SPC), and the Three Rivers Workforce Investment Board (TRWIB), is overseeing the competitive selection process for these two grant programs.

### ***Program Information***

#### **Program Goals**

##### ***Job Access and Reverse Commute***

The goal of the Job Access and Reverse Commute (JARC) program is to develop new services and improve existing transportation services to connect welfare recipients and low-income<sup>1</sup> individuals to work and needed employment support services such as childcare and job training activities, and to transport residents of urbanized areas and non-urbanized areas to suburban employment opportunities. With many new entry-level jobs located in suburban areas, low-income and/or welfare recipients have found it difficult to access these jobs from the intercity, urban, and rural neighborhoods on a daily basis. Many entry-level jobs require working late at night or on weekends when conventional transit services in many communities are either reduced or non-existent. Many employment-related trips are complex for low-income persons, often involving multiple destinations, including reaching childcare facilities and other services as part of the work trip.

Eligible activities for JARC Grants: Funds include capital, planning, and operating expenses to support activities, including, but not limited to: late night and weekend service, guaranteed ride home service, facilitating the provision of public transportation services to suburban employment opportunities, supporting new mobility management and coordination programs among public transportation providers and human service providers, etc. For a complete list of eligible Job Access Reverse Commute activities, see the JARC program circular – FTA Circular 9050.1 effective May 1, 2007.

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<sup>1</sup> Eligible Low-income Individual: Refers to an individual whose family income is at or below 150 percent of the poverty line for a family of the size involved.

### *New Freedom Initiatives*

The goal of the New Freedoms Initiatives Program is to support new public transportation services and public transportation alternatives to address the transportation needs of persons with disabilities<sup>2</sup> including transportation to and from jobs and employment support services, beyond those required by the Americans with Disabilities Act (ADA) of 1990. For the purpose of the New Freedoms 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 Program (TIP) or the State Transportation Improvement Program (STIP).

Eligible Activities for New Freedoms Grants: Eligible projects funded with New Freedoms funds may continue to be eligible for New Freedoms 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 are required to go beyond the requirements of the Americans with Disabilities Act and 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.

Recipients or sub-recipients may not terminate Americans with Disabilities Act paratransit enhancements or other services funded as of August 10, 2005, in an effort to reintroduce the services as “new” and then receive New Freedoms funds for those services.

Activities that could be funded under the program include, but are not limited to enhancing paratransit beyond minimum requirements of the ADA, new feeder services (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, new Public Transportation Alternatives beyond the Americans with Disabilities Act, etc. For a complete and extensive list of eligible New Freedoms activities, see the New Freedoms program circular – FTA Circular 9045.1 effective May 1, 2007.

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<sup>2</sup> An individual who, because of illness, injury, age, congenial malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use effectively, without special facilities, planning, or design, public transportation service or a public transportation facility.

### **Coordination Requirements**

JARC and NFI are authorized under the provisions set forth in the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), enacted on August 5, 2005. SAFETEA-LU requires that projects funded through the JARC and NFI programs be derived from a locally developed, coordinated public transit-human service transportation plan (“coordinated plan”). *The Southwestern Pennsylvania Public Transit Human Services Coordinated Transportation Plan*, adopted in January 2008, serves as the coordinated plan for the 10-county region of southwestern Pennsylvania. The plan 1) identified and prioritized the transportation needs of senior citizens, persons with disabilities, and low-income individuals, 2) developed strategies for addressing the identified needs, and 3) created an evaluation methodology for selecting projects for JARC and NFI funding.

Applicants are strongly encouraged to familiarize themselves with the coordinated plan and ensure that their proposed project(s) is consistent with the plan. Additionally, project sponsors are expected to coordinate with other private, public, non-profit, and human service transportation providers in their area.

The coordinated plan can be viewed and/or downloaded on the ATWIC website at [www.atwic.org](http://www.atwic.org).

### **Program Funding Cycle**

This application covers the 2011 Fiscal Year (July 1, 2010 through June 30, 2011). This is a one-year application cycle; however, recipients of these funds will be able to apply for funds in subsequent years. Recipients should consider long-term efforts and identify potential funding sources for sustaining the project beyond the grant period.

### **Eligible Applicants**

There are three categories of eligible applicants for JARC and NFI funds:

- Private non-profit organizations defined as a corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501 (c) which is exempt from taxation under 26 U.S.C. 501 (a) or one which has been determined under State law to be non-profit and for which the designated State agency has received documentation certifying the status of the non-profit organization.
- State or local governmental authority; and
- Operators of public transportation services, including private operators of public transportation services.

### **Match Requirements**

JARC and NFI funds may be used to finance capital 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 net operating costs of the activity.

The local share of eligible capital and operating projects is 20 percent and 50 percent respectively of net project costs. In Pennsylvania, the local share of each grant will be met using funding from PennDOT's Programs of Statewide Significance.

Though the local share requirements are satisfied for eligible project applicants, ATWIC strongly encourages project sponsors to secure contributions from local stakeholders including local municipal governments, human service agencies, private sector entities, and foundations among others. A local contribution demonstrates local commitment to the project. In addition, it allows the region's allocation of Federal dollars to be stretched further to address more of the region's unmet needs.

### ***Definitions of Local Match***

The application requests information about the types and sources of a project's local contribution. JARC and NFI allow local match contributions from the following types of sources:

- Local government appropriations;
- Other non-DOT Federal funds that permit by statute use of local match to other federal awards;
- Dedicated tax revenues;
- Private donations;
- Revenue from human service agency contracts;
- Net revenue from advertising and concessions; and
- Non-cash share such as donations, volunteered 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.

This application makes a further distinction about local contribution. Some local contribution is considered "hard" match (i.e., cash) or "soft" match (i.e., non-cash). The following are the definitions of hard versus soft local match.

- **Local Hard Match (cash):** Includes locally generated revenue from municipal and county governments and contributions from the private sector and foundations, among others. It does not include funding from US DOT federal programs, other non-DOT federal programs, or programs funded by Pennsylvania state agencies such as the Pennsylvania Department of Transportation.

- **Local Soft Match (non-cash):** Includes donations, volunteered services, or in-kind contributions. The value of each must be documented and supported, represent a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget.

### **Financial Capacity**

Projects that are selected for funding through either the JARC or NFI programs will be required to demonstrate that their agency has sufficient 90-day cash flow in order to begin implementation of the project. This can be demonstrated through documentation of cash reserves on hand, a line of credit, or a letter from a guarantor agency among others.

### **Performance Monitoring**

JARC and NFI grantees will be required to submit monthly operating statistics and performance measures. Projects that operate below expectations will be required to implement corrective actions in consultation with ATWIC. The ATWIC program manager will make a minimum of one site visit per year to each of the grantees in order to monitor the administration and oversight of the grant.

### **Continuous Improvement**

This application and evaluation process is evolving. It is the goal of ATWIC to make continued improvements in subsequent funding cycles.

Project applicants will be encouraged to comment on the application and evaluation and to provide feedback on possible improvements. In addition, applicants are requested to track the amount of time that was spent completing the application.

A brief survey will be sent to all applicants at the conclusion of the selection process to obtain their input on the process.

## ***Application Information***

### **Form of Application**

This application is available in Microsoft Word, PDF and hard-copy (*upon request*) formats. Type your responses directly into the Word file. Except where word limits are noted, responses to questions are not limited to the space provided beneath each question. Additional lines can be added to the tables if needed. Proposals should be prepared economically. Special binding is not required. Do not provide information that is not specifically requested in the application.

### **Questions about the Application**

Questions concerning the programs and/or the application process should be directed to: Tom Klevan, Coordinator of Regional Transit Projects – Southwestern Pennsylvania Commission, 425 Sixth Avenue, Suite 2500, Pittsburgh, PA 15219-1852, 412-391-5590 ext. 316, [tklevan@spcregion.org](mailto:tklevan@spcregion.org).

### **Application Deadline**

Applications are due on **Wednesday, April 7, 2010 by 12:00 p.m.** You must submit 10 hard copies of the application and attachments and email an electronic version of the application without supporting documentation attachments by the deadline. Send applications to:

ATWIC  
Regional Enterprise Tower  
425 Sixth Avenue, Suite 650  
Pittsburgh, PA 15219  
Email: [tklevan@spcregion.org](mailto:tklevan@spcregion.org)

**Application Timeline**

<b>Activity</b>	<b>Date</b>
Application available on ATWIC's website. Notice of application availability disseminated.	Friday, March 5, 2010
Applications Due to ATWIC	Friday, April 9, 2010 12:00 p.m.
Applications reviewed by ATWIC Performance Review Committee	April 12 to April 23, 2010
List of Recommended Projects forwarded the ATWIC Oversight Committee	Tuesday, April 30, 2010
Notification of Awards	Wednesday, May 12, 2010
Anticipated start date for projects	Thursday, July 1, 2010

**Project Selection Process**

The ATWIC Performance Review Committee (PRC) is charged with developing a recommended program of JARC and NFI projects by ranking the projects in accordance with specific criteria. The ATWIC Oversight Committee selected the members of the PRC. The PRC may contact an applicant if clarification is needed on the content of the application. Upon completion of the review, the recommended program of projects will be presented to the ATWIC Oversight Committee. The Oversight Committee is responsible for final project selection.

### **Selection Criteria**

The criteria and methods for ranking project applications are contained in Appendix A. The criteria are designed to affirm project eligibility of the submitted projects and to gauge the relative strengths of the projects with respect to:

- Project Information and Capacity to Implement
- Ability to enhance coordination
- Extent to which unmet needs are addressed
- Sustainability
- Performance

### **Scoring Sheet and Application Checklist**

The scoring associated with Part II of the application is a sum of three factors. For Part III, a project's total weighted score is the sum of the weighted subtotal scores for each of the factors. The Scoring Sheet is documented in Appendix C.

Applicants must also complete an application checklist that notes that all of the required elements have been attached.

## **APPENDIX A: EVALUATION METHODOLOGY**

A task in the process to develop the coordinated plan was the development of evaluation criteria for selecting projects. Through a series of meetings, the project's Steering Committee developed the evaluation methodology with input from stakeholders at the project roundtables. The intent of the evaluation process was to: 1) develop a set of criteria that are as objective as possible; 2) reward projects in the process that are coordinated and address the gaps and issues identified in the Plan; and 3) select projects that have long-term financial stability.

The evaluation methodology has two components. Each project will receive a score for each component. In the initial review of applications, projects will be ranked according to their scores in both components. The following is a description of the scoring for each of the components. A scoring sheet that accompanies the application allows the applicant to self-score their application.

### ***Evaluation Component 1: Project Information and Capacity to Implement***

Part II of the application is titled "Project Information and Capacity to Implement." The intent of this section of the application is to gauge the extent to which a proposed project or project sponsor:

- Is relevant to the goals and intent of the specific funding program;
- Has the financial commitment and capacity to implement the project; and
- Has the management and organizational structure in place to manage and implement the project.

A maximum of five points will be awarded for each of these evaluation factors.

### ***Evaluation Component 2: Enhanced Coordination, Unmet Needs, Sustainability, and Performance Plan***

To meet the intent of the funding programs, each project must demonstrate that it:

- Advances transportation coordination and eliminates duplication;
- Meets the unmet need of the targeted population groups including individuals with low incomes, individuals with disabilities, and elderly individuals;
- Has long-term financial viability; and
- Is an efficient and effective use of public funds.

The following is a description of the factors that will be used to evaluate each project according to these criteria.

**Enhanced Coordination**

***Extent of Partnerships***

**Participating Agencies:** A “participating agency” is one that provides service, purchases service, and/or facilitates the provision of service through brokerage, call taking, dispatch, or vehicle sharing among others. This relationship should be documented through copies of Memoranda of Understanding between the project sponsor and the “participating agency.”

Six or more participating agencies	8 Points
Two to five participating agencies	4 Points

***Augmentation of Existing Services***

Augmentation of existing services includes providing connections to other services, encouraging the use of other services, and accommodating gaps in other services among others.

Augments 2 or more transit/human service services	10 Points
Augments 1 public transit OR human service	5 Points

***Duplication of Service***

Duplicates other services in entirety	-25 Points
Duplicates other services in part	-20 Points
Incidental Duplication	-5

**Unmet Needs of the Target Populations**

Projects accrue points if the project addresses the gaps and issues identified as priorities during the development of the coordinated plan. The project proponent must offer supporting information to illustrate how the project addresses the unmet needs, but can make a case for as many of these identified needs as possible. The unmet needs listed below are the priority needs described in Chapter V of the *Southwestern Pennsylvania Public Transit Human Services Coordinated Transportation Plan*.

<b><i>Inter-County Service</i></b>	
Rural Areas to & from Cities/Towns	5 Points
Outlying areas to & from Pittsburgh (within the Pittsburgh Urban Area)	3 Points
Improved Travel Time on Long Trips	1 Point
<b><i>Expanded Service/ Service Enhancements</i></b>	
Evening/Weekend Service	5 Points
Increased Service to 2nd/3rd Shift Jobs	5 Points
Implementation of Programs to Reduce Costs Among Providers	5 Points
Augmenting Service in Areas Affected by PAAC Service Reductions	3 Points
Improving Utilization of Existing Vehicle(s)/Services	1 Point
Emergency Ride Home Program	1 Point
<b><i>Information/Mobility Management Programs</i></b>	
Expansion/Consolidation of Existing Mobility Mgmt Program	5 Points
Implementation of a New Call Center	3 Points
Travel Training/Itinerary Planning Programs	3 Points
Improvement/Development Of Information About Available Services Or Existing Gaps In Services To Support Mobility Management Function	3 Points
Enhancement of Existing Mobility Management Systems and Call Center	1 Point
<b><i>Eligibility/Accessibility</i></b>	
Expand Eligibility for Program Non-Qualifiers	5 Points
Voucher Programs/User Cost Reduction	3 Points
Improved Access to Transportation	1 Point

**Sustainability**

***Matching Funds —Non-FTA Funds***

JARC and NFI funds may be used to finance capital 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 net operating costs of the activity.

The local share of eligible capital and operating projects is 20 percent and 50 percent respectively of net project costs. In Pennsylvania, the local share will be met using funding from PennDOT’s Programs of Statewide Significance.

Points will be awarded to JARC and NFI applicants that can provide an overmatch to the FTA funds. The following schedule outlines the point levels that a project can receive for this evaluation component.

Capital Projects (FTA Cap at 80%)	Operating Projects (FTA Cap at 50%)	Points
Any reduction	Any reduction	2 Points
60-75%	35-45%	5 Points
45-59.9%	25-34.9%	10 Points
Less than 45%	Less than 25%	15 Points

Following are two examples of how projects can receive points for providing a local contribution:

*Project 1*

Project 1 is an operating project with a total operating budget of \$200,000. The projected fare revenue is \$30,000. Thus, the net operating expense is \$170,000. For operating projects, the maximum Federal share is 50 percent of the net operating expenses. The local share (provided by PennDOT) is also 50 percent of the net operating cost. The applicant has secured a total local contribution of \$40,000.

The table below shows the difference in points awarded if this project does not provide a local contribution and if it does provide one.

<b>Project without Local Contribution</b>		<b>Project with Local Contribution</b>	
Total Operating Expense	\$200,000	Total Operating Expense	\$200,000
Operating Revenue (e.g., fares, advertising)	\$30,000	Operating Revenue (e.g., fares, advertising)	\$30,000
Net Operating Expense	\$170,000	Net Operating Expense	\$170,000
Local Contribution	\$0	Local Contribution	\$40,000

<b>Net Operating Expense Less Local Contribution</b>	<b>\$170,000</b>	<b>Net Operating Expense Less Local Contribution</b>	<b>\$130,000</b>
Federal Share (50% of Net Operating Expense Less Local Contribution)	\$85,000	Federal Share (50% of Net Operating Expense Less Local Contribution)	\$65,000
Local Share (PennDOT) (50% of Net Operating Expense Less Local Contribution)	\$85,000	Local Share (PennDOT) (50% of Net Operating Expense Less Local Contribution)	\$65,000
Resulting Federal Share of Net Operating Expense	50%	Resulting Federal Share of Net Operating Expense	38%
<b>Points Awarded</b>	<b>0</b>	<b>Points Awarded</b>	<b>5</b>

By providing \$40,000 in local contribution, the project sponsor reduces the Federal share from 50 percent to 38 percent of net operating costs.

*Project 2*

Project 2 is a capital project to purchase scheduling and dispatching hardware and software to support a coordinated transportation project. The total cost of the new system is \$100,000. For capital projects, the maximum Federal share is 80 percent of the capital expense. The local share (provided by PennDOT) is 20 percent of the capital expense. The applicant has secured a total local contribution of \$50,000.

<b>Project without Local Match</b>		<b>Project with Local MATCH</b>	
Total Capital Expense	\$100,000	Total Capital Expense	\$100,000
Local Match	\$0	Local Match	\$50,000
<b>Capital Expense Less Local Match</b>	<b>\$100,000</b>	<b>Capital Expense Less Local Match</b>	<b>\$50,000</b>
Federal Share (80% of Capital Expense Less Local Match)	\$80,000	Federal Share (80% of Capital Expense Less Local Match)	\$40,000
Local Share (PennDOT) (20% of Capital Expense Less Local Match)	\$20,000	Local Share (PennDOT) (20% of Capital Expense Less Local Match)	\$10,000
Resulting Federal Share of Net Capital Expense	80%	Resulting Federal Share of Net Capital Expense	40%
<b>Points Awarded</b>	<b>0</b>	<b>Points Awarded</b>	<b>15</b>

By providing \$50,000 in local match, the project sponsor reduces the Federal share from 80 percent to 40 percent of capital costs.

***Local Hard and Soft Match***

Points will be awarded based on the levels of local hard and soft matches secured by a project applicant. The definitions of hard and soft local contributions are defined in the Program Information section of this document.

Local Hard Match $\geq$ 5% of net project cost	5 Points
Local Hard Match between 2.5% and 5% of net project cost	3 Points
Local Soft Match $<$ 2.5% of net project cost	0 Points
Local Soft Match $\geq$ 2.5% of net project cost	2 Points

***Funding Eligibility***

Project Can/Could Utilize 2 or more FTA Funding Programs (i.e., 5310, 5316, 5317)	5 Points
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**Performance Plan**

As a part of the application process, project sponsors are required to submit clearly defined, measurable, and output/outcome-based performance measures to track the effectiveness of the project in meeting the identified goals and affect on transportation-disadvantaged individuals. A proposed plan of action should be provided for ongoing monitoring and evaluation of the service. In the evaluation, points for the performance plan will be based on the review of the evaluation committee and awarded to the project if deemed acceptable. If the performance measures are determined not to be acceptable, the evaluation committee reserves the right to negotiate with the project applicant on more reasonable measures. Those projects that have all of their measures accepted will receive a maximum of 20 points.

There are four types of performance plans that can be used by JARC and NFI applicants. Agencies should use the plan or plans that that best fits their project. Type 1 is recommended for transit operating projects, Type 2 is recommended for Human Service Agencies, Type 3 is recommended for capital procurement projects, and Type 4 is recommended for capital non-procurement projects such as mobility manager and planning projects.

**REVIEW THE GUIDANCE PROVIDED IN APPENDIX B PRIOR TO DEVELOPING YOUR PERFORMANCE MEASURES.**

***Transit Operating Projects and Non-Procurement Capital Projects (includes Mobility Management projects) (Type 1 and Type 4)***

These projects must submit the following three performance measures:

- **Service Effectiveness** (i.e., Addressing Unmet Needs): Quantification of project outcomes (e.g., number of passengers, trainees, employee matches, etc.)
- **Cost Efficiency**: Cost per unit of input resource (e.g., cost per hour)
- **Cost Effectiveness**: Cost per outcome (e.g., cost per passenger)

In the application, the project sponsor must follow a step-by-step process for developing and documenting the performance measures.

***Human Service Operating Projects (Type 2)***

This Performance Plan is similar to the Type 1 and 4 Plans. However, it is a five step plan and does not require service effectiveness, cost efficiency and cost effectiveness measures.

The applicant is given more latitude to determine their type of targeted outcome measures.

***Capital Purchase Projects (Type 3)***

Projects that involve a capital purchase (e.g., vehicle, scheduling and dispatching programs, and installation of sidewalks and curb cuts, etc.) must submit milestone-based performance measures that outline the critical dates for implementation of your project. Critical dates can include, but are not limited to:

- Finalization of specifications
- Bid advertisements
- Opening of bids
- Selection of successful bidder
- Contract signed by bidder
- Construction start date
- Closeout of contract

## **APPENDIX B: DEVELOPMENT AND EVALUATION OF PERFORMANCE MEASURES FOR JARC AND NFI PROJECTS**

### ***Introduction***

The evaluation committee will be insuring that projects funded under the Job Access and Reverse Commute (JARC) and New Freedoms Initiatives (NFI) programs achieve the desired goals in an efficient and cost-effective manner. In a competitive environment, those projects that provide the greatest outcome for the dollar investment should score the highest.

Performance measurement gives us the tools to assess the relationship between cost and services and the overall productivity of the service. Most importantly, performance measurement is the means to evaluate the progress towards the attainment of project goals and objectives.

The performance measure portion of the evaluation process will provide the evaluation committee with necessary information that will serve as the basis for determining if a project is an appropriate investment of scarce program resources. The committee can use the data to assess a project's current performance, measure progress toward the achievement of goals and objectives, and identify project refinements, modifications, or realignments that might offer greater outcomes for the dollar investment. By comparing performance measures to industry standards, the committee can also use the data to identify projects that are not meeting their full potential.

### ***Capital Procurement Projects***

Projects that involve a capital purchase (e.g., vehicle, scheduling and dispatching programs, and installation of sidewalks and curb cuts, etc.) must submit milestone-based performance measures that outline the critical dates for implementation of your project. Critical dates can include, but are not limited to:

- Finalization of specifications
- Bid advertisements
- Opening of bids
- Selection of successful bidder
- Contract signed by bidder
- Construction start date
- Closeout of contract

## ***Transit Operating, Human Service Operating, And Capital Non-Procurement Projects***

### **Outputs and Outcomes**

Typically, outputs are direct results of a project activity, common in transit projects. They are often expressed as number of passengers, cost per revenue hour or per passenger trip.

Outcomes are the impact of the project activities, common in human service or mobility manager projects. They can be expressed as the number of low income individuals that use a agency to get to work or the number of individuals with a disability that have their mobility increased on a particular scale.

Because of the differences in project types, ATWIC has provided a number of Performance Plan options for FY 2011 Applications. In addition, agencies operating Job Access projects and completing the Transit Operating (Type 1) Performance Plan will be required to survey their customers during FY 2011 to determine to what extent their project is utilized by welfare recipients and eligible low-income individuals for employment and employment related activities. The findings of the survey will take place during the project year and not be a determining factor in this year's project selection. Similarly, NFI projects using the Type 1 Performance Plan will be required to survey their customers to determine the extent that people with disabilities are utilizing their service to improve their mobility.

### **Types of Performance Measures**

Performance measures are usually grouped into four categories: service effectiveness, cost efficiency, cost effectiveness, and service quality.

#### ***Service Effectiveness***

Service effectiveness measures how many people were served by the project. Examples of measures for different types of services might be:

- Operations Projects: Number of Passengers
- Travel Training: Number of Trainees
- Employer Matching Services: Number of Matches

This type of indicator answers the questions: Are services being delivered in the most effective manner? For all of the effort we are putting into this, are we successfully getting the outcomes we desire?

For each of the funding programs, the ultimate goal is to increase the mobility of the target populations. Therefore, the service effectiveness indicators should be directly tied to the number of individuals served by the project. The measure should measure the number of people that have had their mobility enhanced by this program function.

### ***Cost Efficiency***

Cost efficiency indicators measure how expensive it is to provide one unit of service. Examples cost efficiency measures for different types of service include:

- Operations Projects: Cost per Hour of Service
- Travel Training: Cost per Trainer Hour or Session
- Employer Matching Services: Cost per Employer Match Analysis

This type of indicator answers the questions: How expensive is it for me to provide the service? Are we providing the service in the most efficient way possible?

Each of the funding programs has limited resources. As good stewards of public dollars, the evaluation committee needs to ensure that project funds are being used wisely and that each unit of service is provided at the least possible cost.

### ***Cost Effectiveness***

Cost effectiveness indicators measure how much service is being provided for the resources expended. Examples of cost-effective indicators include:

- Operations Projects: Cost Per Passenger
- Travel Training: Cost Per Trainee
- Employee Matching Services: Cost per Match

This type of indicator answers the question: Are the program funds being used most efficiently to deliver the most effective services? The smaller the cost in relation to the service provided, the more cost-effective the service is.

### ***Service Quality***

Service quality indicators measure how well a service is provided in relation to customer expectations. Service quality indicators vary significantly between types of services and the relative importance of each also varies by target population. The most common service quality indicators address safety, accessibility, reliability, comfort, availability, and ease of use.

The performance measures outlined for this evaluation methodology do not address service quality; however, they are an important part of assessing project performance. Project sponsors are encouraged to include service quality measures as a part of their internal evaluation processes.

## **Data Requirements**

Good, reliable data is needed to conduct a meaningful performance analysis. Data used for performance measures are often readily available in well-run agencies with strong management structures. The availability and quality of data is dependent on the data collection, recordkeeping and reporting procedures of the agencies. Good procedures will result in good reliable data from which meaningful conclusions can be drawn.

The performance measure data can usually be drawn from data sources that already exist and do not require any additional data collection efforts. The best data sources are those that come from documented and verifiable sources such as audited financial statements and payroll records. Common sources of data are:

- Cost of Service: Financial statements, budgets, payroll and accounting records.
- Services Provided: Timesheets, Driver Logs, Progress Reports
- Individuals Served: Driver manifests, counts, sign-in sheets, session rosters, completed match forms, etc.

Even though cost information may be readily available, it is seldom available in sufficient detail to determine the cost of services. The cost of service must reflect the full allocation of costs including direct and indirect costs. There are two reports that can assist a project sponsor on developing their fully allocated costs: 1) *Fundamental Financial Management for Rural and Small Urban Transportation Providers* and 2) *Comprehensive Financial Management Guidelines for Rural and Small Urban Public Transportation Providers.*” The publications, appropriate for both urban and rural systems, are available through AASHTO/MTAP and the National Rural Technical Assistance Project (RTAP).

## **Data Definitions**

Definition of terms is very important to ensure consistency when evaluating the project over time and when comparing project performance data with industry standards and peer performance. If at all possible, performance indicators should be based on variables that have standard definitions within the industry. For example: a shuttle service should be evaluated based on revenue service hours, unlinked passenger trips, and fully allocated cost of the service. Each of these terms have standard definitions within the transit industry and are defined in the National Transit Database. Reporting data and definitions for travel training may be available from publications, national experts, and universities such as the Western Michigan University.

Since applicants may propose a wide variety of service types, the applicants will be required to provide definitions of the terms used and the data sources used to derive their performance indicators.

### **Performance Standards**

Depending on the Performance Plan selected, each agency may be responsible for establishing three measurable performance standards for each of their functional areas documenting the project's service effectiveness, cost efficiency, and cost effectiveness as described above. The standards presented must be based on the following:

- data from the agency's previous experience and/or data from a comparable system;
- current operating environment;
- standardized data definitions;
- auditable or verifiable data; and
- source documentation: national/state-wide databases, published research documentation, documented peer analysis, or documented time trend analysis.

In order to be accepted by the evaluation committee, standards must be established at levels high enough to demonstrate goal achievement. If the standards are achieved for all three indicators, the maximum points will be awarded.

### **Possible Sources of Data to Assess Reasonableness of Proposed Performance Standards**

- National Transit Database ([www.ntdprogram.gov](http://www.ntdprogram.gov))
- National Rural Transit Survey (to be published in the near future)
- Transportation Research Board ([www.trb.org](http://www.trb.org)), the Transit Cooperative Research Program ([www.tcrponline.org](http://www.tcrponline.org)), and the National Cooperative Highway Research Program ([www. www.trb.org/CRP/NCHRP/NCHRP.asp](http://www. www.trb.org/CRP/NCHRP/NCHRP.asp))
- Community Transportation Association of America ([www.ctaa.org](http://www.ctaa.org))
- American Public Transit Association ([www.apta.com](http://www.apta.com))
- Pennsylvania Department of Transportation ([www.dot.state.pa.us](http://www.dot.state.pa.us)) and other state departments of transportation
- United We Ride ([www.unitedweride.gov](http://www.unitedweride.gov))
- Federal Transit Administration ([www.fta.dot.gov](http://www.fta.dot.gov))
- Association of Commuter Transportation ([www.actweb.org](http://www.actweb.org))

**Pennsylvania Department of Transportation Requirements**

The Bureau of Public Transit, PennDOT provides JARC and NFI projects with up to 50% of the match to the Federal Section 5316 (JARC) and 5317 (NFI) funds. Sections of both ATWIC applications were designed in accordance with PennDOT matching grant application needs.

In addition, agencies with projects selected for funding will be responsible for periodic reporting during the fiscal year to the designated recipient (granting agency) on the following factors if requested by PennDOT:

1. Actions taken to address specific goals and objectives of the project.
2. Number of rides (as measured by one-way trips) provided and/or the number of individuals served as a result of the JARC project implemented during the reporting period.
3. The actual or estimated number of jobs accessed as a result of geographic coverage of the JARC project implemented during the reporting period.
4. The cost per one-way passenger trip for each trip type, and/or the cost per user, with a brief explanation of the methodology for calculating costs.
5. Total Project expense during the reporting period.
6. Proposed changes in service, if any.

### ***Evaluation Committee Performance Measure Assessment Methodology***

The evaluation committee must assess the quality of a project's performance measures and determine if they are meaningful in relation to the funding programs' goals, if the measurement methodology is sound, and if the measures can be verified with reliable data.

A project's performance measures must reflect the funding program's goals and local priorities of the program expressed as unmet needs. The performance measures should be limited to three and address each of the basic categories of performance standards discussed previously. The measures should be expressed in a manner that allows the evaluation committee to assess progress toward goal achievement.

The measures should reflect desired outcomes in terms of numbers of individuals whose mobility has been enhanced as a result of the project. In cases where outcome measures are not available or of sufficient quality, projects may propose outcome measures based on other second hand data sources. In these cases, it is imperative that the project provide clear justification and rationale for why the measures chosen are appropriate and provide meaningful measurement. Evaluation committee members must feel secure in their understanding of the measure and how it relates to goal achievement.

The following list of questions have been prepared to assist the Evaluation Committee's efforts in assessing the suitability of performance measures and standards established as part of the grant application process.

1. Is the relationship between the project component and improving the mobility of target populations clear?

Yes  No

2. Does the project component address a specific unmet need or gap?

Yes  No

3. Does each project have a performance measure established to assess service effectiveness, cost efficiency, and cost effectiveness?

Service Effectiveness	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Cost Efficiency	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Cost Effectiveness	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

4. Does the project adequately define the outcomes/outputs and inputs that will be measured?

Outcomes/outputs       Yes     No  
Resource Inputs         Yes     No  
Financial Inputs        Yes     No

5a. Are the existing data sources from internal record keeping and reporting systems acceptable?

Outcome/outputs       Yes     No  
Resource Inputs         Yes     No  
Financial Inputs        Yes     No

5b. Are the proxy data sources from published data or other system acceptable?

Outcomes/outputs       Yes     No  
Resource Inputs         Yes     No  
Financial Inputs        Yes     No

6a. Are the internal data sources verifiable?

Outcomes/outputs       Yes     No  
Resource Inputs         Yes     No  
Financial Inputs        Yes     No

6b. Are the external data sources verifiable?

Outcomes/outputs       Yes     No  
Resource Inputs         Yes     No  
Financial Inputs        Yes     No

7. Did the system calculate the performance measures accurately?

Service Effectiveness     Yes     No  
Cost Efficiency            Yes     No  
Cost Effectiveness        Yes     No

8. Did the program perform a comparative analysis upon which their proposed performance standards were based?

Service Effectiveness     Yes     No  
Cost Efficiency            Yes     No  
Cost Effectiveness        Yes     No

9. Did the program provide ample justification for use of the performance standards selected?

Service Effectiveness       Yes     No  
Cost Efficiency               Yes     No  
Cost Effectiveness          Yes     No

10. Does the program have ambitious targets that demonstrate progress toward goal achievement?

Service Effectiveness       Yes     No  
Cost Efficiency               Yes     No  
Cost Effectiveness          Yes     No

11. Did the project component meet performance measure criteria for none, one, two, or three of the criteria?

Service Effectiveness       Yes     No  
Cost Efficiency               Yes     No  
Cost Effectiveness          Yes     No

## **Appendix C: Scoring Sheets**

### **Application Part II – Project Information and Capacity to Implement**

<b>Evaluation Criteria</b>	<b>Maximum Points</b>	<b>Points Awarded</b>
A. Project Background and Funding Program Relevance (Application pages 2 through 5)	5	
B. Financial Commitment & Capacity (Application page 6)	5	
C. Management & Organizational Structure (Application page 7)	5	
<b>TOTAL</b>	<b>15</b>	

### **Application Part III – Coordination, Addressing Unmet Needs, Sustainability, and Performance**

The following table provides the maximum points available for each of the evaluation factors in Part III of the application. For each of the evaluation components (i.e., Enhanced Coordination, Unmet Needs, Sustainability, and Performance Plan), calculate a subtotal by summing the scores for each factor. Create a weighted subtotal by multiplying the component’s subtotal by the weighting factor shown. Your total score is a sum of the weighted subtotal scores. (Note: The table does not self-calculate). The evaluation committee will complete the “Points Awarded” column.

Project Evaluation Criteria	Maximum Points	Points Awarded
<b>Enhanced Coordination - 20% of Part III</b>		
<i>Participating Agencies</i> Six or more participating agencies = 8 Two to five participating agencies = 4	8	
<i>Augmentation of Existing Services</i> Augments 2 or more transit/human service services = 10 Augments 1 public transit OR human service = 5	10	
<i>Duplication of Service</i> Duplicates other services in entirety = -25 Duplicates other services in part = -20 Incidental Duplication = -5	0	
<i>Subtotal</i>	18	
<i>Subtotal multiplied by weighting factor (1.111)</i>	20	
<b>Unmet Needs - 40% of Part III</b>		
<i>Inter-County Service</i>		
Rural Areas to & from Cities/Towns	5	
Outlying areas to & from Pittsburgh (within the Pittsburgh Urban Area)	3	
Improved Travel Time on Long Trips	1	
<i>Expanded Service/ Service Enhancements</i>		
Evening/Weekend Service	5	
Increased Service to 2nd/3rd Shift Jobs	5	
Implementation of Programs to Reduce Costs Among Providers	5	
Augmenting Service in Areas Affected by PAAC Service Reductions	3	
Improving Utilization of Existing Vehicle(s)/Services	1	
Emergency Ride Home Program	1	
<i>Information/Mobility Management Programs</i>		
Expansion/Consolidation of Existing Mobility Mgmt Program	5	
Implementation of a New Call Center	3	
Travel Training/Itinerary Planning Programs	3	
Improvement/Development Of Information About Available Services Existing Gaps In Services To Support Mobility Management Function	3	
Enhancement of Existing Mobility Management Systems and Call Center	1	
<i>Eligibility/Accessibility</i>		
Expand Eligibility for Program Non-Qualifiers	5	
Voucher Programs/User Cost Reduction	3	
Improved Access to Transportation	1	
<i>Subtotal</i>	53	
<i>Subtotal multiplied by weighting factor (0.754)</i>	40	

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Project Evaluation Criteria	Maximum Points	Self Score	Points Awarded
<b>Sustainability - 15% of Part III</b>			
<i>Reduction of Federal/State Funds</i> Any reduction = 2 Capital 60-75%, Operating 35-25% = 5 Capital 45-59.9%, Operating 25-34.9% = 10 Capital Less than 45%, Operating less than 25% = 15	15		
<i>Local Hard Match</i> Local Hard Match $\geq$ 5% = 5 Local Hard Match between 2.5% and 5% = 3	5		
<i>Local Soft Match</i> Local Soft Match $<$ 2.5% = 0 Local Soft Match $\geq$ 2.5% = 2	2		
<b>Funding Eligibility</b> <b>Project Can/Could Utilize 2 or more FTA Funding Programs = 5</b>	5		
<i>Subtotal</i>	27		
<i>Subtotal multiplied by weighting factor (0.556)</i>	15		
<b>Performance Plan - 25% of Part III</b>			
<i>Effectiveness/Efficiency Measures = 20 points</i>			
<i>Subtotal</i>	25		
<i>Subtotal multiplied by weighting factor (1.0)</i>	25		
<b>TOTAL (Total of Weighted Subtotal Scores)</b>	<b>100</b>		