

FY 2019
Program Guidelines



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www.dvrpc.org



The Delaware Valley Regional Planning Commission is the federally designated Metropolitan Planning Organization for a diverse nine-county region in two states: Bucks, Chester, Delaware, Montgomery, and Philadelphia in Pennsylvania; and Burlington, Camden, Gloucester, and Mercer in New Jersey.



DVRPC's vision for the Greater Philadelphia Region is a prosperous, innovative, equitable, resilient, and sustainable region that increases mobility choices by investing in a safe and modern transportation system; that protects and preserves our natural resources while creating healthy communities; and that fosters greater opportunities for all.

DVRPC's mission is to achieve this vision by convening the widest array of partners to inform and facilitate data-driven decision-making. We are engaged across the region, and strive to be leaders and innovators, exploring new ideas and creating best practices.

TITLE VI COMPLIANCE | DVRPC fully complies with Title VI of the Civil Rights Act of 1964, the Civil Rights Restoration Act of 1987, Executive Order 12898 on Environmental Justice, and related nondiscrimination statutes and regulations in all programs and activities. DVRPC's website, www.dvrpc.org, may be translated into multiple languages. Publications and other public documents can be made available in alternative languages and formats, if requested. DVRPC public meetings are always held in ADA-accessible facilities, and in transit-accessible locations when possible. Auxiliary services can be provided to individuals who submit a request at least seven days prior to a public meeting. Requests will be accommodated to the greatest extent possible. Any person who believes they have been aggrieved by an unlawful discriminatory practice by DVRPC under Title VI has a right to file a formal complaint. Any such complaint may be in writing and filed with DVRPC's Title VI Compliance Manager and/or the appropriate state or federal agency within 180 days of the alleged discriminatory occurrence. For more information on DVRPC's Title VI program or to obtain a Title VI Complaint Form, please visit: www.dvrpc.org/GetInvolved/TitleVI, call (215) 592-1800, or email public_affairs@dvrpc.org.

DVRPC is funded through a variety of funding sources including federal grants from the U.S. Department of Transportation's Federal Highway Administration (FHWA) and Federal Transit Administration (FTA), the Pennsylvania and New Jersey departments of transportation, as well as by DVRPC's state and local member governments. The authors, however, are solely responsible for the findings and conclusions herein, which may not represent the official views or policies of the funding agencies.

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Information Session

DVRPC will conduct one information session to answer questions about the application process. Attendance at this session is mandatory for prospective applicants. **A local government representative (staff or elected or appointed official) must attend.** Consultants are not considered a representative of the community. In the case of a multi-municipal project, the lead municipality must attend. Should an applicant not be able to attend the scheduled meeting, the applicant should contact DVRPC as soon as possible.

March 13, 2018

4:00-6:00 PM

DVRPC

Main Conference Center

190 N. Independence Mall West

8th Floor

Philadelphia, PA 19106

Highlights

Thank you for your interest in the FY 2019 Transportation and Community Development Initiative (TCDI). Please make sure the following elements have been addressed and are understood.

- 1. Eligible areas:** All municipalities and counties within the nine-county DVRPC region.
- 2. Eligibility:** Municipal and county governments.
- 3. Eligible Activities:** Land use and transportation planning activities that implement the long-range plan and provide a direct nexus to the transportation system. Eligible projects include early stage design, feasibility studies, travel demand management activities, marketing assessments, plans and ordinances.
- 4. Ineligible Activities:** Acquisition of land or buildings, infrastructure or site preparation, preliminary and final engineering, bid/construction documentation, or general construction.
- 5. Award Amounts:** Soft minimum floor of \$25,000, soft cap maximum of \$100,000 for single municipal projects; maximum of \$175,000 for multi-municipal projects.
- 6. Required Project Match:** 20% of total project cost; at least 5% of the total project cost must be in-kind services to cover administrative requirements.
- 7. Contract Requirements:** All awardees must enter into a contract with DVRPC. If using an outside consultant, proof of a competitive selection process will be required and verified. **All awardees will need to agree to a statement of understanding of federal *Uniform Guidance 2 C.F.R. 200 Procurement Guidelines* and fill out a Risk Assessment Form.**
- 8. Mandatory Pre-application Meeting:** March 13, 2018 from 4:00-6:00 PM at DVRPC, 190 N. Independence Mall West, 8th Floor, Philadelphia, PA 19106. A local government representative (staff, elected or appointed official) must attend. Consultants are not considered a representative of the community.
- 9. Application/Supporting Materials Deadline:** April 20, 2018 at 5:00PM. Only resolutions will be accepted through May 18, 2018.
- 10. Application Link:** All applications must be submitted online at www.dvrpc.org/TCDI . Online application portal will open on March 14, 2018.
- 11. Questions:** All questions must be emailed to Karen Cilurso at kpcilurso@dvrpc.org. Submitted questions and answers will be posted to www.dvrpc.org/TCDI/.

What is the Transportation & Community Development Initiative?

As the designated metropolitan planning organization (MPO) for the nine-county region, DVRPC has the responsibility to determine the allocation of federal funds for transportation improvements in the region. The federal Fixing America's Surface Transportation Act or FAST Act, directs MPOs to program and administer funds and prioritize projects on a regional basis. These projects are drawn from and must be consistent with DVRPC's recently adopted long-range land use and transportation plan, *Connections 2045*, and may include a broad range of activities including roadway improvements, transit facilities, bicycle or pedestrian services, goods movement or freight projects, or improved parking capacity.

On a local level, the Transportation and Community Development Initiative (TCDI) is an opportunity for DVRPC to support the individual municipalities of the Delaware Valley through initiatives that implement the region's long-range plan, *Connections 2045*. This initiative focuses on linking land use and transportation planning by:

- Supporting local planning projects that will lead to more residential, employment, or commercial opportunities in areas designated for growth or redevelopment;
- Improving the overall character and quality of life within the region to retain and attract business and residents;
- Enhancing and utilizing the existing transportation infrastructure capacity to reduce demands on the region's transportation network;
- Reducing congestion and improving the transportation system's efficiency by promoting and encouraging the use of transit, bike, and pedestrian transportation modes;
- Building capacity in our older neighborhoods and suburbs;
- Reinforcing and implementing improvements in designated centers and;
- Protecting our environment through growth management and land preservation.

TCDI provides a mechanism for local governments to undertake locally-directed actions to improve their communities, which in turn implements their local and county comprehensive plans and supports the goals and vision of the region's long-range plan, *Connections 2045*. Pennsylvania and New Jersey, as well as a number of counties within the region, have current programs to support community development. TCDI seeks to support and leverage those state and county programs, by providing funding to undertake early stage planning, analysis or design initiatives which implement the long-range plan and enhance or improve the efficiency of the regional transportation system.

Project Eligibility

TCDI grants are available to all local (municipal and county) governments within the DVRPC region. County governments may apply as the administrative agent on behalf of one or several communities for individual projects, and for county-wide projects. Previous TCDI projects have successfully created new multi-municipal initiatives and such approaches are expressly encouraged, including city-suburban collaborations.

All municipal applicants are required to coordinate with their county planning department representative prior to the application deadline. The coordination meeting should be verified with a letter from the county representative to be submitted with the completed application (see page 21). County governments applying for TCDI projects on behalf of municipalities should include demonstrations of support from communities within the study area.

Using Partners

TCDI projects can be more impactful when done in collaboration with partners. While the TCDI application must be submitted by a local government, DVRPC allows partnering with other organizations if beneficial. This can be done with a 501c3, including any of the Transportation Management Associations serving the DVRPC region. If a local government applicant deems the nonprofit partner uniquely qualified to complete all or a portion of the proposed project, the application must make this clear in the scope of work. The Applicant Capacity Section of the application also asks for the number of hours all personnel, local government and nonprofit partner, will be dedicating to each proposed task.

Fostering Equity through TCDI

All MPOs must meet certain requirements as mandated by the federal government. Executive Order 12898 mandates that federal agencies incorporate environmental justice (EJ) considerations and analysis in their policies, programs, and activities. EJ is the fair treatment and meaningful involvement of all people, regardless of religion, race, ethnicity, income, or education level, in the planning and decision-making process. As such, DVRPC supports the principles of equity, which include accessibility, mode choice, affordability, safety, health, diversity, inclusion, living wages, and quality education through the TCDI grant program. When developing your TCDI project, DVRPC requires our planning and local government partners to use DVRPC's equity tools and data sources to further support and enhance equity at the local level.

DVRPC created a technical methodology, the Indicators of Potential Disadvantage (IPD), to identify disadvantaged populations in the region. Using the following indicators, Youth, Older Adults, Female, Racial Minority, Ethnic Minority, Foreign Born, Limited English, Proficiency, Disabled, and Low-Income, DVRPC's new score calculation uses standard deviations relative to an indicator's average to classify each census tract's percentage of a given population into one of five bins: well below average; below average; average; above average; and well above average. This calculation better identifies the concentration of each of the population groups in each census tract in the region. Illustrations of the IPD maps are on page 15.

Using the following URL, www.dvrpc.org/webmaps/ipd, applicants are required to provide an explanation of the identified populations in the proposed study area. At a minimum, describe which, if any, of these populations exist in the proposed project area and what, if any, outreach will be provided specifically to that group. Only if the applicant can demonstrate that the proposed project provides a direct positive impact on the identified population, they can receive up to 20 bonus points.

Eligible Activities

Although improving a road, sidewalk or transit stop in a neglected neighborhood may not by itself revitalize the area, it may provide a focal point or catalyst for other redevelopment efforts. Transportation improvements can enhance access to employment opportunities and provide conditions favorable for investment. While transportation improvements may not be the sole engine for growth and redevelopment, they are a necessary prerequisite and a potential catalyst for community growth and redevelopment.

TCDI grants support early stage planning, design, feasibility studies, and capacity building activities that promote the efficiency of the transportation network and smart growth. For example, TCDI funding supports ordinance changes, marketing assessments or local programs to promote or facilitate new development. In other cases, the projects may identify the need for specific transportation system improvements or enhancements. Activities undertaken with TCDI grants should serve to identify ways in which communities can improve the climate for redevelopment, enhance community character, and improve the overall quality of life for residents. In all cases, the proposed activities must also identify ways to improve the efficiency of the regional transportation network, either through the identification of physical improvements to the system, ways to increase non-automobile alternatives, or methods to reduce highway congestion.

Sample Eligible Activities

Below are sample types of projects that **are eligible** for TCDI funding.

Other proposed activities not identified below that meet the evaluation criteria may also be considered.

- ✓ Land Use Regulations (zoning, SALDO, official maps) promoting compact, pedestrian and transit-supportive, mixed-use development
- ✓ Multi-Municipal Planning, Multi-Modal Corridor Plans, or Growth Management Plans
- ✓ Revitalization/Redevelopment Plans
- ✓ Transit-Oriented Development (TOD), Transit Station Plans, or TRID Plans
- ✓ Walkability Audits
- ✓ Pedestrian/Vehicular Safety Audits
- ✓ Bicycle, Pedestrian, and Trail Plans
- ✓ Traffic Calming Plans
- ✓ Road and Sidewalk Connectivity Plans
- ✓ Right Sizing/Road Diet Plans
- ✓ Community and Mobility Elements of Master Plans
- ✓ Travel Demand Management (TDM) Plans
- ✓ Wayfinding Plans
- ✓ Green Fleets/Car and Bike Sharing Policies or Plans
- ✓ Parking Studies
- ✓ Age-Friendly Community Assessments or Plans
- ✓ Lighting Ordinances
- ✓ Tourism Accessibility Assessments or Plans
- ✓ Complete Streets Analyses (all modes, including freight/deliveries)

What Activities are NOT Eligible?

As a general rule, any activity that is eligible for funding through the Transportation Improvement Program (TIP) **is not an eligible** activity through TCDI. However, TCDI-funded plans or studies may lead to a capital project on the TIP. Activities **not eligible** for TCDI include the acquisition of land or buildings, infrastructure or site preparation, preliminary and final engineering, bid/construction documentation, or general construction. DVRPC retains the right to declare a class of projects not eligible as a matter of policy, if it is determined that such use of funds would not be consistent with the *Connections 2045* Plan.

Funding Availability

Up to \$1,800,000 may be available for TCDI grants: \$1,200,000 in Pennsylvania and \$600,000 in New Jersey. There is a soft maximum cap* of \$100,000 for single municipal planning projects and \$175,000 for multi-municipal projects. Note: There is a soft minimum floor** of \$25,000. A brief cost estimate of the materials and tasks needed to accomplish the activities for which TCDI funds are being sought must be filled out as part of the application. Additional budget detail will be required if the project is chosen for funding. * *Soft cap=most projects are expected to not exceed these amounts; however, higher requests may be made if the need for a larger dollar amount is well-documented.* ***Soft floor=project requests are expected to be higher than the dollar amount unless there is a good reason for the smaller amount.*

Calculating Match

All TCDI projects must provide a minimum 20% percent match as cash, documented in-kind services or a combination. **Note: a minimum of 5% of the total project cost must be in-kind for administration activities (see below).** Required match is a percent of the total project cost, not the requested TCDI amount. Federal funds, other than CDBG (if project is CDBG eligible), may not be used as a project match. State, county, local, or private funds are permitted as project match. Volunteer services are allowed for in-kind project match; however, a budget is required (refer to the Administrative and Fiscal Requirements for more information).

Administrative Requirement

To comply with all federal rules as outlined in the federal *Uniform Guidance 2 C.F.R.200*, applicants are required to fill out a Risk Assessment (page 22) that measures the fiscal capacity of the contracting municipality. Based on the information provided, all communities will be assigned a Risk Level. This Risk Level will dictate your reporting requirements for the TCDI program. Historically, DVRPC required progress reports and invoices on a quarterly basis. However, any municipality that is determined to be a High Risk will be required to provide progress reports and invoices on a monthly basis. *All TCDI applicants must provide a minimum 5% of the total project cost as in-kind match for administrative functions.* This will allow all communities to provide progress for the first reporting month (July 2018) or quarter (July-September). Failure to adhere to the federal sub-recipient reporting agreements will result in a loss of TCDI funds.

Project Selection Criteria

DVRPC will review and screen every application for completeness and eligibility. After it is determined that a proposed project meets the eligibility requirements, it will be reviewed according to the following criteria established by the TCDI selection committee (s). Following careful review and analysis, projects will be recommended to the DVRPC Board for final selection on June 28, 2018. Steps to be taken after the project is selected are outlined in the TCDI Administrative and Fiscal Requirement packet.

The selection criteria are described below. Projects will be scored using a basic formula that includes a maximum point allocation for each of the five selection criteria. The five individual criteria scores will then be summed to produce a total project score. Each section is worth a total of 20 points.

1. Problem Identification

Describe the identified problem, citing quantitative and qualitative data. Include a brief description of the project area including physical conditions and population trends.

2. Scope of Work and Methodology

The scope of work should explain the proposed solution to the identified problem, including a well-thought out methodology, goals and objectives, schedule, and desired deliverable(s). Be sure to include measurable outcomes. The methodology should describe the tasks to be undertaken to achieve the goals outlined in the scope. Be sure to include materials, supplies, and activities that will be used during the project and identified in the submitted budget. Provide a short explanation how the proposed solution to the identified problem will implement one of the five key principles of *Connections 2045*.

3. Transportation Nexus

A direct connection to the transportation network is a prerequisite for eligibility. The proposed solution will be evaluated based on the degree to which the proposal enhances transportation access (for modes such as transit, walking, and biking), improves safety, equity, quality of life or economic development in a community.

4. Public Outreach

How will the proposed project impact different populations in your community? Explain how local officials will engage all members of the local community for the short-and long-term. Who are the stakeholders? All TCDI funded projects must involve a minimum of two public meetings, which could include regularly scheduled public meetings. Provide an explanation on how and when they will be conducted as well as the desired format, materials, outreach, and outcome.

5. Applicant Capacity

Applicants must include an overview of all project roles, detailing the following information:

1. Name and title of the main point of contact in the community who will be directly managing the administrative and project-nature aspects of the project
2. Explain the point of contact's connection to the project.
3. Number of hours per month the point of contact will commit to grant administration
4. Description of administrative tasks to be completed by the point of contact

If partnering with a nonprofit or another identified entity, all personnel must be listed with the same level of details outlined above. Applicants will be required to answer questions about their local procurement policy and their most recent RFP process.

6. IPD Bonus Points (if applicable)

To further the principle of advancing equity in *Connection 2045*, projects that illustrate a direct and positive impact on populations of disadvantage are eligible to receive up to an extra 20 points.

Applicants must clearly explain the populations which will be affected by the proposed TCDI project in the scope of work and outreach sections of the application. This includes identifying any community groups or stakeholders in the project's geographic area, what efforts were done in the past in this specific area, and how this project will make a positive impact on the quality of life for identified residents. Applicants should refer to the Indicators of Potential Disadvantage Map at www.dvrpc.org/webmaps/ipd and the Public Outreach section of the Project Selection Criteria.

TCDI Application Schedule

Following the application deadline of April 20, 2018, all projects will be screened for completeness (resolutions can be submitted through May 18, 2018). The completed applications will then be prioritized by the TCDI review committee using the factors outlined in the project selection criteria. Final selection will take place on June 28, 2018, by the DVRPC Board. All applicants will be notified no later than June 30, 2018, of the Board's action via email. If selected, grantees are required to attend a contract meeting with DVRPC staff from 9:30 am-11:30 am on July 9, 2018, at DVRPC. Below is the application schedule. *DVRPC reserves the right to alter the schedule.*

March 8, 2018	DVRPC distributes TCDI Program Guide
March 13, 2018 (4-6pm)	Mandatory pre-application meeting at DVRPC
March 14, 2018	Application portal opens
April 20, 2018	Applications and attachments due
May 18, 2018	Resolution submittal deadline
May 23, 2018	Review Committee meets to rank proposals
June 12, 2018	Recommended projects presented to Regional Transportation Committee (RTC)
June 28, 2018	Applicants approved by DVRPC Board
July 9, 2018	Contract Review Meeting at DVRPC
March 30, 2019	Contract execution deadline*
June 30, 2020	Project Completion deadline
August 31, 2020	Final invoice and progress report, final deliverable, and resolution of acceptance/adoption are due**

*Contract execution includes completion of a competitive RFP process (if applicable); scope of work and budget approval; and signed contract by DVRPC and Project Sponsor.

** DVRPC will withhold the final 10% of the TCDI funds until a final deliverable and resolution is received.

TCDI Application Portal

All applications must be submitted using the online application portal: www.dvrpc.org/TCDI. To create a new TCDI application, you must first create an account. The user name is your email address. A password will be sent to the email provided. After you receive the password, you can log into the system to begin the application. Please fill out the application in its entirety. If a section is left blank, you will get a reminder email. The application can be saved. Only hit submit after all sections are completed. Once the application is submitted, no changes will be permitted. You will receive an email if your application is submitted correctly. If you do not receive this email, please contact Karen Cilurso at kpcilurso@dvrpc.org or 215-238-2876. The system will lock down at 5 PM on April 20.

Application Checklist

1. A completed FY 2019 grant application and budget through the online portal.
2. An 8.5 x 11 inch map indicating the extent of the project area. Be sure to highlight if the project includes any census tracts with disadvantaged populations.
3. A resolution from the Governing Body (or local government authorized official) verifying support for the proposed project and understanding of the 20% match requirement (at least 5% of the total project cost must be administrative in-kind match). (See page 14). Applications that fail to supply the supporting resolutions will NOT be considered for funding. Resolutions submitted after April 20 must be sent via email to kpcilurso@dvrpc.org. Resolutions must be submitted no later than May 18, 2018. Note: All other portions of the application are due April 20, 2018. If applying for a multi-municipal project, all municipalities involved must submit individual resolutions.
4. If pertinent to the proposed project, supporting materials such as related plans or studies (1 page limit), letters indicating commitment of project partners and funding (1 page limit per letter), or other relevant documentation (1 page limit) are allowed. Do not include general endorsement letters of support.
5. Required letter from identified partners demonstrating support in proposed project.
6. Required Risk Assessment and attachments.
7. Attendance at the information session on March 13, 2018 from 4–6 pm.

Sample Resolution of Intent

RESOLUTION OF: (insert municipality/county name)

County of _____

WHEREAS, (insert municipality/county name) supports the request for planning grant dollars from the Delaware Valley Regional Planning Commission; and

WHEREAS, (insert municipality/county name) understands the grant amount requested must provide a 20% local match of the total project cost while at least 5% must cover administration of the grant through in-kind services; and

WHEREAS, (insert municipality/county name) fully understands the application requirements including mandatory meetings and attachments; and

WHEREAS, (insert municipality/county name) fully understands the federal contracting process and rules as outlined in *Uniform Guidance 2 C.F.R.200* if awarded the planning grant dollars; and

WHEREAS, (insert municipality/county name), fully understands that noncompliance with federal procurement rules and DVRPC contracting parameters will result in the loss of TCDI funds; therefore

WHEREAS, that (insert municipality/county) HEREBY AUTHORIZES (local government authorized official) to submit an application to DVRPC for a TCDI planning grant; and

NOW, THEREFORE, BE IT RESOLVED, that (insert municipality/county) agrees to, if selected for the TCDI grant, to: engage in contracting procedures including the competitive Request for Proposals and budget allocation; sign grant agreement documents; agree to submit reimbursement invoices and progress reports along with necessary supporting documentation; take all necessary action to complete the project associated with the grant agreement within the 24 month timeframe, and submit the final deliverable to DVRPC; and

Provide proof of adoption or acceptance by the governing body through a resolution that must be submitted no later than August 31, 2020 to DVRPC. DVRPC will reserve payment of the last 10% of the grant award until such resolution and the final deliverable is received.

Adopted this day ___ of _____, 20__

By a vote of: ___ in favor ___ against ___ abstain

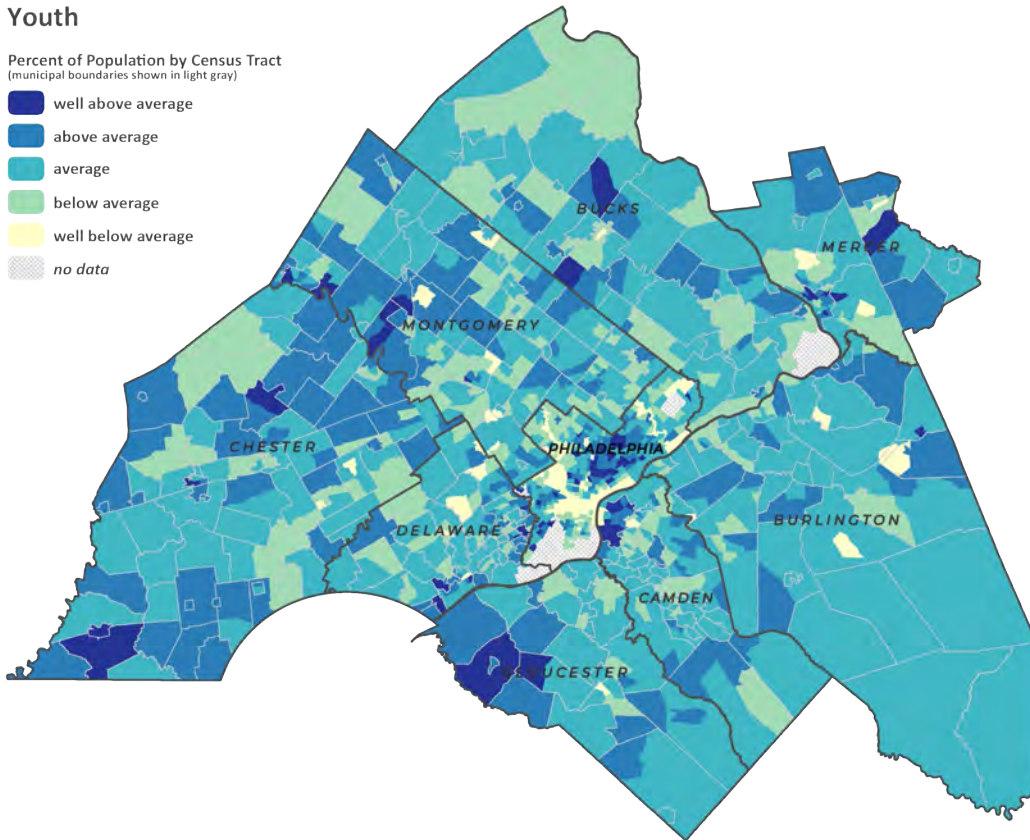
BY: _____ Secretary/Clerk of
_____)

Indicators of Potential Disadvantage Maps

Youth

Percent of Population by Census Tract
(municipal boundaries shown in light gray)

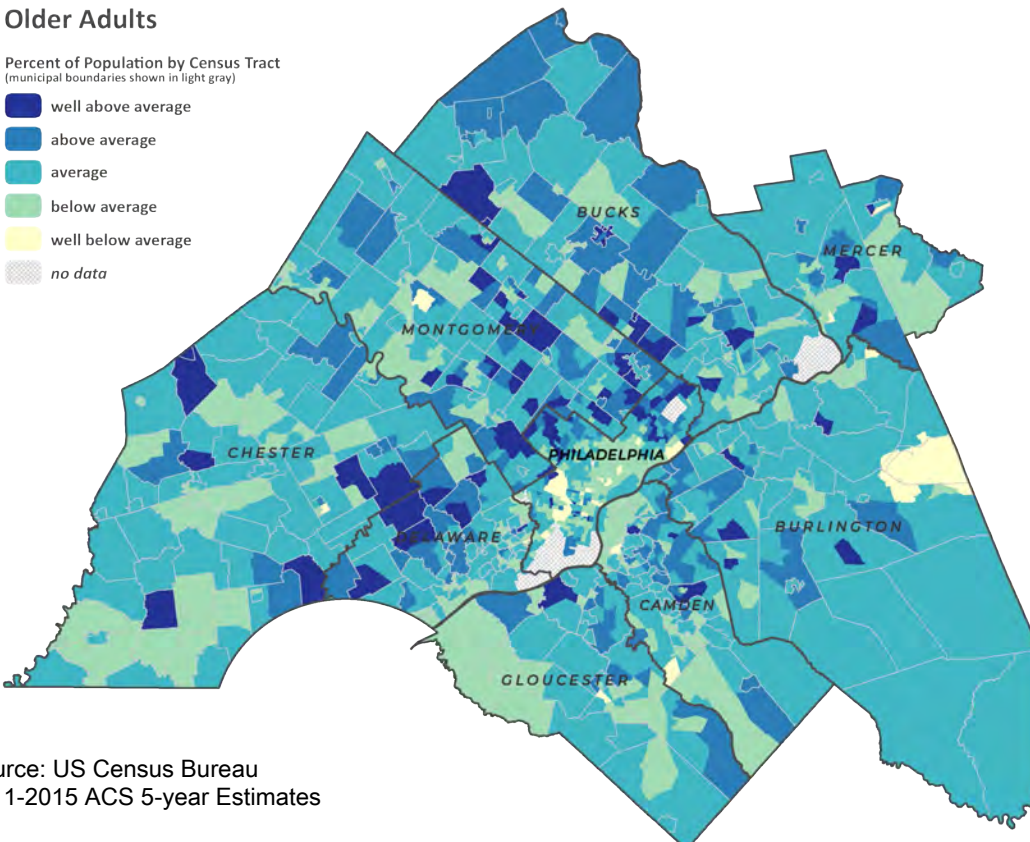
- well above average
- above average
- average
- below average
- well below average
- no data



Older Adults

Percent of Population by Census Tract
(municipal boundaries shown in light gray)

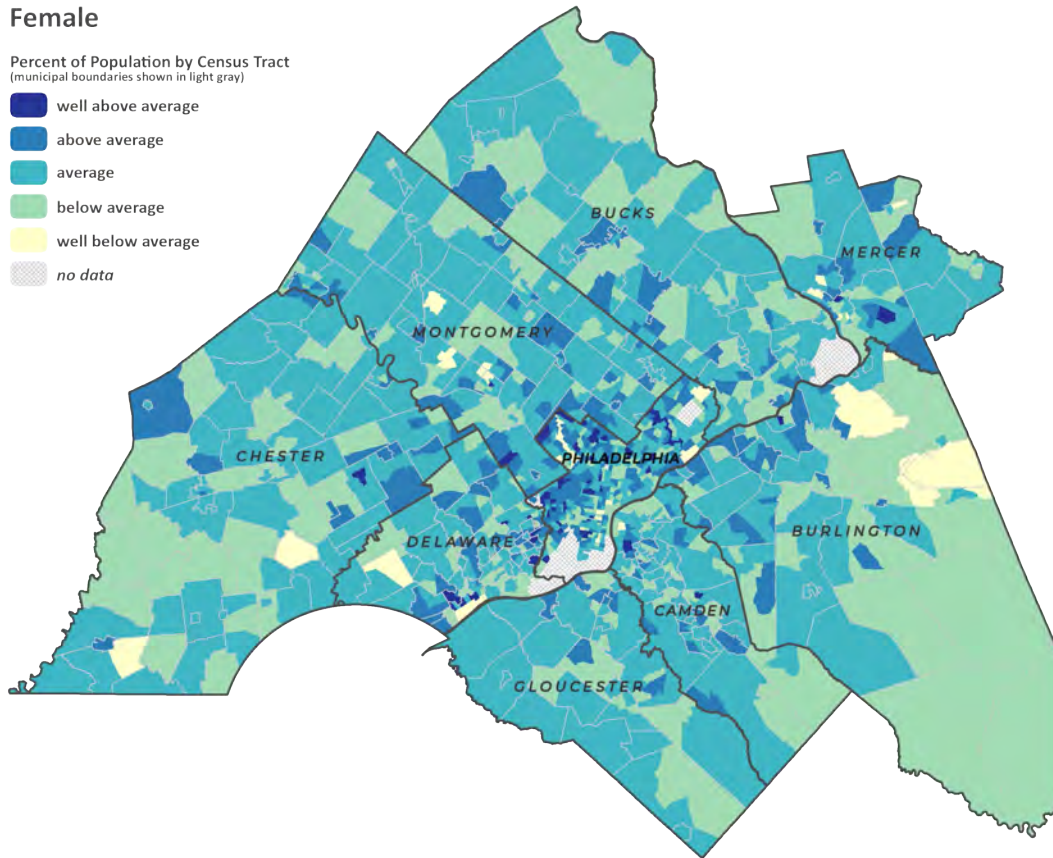
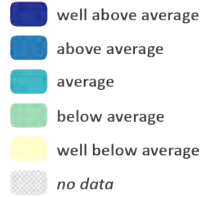
- well above average
- above average
- average
- below average
- well below average
- no data



Source: US Census Bureau
2011-2015 ACS 5-year Estimates

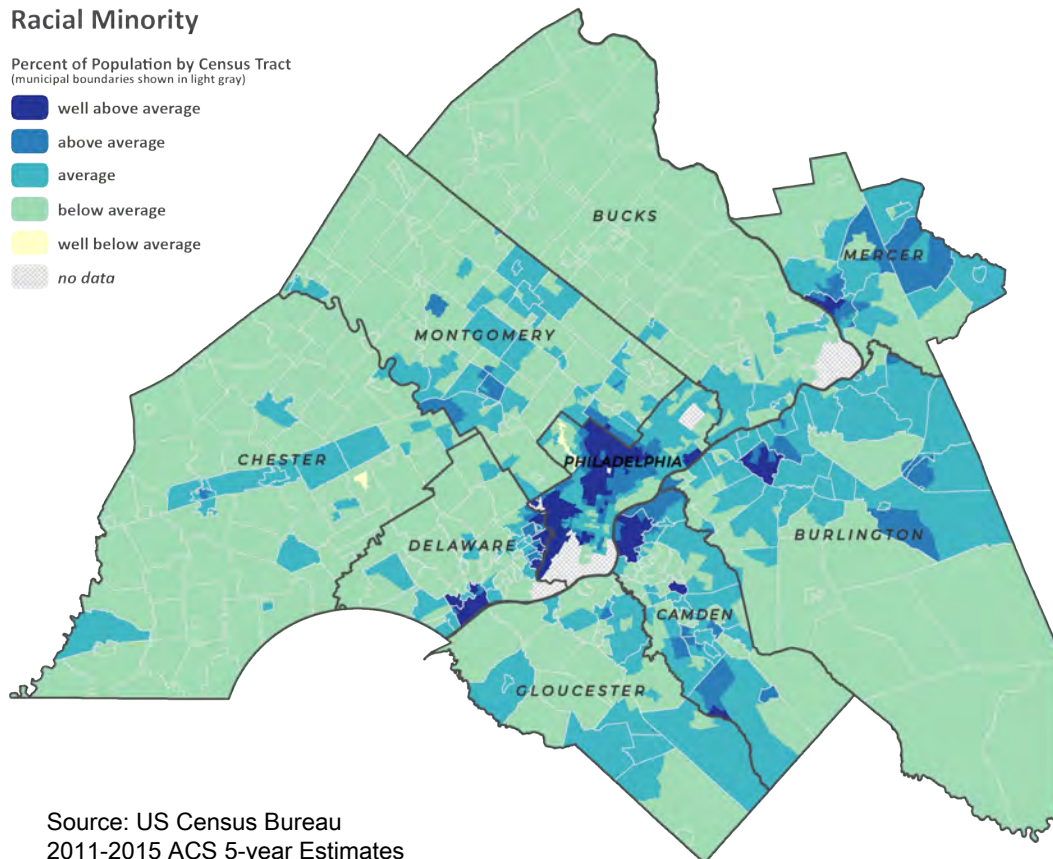
Female

Percent of Population by Census Tract
(municipal boundaries shown in light gray)



Racial Minority

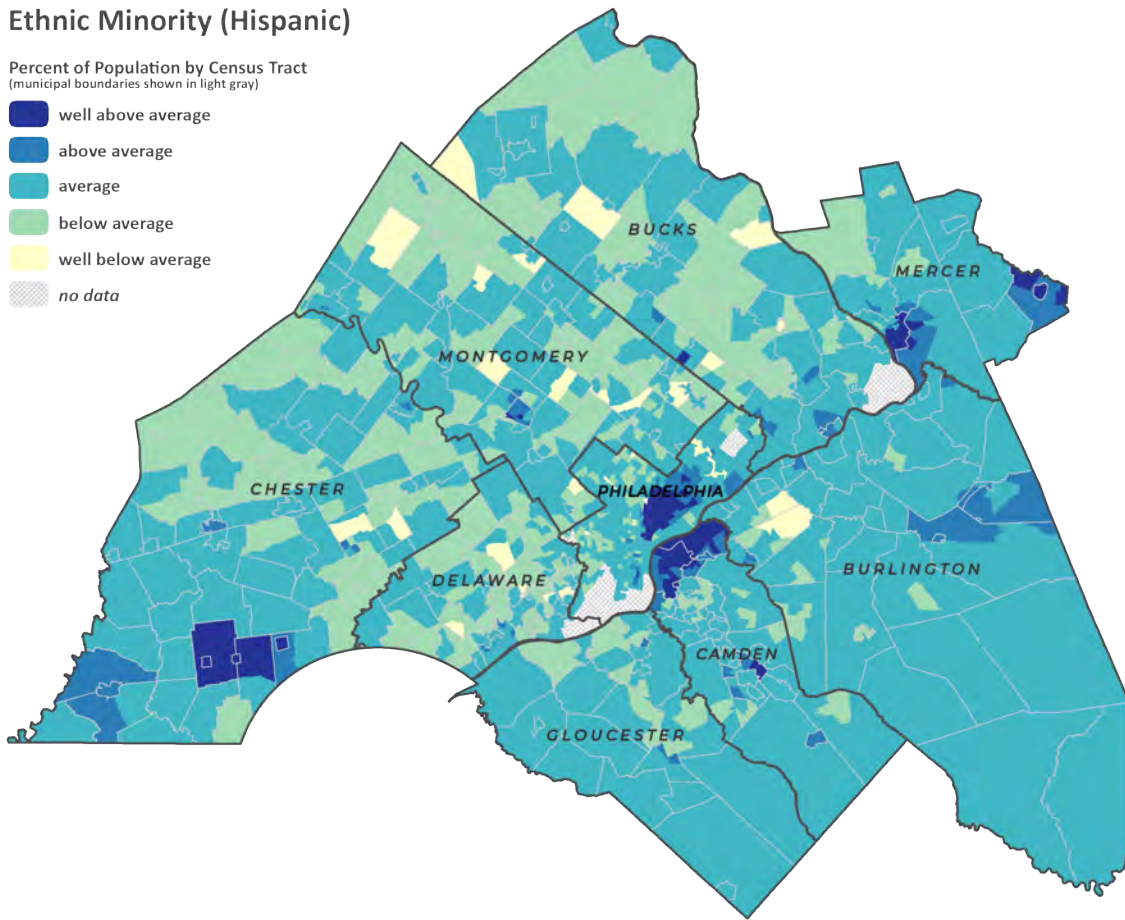
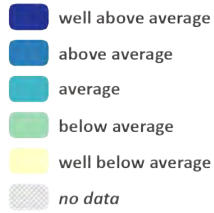
Percent of Population by Census Tract
(municipal boundaries shown in light gray)



Source: US Census Bureau
2011-2015 ACS 5-year Estimates

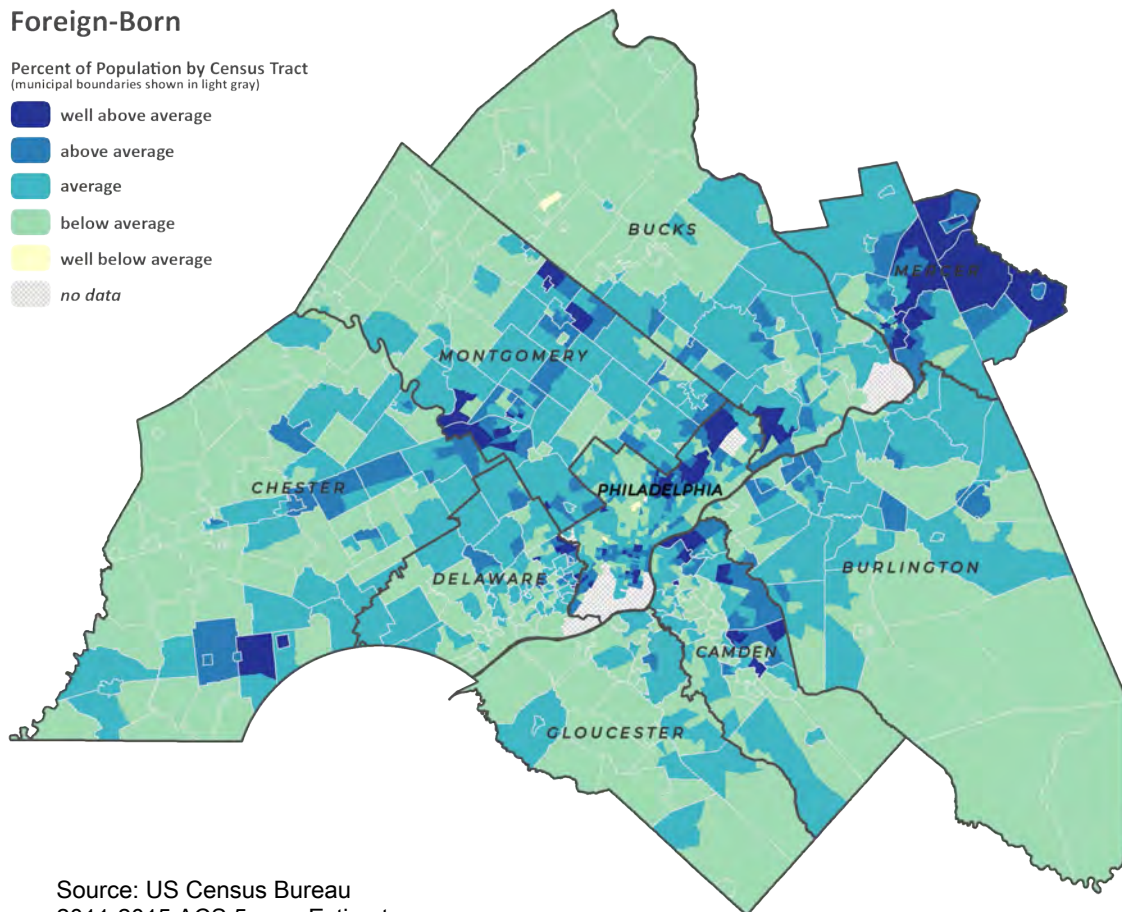
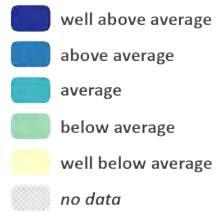
Ethnic Minority (Hispanic)

Percent of Population by Census Tract
(municipal boundaries shown in light gray)



Foreign-Born

Percent of Population by Census Tract
(municipal boundaries shown in light gray)

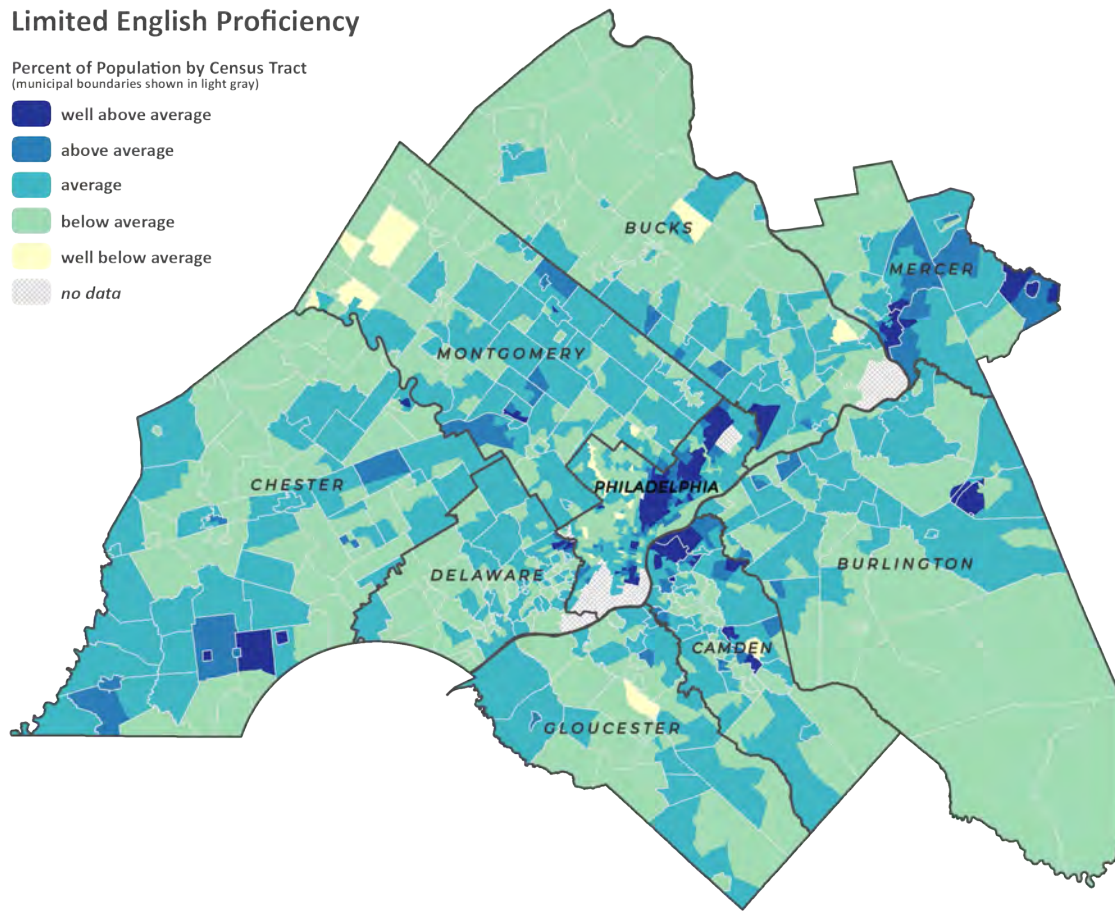


Source: US Census Bureau
2011-2015 ACS 5-year Estimates

Limited English Proficiency

Percent of Population by Census Tract
(municipal boundaries shown in light gray)

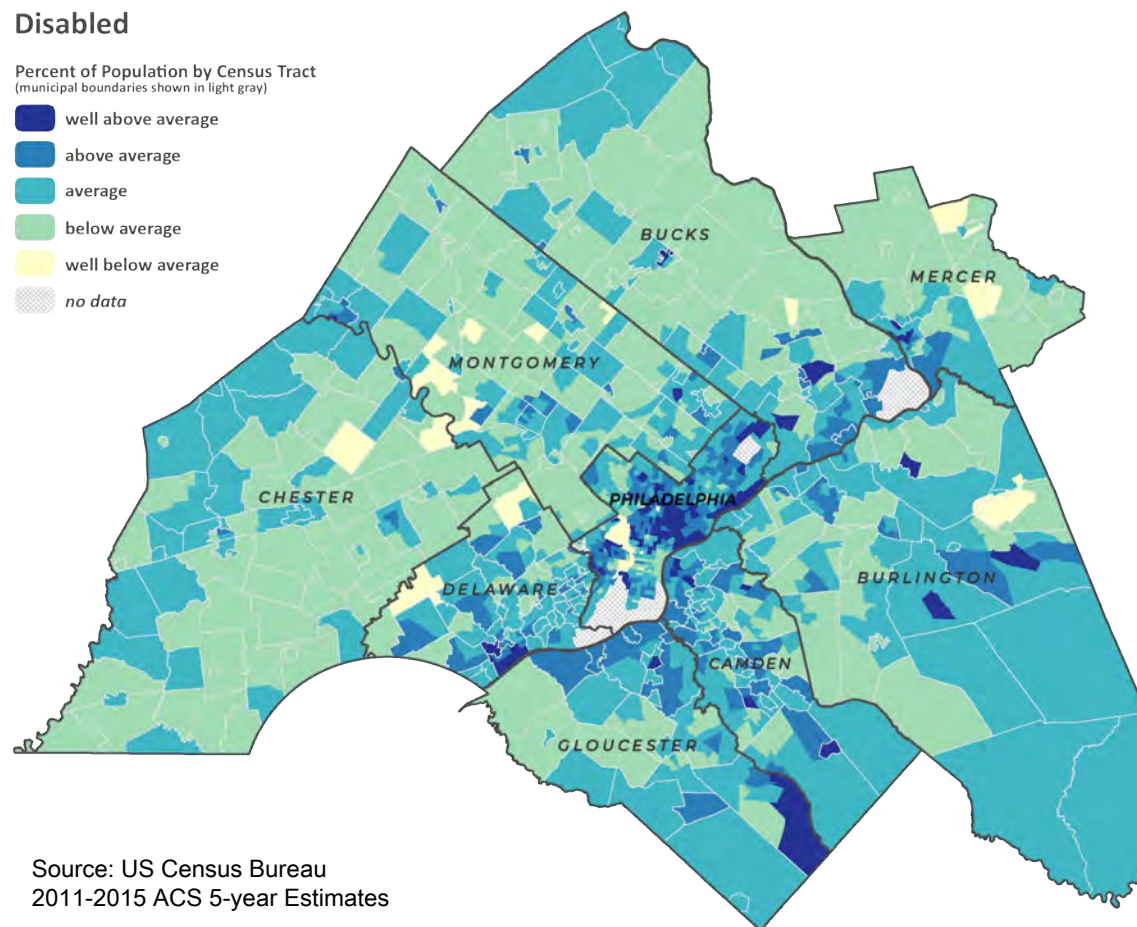
- well above average
- above average
- average
- below average
- well below average
- no data



Disabled

Percent of Population by Census Tract
(municipal boundaries shown in light gray)

- well above average
- above average
- average
- below average
- well below average
- no data

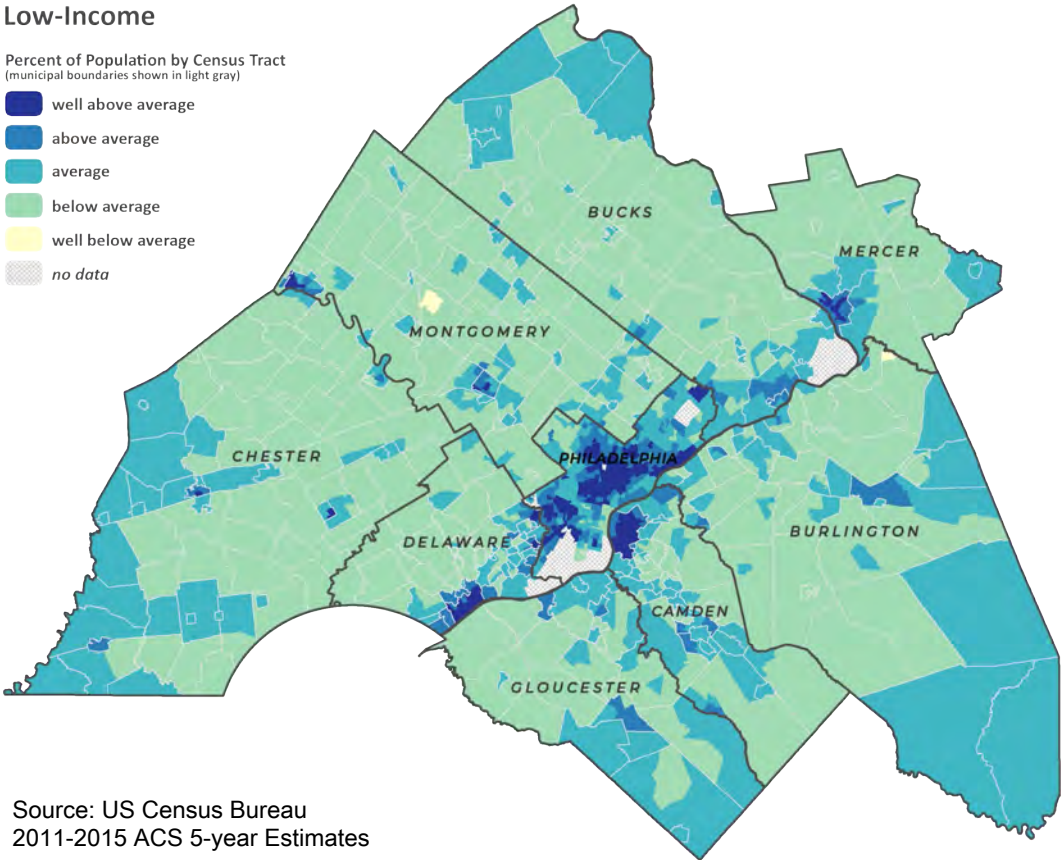


Source: US Census Bureau
2011-2015 ACS 5-year Estimates

Low-Income

Percent of Population by Census Tract
(municipal boundaries shown in light gray)

- well above average
- above average
- average
- below average
- well below average
- no data



Source: US Census Bureau
2011-2015 ACS 5-year Estimates

TCDI Review Committee

New Jersey

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DVRPC's Public Participation Task Force

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Sample Letter of Support

Dear (Municipal Official),

The (county name) is pleased to collaborate with the (municipality name) in their pursuit of a TCDI grant for (name of project).

(County name) met with (name of applicant) on (date of meeting) to discuss (name of project). (Name of County) feels this project is consistent with other local, county, and regional plans and serves to further the goals of DVRPC's long-range plan, *Connections 2045*.

In addition, we have agreed to commit (amount) of in-kind services for the (name of project) (if applicable)

Should you have any further questions, please do not hesitate to contact (name of planner) at (email, phone).

Sincerely,



Pre-Award Risk Assessment Form

In accordance with Uniform Guidance 2 C.F.R. § 200, this form must be completed by any entity planning to enter into a subrecipient relationship with DVRPC. The purpose of this form is to collect information about your entity's capacity to manage federal grant funds prior to issuance of a grant award document. Information may also be used as part of sub-award monitoring activities and/or to identify technical assistance needed to strengthen operations.

Please return the completed form to: Vanessa Doan, Comptroller | DVRPC
 190 N. Independence Mall West, 8th Floor | Philadelphia, PA 19106-1520

1. Subrecipient Contact Information:	
Entity Name: _____	DUNS Number: _____
Address: _____ _____	Employer ID Number (EIN): _____
Contact Name/Title: _____	
Phone: _____	
Email: _____	
2. Type of Entity (check one):	
<input type="checkbox"/> State Government	<input type="checkbox"/> Non-Profit Organization
<input type="checkbox"/> Local Government	<input type="checkbox"/> Other
3. Fiscal year (month and year):	
4. Has your entity received federal grant award within the last 3 years?	
<input type="checkbox"/> Yes	<input type="checkbox"/> No
5. Within the last 12 months, has your entity had any organizational changes, new management (Executive Director, Comptroller, Program Director) or any new personnel who would be working on this proposed subaward?	
<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, explain:	

6. In the last 12 months, has your entity implemented new or substantially changed systems related to its federal grant management?
<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain:
7. Is your entity currently or previously been suspended or debarred from receiving federal grants?
<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain.
8. Does your entity have an approved indirect (F&A) cost rate?
<input type="checkbox"/> Yes (If yes, please attach a copy of your current approved indirect cost rate agreement.) Name of designated cognizant agency: _____ _____ <input type="checkbox"/> No (If no, please provide the documentation to substantiate the proposed indirect rate.)
9. Has your entity completed a recent annual audit in accordance with 2 C.F.R. § 200 Subpart F Audit Requirement? (required if subrecipient expends \$750,000 or more in federal awards in a fiscal year.)
<input type="checkbox"/> Yes (If yes, please provide a copy of the audited statements.) <input type="checkbox"/> No Fiscal year Completed (month and year): _____ External Auditor Contact Name and Title: _____ _____ Auditee Name Filed Under: _____ (Legal name under which your audit report is filed in the Federal Audit Clearinghouse)
10. Did your entity have any audit findings from your last 3 years of annual audit reports?
<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, list audit findings and applicable corrective actions taken:

11. Does your entity have a financial management system that provides records that can identify the source and application of funds for award-supported activities, including indirect costs?
<input type="checkbox"/> Yes <input type="checkbox"/> No
12. Does the financial system provide for the control and accountability of project funds, properties, and other assets?
<input type="checkbox"/> Yes <input type="checkbox"/> No
13. Have the staff assigned to manage the grant had prior work experience managing federal grants?
<input type="checkbox"/> Yes <input type="checkbox"/> No
14. Does your entity have formal, written policies that are in compliance with the standards set forth in 2 C.F.R. § 200 that address the following:
Time and Attendance <input type="checkbox"/> Yes <input type="checkbox"/> No
Travel <input type="checkbox"/> Yes <input type="checkbox"/> No
Purchasing/Procurement <input type="checkbox"/> Yes <input type="checkbox"/> No
Property and Equipment <input type="checkbox"/> Yes <input type="checkbox"/> No
Accounting System <input type="checkbox"/> Yes <input type="checkbox"/> No

Authorized Official Certification:

I hereby acknowledge and confirm submittal of responses to this pre-award risk assessment information is true and correct and that we accept responsibility for maintaining a financial system to comply with the provisions of the applicable federal acts and other related requirements for federal funds.

Signature

Date

Name and Title (PRINT)

Phone: _____

Email: _____