

FY 2021

CALL FOR PROJECTS &
GRANT APPLICATION

CHARLOTTE-MECKLENBURG
URBANIZED AREA'S

ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS
WITH DISABILITIES PROGRAM (SECTION 5310)

RFP 269-2023-1509

APRIL 18, 2023

I. INTRODUCTION & BACKGROUND

In July 2012, Congress authorized a new federal transportation bill, Moving Ahead for Progress in the 21st Century (MAP-21), which consolidated two transit programs under previous legislation (Section 5310: “Transportation for Elderly Persons and Persons with Disabilities” and Section 5317: “New Freedom Program”) into a single: “Enhanced Mobility of Seniors and Individuals with Disabilities” (Section 5310). The purpose of this consolidated program is to provide funds for projects that serve the special needs of transit-dependent populations when traditional public transportation services are insufficient, unavailable, or inappropriate and programs that expand the transportation options beyond those required by the Americans with Disabilities Act (ADA).

Section 5310 Designated Recipient

The City of Charlotte is the Designated Recipient for Section 5310 funds allocated by formula for the Charlotte-Mecklenburg Urbanized Area (Char-Meck UZA). The City’s public transit department, the Charlotte Area Transit System (CATS), administers the program in accordance with federal law and regulations

This Section 5310 funding application package includes information on funding availability, project eligibility, and the application timeline, among other items.

II. ELIGIBLE PROJECTS & SUBRECIPIENTS

To be eligible for 5310 funding, projects and services must be derived from or included in a locally developed coordinated human services transportation plan. Additionally, eligible Section 5310 projects must serve the urbanized area where the funds were apportioned (there is either an origin or destination located within the urban boundary). The “Coordinated Transit-Human Services Transportation Plan for the Charlotte Urban Area FY2022-FY2027” can be found at [Charlotte Coordinated Human Services Plan](#)

TRADITIONAL SECTION 5310 PROJECTS. Section 5310 requires that, of the funds apportioned to a designated recipient, no less than fifty-five percent (55%) of the funds must be available for public transportation capital projects that meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable, or inappropriate (Traditional 5310 Projects).

It is not sufficient that seniors and individuals with disabilities are merely included (or assumed to be included) among the people who will benefit from the Project.

1. Eligible Subrecipients for Traditional 5310 Projects:

- a) **Private Non-Profit Organizations.** Subrecipients qualifying as private non-profit organizations must provide a copy of their IRS Tax Identification Number Certificate and a copy of the charter and bylaws as filed with the North Carolina Secretary of State as proof of non-profit eligibility.
- b) **State or Local Governmental Authorities.** According to 49 USC § 5302, this includes a political subdivision of the state, an Indian tribe, or a public corporation, board, or commission established under state law that is:

- (i) Approved by the state to coordinate services for seniors and individuals with disabilities; or
- (ii) Certifies that no nonprofit corporations or associations are readily available in an area to provide the service.

2. Examples of Traditional 5310 Projects.

- Purchase of rolling stock and other capital activities for paratransit service;
- Passenger facilities related to Section 5310-funded vehicles—purchase and installation of benches, shelters and other passenger amenities;
- Related activities and support facilities and equipment for Section 5310-funded vehicles—preventive maintenance, radios and communication equipment, wheelchair lifts and securement devices, computer hardware and software, ITS, dispatch systems, and fare collection systems;
- Lease of Equipment (if more cost-effective than purchase);
- Contracted services (capital and operating included);
- Support for mobility management and coordination programs among public transit providers and human service agencies; and
- Capital activities to support ADA-complementary paratransit service.

A. OTHER SECTION 5310 PROJECTS. Up to 45 percent (45%) of a designated recipient’s annual apportionment may be utilized for public transportation projects that exceed the requirements of the ADA, that improve access to fixed route service and decrease reliance by individuals with disabilities on paratransit, or that provide an alternative to public transportation that assists seniors and individuals with disabilities with transportation.

1. Eligible Subrecipients for Other 5310 Projects include the eligible subrecipients for Traditional 5310 Projects above, as well as:

- (i) **Private Operators of Public Transportation.** In order to receive 5310 Program funding, these recipients must be able to document that they are, and have been providing, shared-ride service (two or more passengers in the same vehicle who are otherwise not traveling together) to the public or to special categories of users on a regular basis.

2. Examples of Other Section 5310 Projects.

- a) Public transportation projects that meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, unavailable or inappropriate (capital only) (see examples above)
- b) Public transportation projects that exceed the requirements of the ADA (capital and operating). Examples include:
 - (i) Expansion of paratransit service area and/or hours;
 - (ii) Cost for providing same day paratransit service;
 - (iii) Enhanced paratransit service—providing escorts or assistance through door;
 - (iv) Acquisition of vehicles or equipment to accommodate mobility aids that exceed ADA dimension and load standards;

- (v) Installation of additional securement locations in buses beyond what is required by the ADA; and
 - (vi) Accessible feeder services.
- c) Public transportation projects that improve access to fixed-route service and decrease reliance on paratransit by individuals with disabilities (capital and operating). Examples include:
- (i) Accessibility improvements to transit and intermodal stations that are not key stations—accessible path to a bus stop; adding elevator, ramps, or detectable warnings; improving signage or wayfinding; technology improvements that enhance accessibility; and
 - (ii) Travel training.
- d) Alternatives to public transportation that assist seniors and individuals with disabilities with transportation (capital and operating). Examples include:
- (i) Purchasing vehicles to support accessible taxi, ride-sharing, or vanpooling programs—must meet regulatory requirements and permit the passenger to remain in his or her mobility device inside the vehicle;
 - (ii) Administration and expenses related to voucher programs offered by human service providers. Transit passes for use on existing fixed route or ADA paratransit service are not eligible; and
 - (iii) Volunteer driver and aide programs.

III. FUNDING REQUIREMENTS

A. SECTION 5310 PROGRAM LOCAL SHARE GUIDANCE

1. **General.** Section 5310 funds may be used to finance capital, operating expenses, and mobility management (MM) projects. The Federal share of eligible capital and MM costs for the Fiscal Year 2021 funds can be (100%) of the net cost of the activity, with optional local matching funds. The Federal share of the eligible operating costs can be (100%) of the net operating costs of the activity, with optional local matching funds.

The subrecipient is responsible for securing the local matching funds for their Section 5310 project and all of its local share must be provided from sources other than Federal United States Department of Transportation (USDOT) funds. Local share requirements are flexible to encourage coordination with other federal programs that may provide transportation, such as Health and Human Services or Medicaid. **Fare revenue or user fees generated by the service to be supported by the 5310 Program grant cannot be used as matching funds.** Examples of sources that may be used to meet any or the entire local share requirement include:

- State or local appropriations;
- Dedicated tax revenues;
- Private donations;
- Revenue from human service contracts;
- Net income generated from advertising and concessions;
- Income from contracts to provide human service transportation;

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- Other non-USDOT Federal funds that are eligible to be expended for transportation including: employment training, community services, vocational rehabilitation services, and Temporary Assistance for Needy Families (TANF). Examples of other types of federal funding that may be available as a local match can be found at [Federal Fund Braiding Guide](#)

2. **Soft Match.** Non-cash shares such as donations, volunteer services, or in-kind contributions are eligible as long as the value of each is documented and supported, AND it is a cost that would otherwise be eligible under the 5310 Program. **Applicants that intend to use these sources are required to submit an in-kind valuation plan with their application for review and approval by the City.**

In-kind Valuation Plan. In-kind contributions can only be used for operating and mobility management expenses. In-kind contributions are the value of non-cash contributions, received from a third party, for real property, equipment, and/or goods and services directly benefitting and specifically identifiable to the project.

In-kind contributions must be included as project costs, and the value of the services must be documented. If your organization intends to use in-kind contributions as a match, certain conditions apply. Those conditions are:

- a) An In-kind Valuation Plan **MUST BE SUBMITTED AND APPROVED** in writing by the City prior to being used for the project.
- b) Detailed documentation must be submitted that includes, but is not limited to:
 - (1) A statement from the person or organization providing the goods or services;
 - (2) The value of the goods or services; and
 - (3) The goods or services must be necessary for the project.

IV. PROGRAM MEASURES AND REPORTING REQUIREMENTS

The Section 5310 Program has federally mandated reporting requirements. Subrecipients will be required to report on their project each time they make a claim for reimbursement from their funded grant. **Quarterly reports will be required regardless of financial activity.** Subrecipients will submit both quantitative and qualitative information on each of the following measures:

Traditional Section 5310 Projects

1. **Gaps in Service Filled.** Provision of transportation options that would not otherwise be available for seniors and individuals with disabilities measured in numbers of seniors and people with disabilities afforded mobility they would not have without program support as a result of traditional Section 5310 projects implemented in the current reporting year.
2. **Ridership.** Actual or estimated number of rides (as measured by one-way trips) provided at least quarterly for individuals with disabilities and seniors, and Section 5310-supported vehicles, and services as a result of traditional Section 5310 projects implemented in the current reporting year.

Other Section 5310 Projects

1. Increases or enhancements related to geographic coverage, service quality and/or service times that impact availability of transportation service for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year.
2. Additions or changes to physical infrastructure (e.g. transportation facilities, sidewalks, etc.), technology and vehicles that impact availability of transportation services for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year.
3. Actual or estimated number of rides (as measured by one-way trips) provided for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year.

APPLICATION INSTRUCTIONS

This call for projects for the Charlotte-Mecklenburg Urbanized Area (Char-Meck UZA) will result in grants with a maximum period of performance of two (2) years. Funding for subsequent years is not guaranteed. It will be necessary to reapply and go through another competitive process for subsequent funding.

Funded projects will be selected through a competitive process that will be coordinated by the City of Charlotte. All eligible applicants intending to request funds need to ensure their proposed projects are included in the “Coordinated Transit-Human Services Transportation Plan for the Charlotte Urban Area FY2022-FY2027”, which can be downloaded at [Charlotte Coordinated Human Services Plan](#) .

Applicants are strongly encouraged to review the federal Certifications and Assurances in preparation for beginning the application. The Certifications and Assurances contain various federal requirements the applicant must comply with before and during the project. The current *Federal Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements (C&As)* are found at [FY2021 Annual List of Certifications and Assurances](#) . There will be additional contractual provisions to comply with if the project is funded.

Completed applications should be submitted to:

Applications are due **May 18, 2023 by 2:00 pm**. Applications to be delivered as one (1) electronic copy by email to City Procurement Division, Attention: Jeremy Wall at jeremy.wall@charlottenc.gov.

Early submittals are encouraged. Do not submit the application without all of the required documents attached. An incomplete application will not be reviewed. No applications will be accepted after the deadline.

Application Timeline

Target Dates	Task / Event
April 18, 2023	Solicitation/Post (Application attached to Distribution)
April 28, 2023	Non-Mandatory Information Meeting
May 18, 2023	Applications Due

SECTION 1: APPLICANT INFORMATION

Legal Name (Agency): _____

Address: _____

City, State, Zip _____

Federal Tax ID Number: _____

Doing Business As (DBA) Name *If applicable* _____

Applicant's DUNS Number (*Unique 9-Digit number issued by Dun & Bradstreet. May be obtained free of charge at: <https://www.dnb.com/duns/get-a-duns.html>*):

Parent Agency DUNS NUMBER (*Required only if different than Applicant*):

Project Manager and Title:

Name: _____ Title: _____

Telephone: _____ Fax: _____

Email address: _____

Project's Service Area (*List the county or counties that will be served by the proposed project*):

Organization Type

- Local Government Authority
- Private Non-Profit Organization (*please attach IRS 501(c)(3) documentation of non-profit status and charter and bylaws filed with NC Secretary of State*)
- Operator of Public Transportation Services
- Private Operator of Public Transportation Services

Current Vehicle Inventory:

_____ Vans _____ Vans/Lifts _____ Sedans or Minivans

_____ Buses _____ N/A

Federal Financial Assistance Transparency Act (FFATA) FFATA mandates the disclosure of the names and total compensation of the five most highly compensated officers of an entity if:

- The Applicant received 80% or more of its annual gross revenues in the preceding fiscal year from the federal government (all federal sources, not just FTA); and
- Those revenues were greater than \$25M; and
- The public does not have access to the information through Securities and Exchange Commission or Internal Revenue Service filings as specified in FFATA

Applicant should select “Yes” if they are subject to the reporting requirements of FFATA and “No” if they are not subject to Executive Compensation Reporting

_____ Yes _____ No

<u>Full Name</u>	<u>Total Compensation</u>
1 _____	\$ _____
2 _____	\$ _____
3 _____	\$ _____
4 _____	\$ _____
5 _____	\$ _____

SECTION 2: APPLICANT’S EXISTING SERVICES AND SERVICE AREA

1. What is the Applicant’s organizational mission?

2. Describe the target population(s) the Applicant serves and the existing products and/or services provided to those population(s).

3. Describe the Applicant's qualifications and experience with implementing this type of Project.

4. Provide a brief description of the Applicant's existing service area, including demographic, economic, and geographic information.

SECTION 3: PROJECT INFORMATION

Target Groups (s) to be served by Project:

- Seniors
- Individuals with Disabilities

Project Type: Applicant's should read the descriptions of Traditional and Other 5310 Projects in Article II as the eligibility and reporting requirements are different. If applicant is applying for more than one project, a separate application should be completed for each.

- Traditional Section 5310 Project
- Other Section 5310 Project

	Traditional 5310 Project	Other 5310 Project
Total Project Cost by Budget Type:	Capital \$ _____ Mobility Manager \$ _____	Capital \$ _____ Operating \$ _____ Mobility Manager \$ _____
Total Federal Request Match(es) not included	Total Federal Request \$ _____	Total Federal Request \$ _____

3. Describe the intended service area that will benefit from your proposed project. Include pertinent demographic information about the service area in your answer. *Include relevant demographic data and the sources of that data.*

4. Describe how the Project addresses the identified needs in the Coordinated Human Services Transportation Plan for the Charlotte Urbanized Area FY2016-FY2021” (UZA Coordinated Plan) and provide the page number(s) in the UZA Coordinated Plan.

5. Estimate the annual number of unduplicated passengers who will be served or the number of one-way trips that will be provided from the proposed project. *Explain how the estimate was determined.*

6. Describe the qualifications of the key personnel assigned to the project and the percentage of time each person will be involved in the project. Will the applicant need to hire additional personnel to support the project? *(Please attach resume/curriculum vitae of any key personnel for the Project.)*

7. Describe how the project relates to any federal or other programs that the applicant operates and, if applicable, how the applicant plans to use these resources to leverage this project.

8. How will the applicant sustain the proposed service and maintain any vehicles after the grant period?

SECTION 4: COORDINATION. *The FTA requires that projects funded under Sections 5310 (meet the needs described in the approved locally developed public transportation human service coordinated plan.*

1. Describe how the project will be coordinated with human service agencies, nearby jurisdictions and/or public and private transportation providers. Identify any partnerships that will be involved in the implementation of the project. (i.e. vehicle sharing, scheduling & dispatching center, training, shared rides, shared costs, including the other agency's role(s) in the Project). Attach any letters or agreements as support of coordination with those agencies.

2. Explain how the Project relates to other services or programs provided by your agency or firm and demonstrate how it can be achieved within your technical capacity.

3. When could your project begin upon receiving funding? Describe the process your organization would take to implement the project.

SECTION 6: BUDGET

1. **Is there a commitment of funds beyond the requested grant period?** *If yes, please explain the nature of the commitment. If no, please explain the steps you will take to attain sustainability*

PROJECT BUDGET (CAPITAL AND OPERATING EXPENSES)

Capital Budget (100/0) Equipment/Facilities	Type of Service	Cost	Federal Share (100%)	Local Share (0%)	Source of Local Share
Total		\$ -	\$ -	\$ -	
Operating Budget (100/0)	Type of Service	Cost	Federal Share (100%)	Local Share (0%)	Source of Local Share
Total		\$ -	\$ -	\$ -	

3. Describe any experience your organization has as an existing grantee of 5310 funds, or similar fund administration, as well as experience with financial reporting such as quarterly reports, annual audits and/or other forms of financial reporting.

4. Describe any training, maintenance, inspections and/or service monitoring you plan to do focused on managing risk and providing safe services.

SECTION 8: TRADITIONAL OR OTHER SECTION 5310 PROJECTS.

A. TRADITIONAL 5310 PROJECTS ONLY *(APPLICANT SHOULD ONLY COMPLETE THIS SECTION IF APPLICANT IS APPLYING FOR TRADITIONAL SECTION 5310 FUNDS):*

1. Describe the mobility options the seniors and/or individuals with disabilities in this service area have now and discuss how your project creates more mobility options.

2. Explain how the capital project you are proposing, enhances the mobility of seniors and/or individuals with disabilities in your service area.

3. According to the Federal Circular, it is not sufficient to assume seniors and/or individuals with disabilities will be included in the traditional 5310 project. Describe the details of the planning and design of your project that establishes that seniors and/or individuals with disabilities will be included in the project.

B. OTHER SECTION 5310 PROJECTS ONLY (APPLICANT SHOULD ONLY COMPLETE THIS SECTION IF APPLICANT IS APPLYING FOR OTHER SECTION 5310 FUNDS):

1. To be funded as an Other 5310 Project, the project must meet at least one of three qualifying criteria including:
 - a. Does your project exceed ADA minimum requirements? _____
 - b. Does your project improve access to fixed route service and decrease reliance by individuals with disabilities on ADA complementary paratransit service? _____
 - c. Does your project provide alternatives to public transportation that assist seniors and/or individuals with disabilities with transportation? _____
2. If you answered 'yes' to any of the questions in 1(a), 1(b) or 1(c) above, describe how your project meets this qualifying criteria.

3. Other 5310 Projects must be planned, designed and carried out to meet the transportation needs of seniors and/or individuals with disabilities, although the service may also be used by the general public. Describe how seniors and/or individuals with disabilities will be targeted and how the general public will be part of the project.

SECTION 9: OTHER INFORMATION

A. APPLICANT CONTACTS

Provide the name, title, address, phone/fax number, and e-mail for the following key contact people for the Project:

1. Executive Director/Chairman of the Board
2. Administrative Contact (person responsible for grant administration)
3. Operations Contact (person responsible for operational issues)
4. Procurement Contact (person responsible for procuring assets and preparing bid packages)
5. Financial Contact (person responsible for billing, accounting, closeouts, reimbursement requests)
6. Audits Contact (responsible for annual audits)
7. Legal Counsel
8. EEO Representatives – An Applicant’s Chief Executive Officer (CEO) should designate an EEO Officer and adequate staff to administer the EEO program. The EEO Officer should be an executive and should report directly to the CEO. Care should be taken to avoid conflicts when assigning responsibility for administering the EEO program as a collateral duty assignment, e.g., a personnel officer may have a conflict of interest.
9. DBE Representative
10. ADA Representative
11. Title VI Representative

B. DOCUMENTS AND RECORDKEEPING

Indicate where the following program records will be retained and provide the name of the individual responsible for maintaining documents.

<u>DOCUMENT</u>	<u>LOCATION</u>	<u>NAME AND TITLE OF RESPONSIBLE PERSON</u>
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- Contract (w/City)
- Contract (w/Service Provider))
- Civil Rights Records
• (EEO, Title VI, ADA)
- Financial Records
- Procurement and Bid Documents
• Including RFPs
- Certifications & Assurances
- Others (List):

Capital Projects:

- Vehicle Records
- Non-Vehicle Records

Transportation Service Projects:

- Driver Manifests
- Daily Pre-Trip forms
- Maintenance Records
- Drug & Alcohol Data
- Ridership Records

C. PROJECT PERSONNEL

1. List all positions, names, titles and the number of positions, which will be charged to this grant during this grant period. Next to each position indicate the percentage of the position/individual salary that will be charged to the grant.

2. For positions that will only be PARTIALLY charged to this grant, describe how the estimated percentage of the salary to be charged to the grant was derived. If percentage of time to be charged to grant is estimated, describe what auditable mechanism(s) will be used to verify the actual time that an individual spends on grant related activities.

3. Are all individuals listed in item 1 above currently working in their job titles? If not, explain what the differences are between their current positions and the position that will be charged to the grant and why they are not working in their grant positions.

4. Attach to this exhibit an official organizational chart showing the reporting/supervisory relationships of each of the positions listed above.

D. THIRD PARTY CONTRACTING

If an applicant is planning to purchase any goods or capital assets from a third party, it must follow the applicable competitive process required by the FTA. If the applicant is planning to contract out service under this grant, then the applicant must list all proposed service to be contracted out (i.e., transportation services, computer routed services, dispatching, auditing, drug and alcohol testing, legal, marketing, maintenance) to a third party. **All bids/RFP/contract awards must have prior CATS review and approval.** A price/cost analysis must be done by the applicant prior to request. See FTA Third Party Contracting Guidelines Circular FTA C 4220.1F.

<u>Bid/RFP/State Contract</u>	<u>Name/Type of Asset/Service</u>	<u>Timeframe</u>	<u>Estimated Cost/Budget</u>
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E. SECTION 5310 TITLE VI PROGRAM REPORT

Legal Name of Applicant: _____
 (Complete either Part A or Part B)

Part A – No complaints or Lawsuits Filed

I certify that to the best of my knowledge, **No complaints or lawsuits** alleging discrimination have been filed against (*Transit System Name*) _____ during the period July 1, 2019 through June 30, 2022.

 Signature of Authorized Official

 Type Name and Title of Authorized Official

 Date

Part B – Complaints or Lawsuits Filed

I certify that to the best of my knowledge, the below described complaints or lawsuits alleging discrimination have been filed against (*Transit System Name*) _____ during the period July 1, 2019 through June 30, 2022.

Complainant Name/Address/Telephone Number	Date	Description	Status/Outcome

(Attach an additional page if required.)

 Signature of Authorized Official

 Name and Title of Authorized Official

 Date

Please provide a copy of your current Title VI Plan with your Application.

G. LOBBYING CERTIFICATION

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence a member of the Metropolitan Transit Commission, Charlotte City Council, officer or employee of the Charlotte Area Transit System, or any elected, appointed, or employed official or employee of the State of North Carolina, member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any Federal Contract, or the amendment or modification of any Federal Contract.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence a member of the Metropolitan Transit Commission, Charlotte City Council, officer or employee of the Charlotte Area Transit System, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal Contract, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award of all subcontracts anticipated to be of a value of one hundred thousand dollars (\$100,000.00) or more and that all subcontractors shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. §1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than ten thousand dollars (\$10,000.00) and not more than one hundred thousand dollars (\$100,000.00) for each such failure.

Signature: _____ Date: _____

Title: _____ Telephone No. (____) _____

Firm or Corporate Name: _____

Address: _____

DISCLOSURE FORM TO REPORT LOBBYING

<p>DISCLOSURE OF LOBBYING ACTIVITIES</p> <p>Complete this form to disclose lobbying activities pursuant to 31 U.S.C. §1352 (See below for public burden disclosure)</p>		<p>Approved by OMB 0348-0046</p>
<p>1. Type of Federal Action: <input type="checkbox"/> a. Contract <input type="checkbox"/> b. Grant <input type="checkbox"/> c. Cooperative agreement <input type="checkbox"/> d. Loan <input type="checkbox"/> e. Loan guarantee <input type="checkbox"/> f. Loan insurance</p>	<p>2. Status of Federal Action: <input type="checkbox"/> a. Bid/offer/application <input type="checkbox"/> b. Initial award <input type="checkbox"/> c. Post-award</p>	<p>3. Report Type: <input type="checkbox"/> a. Initial filing <input type="checkbox"/> b. Material change For Material Change Only: year _____ quarter date of last report</p>
<p>4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known:</p>		<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:</p>
<p>6. Federal Department/Agency:</p>		<p>7. Federal Program Name/Description: CFDA Number if applicable:</p>
<p>8. Federal Action Number, if known:</p>		<p>9. Award Amount, if known:</p>
<p>10. a. Name and address of Lobbying Entity (if individual, last name, first name, MI):</p>		<p>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</p>
<p><i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i></p>		
<p>11. Amount of Payment (check all that apply): \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned</p>		<p>13. Type of Payment (check all that apply): <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify:</p>
<p>12. Form of Payment (check all that apply): <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____</p>		
<p>14. Brief Description of Services Performed or to be Performed and Date(s) of service, including officer(s), employee(s), or Members contacted, for Payment Indicated in Item 11: <i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i></p>		
<p>15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes <input type="checkbox"/> No</p>		
<p>16. Information requested through this form is authorized by 31 U.S.C. §1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. §1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure.</p>		<p>Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____</p>
<p>Federal Use Only:</p>		<p>Authorized for Local Reproduction Standard Form-LLL</p>

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal Action, or a material change to a previous filing, pursuant to the 31 U.S.C. §1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence and officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is an/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or sub award recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and Contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loan, and loan commitments.
8. Enter the most appropriate Federal Identifying number available for the Federal action identified in Item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the Contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
 - a. Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
 - b. Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
10. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (Item 10). Indicate whether the payment has been made (actual) or will be made (pledged). Check all boxes that apply. If this is a material change report, enter the cumulated amount of payment made or planned to be made.
11. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
12. Check the appropriate box(es) that apply. If other, specify nature.
13. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
14. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
15. The certifying officer shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average thirty (30) minutes per response including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Send comments regarding the burden estimate or any aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

H. CONFLICT OF INTEREST

Except as may be identified and explained below, the undersigned hereby certifies that, no member of the Charlotte City Council, Mecklenburg Board of County Commissioners, Metropolitan Transit Commission, officer, employee, or former employee of the City, AND

no elected, appointed, or employed official or employee of the State of North Carolina or of a governing body, instrumentality, or political subdivision within the territory comprising Mecklenburg County, AND

no relative of persons described above, AND

no member of or delegate to the Congress of the United States

has an interest whatsoever (regardless of how indirect and how remote that interest may be) in the Bidder's organization and/or in the proceeds of any contract and/or agreement which might be made between the Bidder and the City as result of the successful bid/proposal accompanied by this certification; no person who is or who during the past twelve (12) months has been a member of the Charlotte City Council, Mecklenburg Board of County Commissioners, Metropolitan Transit Commission, an officer or employee of the City is employed by or on behalf of the Bidder's organization; and that until acceptance of all work or services to be performed under any resulting contract or agreement, the Bidder shall not enter into any contract involving services or property, whether or not related to the performance of any resulting contract or agreement, with any of the aforementioned persons or with any business in which any such person has an interest, direct or indirect.

Except as identified and explained below and with City's prior approval the Bidder shall not engage in any activity, or accept any employment, interest or contribution that would create an appearance of a conflict of interest (personal or organizational) or reasonably appear to compromise the Bidder's judgment with respect to all work or services to be performed under any resulting contract or agreement.

The undersigned certifies that he is legally authorized by the Bidder to make the above representation, and that the representation is true to the best of his knowledge and belief and without deliberate omission of any inquiry which would to the best of his belief tend to change the above representation. The undersigned understands that any representation made knowing it to be false may be cause to disqualify the Bidder from competing for award for the contract at hand, may be cause to terminate the resulting contract and disqualify the Bidder from being awarded future contracts by the City.

The Bidder certifies that neither he nor any agent, representative, or other party acting on his behalf has offered or given any gratuity or gratuities, in the form of gifts, entertainment, or otherwise, to any director, officer, or employee of the City or of any person, firm, consultant or contractor retained by the City, with a view to securing the contract or of securing favorable treatment with respect to the award hereof, and the Bidder further certifies that neither he nor any agent, representative, or other party acting on his behalf will offer or give any such gratuity to any director, officer, or employee of the City or of any such consultant or contractor with a view to securing favorable treatment with respect to any change or amendment to the contract, or to any other action with respect to the performance hereof.

The Bidder further understands that in addition to submitting this certification at the time of bid/proposal submission to the City, the Bidder shall also be required to submit a similar certification at the time of execution of any resulting contract.

NOTE: THIS CERTIFICATION MUST BE SIGNED AND SUBMITTED WITH THE BID/PROPOSAL

Signature: _____
Title: _____ Date of Signing: _____
Firm or Corporate Name: _____
Address: _____

Telephone Number: _____

I. SYNOPSIS QUESTIONS

Please answer succinctly:

1. What is the title of your project?
2. Identify the amount of money needed and how it will be used.
3. What is the deliverable?
4. How will you be able to sustain the project/acquisition from #2 going forward?
5. Is your request/project scalable?
6. If you receive less than the full amount of your project request, will the funding be useful?
How would the project change with less funding?
7. Provide a list of Tasks/Deliverables Associated with your proposed timeline

J. CHECKLIST FOR SUBMITTING PROPOSAL

Step 1 – Read the document fully

Step 2 Proposal Copies

- 1 Copy signed “Original” and an electronic USB Application to be delivered, to City Procurement Division, Attention Jeremy Wall, 3rd Floor, 600 East 4th Street, Charlotte, NC 28202

Step 3 Proposal Format – Proposals should be formatted as follows:

- Completed and signed application by date
- Section 9, E, Title VI Program Report
- Section 9, G, Lobbying Certification
- Section 9, G, Disclosure Form to Report Lobbying
- Section 9, H, Conflict of Interest
- Section 9, I, Synopsis Questions.

It is the Subrecipient’s responsibility to check the City’s Contract Opportunities Site for any addenda or changes to this Project. Search for 5310 FY21 Call for Projects Grant Application to find any documents or changes have been posted.