

Welcome

Policy and Compliance

With Dawn Hocking



**MARICOPA
ASSOCIATION of
GOVERNMENTS**

Housekeeping

- Enter comments and chat with the presenter and attendees
- Keep your microphone muted and camera off during the presentation
- Question will be answered at the end of session
- For on-screen live transcriptions, click on CC button then click on “Show subtitles” option
- This presentation is being recorded



Policy and Compliance

with Dawn Hocking

Polling Questions:

Are you a Section 5310 recipient?

Have you completed your Title VI Plan or recertification of the plan?

Have you been required to complete a compliance meeting?

Agenda

- Section 5310 Reimbursements
- Section 5310 Annual Milestone Report
- Section 5310 Compliance Components
- Title VI



Section 5310 Reimbursements

Section 5310 Reimbursements

- Submitted Quarterly
- Forms completed
- Supporting documentation
 - Lead Sheet (Expenses for Reimbursement)
 - Invoices
 - FTA Reimbursement Form

Lead Sheet

- List each expense
- Check numbers = proof of payment
- Copies of invoices must be included

The screenshot shows an Excel spreadsheet with the following data:

TCH The Centers for Habilitation - Grant # AZ- -001-01										
Invoice # 1										
Reporting Period (10/1/24 - 12/31/24)										
Expense Category	Month	Vendor	Total Invoice	Direct Expense to 5310 Program	% Paid by Grant	Reimbursement Request Amount	Proof of Payment Check#	Justification	City of Phoenix Review	
Repairs	October	Copperstate Auto	\$1,402.18	\$1,402.18	80%	\$1,121.74	40834	Replace radiator, thermostat, troubleshoot temps above normal Van 180		

Invoices

- ▶ Invoice Number
- ▶ Date
- ▶ Current Request

TCH_maint costs Q1 - Excel

File Home Insert Draw Page Layout Formulas Data Review View Help Acrobat Tell me what you want to do

Cut Copy Paste Format Painter Clipboard Font Alignment Number Styles

Percent 2 Title 2 Warning Text 2 Normal

F26

	A	B	C	D	E	F	G	H	I	J	K
1											
2											
3											
4											
5	To:	City of Phoenix, Public Transit Dept.			From:	The Centers for Habilitation [Vendor #3021815]					
6		302 N. 1ST Ave. , Suite 900				215 W. Lodge Drive					
7		Phoenix, AZ 85003				Tempe, AZ 85283					
8		Attn: Accounts Payable				Attn: Dawn Hocking					
9		SAP Code T48530/PT23182231-1									
10											
11		Invoice Number:	2024-001-01		Invoice Date:	19-Jun-24					
12											
13	RE:	Request for reimbursement of FTA share of qualified grant expenditures.									
14											
15											
16											
17											
18											
19											
20											
21											
22											
23											
24											
25											

INVOICE
AZ-2024-001-00 Transaction Number 1

FTA Apportionment					Local Match				
Qty			Total Requests	Prior Report Total	Current Request	Required Total	Total Reported To Date	Prior Report Total	Current Reporting
Ord	City SAP Code	Award	To Date	Requests	Request	Total	To Date	Reported	Reporting
Section 5310 Enhanced Mobility (80/20)									
11.7L.00 Capital Bus; Other Capital Program Items; Mobility Management									
		36,000	9,000	-	9,000	9,000	2,250	-	2,250
11.7A.00 Capital Bus; Other Capital Program Items; Preventive Maintenance									
		40,000	10,000	-	10,000	10,000	2,500	-	2,500
Totals:		76,000	19,000	0	19,000	19,000	4,750	0	4,750

Mobility M:
Preventive

Supporting Documentation

Microsoft Excel interface showing a spreadsheet titled "FTA Grant Expenditure Reimbursement Request Application".

Cell D8 contains the value 153016.

FTA Grant Expenditure Reimbursement Request Application

The information provided will be used by the City of Phoenix Public Transit Department (PTD) to monitor sub-recipient expenditures for FTA-funded projects and disburse FTA funds for eligible costs. No further FTA funds may be disbursed unless this report is completed and submitted as required.

SUB-RECIPIENT ORGANIZATION NAME AND ADDRESS	GRANT AGREEMENT NUMBER	REQUEST NO.
The Centers for Habilitation 215 W. Lodge Drive Tempe, AZ 85283	AZ-2020-040 153016	1
	REPORTING PERIOD (Dates)	
	FROM:	

	TOTAL	LOCAL MATCH	FTA SHARE
TOTAL ELIGIBLE PROJECT COSTS	\$ 53,156.00	\$ 10,631.00	\$ 42,525.00
TOTAL PREVIOUS PAYMENTS	\$ 28,153.00	\$ 5,631.00	\$ 22,522.00
CURRENT REIMBURSEMENT REQUESTED	\$ -	\$ -	\$ -
REMAINING FUNDING	\$ 25,003.00	\$ 5,000.00	\$ 20,003.00

REQUIRED SIGNATURES

This document must be signed by the sub-recipient's Transit Manager and Chief Financial Officer or their designated representative(s).

CERTIFICATION

We certify the financial expenditures submitted for reimbursement with this report, including supporting documentation, are eligible and allowable expenditures, have been incurred compliant with all applicable Federal laws and regulations, have not been previously requested, and all matching requirements have been met. In addition, we understand that any discovery of a violation of a Federal law or regulation, or failure to follow any applicable Federal directives may result in withdrawal of federal participation.

SIGNATURE OF TRANSIT MANAGER OR DESIGNEE	DATE
TYPED OR PRINTED NAME AND TITLE	TELEPHONE
SIGNATURE OF CHIEF FINANCIAL OFFICER OR DESIGNEE	DATE

- FTA Reimbursement Request Application
- Copies of invoices

	A	B	C	D	E	F	G	H	I	J	K	L
1	FY 2024											
2	Phoenix-Mesa Urbanized Area											
3	Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities											
4	Subrecipient Annual Milestone Report											
5												
6	Applicant (Agency) Name:	The Centers for Habilitation - TCH				Reporting Period:	10/1/2023 to 9/30/2024					
7												
8	Name and Title of the Agency's Representative completing report:			Dawn Hocking Director of Development and Dan Smoller Fleet and Facilities Manager								
9												
10	Email:			dawnhocking@tch-az.com and dansmoller@tch-az.com								
11												
12	SECTION 1 - GRANT SUMMARY											
	This section provides a history of your agency's awarded grants, grant agreements project description and current grant status.											

Annual Milestone Reports

Annual Milestone Report

- Due by October 15th each year
- Includes the following:
 - Grant Summary
 - Title VI Annual Report
 - Performance Measures
 - Vehicle Inventory if required
 - Annual Inspections and supporting documentation
 - And much more....



5310 Compliance Meeting

Compliance Review

- Drug Free Workplace
- Title VI forms easily found on website and visible in vehicles
- Random review onsite 5310 vehicles



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Transportation



TCH owns and operates a large fleet of accessible vehicles. Annually, TCH logs over 75,000 trips on behalf of its supported individuals. These trips consist of, among other things: transporting our supported individuals between TCH Group Homes and the day program on our main campus; taking them to and from medical appointments; taking them to and from job sites; taking them to events and recreational activities; and transporting to and from various social enterprise volunteering opportunities.

TCH assumes full compliance with the Title VI. You can access the TCH Title VI Policy [here](#).

[Title VI Complaint Procedure - English](#)

[Title VI Complaint Form - English](#)

[Title VI Complaint Procedure - Spanish](#)

[Title VI Complaint Form - Spanish](#)

[Title VI Notice to the Public - English](#)

[Title VI Notice to the Public - Spanish](#)





The Centers for Habilitation/TCH Title VI Plan

November 2024 –November 2027 Dates



Title VI

Title VI

- Renews every 3 years (start early on the process)
- Start Early
- Must have board approval prior to FTA Concurrence



October 18, 2024

Dawn Hocking
The Centers for Habilitation
251 West Lodge Drive
Tempe, AZ 85283

Re: Triennial Title VI Program Plan Review - Concur Letter & Program Review Assessment

Dear Dawn Hocking:

The City of Phoenix Public Transit Department has received and reviewed the Centers for Habilitation Title VI Program plan submitted on September 24, 2024. This Title VI Program plan will be effective **October 18, 2024 to October 18, 2027**.

The Federal Transit Administration (FTA) requires recipients of federal funds to demonstrate compliance with Title VI of the Civil Rights Act of 1964 through regular compliance reports. The Federal Transit Administration's (FTA) Circular 4702.1B, "Title VI Program Guidelines for Federal Transit Administration Grantees" sets forth the information that should be included in these updates, and requires they be submitted as Title VI Programs every three years.

The Public Transit Department's review of your Title VI Program considered all elements required by Department of Transportation regulation found at 49 C.F.R. § 21, as outlined in Circular 4702.1B, Chapter III. The review assessment attached to this letter identifies the specific areas reviewed, any concerns, and relevant reviewer comments. Lura Turner Homes must promptly address and correct the deficiency concerns identified in the review assessment within 60 days. Notify the City of Phoenix, Title VI Coordinator when this has been completed.

Your program status is now *Concur*. You must continue to properly implement your program to

Questions?

Thank you for joining us!

Dawn Hocking, TCH

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Lauren Marshall, MAG

Transportation Planner
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