



2012

FTA Section 5311 Handbook



California Department of
Transportation
Division of Mass
Transportation

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I. INTRODUCTION

A. INTRODUCTION/FOREWORD

Federal Transit Administration (FTA) Section 5311 is a formula based program that provides funding to states for the purpose of supporting public transportation in rural areas. Rural areas encompass all populations, housing, and territory not included within an urbanized area of 50,000 or more population. Counties and regions may be entirely rural, or they may be composed of rural areas and one or more urbanized areas. The goal of the 5311 program is to provide the following services to rural areas:

- Enhance the access of people in nonurbanized areas to health care, shopping, education, employment, public services, and recreation;
- Assist in the maintenance, development, improvement, and use of public transportation systems in nonurbanized areas;
- Encourage and facilitate the most efficient use of all transportation funds used to provide passenger transportation in nonurbanized areas through the coordination of programs and services;
- Assist in the development and support of intercity bus transportation; and
- Provide for the participation of private transportation providers in rural areas.

This Handbook provides information on various aspects of the Section 5311 Program as administered by the California Department of Transportation (Department). The following chapters begin with brief statements identifying the responsibilities pertinent to the chapter. The Handbook also provides information on the functions and responsibilities of the Transportation Planning Agencies (TPA), Section 5311 subrecipients, the Department's Division of Mass Transportation (DMT) staff and the District Transit Representatives (DTR).

This Handbook is also available on the Department's website at <http://www.dot.ca.gov/hq/MassTrans/5311.html>. There you will also find the forms needed in this Program as well.

B. LOCAL PLANNING OVERVIEW

All projects, no matter their purpose or funding source, require early, coordinated and comprehensive planning. In addition, all projects should involve participation by a variety of stakeholders. Projects receiving FTA Section 5311 funds are no different. This comprehensive approach is strongly encouraged at the federal, state, and local levels so that transportation investments are maximized to provide the most effective and efficient use of resources. Stakeholders should participate actively and regularly in the regional transportation planning process, including development of the Regional Transportation Plan (RTP), so that transit projects they would like to be implemented are considered in a regional planning context. Other opportunities for stakeholders to become involved in the planning process are through the Technical Advisory Committee (TAC) and Social Services Advisory Committee (SSTAC) processes. The DTR can provide information regarding meeting dates and times. DTRs can also facilitate discussions between stakeholders and planning agency staff if called upon to do so. For more information regarding the RTP, contact the DTR or

for an electronic copy of the RTP Guidelines prepared by the California Transportation Commission, go to http://www.catc.ca.gov/programs/rtp/2010_RTP_Guidelines.pdf.

The TPA should work with the Department to ensure that projects are selected, and meet Section 5311 Program guidelines. It is essential that regular communication with the DTR is established and maintained. Private sector applicants for Section 5311(f) Intercity Bus funds should be involved in regional planning activities and should seek out ways to facilitate discussion and coordination with stakeholders and end users. Under-served and/or non-traditional subrecipients (i.e. Native American tribal councils) are likewise encouraged to view participation in regional planning activities as a resource that will assist them in receiving Section 5311 Regional Apportionment funds and in developing successful applications for Intercity Bus or State Discretionary funds.

The purpose of the actions described above is to ensure that transit projects are developed through sound planning practices and are supported by local stakeholders in both the public and private sectors.

II. SECTION 5311 PROGRAM OVERVIEW

A. RESPONSIBILITIES

TPA:

- Ensures that proposed projects are selected and meet Section 5311 Program requirements.

DTR:

- Ensures that TPA understands eligibility requirements of the Section 5311 Program and receives a balance sheet in a timely fashion prior to a new grant cycle year.
- Ensures that TPA programs their projects in the Statewide Transportation Improvement Program (STIP).

DMT:

- Administers and manages the Section 5311 Program jointly with the assistance and support of DTRs.

B. SECTION 5311 PROGRAM OVERVIEW

The FTA annually allocates apportioned Section 5311 funds to the governor of each state. The Department is the delegated recipient in California. The DMT, located in the Department's Headquarters, administers and manages the Section 5311 Program jointly with the assistance and support of DTRs in the Department's District Offices. Although there are instances where DMT staff will work directly with TPAs and subrecipients, it is the DTR that most often guides and assists them through the Section 5311 Program. Each year, total appropriated funds are allocated to California and distributed in the following manner:

- 75% to the regional apportionment on a population basis;
- 15% to the Section 5311(f) Intercity Bus Program;
- 10% to the Department's administrative costs

Section 5311 Regional Apportionment

The regional apportionment is allocated to regions or counties based on the population of the rural area. The TPA plans and programs projects for Section 5311 funds and submits a program of projects to the DTR each year for the counties within its jurisdiction. The program of projects includes flexible fund projects that the TPA wants to deliver through the Section 5311 Program. Subsequent to receiving programmed projects from TPAs, the Department will prepare and submit the statewide Section 5311 grant application to FTA for approval.

Section 5311(f) Intercity Bus Program

Section 5311(f) provides funds on a competitive basis for transit projects that develop and support intercity bus transportation in rural areas of the state. Using specific evaluation criteria, project applications are ranked by a committee comprised of Department and outside agency staff. (Please see Chapter XI for more details.)

C. ELIGIBILITY FOR SECTION 5311 FUNDS

Eligible subrecipients include State Agencies, local public bodies and agencies thereof, Indian tribes, private nonprofit organizations, and operators of public transportation services.

Private intercity bus operators are eligible for Section 5311(f) funds as described in Chapter XI; otherwise they may only participate as third party contractors for eligible subrecipients. Eligible projects must serve the general public in rural areas. Projects that primarily serve elderly persons and persons with disabilities, but that do not restrict service to other members of the public, are considered available to the general public, if they are marketed as public transit services. Section 5311 is a reimbursement program. The FTA designates specific activities that are eligible for reimbursement with Section 5311 program funds. It also requires a local match. The local match has to be from a non-federal source.

Eligible activities and local match percentages are listed below:

#	Eligible Projects	Min. Local Match	Max. Federal Grant
1	Operating Assistance	44.67 percent	55.33 percent
2	Vehicle Purchase	11.47 percent	88.53 percent
3	Bus Related Equipment Purchase	11.47 percent	88.53 percent
4	Transit Facility	11.47 percent	88.53 percent
5	Preventive Maintenance	11.47 percent	88.53 percent
6	Planning and Technical assistance	11.47 percent	88.53 percent
7	Bicycle Facility	10 percent	90 percent

Please see below for a description of the eligible projects in the above table:

1. Operating Assistance

Eligible operating assistance expenses include operation of existing service, introduction of new transit service, and expansion of existing service and is available for one year only. The following are examples of eligible expenses for operating assistance:

Personnel

- Driver Salaries (including benefits).
- Dispatcher Salaries (including benefits).
- Maintenance Mechanic Salaries (including benefits).
- Administrative Staff Salaries (including benefits) directly related to the project.

Other Direct Expenses

- Fuel and Oil.
- Tires, Parts, Maintenance.
- Vehicle Licenses.
- Vehicle Insurance.
- Uniform/Purchase.
- Capital Cost of Contracting.
- Purchased Transportation (Third Party Contract).

2. Vehicle Purchase

The following are examples of eligible expenses for vehicle purchase: vehicles for new service, existing, and/or expansion.

3. Bus Related Equipment Purchase

The following are examples of eligible expenses for bus related equipment:

- Radios and communication equipment.
- Fare boxes.
- Wheelchair lifts and restraints.
- Computers; Hardware and Software (i.e. scheduling, routing).
- Intelligent Transportation System (ITS) that is included in the regional ITS architecture plan.

4. Transit Infrastructure

The following are examples of eligible expenses for Transit Infrastructure:

- Bus shelters/Benches/Signage.
- Safety and Security features (i.e. lighting, camera).
- Support items such as trash containers.
- ADA requirements and/or enhancements.
- Informational or scheduling structures.
- Construction or rehabilitation of transit facilities including design, engineering, and land acquisition.
- Lease of equipment or facilities when lease is more cost effective than purchase. See “Capital Leases”, 49 CFR part 69 or Section 10.3.10 of this document for more information on Lease Restrictions.

5. Preventive Maintenance (New)

Applications for Preventive Maintenance grants are certified by Caltrans DMT as having met all the statutory and administrative requirements for Project approval. Preventive Maintenance activities consist of routine revenue and non-revenue vehicle inspection and maintenance for bus operations. For the purpose of carrying out a preventive maintenance project, the labor (associated administrative and incidental costs) shall not exceed the estimated cost. Preventive Maintenance contract projects are good for only one year. The following are approved activities for the inspection and maintenance of revenue vehicles and service vehicles.

Inspection and Maintenance of Revenue Vehicles’ Component Activities

- Oil changes, engine repairs, etc. are considered preventive maintenance activities are maintenance expenses.
- Inspecting revenue vehicle components on a scheduled preventive maintenance basis (e.g., engine and transmission, fuel system, ignition system, chassis, exterior body and interior body, electrical system, lubrication system, trolleys, pantographs and third rail shoes, trucks, braking system, and air conditioning system).
- Changing lubrication fluids.
- Replacing minor repairable units of the above listed revenue vehicle components.
- Making road calls for service revenue vehicle breakdowns.
- Towing and shifting revenue vehicles to maintenance facilities.
- Rebuilding and overhauling repairable components.

- Performing major repairs on revenue vehicles on a scheduled or unscheduled basis (this work is generally done by the following facilities: machine shop, sheet metal shop, welding and blacksmith shop, woodworking shop).
- Replacing major repairable units of revenue vehicles (including engines, transmissions, traction motors and air conditioners).

Inspection and Maintenance of Service Vehicles' Component Activities

- Inspecting service vehicle components on a scheduled preventive maintenance basis (e.g., engine and transmission, fuel system, ignition system, chassis, exterior body and interior body, electrical system, lubrication system, trolleys, pantographs and third rail shoes, trucks, braking system, and air conditioning system).
- Performing minor repairs to the above listed service vehicle components.
- Changing lubrication fluids.
- Replacing minor repairable units of the above listed service vehicle components.
- Making road calls for service vehicle breakdowns.
- Towing and shifting service vehicles to maintenance facilities.
- Rebuilding and overhauling repairable components.
- Performing major repairs on service vehicles on a scheduled or unscheduled basis (this work is generally done by the following facilities: machine shop, sheet metal shop, welding and blacksmith shop, woodworking shop).
- Replacing major repairable units of service vehicles (including engines, transmissions, traction motors and air conditioners).

The following are approved activities for the maintenance of transit facilities and facility-related equipment:

- Maintenance administration.
- Maintenance of vehicle movement control systems.
- Maintenance of fare collection and counting equipment.
- Maintenance of roadway and track.
- Maintenance of structures, tunnels, bridges, and subways.
- Maintenance of passenger stations.
- Maintenance of operating station buildings.
- Maintenance of garage and shop buildings, grounds, and equipment.
- Maintenance of communication systems.
- Maintenance of general administration buildings, grounds, and equipment.
- Accident repairs of buildings, grounds, and equipment.
- Vandalism repairs of buildings, grounds, and equipment.
- Operation and maintenance of electric power facilities.

6. Planning and Technical Assistance

The following are examples of eligible expenses for planning and technical assistance activities:

- Planning Study (i.e. system-wide connectivity, improved service effectiveness, ridership forecast/survey, and transit coordination).
- Marketing Research and Innovation.
- Development and implementation of strategic marketing.

7. Bicycle Facility

The following are examples of eligible projects for bicycle facility:

- Constructing bicycle facilities (paths, bike racks, support facilities, etc.).
- Non-construction outreach related to safe bicycle use.
- Establishing and funding State bicycle coordinator positions for promoting and facilitating non-motorized transportation modes through public education, safety programs, etc. (limited to one full-time position per state).

D. STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM

All federal funds to be used for highway or transit projects must be included in Federal Statewide Transportation Improvement Program (FSTIP). The FSTIP is a four year statewide intermodal program of transportation projects that is consistent with the statewide transportation plan and planning processes, the metropolitan plans and the Federal Transportation Improvements Programs (FTIPs). The FSTIP is prepared by Caltrans in cooperation with the TPA. Please see Attachment #1 for sample federally approved TIP. *For further guidance on the Department's FSTIP process, please see the Transportation Programming Website at <http://www.dot.ca.gov/hq/transprog/oftmp.htm> or contact the Division of Transportation Programming at (916) 654-4013.*

III. PROGRAMMING OF PROJECTS

A. RESPONSIBILITIES

TPA:

- Prepares program of projects.

DTR:

- Reviews programmed projects and forward to DMT.

DMT:

- Reviews programmed projects for policy conformity and ensure that they are included in the statewide grant application to FTA.

B. OVERVIEW

Caltrans makes call for projects announcements for 5311 program periodically. The announcement provides information on available funds and solicits applications from eligible subrecipients. The program period of performance is usually based on the State Fiscal Year (July 1–June 30). After review of all applications, the annual POP recommended by Caltrans serves as the basis for the Caltrans' application for funds to the FTA. The POP identifies each local subrecipient approved to receive funds for that year, including a brief description of the projects and funding level (federal and non-federal). The TPA is responsible for planning and programming the area's Section 5311 funded projects. Caltrans Division of Programming is responsible for programming non-MPO rural projects. The TPA must ensure that programmed projects are included in their region's federally approved Transportation Improvement Program (TIP). In jurisdictions receiving both Section 5307 and Section 5311 funds, the TPA must ensure that transportation projects programmed with Section 5311 funds are for non-urbanized areas only, and subrecipients must submit the cost allocation plan/methodology that splits rural costs from urban costs or other various grant programs. (Please see Chapter VI, Section L for more details regarding cost allocation plan.) When planning projects, the TPA should integrate the principles of environmental justice into the decision making process. TPA's project planning process should consider economic, social and environmental effects of the project and should ensure that the project is consistent with the approved plans of the area. Please see Chapter X for more details regarding Environmental Justice.

Regional apportionment funds are provided to meet transit needs identified by the TPA; however, funds are available only for a limited time. FTA expects grants awarded for a specific program of projects to be completed within a reasonable, specified time frame, generally two to three years. Caltrans expects subrecipients to utilize effective project planning to develop accurate project scope, budget, cost estimates and schedules and to employ professional management principles to efficiently and effectively complete the project within the project schedule established in the subrecipient's Standard Agreement. Specific project programming details or requirements are described below. Note: A flow chart of the Federal TIP process is available at <http://www.dot.ca.gov/hq/transprog/gifs/FedState800.jpg>. Subrecipients are encouraged to contact the TPA to determine the local planning process and timing of the planning cycle.

C. PROGRAM REQUIREMENTS

- To ensure that transit needs are being met, completed applications and POP must be submitted to the DTR no later than December 31st of the year following the year of apportionment. For example, regional apportionment funds programmed in the 2011/12 federal fiscal year must be applied for by December 31, 2013. If an application is not received within the appropriate timeframe, funds for the project will be redistributed to the State Discretionary Reserve.
- When subrecipients do not need their entire allocation within one fiscal year, it is allowable for the counties to “bank” the allocation for up to two years. In order to “bank” funds, Counties must provide written justification with the application and POP to the DTR by December 31st. The justification must include the reason why apportionment will be banked, the proposed project, the project cost, the source of the local match, and a procurement schedule (if applicable).
- All Section 5311 funds available in a given year must be programmed.
- For projects completed and reimbursed with regional apportionment funds, the remaining balance will be disencumbered for reprogramming by the TPA.
- Projects completed and reimbursed with flexible funds and 5311(f) funds are not available for reprogramming.

D. PROGRAM OF PROJECTS

Each November, the Branch Chief will provide the TPA with an estimate of their region’s apportionment, available carryover, and a Regional Program of Projects (POP) form. **Please note: POPs are due to the DTR by December 31st of each year.**

Available carryover includes un-programmed funds from the previous cycle and any deobligated funds from reimbursed projects. If there is disagreement with the regional apportionment or carryover amount, notify the DTR and HQ staff immediately.

The final apportionment will be provided after the passage of the Federal budget. DMT uses the completed POPs in preparing the statewide Section 5311 grant for submittal to FTA for approval. In order for a subrecipient to apply for a Section 5311 grant, their projects must be included in the TPA POP. The POP may be amended to add, delete or change projects during the year. The TPA must notify the DTR should an amendment to the POP be necessary.

E. PROGRAM OF PROJECTS FORM

The current POP and instructions for completion are provided at the end of this section. The form is divided into three sections: 1) 5311 Regional Apportionment Part I: Operating Assistance, 2) Part II: Capital, 3) Part III: Flexible Funding, and 4) Part IV Vehicle Replacement Information.

The following funds may be transferred into the Section 5311 Program:

- Congestion Mitigation and Air Quality Program (CMAQ).
- Regional Surface Transportation Program referred to as STP in this program.
- State Administered STP, also known as Federalized State Transportation Improvement Program funds (Federalized STIP).

The Department must approve all flexible fund projects prior to transferring the funds. A complete application is required with the submission of the POP for projects listed in Part III. For flexible fund projects, the following tasks need to be performed:

- Identify the agency delivering the project.
- Briefly describe project that is consistent with the federally approved TIP (the project description for vehicle projects must include quantity, vehicle size (bus or van) passenger capacity, fuel type and whether the project is for replacement or expansion).
- Identify funding program.
- Indicate 'yes' or 'no' for attaching the federally approved TIP page and application for the eligible project, including the project cost and federal share.
- The date of the California Transportation Commission allocation approval must be provided for federalized STIP projects.

IV. FLEXIBLE FUNDS (Updated)

A. RESPONSIBILITIES

Subrecipient:

- Submits application with POP and all accompanying documents in a timely manner.
- Work with District Local Assistance Office and TPA to facilitate fund transfer.

TPA:

TPA:

- Ensures that flexible fund projects are accurately described in the federally approved TIP.
- Ensure that flexible fund and federalized STIP projects are programmed in the STIP.
- Provides a copy of the federally approved TIP page identifying the project(s) and FHWA/FTA letter approving the TIP or TIP amendment to the subrecipient.
- Programs flexible fund projects on POP.

DTR:

- Reviews completed application and all accompanying documents for accuracy and completeness.
- Reviews and provide comment to the TPA during the programming of flexible funds projects and federalized STIP projects.

DMT:

- Reviews application and all accompanying documents for program requirements and then authorize fund transfer.

B. WHAT ARE FLEXIBLE FUNDS?

The Intermodal Surface Transportation Efficiency Act of 1991 and continuing with the Transportation Equity Act for the 21st Century and The Safe, Accountable, Flexible, & Efficient Transportation Equity Act–Legacy for Users (SAFETEA-LU), authorized the transfer of funds between the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA). This created increased funding opportunities for transit projects. FHWA programs may be transferred or “flexed” into the Section 5311 Program, such as:

- CMAQ
- Regional STP known as STP in this Program
- State administered STP known as Federalized STIP in this program

CMAQ projects must contribute to reducing pollutant emissions. Both capital and new operating projects are eligible to receive CMAQ funding. New operating projects are defined as a start-up service operating less than three years or a service expansion. STP and federalized STIP projects are allowable for capital projects exclusively. When flexible funds are transferred into the Section 5311 Program, they become Section 5311 funds, taking on all the rules and regulations of the Program.

C. PROCEDURES

Because the flexing of funds must involve programs outside of DMT, early planning is important when using CMAQ, STP, or federalized STIP funds to deliver a project through the Section 5311 Program. The TPA and subrecipient must work together to ensure that the funds are programmed, the complete application is submitted, and the project is included in a federally approved TIP by the December 31 due date in order to be included in the statewide grant for the given year. Additionally, for federalized STIP projects, the California Transportation Commission must approve the allocation request no later than its February meeting to be included in the statewide grant for the given year. Another reason for early planning is that **once flexible funds are transferred, they remain in the Section 5311 Program and are not eligible for transferring out of the Section 5311 Program.**

When the TPA includes flex funded projects in the POP, the subrecipient must submit the following to the DTR:

1. A completed 5311 application and other submittals as required.
(See Chapter V and VI and/or: <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
2. Copy of the Federally Approved Transportation Improvement Program (TIP) page that provides the project description, cost and funding type. *A sample is provided as part of Attachment #1.*
3. A copy of the FHWA/FTA Federally Approved TIP approval letter for the specific project. *A sample is provided as part of Attachment #1*
4. A completed Preliminary Environmental Survey for projects that acquire right-of-way or for capital outlay (construction or improvements) projects. *This document is part of Capital Construction Application located at <http://www.dot.ca.gov/hq/MassTrans/5311.html>*

D. FEDERALLY APPROVED TIP

The Federally Approved TIP is a list of projects programmed to receive Federal funding. It also includes projects of Regional Significance, regardless of fund source. The Federally approved TIP contains all capital and non-capital transportation projects proposed for Federal funding, including:

- Highways, Streets and Roads Projects;
- Transit Projects;
- Bicycle Projects;
- Pedestrian Projects;
- Trail Projects;
- Transportation Enhancement Projects; and
- Federal Lands Highway Projects.

As stated above, the Federally Approved TIP Page identifying the project and the FHWA/FTA approval letter must be attached to the application. **The description in the application must be consistent with the project identified in the Federally Approved TIP.**

**E. FLEXIBLE FUNDING PROCESS USING CMAQ AND STP FUNDS
(GRAPHICALLY DISPLAYED IN ADDENDUM #3)**

1. TPA work with subrecipient to determine CMAQ Project(s).
2. TPA prepare POP.
3. Subrecipient prepares FTA Section 5311 application and submits to TPA for review and signature.
4. POP and Application(s) are sent to the respective DTR. The DTR will then review the POP and the application(s) for accuracy and completion prior to forwarding to DMT.
5. After review, DMT HQ Rural Transit and Intercity Bus Branch Chief sends the Notification Letter to Subrecipient. Upon receipt of the Notification Letter, Subrecipient works with TPA to prepare required forms for transfer request. Please see <http://www.dot.ca.gov/hq/LocalPrograms/> under FORMS; Local Assistance Procedures; CHAPTER 3-Project Authorization.
6. Subrecipient submits the request for transfer to District Local Assistance Engineer (DLAE).
7. After review, DLAE forwards the request for transfer to HQ Local Assistance Engineer.
8. After review, HQ Local Assistance Engineer sends the request for transfer to FHWA.
9. Once the Transfer between FHWA and FTA has been completed, HQ Local Assistance Engineer notifies the District Engineer and HQ DMT Rural Transit Branch.
10. HQ DMT Rural Transit Branch proceeds with FTA Section 5311 Grant—requesting input into FTA TEAM for Grant Submittal and Review
11. Upon Grant approval by FTA, HQ DMT Rural Transit Branch will prepare and execute a standard agreement for the project.

F. FLEXIBLE FUNDING PROCESS USING FEDERALIZED STIP FUNDS

1. With approval from the California Transportation Commission (CTC), the TPA programs State administered Surface Transportation Program (STP) funds for transit project in the State Transportation Improvement Program (STIP). TPA notifies subrecipient that project has been programmed.
2. **On December 31st** of each year, a POP and applications are due to the DTR. (*see Chapter VI – Other Submittals*)
3. The DTR will then review the POP and the application(s) for accuracy and completion prior to forwarding to DMT.
4. TPA works with the District staff to request an allocation approval from the California Transportation Commission (CTC), which is necessary to transfer funds to the Section 5311 program. Approval must be obtained no later than the February CTC meeting of the federal fiscal year of the grant. For example, for a project to be included in the 2012/13 statewide grant, the CTC must approve the transfer of funds no later than the February 2013 meeting.
5. Upon Grant approval by FTA, HQ DMT Rural Transit Branch will prepare and execute a standard agreement for the project.

V. APPLICATION, STANDARD AGREEMENT AND STANDARD AGREEMENT AMENDMENT (Updated)

A. RESPONSIBILITIES

Subrecipient:

- Ensures that application is complete and accurate.
- Attaches all required documents to the application.
- Understands and comply with all provisions and requirements in the application and standard agreement.

TPA:

- Reviews application and certifies consistency with the Regional Transportation Plan and Federal Transportation Improvement Program.

DTR:

- Reviews all application and other required documents for accuracy and completeness.

DMT:

- Reviews all submitted application and other required documents to ensure that subrecipients meet program requirements.

B. APPLICATION

During the FY 2010 State Management Review, it was found that FTA 5311 program needs to strengthen its policies and procedures to ensure that subrecipients are in compliance with all FTA and State requirements. In response to the findings, applications were updated to help facilitate the program management and FTA and State oversight. Applications were divided into four segments based on the type of the project: operating assistance, capital (vehicle & equipment), capital (preventive maintenance) and capital (construction & real estate acquisition). The application is comprised of the several parts listed below. Each application part is prefaced with a description of its purpose, guidance and requirements in providing the information required. The applications are available at

<http://www.dot.ca.gov/hq/MassTrans/5311.html>

1. Certification and Assurances of the Subrecipient
2. Certification and Assurances of the Regional Agency
3. Project Description
4. Project Budget Worksheet
5. Project Budget
6. Labor Union Information for Section 13(c) Certification
7. Coordination of Services with Social Service Agencies
8. Transit Security and Emergency Preparedness
9. Public Hearing (Capital Projects only)
10. Civil Rights
11. Disadvantage Business Enterprise (DBE)
12. Authorizing Resolution
13. Categorical Exclusion (Transit Facility Projects only)
14. Transit Facility PS & E Checklist (Transit Facility Projects only)
15. Maintenance Checklist (Capital Project only)
16. IT/ITS Compliance Plan (IT/ITS Projects only)

Important Note: FTA Annual Certifications and Assurances, POP, Copy of Federally Approved TIP (if applicable) also need to be submitted with the application.

Application Quick Checklist

A checklist is provided to assist the subrecipient in preparing a complete application.

See page 3 of the Application.

C. STANDARD AGREEMENT

After DMT receives FTA approval for the statewide grant, standard agreements are prepared and issued for projects that subrecipient has provided a complete application with all required documents. Standard agreements will be distributed within 30 days of the FTA's approval. The standard agreement represents a contractual obligation between the Department and the subrecipient to perform in accordance with federal and state guidelines; therefore, the subrecipient should read the document before signing and returning to the HQ liaison. Please notify the HQ liaison if subrecipient cannot meet terms and conditions identified in the standard agreement.

The standard agreement identifies a project delivery schedule and an expiration date. If the subrecipient cannot complete the project by the delivery date and submit a request for reimbursement by the final invoice due date, the subrecipient must request an extension. Extensions will be approved on a case-by-case basis. **The request for an extension must be made in writing at least 60 days before the date of expiration using the Amendment Request Form** (See Section D. Standard Agreement Amendment for more details).

D. STANDARD AGREEMENT AMENDMENT (NEW)

The FTA expects projects to be completed within a reasonable, specified time ([49 CFR 18.50](#) and [FTA C5010.1D](#)). It is Caltrans' policy that projects for operating must be completed within one year, and capital assistance (except construction/real estate acquisition) within three years from grant award. Caltrans expects subrecipients to utilize effective project planning to develop accurate project scope, budget, cost estimates and schedules and to employ professional management principles to efficiently and effectively complete the project within the project schedule established in the subrecipient's Standard Agreement.

During the course of the contract, it may become necessary to make modifications to the project in the form of administrative changes or time extension, etc. Caltrans will consider contract amendments on a case-by-case basis. The subrecipients **MUST** submit the amendment request in writing using the **FTA Amendment Request Form** (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>). Any amendment **MUST** be requested (at a minimum of 60 days) prior to the contract expiration date.

An amendment may be requested to change the cost, project completion date, contract expiration date, procurement schedule, or final invoice due date of a project. Caltrans is to review/approve amendment requests, prepare and process Standard Agreement amendments.

At a minimum, it is expected that all amendment requests shall:

- Be complete.

- Discuss proposed change in relation to current approved project status.
- Discuss why this course of action is necessary now.
- Discuss the consequences of not taking this action.

Amendment materials include the following:

- Amendment request form.
- *Concurrence letters from the appropriate Regional Transportation Planning Agency (RTPA) or MPO, if applicable.
- Revised scope, cost, and schedule, as applicable.

The amendment process includes the following steps:

- The subrecipient identifies need for change and completes paperwork noted above.
- The subrecipient shall work with their appropriate Caltrans HQ liaison and Regional Agency (if applicable) to prepare and process amendment paperwork.
- Caltrans DMT's Branch chief reviews and approves the amendment paperwork.
*For non-MPO/RTPA rural projects, Caltrans HQ liaison submits the completed amendment request to Caltrans Division of Programming for project programming into the FSTIP (if applicable).
- Caltrans HQ liaison will prepare and process the Standard Agreement amendment.

*RTPA/MPO and Caltrans' Division of Programming will be involved in the amendment process only when the amendment request includes scope change and cost change for the project.

VI. OTHER SUBMITTALS

A. RESPONSIBILITIES

Subrecipient:

- Prepares and submits appropriate documents as required.

DTR:

- Reviews and approves documents submitted that accompany application (i.e., Authorizing Resolution, Title VI, Certifications and Assurances, and Preliminary Environmental Survey, Cost Allocation Plan, Indirect Cost Allocation Plan, and Federally Approved TIP).

DMT:

- Reviews and approves documents that are submitted directly to DMT (i.e., Audit, Disadvantaged Business Enterprise (DBE) Program, Force Account Plan, Maintenance Plan, and all bid related documents).

B. OVERVIEW OF ANNUAL REQUIREMENTS

There are various requirements that need to be met on a yearly, triennial and by project basis. They include:

- Authorizing Resolutions, due for first time application submittals and updated every three years;
- FTA Certifications and Assurances, due each year;
- Preliminary Environmental Survey – required for certain capital projects, such as construction and/or real estate acquisition, and purchase and installation of prefabricated bus shelters and related accessories;
- Maintenance Plan due for first time application submittals and updated as necessary for subrecipients who propose to purchase vehicles, equipment, and facility (See Chapter VI, Section G for more details);
- Force Account Plan due for first time application submittals and updated as necessary for subrecipients who propose to use in-house labor for construction or preventive maintenance projects, and the contract award amount is greater than \$100k (See Chapter VI, Section H for more details);
- Cost Allocation Plan (for subrecipients who receive other FTA funds, such as 5307, 5316, and 5317 for the same project) and Indirect Cost Rate Proposal (for subrecipients who are planning on getting reimbursement for indirect costs) due each year (See Chapter VI, Sections I and J for more details).

C. AUTHORIZING RESOLUTIONS

A certified or original copy of the authorizing resolution must be on file with DMT for first-time application submittals and copies are acceptable with the application thereafter. This resolution identifies the Section 5311 Program and designates all individuals authorized to submit applications, contractual documents, and request for reimbursements.

The Section 5311 Program does have the flexibility to accept Authorizing Resolutions for up to a maximum of three years if the following information is included in the resolution:

1. Must refer to the 5311 program.

2. Designate all individuals authorized to sign/submit applications, standard agreements, and request for reimbursements.
3. Ensure the programming of funding and availability of local match to move forward with the proposed project.

The subrecipient will determine if this option is viable or choose to use the single application specific authorizing resolution. *Sample provided at the end of this Chapter.*

D. DOCUMENTATION OF PUBLIC HEARING OPPORTUNITY (CAPITAL PROJECTS ONLY)

Purpose:

This part of the application provides documentation that the public has been afforded an opportunity to comment on **capital assistance projects**. A public hearing must be held, unless no one requests one, to consider the economic, social, and environmental effects of the project, and to find the project consistent with official plans for the area. It is permissible for the TPA to hold a public hearing on behalf of the subrecipient. A public hearing is not required for **operating assistance projects**.

Guidance:

The notice of public hearing shall be published in a newspaper of general circulation in the geographic area to be served at least 30 days before the scheduled or proposed hearing date. The notice must include a concise statement of the proposed project, the project cost, and either:

1. State that a hearing will be held, indicating the date, time and location; or
2. Provide a reasonable method for interested persons to inform the subrecipient within 15 days after the notice is published of their interest in attending the hearing (example: phone number or address of a contact person).
 - a. If the subrecipient does **not** receive any requests for a hearing within the 15-day period, publish a second notice stating that no hearing will be held because no requests were received.
 - b. If the subrecipient does receive a request for a hearing within the 15 day period, publish a second notice stating the date, time and location of the hearing no later than 10 days before the scheduled hearing.

Documentation to be included in the application:

1. the name of the newspaper and date of publication
2. a copy of the published notice or notices
3. a. if a hearing is held, include a copy of the transcript; Or

- b. if no requests for hearing, include a copy of the second notice; state no hearing will be held because no requests we received; Or
- c. if the original notice states that a hearing will be held and no hearing is held because no interested persons are present, document this fact.

An application is not complete until the public hearing or hearing opportunity period is completed and all required documents are submitted. Therefore, subrecipients should consider the application due date when scheduling the public hearing to allow adequate time to meet this requirement.

E. TITLE VI CIVIL RIGHTS

Title VI of the Civil Rights Act of 1964 as amended, [42 U.S.C. 2000d et seq.](#), provides that no person in the United States shall, on the ground of sex, age, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.” The Secretary of Transportation is required under [49 U.S.C. 5332\(c\)](#) to take affirmative action to ensure that no person on the basis of “race, color, creed, national origin, sex or age,” shall be excluded from participation in, be denied the benefits of, or be subject to discrimination under any project, program, or activity funded in whole or in part by FTA.

The Caltrans DMT [Title VI Program](#) was developed in response to federal nondiscrimination regulations issued by the United States Department of Transportation (DOT). As described in [FTA Circular 4702.1A](#) and the Caltrans Title VI Program Plan, successful grant applicants are responsible for providing annual Title VI compliance reporting and to include subrecipients serving significant minority populations. Additional details are provided to each successful applicant in their Standard Agreement at Exhibit C.

Caltrans DMT annually certifies and assures in the grant application to FTA that the State and its local recipients are in compliance with all applicable civil rights requirements and have signed the [FTA Civil Rights Assurance](#) and the DOT Title VI Standard Assurance. In fulfillment of this assurance, the following is required of applicants/recipients:

- *General Certifications and Assurances:* All applicants are required to make a specific assurance with regards to Title VI at the time of application submittal.
- *Subrecipient Assurances:* Each subrecipient is required to have (on file) a signed “FTA Civil Rights Assurance” and a “DOT Title VI Assurance.” Copies of these assurances are forwarded to subrecipients, along with the Caltrans Standard Agreement, for completion and signature.
- *Subrecipient Standard Agreement:* The Standard Agreement requires compliance with Title VI by the subrecipient and any of its contractors or sub-contractors.
- *Subrecipient Monitoring:* Caltrans staff monitors each subrecipient, with an active contract, triennially. This monitoring visit provides an opportunity to discuss any complaints the subrecipient may have received and to resolve any potential discrimination issues.
- *Procurement:* Under the State contract, bidders are required to certify when responding

- The *Invitation for Bid* states subrecipients will comply with all applicable federal laws and regulations. Compliance with Title VI is formatted into a separate certification and must be signed by each vendor responding to the bid.
- A subrecipient conducting its own procurement is required to have each bidder certify that they will comply with all applicable federal laws and regulations when responding to an Invitation for Bid through the local procurement process.
- *Meaningful Access to Limited English Proficient Persons*: subrecipients are required to make reasonable provisions to persons with limited English skills when federal funds have been used to secure vehicles or equipment.
- *Non-Discrimination*: Subrecipients are prohibited from discriminating the use of vehicles or equipment where federal funds are involved on the basis of race, creed, national origin, sex, disability ([49 U.S.C. 5332](#)).

Annual Title VI Certification and Assurance

Each subrecipient is required to annually complete the Department of Transportation's Federal Transit Administration's Assurances for Federal Transit Administration Grants and Cooperative Agreements. *Notice located at the FTA Website address:*

<http://www.fta.dot.gov/library/legal/fr11801a.html>

FTA updates the assurances each January of the federal fiscal year (October 1 – September 30). The HQ liaison forwards the Certifications and Assurances to all subrecipients via email. The signature page must be completed and returned to the DTR by February 28th of each year. Subrecipients receiving both Section 5311 and Section 5307 funds may submit a hard copy of the Certifications and Assurances submitted to FTA. These forms are required in addition to the Certifications and Assurances that are included in Part I and Part II of the Section 5311 application.

Title VI 3 Year Compliance Report

Each subrecipient is required to provide a Title VI Federal Transit Administration Civil Rights document and it must be updated every three years. This requirement is for each subrecipient, not each application. The purpose of this document is to ensure non-discrimination of the subrecipient. Part VIII of each application submitted for each project requires the subrecipient to provide information on any lawsuits or complaints received or acted upon in the last year regarding Title VI or other relevant civil rights requirements. This part of the application provides any additional information until the new Title VI document is submitted.

Complaint Procedures

In order to comply with 49 CFR Section 21.9(b), subrecipients shall develop procedures for investigating and tracking Title VI complaints filed against them and make their procedures for filing a complaint available to members of the public upon request. In order to reduce the administrative burden associated with this requirement, subrecipients may adopt the Title VI complaint investigation and tracking procedures developed by the recipient.

Requirement to Record Title VI Investigations, Complaints, and Lawsuits

In order to comply with 49 CFR Section 21.9(b), subrecipients shall prepare and maintain a list of any active investigations conducted by entities other than FTA, lawsuits, or complaints naming the recipient and/or subrecipient that allege discrimination on the basis of race, color, or

national origin. This list shall include the date of the investigation, lawsuit, or complaint was filed; a summary of the allegation(s); the status of the investigation, lawsuit, or complaint; and actions taken by the recipient or subrecipient in response to the investigation, lawsuit, or complaint.

Limited English Proficiency

Title VI and its implementing regulations require that FTA recipients (Caltrans DMT) take responsible steps to ensure meaningful access to the benefits, services, information, and other important portions of their programs and activities for individuals who are Limited English Proficient (LEP).

Developing a Language Implementation Plan

Subrecipients can ensure that LEP persons have meaningful access to their programs and activities by developing and carrying out a language implementation plan pursuant to the recommendations in Section VII of the DOT LEP Guidance. Certain FTA subrecipients, such as those serving very few LEP persons or those with very limited resources may choose not to develop a written LEP plan. However, the absence of a written LEP plan does not eliminate the underlying obligation to ensure meaningful access by LEP persons to subrecipient programs or activities. Subrecipients electing not to prepare a written language implementation plan should consider other ways to reasonably provide meaningful access. The elements of an effective implementation plan on language assistance for LEP persons can be found at section VII of Caltrans' Policy Guidance, located at 70 FR 74087 (2005).

The Caltrans Title VI Program has developed a [LEP Plan](#); maintains the listing of Caltrans interpreters and statewide contract for telephone interpretation services; participates in triennial surveys conducted by the State Personnel Board; and provides the Title VI Liaisons with technical assistance and procedures for carrying out the LEP activities. The Caltrans DMT Title VI Program compliance reviews, mentioned above, are also an opportunity for ensuring meaningful access, and LEP activities.

Caltrans DMT emphasizes the fair treatment and meaningful involvement of people of all races, cultures, and income levels, including minority and low-income populations through its public involvement processes. Statistical data on race, color, national origin, sex, age, disability, income level, and LEP of participants in and beneficiaries of Caltrans DMT programs (e.g. affected populations and participants) is maintained by Caltrans DMT's districts and divisions and reported to the Title VI Program. The Title VI Program reviews the data to ensure Caltrans DMT is meeting the Title VI requirements. Procedures are reviewed, updated and distributed as needed. The annual report is published which includes outreach activities. The Title VI Program sends out guidelines on how to conduct the public participation surveys at public outreach meetings. Additional information can be found on the [Caltrans LEP website](#).

Requirement to Notify Beneficiaries of Protection under Title VI

In order to comply with 49 CFR Section 21.9(d), subrecipients shall provide information to the public regarding their Title VI obligations and apprise members of the public of the protections against discrimination afforded to them by Title VI. Subrecipients that provide transit service shall disseminate this information to the public through measures that can include but shall not be limited to a posting on the agency's Web site.

Contents

The notice shall include:

- A statement that the agency operates programs without regard to race, color, and national origin;
- A description of the procedures that members of the public should follow in order to request additional information on the subrecipient's nondiscrimination obligations; and
- A description of the procedures that members of the public should follow in order to file a discrimination complaint against the recipient or subrecipient.

Effective Practices for Fulfilling the Notification Requirement

In complying with the above requirements, recipients and subrecipients should keep the following guidance in mind:

- **Dissemination.** Agencies may inform the public of their rights under Title VI through such measures as posters, comment cards, or flyers placed at stations and in transit vehicles. The type, timing, and frequency of these measures are at the recipient's or subrecipient's discretion.
- **General notification.** Agencies may include a statement of nondiscrimination on the basis of race, color, and national origin as part of a broader statement of its commitment to nondiscriminatory service. This broader statement can also include a commitment to nondiscrimination on the basis of characteristics not covered by Title VI, such as age, gender, and disability.
- **Document translation.** Notices detailing a recipient's or subrecipient's Title VI obligations and complaint procedures should be translated into languages other than English, as needed and consistent with the DOT LEP Guidance.
- **Subrecipients.** In order to reduce the administrative burden associated with this requirement, subrecipients may adopt the Title VI Notice developed by the recipient; however, subrecipients should notify their beneficiaries that they may file discrimination complaints directly with the subrecipient.

F. ENVIRONMENTAL REQUIREMENTS (UPDATED)

49 CFR Part 622 requires different levels of analysis and documentation for the various types of projects funded through its program. Most projects and activities funded through the Section 5311 program do not normally involve significant environmental impacts. Such projects are termed "categorical exclusions (CEs)" in FTA's procedures because they are types of projects which have been categorically excluded from the requirement to prepare an environmental document. Vehicle and operating projects are exempt for this requirement; however transit facility projects (including the purchase and installation of bus shelters and other related accessories) must be considered. In order to determine whether a transit facility project is exempt, the Preliminary Environmental Survey must be completed and submitted (See Capital (Construction/Real Estate Acquisition) application, Part XIV, Categorical Exclusion). This section of application will be first screened by Caltrans and will be forwarded to FTA of its review/approval. Prior to proceeding with any construction/expansion/improvement project, subrecipient **MUST** have an executed standard agreement signed by all parties as well as a letter from FTA approving the CE.

G. MAINTENANCE PLAN (NEW)

Per [49 CFR 37.161-163](#) and [FTA Master Agreement](#), subrecipients are required to have a maintenance plan. Subrecipients describe their maintenance plan for the FTA funded vehicles, facilities, and facility related equipment within their original program application.

These items need to be included in the vehicle maintenance plan and facility maintenance plan:

- Goals and objectives of the maintenance program.
- Schedule for preventive maintenance.
- Maintenance procedures for wheelchair lifts and other accessibility features.

The plan should clearly identify the goals and objectives of a maintenance program and establish the means by which such goals and objectives will be attained. In the maintenance plans, periodic reporting, maintenance record review, visual inspections, and maintenance audits should also be addressed.

Language within the Standard Agreement specifically requires subrecipients to maintain equipment while it is in their possession (See Exhibit C, #49). In addition, each subrecipient must have a maintenance plan to maintain ADA accessible features of equipment and facilities. Subrecipients must demonstrate compliance with this policy during the tri-annual on-site monitoring.

H. FORCE ACCOUNT PLAN (NEW)

Consistent with [FTA Circular 5010.1D](#), Chapter IV, Section 4 a, it is Caltrans' policy that FTA grant program subrecipients, where applicable, comply with FTA's Force Account Program requirements for projects over \$100,000. This policy requires that to be eligible for reimbursement for force account work (exclusively preventive maintenance and construction projects), subrecipients must provide a force account plan and justification to Caltrans for review and approval before incurring costs. To assist subrecipients in developing force account plans, Caltrans has developed guidelines, policy, and procedures for subrecipients to ensure federal requirements compliance.

Work performed by the subrecipients' work force (in-house labor) that is included in an approved FTA Section 5311 grant is "force account" work. Reimbursement of force account work is subject to subrecipients providing a force account plan and justification for projects over \$100,000. The force account plan and justification must include documentation equivalent to a sole source justification and state the basis for a determination that no private sector contractor has the expertise to perform the work. Reimbursement of such expenses are subject to Caltrans DMT prior review of the subrecipient's force account plan and justification when the total estimated cost of force account work under the grant equals \$100,000 or more. Justification may be on the basis of cost, exclusive expertise, safety and efficiency of operations, or union agreement. Force account reimbursement for projects above this threshold must be supported by a force account plan and justification which are to be retained in the subrecipient's files. **No plan or justification is required if the grant award amount is less than \$100,000 or the agency contracts with the third party for the preventive maintenance or construction work. In addition, force account work does not include project administration activities which are otherwise direct project costs. Force account work can**

include major capital project work on rolling stock, construction, and preventive maintenance activities.

Force account requirements include the following:

- If the grant award equals \$100,000 or more, and the work is done in-house, a force account plan, justification and Caltrans approval are required.
- No plan or justification is required if the force account work is less than \$100,000.
- One of four (4) conditions may warrant the use of a subrecipients' own "in house" labor:
 - Cost savings.
 - Executive expertise.
 - Safety and efficiency of operations.
 - Union agreement.

Force account record keeping requirements include the following:

- All costs charged to the project must apply to a particular line item in the project budget.
- The subrecipient must maintain thorough documentation of all costs.
- The documentation must include the following:
 - A spreadsheet documenting the hourly rate and labor hours worked for each employee.
 - A spreadsheet documenting the workers, work performed, machinery used, and materials supplied.
 - Employee personnel policies that delineate paid leave, equal employment, travel, and terms of employment policies, compliant with the Fair Labor Standards Act, and Section 504.
 - Purchase vouchers, invoices, lease agreements, and canceled checks for all materials, equipment, or miscellaneous expenses purchased. Invoices for purchases must document the use of purchased items. A copy of the lease agreement must support the use of leased equipment.

To be eligible for reimbursement for force account work, subrecipients must provide the force account plan and justification including the following before incurring costs:

- A justification for using subrecipient work forces.
- Scope of Work describing force account labor activities.
- A copy of the construction plans/preventive maintenance plan and specifications which include:
 - A detailed estimate of costs.
 - A detailed schedule and budget.
 - A copy of the proposed Cooperative Agreement when another public agency is involved.
- Submit documentation equivalent to a sole source justification stating the basis for determining that no private sector contractor has the expertise to perform the work. In addition, the required documentation must provide the basis for the subrecipients' decision to use force account labor.
- Provide certification that costs presented are fair and reasonable.
- Provide an analysis of force account labor availability, considering normal operations and maintenance activities as well as other programmed and existing capital projects. This must be consistent with costs of labor, material, and specialized equipment.

- Provide relevant citations from labor union agreements and an analysis of how it pertains to the work in question.

I. COST ALLOCATION PLAN (NEW)

Subrecipients that receive 5311 funds and operate in 5307 geographical areas must have a cost allocation methodology to split their urban and rural service costs. Subrecipients that utilize various grants' funds (5310, 5311, 5316 and 5317) on the same project must also have a cost allocation plan to allocate funds properly. All subrecipients are required to establish and maintain an accounting system which all transportation related costs, revenues, and operating costs are recorded so that they may be clearly identified, easily traced, and substantially documented. The fully allocated cost of public transit program must be clearly identified regardless of the operational nature of the agency serving as the designated transit system. Caltrans DMT has revised its grant application to include a requirement for subrecipients that operate in rural and urban areas to attach their cost allocation plan to the application. Caltrans DMT will verify the subrecipients' cost allocation plan methodology at the application review phase. During invoice reviews, DTRs will also verify that cost shown on the invoice requests are allocated properly and that the methodology used in the cost allocation is reasonable.

To ensure that subrecipients allocate costs properly, Caltrans DMT has developed steps to guide subrecipients in developing their cost allocation plan.

Four basic steps in preparing a cost allocation plan are as follows:

- Identify costs of each type of service to be claimed.
- Determine the users of the service.
- Determine the method for allocating each type of service cost to user.
- Mathematically allocate these costs to users.

Caltrans DMT staff will specifically verify the following in the cost allocation plan:

- Cost allocation methodology (narrative) to split cost between FTA Sections 5307 and 5311, 5316 and/or 5317 is clearly stated and documented.
- Effective period is annualized.
- The plan is certified by authorized personnel.
- The methodology used is reasonable. The cost allocation methodology may include, but is not limited to:
 - Fixed cost factors
 - Unit costs
 - How costs are allocated to the various fund sources (federal/State/local)
 - Price per trip
 - Price per mile
 - Price per hour
 - Price per zone
 - Price per passenger

J. INDIRECT COST RATE PROPOSAL/INDIRECT COST ALLOCATION PLAN (NEW)

All subrecipients who receive FTA reimbursement for indirect costs must prepare an indirect cost allocation plan. Subrecipients must submit an indirect cost allocation plan (ICAP) or Indirect Cost Rate Proposal (ICRP) documenting the distribution of indirect costs related to the project. ICAP/ICRP must be approved by Caltrans DMT and Audits and Investigations ([49 CFR 18.3](#), [OMB A-87](#), [FTA C 5010.1D](#), Ch. VI, Section 6 and Appendix E). An approved ICAP/ICRP will be required for the application phase.

The purpose of the plan is to guide the subrecipient's allocation of costs as follows:

- All activities of the local government departments have been considered.
- Distribution of indirect costs is based on a method(s) reasonably indicative of the amount of services provided.
- Services provided are necessary for successful conduct of federal programs.
- Level of costs incurred is reasonable.
- Costs of State or local centralized government services may be charged in conformance with government-wide cost allocations plans.
- Costs claimed are allowable in accordance with [OMB A-87](#), as applicable.

Caltrans Audits & Investigation, and FTA will verify the following in the ICAP/ICRP:

- Indirect rate and rate type are clearly documented.
- Effective period is annualized.
- Applicable programs are clearly indicated.
- The plan is certified by the authorized personnel.

Once Caltrans Audits & Investigations have approved the subrecipient's cost allocation plan and indirect cost allocation plan, the subrecipient must update it annually. The update should be retained and made available for Caltrans DMT review at the time of project application.

Direct costs are those that can be identified specifically with a particular project. These costs may be charged directly to the grant project.

Indirect costs are those that are:

- Incurred for a common or joint purpose benefiting more than one cost objective;
- Not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved.
- Originating in each of the subrecipient's operating or organizational units (as well as those incurred by others in supplying goods, services, and facilities to each unit).

Examples of indirect costs are operation and maintenance of buildings and expenses of unit heads and their immediate staff. Principles and standards for determining costs applicable to grants and contracts with subrecipients or other local agencies are presented in [OMB A-87](#).

VII. PROCUREMENT (Updated)

All purchases reimbursed with Section 5311 funds must be conducted in accordance with Federal procurement requirements. The contracting requirement for grant subrecipients is defined in 49 CFR Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. 49 CFR 18.36 requires grantees to use their own procurement procedures that should reflect applicable State and local laws provided the procedures conform to applicable Federal law. The requirements for procurement, award and contract administration of third party contracts are contained in the FTA Circular 4220.1F. An electronic copy of the Circular can be found at http://www.fta.dot.gov/laws/circulars/leg_reg_8641.html.

The FTA Best Practices Procurement Manual is an excellent tool and provides suggestions on conducting third party procurement that meets the standards of FTA Circular 4220.1F. The manual includes suggested procedures, methods, and examples as well as the Federal contract requirements. An electronic copy can be found at

http://www.fta.dot.gov/funding/thirdpartyprocurement/grants_financing_6037.html.

ALL PURCHASES MUST BE APPROVED BY DMT PRIOR TO INCURRING COSTS.

Responsibilities

Subrecipient:

- Plans procurement.
- Determines method of procurement.
- Conducts fair and open competitive procurement process.
- Maintains record of procurement activities.

DMT

- Reviews procurement documents for compliance to Federal and State requirements.
- Provides technical assistance to subrecipients in procurement and contract compliance.

A. METHODS OF PROCUREMENT

Micro Purchase

Micro purchase may be made without obtaining competitive quotations if the subrecipient determines that the price to be paid is *fair and reasonable¹. Amount limit for micro purchases shall be based on the agency's established threshold and local requirements provided and under the Federal limit of \$3,000. There should be equitable distribution among qualified suppliers in the local area and no splitting of procurements to avoid competition.

*Fair and Reasonable – A cost is fair and reasonable if, in its nature or amount, it does not exceed what would be incurred by an ordinarily prudent person in the conduct of competitive business.

Rev. December 10, 2010

Small Purchase

Small purchases are those relatively simple and informal procurement methods for securing services supplies, or other property that cost more than the micro purchase threshold. Federal limits for small purchase is anything above \$3,000 but not more than \$100,000. Local

procurement guidelines may have lower threshold limits. Small purchases may be accomplished by written price or rate quotations from at least three qualified sources.

State Procurement

The benefits of using the State Vehicle Contracts are lower vehicle costs and a significant reduction in administration costs. State Procurement also assures compliance with all Federal contract requirements.

Competitive Proposals

Competitive proposals or sealed bid process is required to be used for purchases above the small purchase threshold. Competitive procurement methods may include Invitation for Bid, Request for Proposal or Request for Qualifications. Competitive proposal method of procurement requires advertising and publicizing the solicitation process.

Joint Procurements

Cooperative partnership with other purchasing agencies may be beneficial as it can result in better pricing through larger purchases, as well as being able to obtain goods and services that exactly match each agency's requirements.

Piggyback

Purchase of goods and services may be made from other contracts if the primary contract contains the appropriate assignability provisions and includes all required applicable contracting requirements.

Sole Source

Procurement by noncompetitive proposals is accomplished through either 1) solicitation or acceptance of a proposal from only one source; or 2) after solicitation of a number of sources, competition is determined inadequate. A contract amendment or change order that is not within the scope of the original contract is considered a sole source. Complete the sole source justification form posted on our website: <http://www.dot.ca.gov/hq/MassTrans/Procurement-Grants-Management.html>. Submit the form to the Procurement and Grants Management Branch Chief for review and approval prior to the purchase.

B. PROCEDURES

Micro Purchase

Determine the item and quantity to be purchased and ensure availability of funding. Contact vendor/supplier and request written price quotation. Make determination that the price is fair and reasonable. Determination of whether the price is fair and reasonable can be based on a current price list, catalogs, market prices from advertisements, similar items in related industry, personal knowledge of the item procured or from a recent purchase.

The subrecipient must submit a letter to the 5311 HQ liaison identifying the project, vendor name and address, the price paid for the items, and how the determination that the price was fair and reasonable was made. Subrecipients must also ensure that compliance with applicable Federal contract requirements are met.

Small Purchase

Determine the item and quantity to be purchased and ensure availability of funding. The subrecipient should have a clear and detailed description of the item to be purchased. Using an established written description or specification will help to achieve consistent price information. Depending on the local agency's procurement procedures, price quotations should be obtained from at least three qualified sources and can be either verbal or written. Analyze quotations and determine if there is adequate price competition and if the price is fair and reasonable. Documentation should be maintained for audit purposes and should include a description or specification of the item to be procured, who, when and what quotations were received, how the determination that the price was fair and reasonable was made and the purchase order.

The subrecipient must submit a letter to the HQ liaison identifying the project, vendor name and address, the price paid for the items, and the rationale for how the agency determined that the price is fair and reasonable. The subrecipient must provide an explanation if the lowest price vendor is not selected.

State Procurement

Advantages of purchasing from the State Contract (when available) are lowest possible price; saves time; and meets all State and Federal contracting requirements. To purchase from the State Contract, the subrecipient must have receipt of a fully executed Standard Agreement from DMT. According to the procurement schedule identified in the Standard Agreement, the subrecipient will submit a letter and completed purchase order (PO) directly to the authorized vendor. The letter must identify the contact person, a brief description of the equipment being purchased, and the price. The PO must indicate that the purchase is an approved Section 5311 project and should detail the quantity, specific type of vehicle, any optional equipment being purchased, and specific pricing information (signed price quote and floor plan). A copy of the letter and PO should be sent to the DTR to be forwarded to DMT.

Competitive Proposals

Local procurement is a process whereby subrecipients develop and complete an open, fair, and competitive solicitation process. Sealed bidding (sometimes called "Invitation for Bid") and competitive proposals (sometimes called, "Request for Proposal" or "Request for Qualifications") are the two primary types of local procurement methods.

Invitation for Bid (IFB)

IFB is a simple procurement process. To use IFB, the following conditions should be present:

- A complete, adequate, and realistic specification or purchase description is available;
- Two or more responsible bidders are willing and able to compete effectively for the business;
- The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price; and
- No discussion with bidders is needed.

The IFB must be publicly advertised and bids shall be solicited from an adequate number of known suppliers. The IFB should include a detailed specification, bid submittal instructions and pertinent attachments and certifications. The IFB should provide sufficient time for inquiries and bid preparation prior to established bid opening date. All bids will be publicly opened at the time and place described in the IFB and a firm fixed-price contract award will be made in writing to

the lowest responsive and responsible bidder. The objective is to create a document that will facilitate a smooth solicitation and contract award process with little or no controversy and assist the agency to ensure timely contract performance, within budget, while complying with the terms of the contract.

All of the following documents associated with the IFB and contract award process must be submitted and approved by the DMT before agency board action:

- All documents associated with the solicitation package should be submitted either with the grant application or soon after according to the procurement schedule.
- Bid addendums or amendments.
- All correspondence related to the solicitation.
- After bid opening and bid evaluation, submittal of the bid analysis or summary and proposed contract award.

C. REQUEST FOR PROPOSALS (RFP) OR REQUEST FOR QUALIFICATIONS (RFQ)

RFP or RFQ typically contains all of the elements of an IFB, and in addition shall contain the evaluation factors and their relative importance. The RFP method is intended to permit competition on quality and other factors, as well as price. Discussions or negotiations may be needed to address technical requirements as well as proposed costs or price aspects of the offeror's proposals. The RFP method may include an opportunity for offeror's to revise the proposal and to submit a final proposal at the completion of the discussion phase of the process.

A required feature of an RFP is the listing of evaluation factors. These factors not only include responsibility (such as financial, human, and physical capacity to perform), but also include technical factors (such as the degree to which the proposer is expected, based on information submitted and available, to achieve the performance objectives, to provide the quality expected, and on the relative qualifications of the proposer's personnel). The RFP may also include the order of importance and/or weight for each factor and describe in detail the evaluation process and scoring method. Disclosure of the evaluation process will allow offerors to accurately respond to your needs and be able to clearly present the information and dispel the appearance of favoritism or unethical practice in the selection process.

NOTE: Architectural and Engineering Services - In procuring architectural and engineering services (A&E), a competitive RFP or RFQ process must be used based on the Brooks Act, which requires selection based on qualifications and excludes price as an evaluation factor provided the price is fair and reasonable. Price is excluded as an evaluation factor and negotiations are conducted with the most qualified firm only. If agreement cannot be reached on price with the most qualified firm, negotiations are formally terminated and negotiations are then conducted with the next most qualified firm. This process continues until a negotiated agreement is reached which the subrecipient considers to be fair and reasonable.

A&E services include program management, construction management, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping, and related services. This procedure cannot be used to procure other types of services even though a firm that provides A&E services is also a potential source to perform other types of services.

An RFP or RFQ requires the following solicitation and contract award elements:

- Public advertisement;
- Identification of evaluation factors including their relative importance;
- Proposals will be solicited from an adequate number of qualified sources;
- Established technical evaluation and selection process; and
- Award to be made to the responsive and responsible firm whose proposal offers the greatest business value upon evaluation of the technical factors and price/cost and is most advantageous to the subrecipient's program.

All of the following documents associated with the RFP or RFQ and contract award process must be submitted and approved by the DMT before agency board action:

- All documents associated with the solicitation package should be submitted either with the grant application or soon after according to the procurement schedule.
- Bid addendums or amendments.
- All correspondence related to the solicitation.
- After bid opening and bid evaluation, submittal of the bid analysis or summary and proposed contract award. Documentation should include the list of responsive and responsible proposals received; what written or oral discussions were held with proposers, if any; how the determination of the competitive range was made; whether best and final offers were submitted; and the recommended award.

Exercise of Options

An option may not be exercised unless it has determined that the option price is better than price available in the market, or that when it intends to exercise the option, the option is more advantageous (FTA Circular 4220.1F, Chapter V, 7.a(1)).

Please make sure to check for the following elements related to options:

- Were the option periods and/or quantities contained in the original bid or proposal?
- Were the option periods and quantities evaluated as part of the original contract award?
- When exercised, was market analysis conducted to ensure that the option pricing is still in the best interest of the agency?

All of the following documents associated with the exercise of options must be submitted and approved by the DMT before the third party contract amendment execution:

- A letter requesting the approval to exercise options.
- A copy of the page of the original contract where the option periods and/or quantities are contained.
- Written documentation of a market analysis to ensure that the option pricing is still in the best interest of the agency (i.e. Cost/Price comparison of recent bids within the same region).

D. JOINT PROCUREMENTS

Subrecipients are encouraged to jointly procure goods and services with other transit agencies. Joint procurements (sometimes known as group purchase or consortium) may result in better pricing through larger purchases as well as being able to obtain goods and services that exactly match each cooperating agency's requirements. Joint procurements can be accomplished through the competitive proposal process with all of the solicitation and contract award requirements identified above.

The bid advertisement should specifically identify the agencies involved in the group purchase. Joint procurement for rolling stock should identify how many buses are being purchased (including options or specification differences) for each individual agency. It would be practical to identify a lead agency that will be responsible for developing the solicitation documents and technical specifications as well as ensuring that all federal requirements, required contract clauses, and certifications are properly obtained and/or followed.

In the initial solicitation for a joint procurement, the following documents should be submitted and approved by the DMT **before** the contract is awarded:

- All documents associated with the solicitation package should be submitted either with the grant application or soon after, according to the procurement schedule.
- Bid addendums or amendments.
- All correspondence related to the solicitation.
- After bid opening and bid evaluation, submittal of the bid analysis or summary and proposed contract award. Documentation should include the list of responsive and responsible proposals received; what written or oral discussions were held with proposers, if any; how the determination of the competitive range was made; whether best and final offers were submitted; and the recommended award.

If a subrecipient wants to use an existing contract that was awarded based on a joint procurement process, the following documents should be submitted and approved by the DMT **before** entering into a formal agreement with a vendor or issue a purchase order:

- A letter explaining the purchase is from a joint procurement including the quantity in the initial contract award, the quantity already filled to date and the available number remaining.
- Copy of the original contract and all amendments.
- Copy of the original solicitation and all amendments.
- Copy of applicable certifications associated with contract award, i.e., Buy America; Bus Testing; Pre-Award and Post-Delivery; Lobbying; and Debarment and Suspension.

E. PIGGYBACK

The term "piggybacking" is defined as the post-award use of a contractual document/process that allows someone who was not contemplated in the original procurement to purchase the same supplies or equipment through the original document/process.

Piggybacking is permissible when: (a) the solicitation document and the resultant contract contain an assignability clause that provides for the assignment of all or part of the specified deliverables as originally advertised, competed, evaluated, and awarded. This includes the base and option quantities. In addition, the original solicitation and resultant contract typically must contain both a minimum and a maximum quantity, which represent the reasonably foreseeable needs of the parties to the solicitation.

For a subrecipient to piggyback on another agency's vehicle contract the following documents must be submitted to the DMT **before** entering into a formal purchase agreement:

- A letter from the subrecipient requesting approval to purchase through another agency's contract.

- A letter from the agency allowing the subrecipient to purchase from their contract. The letter must include the quantity the subrecipient is allowed to purchase, the quantity already filled to date and the available number remaining that may be purchased from the contract.
- Copy of the original contract and all amendments. The contract must contain an assignability clause that provides for the assignment of all or part of the specified deliverables.
- Copy of the original solicitation and all amendments and applicable certifications associated with contract award, i.e., Buy America; Bus Testing; Pre-Award and Post-Delivery; Lobbying; and Debarment and Suspension. If DMT previously reviewed and approved the bid document, submit a copy of the DMT letter approving the procurement and contract award.
- Piggybacking worksheet.

F. SOLE SOURCE

Sole source procurements are accomplished through acceptance of the only proposal after solicitation, or when competition is determined to be inadequate after a publicly advertised solicitation, or if the item to be procured is available only from one single source, or to respond to a public emergency which would not permit a delay as a result of a competitive solicitation.

Sole source procurements must be **pre-approved** by the DMT before entering into a formal purchase agreement. The following documents must be submitted to the DMT:

- A sole source justification form identifying the type of procurement and the selected contractor/vendor and an explanation of the rationale for not completing a competitive solicitation process. Justification should include information such as but not limited to: the circumstance(s) that caused the inability to conduct a competitive procurement; how the determination was made that only one source (proprietary) is available; how the determination was made that after competition was inadequate after a publicly advertised solicitation; and/or whether compatible parts (or equals) were considered or available from any other source.
- Technical specifications used and how they were developed. Did the vendor or contractor assist in the development of the specification or statement of work? If so, will they benefit from the sole source contract?
- Cost Analysis. This includes verifying the proposed cost data, the projections of the data, and the evaluation of specific elements of costs and profit.

VIII. LAND ACQUISITION (Updated)

A. RESPONSIBILITIES

Subrecipient:

- Obtains appraisals and prepares initial environmental and other required documents **prior** to application submission.

DTR:

- Reviews submittals for accuracy and conformance to policy.

DMT:

- Provides policy direction and guidance.

B. OVERVIEW

Real property acquisition and relocation activity must be conducted in accordance with the requirements in the *Uniform Relocation Assistance and Real Property Uniform Relocation Act of 1970, as amended (Uniform Act)*, and codified in *49 CFR, Part 24*. FTA guidance states, “The objective of the Uniform Act is that owners of real property to be acquired for Federal and Federally assisted projects be treated fairly and consistently; that persons displaced be treated fairly, consistently and equitably; and that acquiring agencies implement the regulations in a manner that is efficient and cost effective.” Subrecipients may not incur costs prior to receiving approval from DMT.

C. APPRAISAL

Real property must be acquired at its current fair market value. Fair market value will be established on the basis of a recent, independently prepared appraisal by a certified appraiser. An additional appraisal may be made if the grantee finds the valuation problem complex and deems a second appraisal to be appropriate. Subrecipients shall instruct appraisers to disregard any decrease or increase in the fair market value of the real property caused by the likelihood that the particular property is to be acquired for the project.

One appraisal and a reviewer’s analysis are required when the estimated property value is \$250,000 or less. Two appraisals and a reviewer’s analysis are required when the estimated property value exceeds \$250,000, or when an estimated property value in excess of \$250,000 must be resolved through eminent domain proceedings or if a property is to be condemned. FTA must review and concur in appraisals and review appraisals for acquisitions over \$500,000 or in-kind contributions of any value before federal funds are expended, or the value is used as local match. Instead of using its power of eminent domain, when a property cannot be purchased at appraised value, a subrecipient may propose acquisition through negotiated settlement. The subrecipient must document that reasonable efforts to purchase it at the appraised amount have failed and prepare written justification supporting why the settlement is reasonably prudent and in the interest of the public. When the settlement exceeds the offer by \$10,000, a litigation attorney must provide a written assessment of proposed settlement risks over the risks of proceeding in court. Prior FTA concurrence is required when a settlement of \$50,000 or more.

FTA has identified exceptions to obtaining a full appraisal. Full appraisal and/or negotiation procedures are not necessary in certain instances. Caltrans DMT should be contacted for further guidance when any of the following conditions apply:

- The owner is donating the property.
- The subrecipient does not have authority to acquire property by eminent domain.
- The property qualifies as a voluntary acquisition as defined in [49 CFR 24.101\(a\)](#); or
- The valuation problem is uncomplicated and the fair market value is estimated at \$2,500 or less, based on available data.

Unless one or more of the exceptions above applies, the project application that includes real property acquisition is considered incomplete without an appraisal. (Additional guidance can be found in [FTA Circular 5010.1D](#), Chapter IV.)

D. NEGOTIATION

Federal land acquisition regulations require that appraisals, including an “offer of just compensation” (with supporting documentation) be prepared before entering into negotiations or executing a purchase agreement for the land. A subrecipient may **initiate** the negotiation process prior to grant approval. However, no reimbursement will be made for costs incurred prior to execution of the standard agreement. It is therefore important for subrecipients to await notification that the standard agreement is fully executed before entering into the purchase agreement. The purchase agreement is normally executed at or prior to the opening of escrow. Payments are made on a reimbursement basis upon presentation of proper invoices and supporting documentation. Grant funds will not be available for deposit in escrow. Subrecipients should therefore be prepared to finance land acquisitions initially with local funds.

E. ENCROACHMENT PERMIT (NEW)

Any transit project that is planned on the State highway or impacts the State Highway System will require an encroachment permit and a written authorization from Caltrans. An encroachment permit grants permission to the permittee or their agent to perform work within the State’s right-of-way. A request for an encroachment permit will require that the applicant fill out the encroachment permit application. All Caltrans districts have encroachment permit offices. Please contact your local Caltrans district office for more information. (See [http://www.dot.ca.gov/hq/traffops/developserv/permits/pdf/manual/Appendix_G_\(WEB\).pdf](http://www.dot.ca.gov/hq/traffops/developserv/permits/pdf/manual/Appendix_G_(WEB).pdf) for District Encroachment Permits Office’s Contact Information) Since an encroachment permit takes a significant amount of time to complete, applicants should plan ahead so that projects will not be delayed.

Additional information regarding the encroachment permit process is available within Caltrans’ Encroachment Permit Manual. This manual can be viewed at the following address: http://www.dot.ca.gov/hq/traffops/developserv/permits/encroachment_permits_manual/index.html. The California Streets and Highways Code, Section 660 to 734, grants authority to Caltrans to permit improvements and other activities on the SHS rights-of-way.

IX. BILLING PROCEDURES (Updated)

A. RESPONSIBILITIES

Subrecipient:

- Prepares a Request for Reimbursement (RFR) Forms and Calculation Sheets and supporting documents and forwards to DTR for review before the final invoice due date.

DTR:

- Reviews and reconciles RFR and supporting documentation and submits it to the DMT.

DMT:

- Conducts final review and approval of RFR.
- Submits RFR package to Accounting and State Controller for payment.

B. OVERVIEW

In order to receive reimbursement for project costs, the subrecipient must submit a signed Request for Reimbursement (RFR) Forms and Calculation Sheets to the Department **after** executed standard agreement and project completion (for equipment and vehicle purchase), but **prior** to contract expiration and final invoice due date.

The Department is obligated by law to process the RFR within 30 working days of the date received by the DTR. Therefore, the RFR should be dated as close as possible to the mailing or submittal date.

C. OPERATING ASSISTANCE

Operating Expenses are those costs directly related to system operations. At a minimum, the following items must be considered operating expenses: fuel, oil, drivers' salaries and fringe benefits, dispatcher salaries and fringe benefits, and licenses. The Federal share of eligible operating assistance must not exceed 55.33% for regional apportionment.

Terms

- Payment will only be on a reimbursement basis,
- Payments cannot be requested more than once a month, and
- Supporting documentation should include enough detail to ensure that expenses claimed are allowable. Because payment is limited to 55.33% for regular 5311 apportioned funds of the net project costs, the request must show the net project cost. This is determined by deducting farebox, certain other revenues, and ineligible expenses from the total operating expense.

Important note: The remaining share of eligible operating assistance (44.47% regional apportionment) must be financed from sources other than Federal funds.

Items Needed in Operating Assistance Payment Request

- Completed and signed Operating Assistance Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)

- If applicable, include a copy of the Caltrans DMT approved *Third Party Service Agreement Contract (first invoice only). If previously submitted, indicate the date of submittal. *Third party contract is required for the goods and/or services procured as a result of formal procurement process. (i.e. operating assistance services, maintenance services, consulting services, etc.)
- For third party contracts, submit the copy of the vendor invoice for the same period as the reimbursement request. (The vendor invoice can be sent electronically via email.) Copy of the original invoice from the vendor must show invoice number, date, and costs description (unit price, discount (if any)), sales tax, freight/shipping charges, and total for each product or service. All work performed must be consistent with the Caltrans DMT approved Third Party Service Agreement Contract.
- Disadvantaged Business Enterprise (DBE) Actual Payment form (third party contracts only) available at <http://www.dot.ca.gov/hq/MassTrans/DBE.html>
- Proof of payment made to vendor or copy of the method of payment. (Cancelled check or Bank statement showing check number and “paid in full” or Agency’s Accounting Record showing the transactions.)

D. CAPITAL (Vehicle)

Capital vehicle expenses include the acquisition of public transit vehicle needed for a safe, efficient and coordinated public transportation system. The Federal share of eligible vehicles shall not exceed 88.53 percent for 5311 Regional Apportionment.

Terms

- Payment will only be on a reimbursement basis.
- Payments cannot be requested more than once a month.
- Payments cannot be requested prior to completion of purchase, service and full delivery equipment as specified in the original project application.
- Purchase orders must be in an amount equal to or greater than the total project costs.
- No payment will be made if the vendor’s invoice exceeds the grantee’s purchase order.

Important note: The remaining share of eligible operating assistance (11.47% regional apportionment) must be financed from sources other than Federal funds.

Items Needed in Vehicle Payment Request

- Completed and signed Vehicle Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
- Pre-award and Post-delivery Certification for Buy America Requirements. (Local Procurement)
- Post-delivery Inspection Certification from internal/external qualified vehicle inspector. (Local procurement)
- Certification of Acceptance by the agency.
- DMV Paperwork or Title showing Caltrans as Lien Holder.
- Copy of invoice from the vendor/contractor with name, address, VIN, and telephone number clearly identified.
- Picture of vehicle (can be electronic format).

- For internal/external personnel who developed the vehicle specification or vehicle inspector, provide a Spreadsheet showing the hourly rate for labor, hours worked, and all work performed for the period. (See Vehicle Expense Calculation Sheet.)
- Insurance Card.
- Proof of payment made to vendor or copy of the method of payment. (Cancelled check or Bank statement showing check number and “paid in full” or Agency's Accounting Record showing the transactions.)

E. CAPITAL (Equipment)

Capital equipment expenses include the acquisition of public transit equipment needed for a safe, efficient and coordinated public transportation system. The Federal share of eligible vehicles shall not exceed 88.53 percent for 5311 Regional Apportionment.

Terms

- Payment will only be on a reimbursement basis.
- Payments cannot be requested more than once a month.
- Payments cannot be requested prior to completion of purchase, service and full delivery of equipment as specified in the original project application.
- Purchase orders must be in an amount equal to or greater than the total project costs.
- No payment will be made if the vendor’s invoice exceeds the grantee’s purchase order.

Items Needed in Equipment Payment Request

- Completed and signed Equipment Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
- If applicable, include a copy of the Caltrans DMT approved Purchase Order including item description, quantity, unit price, discount (if any), sales tax, freight/shipping charges, and totals.
- If applicable, include a copy of the Caltrans DMT approved *Third Party Service Agreement Contract (first invoice only). If previously submitted, please indicate the date of submittal. *Third party contract is required for the goods or services procured as a result of formal procurement process.
- Copy of invoice from the vendor showing invoice number, date, and description (manufacturer, model and serial number), unit price, discount (if any), sales tax, freight/shipping charges, and total for each product or service item.
- Statement that equipment has been accepted and in working order (can be included in an email).
- Copy of Manufacturer Warranties/Copy of Extended Warranties.
- Disadvantaged Business Enterprise (DBE) Actual Payment form, available at <http://www.dot.ca.gov/hq/MassTrans/DBE.html>
- Picture of equipment (can be electronic format).
- Proof of payment made to vendor or copy of the method of payment. (Cancelled check or Bank statement showing check number and “paid in full” or Agency's Accounting Record showing the transactions.)

F. LAND ACQUISITION AND/OR CONSTRUCTION OF REAL PROPERTY

Real Estate Acquisition and Construction Projects include acquisition of real property and relocation activities necessary to secure property for a project, construction of transit related facilities, purchase and installation of pre-fabricated bus shelters and related accessories, such as benches, trash receptacles, etc.

Terms

- Payment will only be on a reimbursement basis.
- Payments cannot be requested more than once a month.
- Funds allocated for acquisition of real property, including appraisal fees, are payable after the close of escrow.
- Appraisals of fees are only eligible if incurred after execution of State/local agreement.
- Prior FTA concurrence is required when the grantee's recommended offer of just compensation exceeds \$250,000, or when a property must be condemned.

Items Needed in Real Estate Acquisition/Construction Payment Request

- Completed and signed Equipment Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
- If applicable, include a copy of the Caltrans DMT approved *Third Party Service Agreement Contract (first invoice only). If previously submitted, please indicate the date of submittal. (*Third party contract is required for the goods or services procured as a result of formal procurement process.)
- For third party contracts, submit the copy of the vendor invoice for the same period as the reimbursement request. (The vendor invoice can be sent electronically via email.) Copy of the original invoice from the vendor must show invoice number, date, and costs description (unit price, discount (if any), sales tax, freight/shipping charges, and total for each product or service. All work performed must be consistent with the Caltrans DMT approved Third Party Service Agreement Contract.
- If applicable, include a copy of the Caltrans DMT approved *Force Account Plan (first invoice only). If previously submitted, please indicate the date of submittal. (*Force Account Plan is required for preventive maintenance and construction work performed by the subrecipients' workforce when the contract award amount is over \$100,000.)
- If applicable, include a copy of the Caltrans DMT approved Purchase Order including item description, quantity, unit price, discount (if any), sales tax, freight/shipping charges, and totals.
- If applicable, include statement that equipment has been accepted and in working order (can be included in an email).
- If applicable, include a copy of Manufacturer Warranties/Copy of Extended Warranties.
- Picture of equipment (can be electronic format).
- Proof of payment made to vendor or copy of the method of payment. (Cancelled check or Bank statement showing check number and "paid in full" or Agency's Accounting Record showing the transactions.)
- If applicable, include a copy of the purchase agreement.
- If applicable, include a copy of the recorded deed.
- If applicable, include a copy of invoice for appraisal fees.

X. EQUIPMENT MANAGEMENT AND DISPOSITION (Updated)

A. RESPONSIBILITIES

Subrecipient:

- Responsible for the management and disposition of property acquired with Section 5311 funds.
- Must have a physical inventory for all equipment (including vehicles and facility related equipment), and the inventory list must be readily available upon request.

DTR:

- Monitors subrecipients' management and disposition of equipment.
- Tri-annually performs on-site inspection of equipment.

DMT:

- Sets policy on equipment monitoring and disposition.

B. OVERVIEW

After project delivery, the subrecipient implements the project as described in project description of their Section 5311 application. All capital equipment, whether vehicle, transit facility, or other equipment, must be maintained and adequate safeguards developed to prevent loss, damage, or theft. Any loss, severe damage, or theft must be documented and reported to the DTR immediately. The DTR will perform tri-annual on-site inspections of equipment funded through the Section 5311 Program until the service life of the equipment is reached. The subrecipient must maintain adequate insurance coverage to protect the Federal interest.

C. EQUIPMENT MANAGEMENT REQUIREMENTS

Equipment acquired under the Section 5311 Program is to be used by the subrecipient in the programs or projects for which it was acquired. The subrecipient must maintain adequate property records. Records shall include the following:

- Property description
- Identification/Serial number
- Procurement method (i.e. piggyback, local procurement, etc. Please specify RFP/RFQ/IFB number)
- Acquisition date
- Cost
- Percentage of Federal participation in the cost
- Standard agreement number
- Location, use and condition
- Disposition data, including the date of disposal
- Sale price, or where applicable, the method used to determine its fair market value
- Statement of who holds title to the equipment

A physical inventory of equipment must be taken and the results reconciled with equipment records at least once every two years. Differences shall be noted. The subrecipient shall

verify the existence, current use and continued need for the equipment in writing annually. A copy of the physical inventory must be attached. In addition, the subrecipient shall verify that the equipment acquired under the grant will continue to be used for the purpose for which the grant was approved and that none of the equipment has been sold, damaged, lost or otherwise taken out of transit service. If the required inventory has not been conducted or if the assurances cannot be made, a statement should be submitted with the certification that details relevant information such as date, items involved, nature of the loss and the standard agreement number in which it was procured. As previously stated, any loss, damage, or theft must be investigated and documented by the grantee and/or law enforcement. A letter including supporting documents must be sent to the DTR describing the loss. Other information that should be provided includes insurance claims, police report, etc. Adequate maintenance procedures must be developed and implemented to keep the property in good working condition.

D. CALTRANS AS A LIEN HOLDER

To ensure that federal investment is protected, Caltrans shall be the lien holder to all FTA funded assets until the end of the useful life of the project. Caltrans must take control over FTA funded assets and ensure that they are used in transit service. At all times while the FTA funded asset is in the possession or control of the subrecipient, the subrecipient is the registered owner and Caltrans is the legal owner or lien holder.

The DMV paperwork and/or Title should identify Caltrans as a lien holder as follows:

California Department of Transportation
Division of Mass Transportation
FTA Section 5311, 5311(f) or ARRA
P. O. 942874 – MS 39
Sacramento, CA 94274-0001

E. USEFUL LIFE STANDARDS

FTA defines useful life as “The expected lifetime of project property, or the acceptable period of use in service.” Useful life of revenue rolling stock begins on the date the vehicle is placed in revenue service and continues until it is removed from service. **Note:** Land does not depreciate and therefore does not have a useful life. The Section 5311 Program follows the useful life standard established by FTA.

The useful life standard is as follows:

Large Size, Heavy-Duty Transit Buses	12 years or 500,000 miles
Small Size, Heavy-Duty Transit Buses	10 years or 350,000 miles
Medium Size, Medium-Duty Transit Buses	7 years or 200,000 miles
Medium Size, Light-Duty Transit Buses	5 years or 150,000 miles
Other Light-Duty Vehicles (Small Buses & Specialized Vans)	4 years or 100,000 miles
Bus Shelters	10 years
Facilities (Concrete, Steel, and Frame Construction)	40 years

F. POST ACCIDENT TESTING (NEW)

The FTA drug and Alcohol regulations require testing for prohibited drugs and alcohol in the case of certain transit accidents. An accident is defined as an occurrence associated with the operation of a vehicle in which:

- An individual dies.
- An individual suffers a bodily injury and immediately receives medical treatment away from the scene of an accident.
- The mass transit vehicle is a bus, electric bus, van or automobile in which one or more vehicles incurs disabling damage as the result of the occurrence and is transported away from the scene by a tow truck or other vehicle. Look-alike historical trolley buses that operate on surface roads without a fixed guideway are considered buses for purposes of any vehicle from the scene of the occurrence in its usual manner in daylight after simple repairs. Disabling damage includes damage to vehicles that could have been operated, but would have been further damaged if so operated.
- The mass transit vehicle involved is a trailer, trolley car, trolley bus (on a fixed guideway or overhead wire), or vessel and is removed from operation.

Whenever there is a loss of human life, each surviving safety-sensitive employee operating the mass transit vehicle at the time of the accident must be tested. Safety-sensitive employees not on the vehicle (e.g. maintenance personnel) whose performance could have contributed to the accident (as determined by the transit agency using the best information available at the time of the accident) must also be tested.

Following nonfatal accidents, employers shall test each safety-sensitive employee operating the mass transit vehicle at the time of the accident unless the employer determines that the covered employee's performance can be completely discounted as a contributing factor to the accident. The employer shall test any other safety-sensitive employee whose performance could have contributed to the accident. The decision must be made using the best information available at the time.

Non-fatal accidents involving a bus, electric bus, van, or automobile must meet the definition of an accident for these types of vehicles to be considered an accident. For these types of vehicles, "removal from operation" is not a criterion for a post-accident test. Thus, employers that take a vehicle out of service without meeting the other criteria (i.e., disabling damage or bodily injury that requires immediate medical treatment away from the scene) may not conduct a post-accident test under FTA authority. The portion of the definition that addresses "removal from operation" is the portion that deals only with vehicles on fixed guideways (i.e., rail car, trolley car, trolley bus) or vessels. The definition for these vehicles does not include disabling damage.

An "occurrence associated with the operation of a vehicle" means that the accident or incident must be directly related to the manner in which the driver applies the brake, accelerates, or steers the vehicle. Operation of a vehicle does not include operation of the lift. An accident could be the result of a collision with another vehicle or pedestrian or could be associated with an incident that occurs on the vehicle without any contact with another

vehicle (i.e., a passenger falls on the bus due to the manner in which the vehicle was operated).

Vehicles covered include a bus, electric bus, van, automobile, rail car, trolley car, trolley bus, or vessel that is used for mass transportation or for ancillary services. Ancillary services include non-revenue service commercial motor vehicles and vehicles used by armed security personnel. Thus, accidents involving supervisor or general manager vehicles that are not used to transport passengers do not meet this definition and do not justify an FTA post-accident test.

To assist in clarifying or identifying post-accident circumstances, Caltrans has developed the Accident/Incident Report Form. Please see <http://www.dot.ca.gov/hq/MassTrans/5311.html>

G. DISPOSITION (Updated)

Disposition of vehicles and other equipment acquired with Section 5311 funds must be conducted in accordance with Federal grant disposition standards. According to Section 5311 guidelines, states do not have to return to FTA the proceeds from the disposition of equipment, regardless of the fair market value at time the equipment is sold. States can follow their own procedures regarding the use of proceeds as long as the proceeds remain in use for mass transit purposes. This applies to all equipment currently in use, which was purchased with Section 5311 funds. Therefore, subrecipients in the Section 5311 Program will be permitted to retain all proceeds from the disposition of equipment to be used for mass transportation purposes. Disposition shall follow competitive sales procedures to ensure highest possible return.

H. NOTIFICATION

Individual Section 5311 State-local project agreements require a subrecipient to notify the Department whenever project equipment is no longer needed or used for the project purpose for which it was granted. The Department will attempt to transfer used Section 5311 equipment to another Section 5311 grant project if the age, condition, and mileage would make it suitable for transfer or if the Department is aware of a demand for the equipment by others subrecipients. DMT must approve all equipment dispositions until service life standard has been achieved. The subrecipient submits a letter stating that the vehicle year and vehicle identification number (VIN) purchased with Section 5311 funds is no longer needed or in use. If the vehicle has achieved the service life standard identified above the letter should include the vehicle (year and VIN) and a statement that any proceeds for the sale of the vehicle will be used for the purpose of mass transit. Both of these letters (See Attachment #2 for sample) will be sent to the appropriate HQ liaison.

I. LEASE OF EQUIPMENT

Subrecipients must state in the application if they are planning on leasing the vehicles, facilities, and/or equipment. If a lease is planned, Caltrans DMT requires the subrecipient to provide Caltrans DMT the cost benefit analysis for the lease options. Caltrans DMT also monitors leases through tri-annual site visits and Milestone Progress Report. Lease restrictions are included in the certification per 5311 Capital Vehicle and Equipment Application, Part I, #24 and Capital Construction and Real Estate Acquisition Application, Part I, #22.

XI. FTA SECTION 5311(F): INTERCITY BUS PROGRAM (Updated)

A. RESPONSIBILITIES

Subrecipients:

- Encouraged to coordinate with TPAs to ensure that proposed project meets identified needs.
- Submits complete application to DTR.

TPA:

- Ensures that successful projects are placed in a federally approved TIP.
- May provide letters of support.

DMT:

- Distributes applications to DTRs and provides application workshops.
- Facilitates Section 5311(f) Review committee meeting.
- Prepares list of successful projects and standard agreements.

B. OVERVIEW

FTA requires all states to spend a minimum of 15% of their annual Section 5311 apportionment to implement and fund intercity bus transportation unless the Governor certifies that the intercity bus needs are being adequately met. Currently, 15% of each year's Section 5311 state apportionment is set-aside for the Intercity Bus Program. The Section 5311(f) Intercity Bus Program is designed to address the intercity travel needs of residents in non-urbanized areas of the state by funding services that provide them access to the intercity bus and transportation networks in California.

C. PROGRAM OBJECTIVES

The three primary national objectives of this program are:

OBJECTIVE #1: To support the connection between non-urbanized areas and the larger regional or national system of intercity bus service.

OBJECTIVE #2: To support services to meet the intercity travel needs of residents in nonurbanized areas.

OBJECTIVE #3: To support the infrastructure of the intercity bus network through planning and marketing assistance and capital investment in facilities.

D. ELIGIBLE SUBRECIPIENTS

Eligible subrecipients include:

- Public governmental authorities and transit providers.
- Private for profit organizations.
- Private non-profit organizations.
- Tribal Governments.

E. ELIGIBLE PROJECT CATEGORIES

Each applicant will be required to complete one main application for all project types. Each project is supported by a sub-application organized by category. The 5311(f) Program eligible assistance categories and the related percentage of the federal grant are listed on the next page.

Table 3: Intercity Bus Program 5311(f) Project Categories

Category	Application Title	Project Type	Federal Share (percent)	Project Period (months)	Maximum Award Limit
1	Operating Assistance	<i>Operating Assistance</i>	55.33 percent	12	\$300,000
2	Bus Purchase/Bus Related Equipment	<i>Capital Assistance</i>	88.53 percent	24/12	\$300,000/\$200,000
3	Transit Infrastructure		88.53 percent	15	\$200,000
4	Planning & Marketing Studies		88.53 percent	15	\$100,000

The 5311(f) project categories in the above table are described in greater detail below:

1. Operating Assistance

Operating assistance may be provided for new, expansion, or continuation of service. The applicant should describe their route and its functional relationship to the California Intercity Bus Network and the National Intercity Bus Service. Each proposal shall describe how the subrecipient’s system connects directly/indirectly with other transit service providers and/or modes of transportation to support meaningful connections and connectivity including lay over time(s). Each proposal should include activities such as marketing, production of route maps and/or schedules, information delivery, website development, and advertising.

2. Bus Purchase/Bus Related Equipment

Application pertaining to vehicle purchases should demonstrate that the vehicle will address a designated route in the Intercity Bus Network.

The vehicles purchased must have the capacity to carry luggage. The application may include, but is not limited to:

- Vehicles for new service, existing, and/or expansion.
- Radios and communication equipment.
- Fare boxes.
- Wheelchair lifts and restraints.
- Computers; Hardware and Software (i.e. scheduling, routing).
- Intelligent Transportation System (ITS).

3. Transit Infrastructure

The application request for transit infrastructure must be part of the Intercity Bus Program route. The project may include, but is not limited to:

- Bus shelters/Benches/Signage.
- Safety and Security features (i.e. lighting, camera).
- Support items such as trash containers.

- ADA requirements and/or enhancements.
- Informational or scheduling structures.
- Lease of equipment or facilities when lease is more cost effective than purchase. See “Capital Leases”, [49 CFR part 639](#) for more information on Lease Restrictions.

4. Planning and Marketing Studies

Application for projects under this category must demonstrate the functional relationship to the California intercity bus network. Proposals may include, but are not limited to:

- Planning Study (i.e. system-wide connectivity, improved service effectiveness, ridership forecast/survey, and transit coordination).
- Marketing Research and Innovation.
- Development and implementation of strategic marketing.

F. PROJECT SELECTION PROCESS

5311(f) funds are distributed through a competitive process. Annually Caltrans announces call for projects on its website. Applications are received by the HQ staff, reviewed for completeness, and sent to a scoring committee comprised of Caltrans staff and external participants that include transportation agencies, transit providers, and/or community based organizations. The scoring committee reviews and evaluates the applications based on the scoring sheet. Final project selection is based on the resulting application score and a consensus by the scoring committee.

G. CONSTRUCTION/REAL ESTATE ACQUISITION FOR SECTION 5311(f)

Caltrans DMT is responsible for monitoring all capital construction and acquisition projects. All construction and real estate acquisition projects must have completed all environmental work prior to project application. Only projects that have met all FTA environmental requirements will be included in FTA “Category A” projects. Caltrans DMT will work with project applicants early enough in the project application process to ensure that projects are not delayed because of environmental issues. All construction projects must have a qualified construction Project Manager. Subrecipients must have completed all phases of the environmental process prior to submission of application. All construction projects must be “shovel ready (Category A).”

H. CONTINUED FUNDING PROCESS FOR SECTION 5311 (f)

Following the recommendation of the California Rural Intercity Bus Study (March 2008), Caltrans DMT has introduced a multi-year funding which will allow continued funding for operating projects that were funded in Fiscal Year (FY) 2008. The objective of multi-year funding is to ensure funding predictability and enable agencies to plan ahead, prioritize and execute projects in a timely manner. Projects that receive continued funding are required to meet both the program requirements and the definition of California the Intercity Network Route as defined in the application guidelines. As funded currently, operating projects receive up to 55.33 percent in federal funding and a local match of 44.67 percent. The *first cycle* of the Continued Funding included the initial year FY 2008 and was continued for a maximum of two years up to and including FY 2010 referred as Year 2 and Year 3. Funding increases above the FY 2010 or Year 3 base level is allowed but must be based on prior year actual 5311 (f) expenditures but not above the 5311(f) program cap for the project. Continued funding participants must also provide two years of funding budget which also

must be based on prior year expenditures for the project. To be eligible for continued funding project applicants must certify that the requested project is the same as was funded in previous year and there are no changes to the project.

Caltrans DMT is continuing the multi-year funding beyond FY 2011. To continue to receive funding beyond the initial year, an applicant must provide specific, measurable objectives as part of their proposal, including submission of the required MPR. These objectives should demonstrate the capacity to plan at least one to three years ahead. Also an applicant must provide evidence that the subrecipient is still engaged in activities as was described in the original application

Multi-year funding awards will be based on the contents, merit, and scope of work of the originally submitted application. Multi-year funding will not include new services, or expansion of service. Continued funding may be canceled due to deviation of current services, non-compliance of basic 5311(f) requirements, and/or lack of federal funding. Additionally, availability of funds beyond the initial one-year is subject to the annual Congressional appropriation process.

XII. ACQUISITION OR TRANSFER OF USED SECTION 5311 EQUIPMENT

A. RESPONSIBILITIES

Subrecipient:

- Ensures used equipment must stay within the Section 5311 Program.
- Inform DTR of all transactions by sending a request on the agency's letterhead or application.

DTR

- Reviews the request to verify that used equipment stay within the Section 5311 Program.
- Forwards the request to HQ liaison.

DMT:

- Approves of any Section 5311 used equipment sale or transfer.

B. OVERVIEW

Occasionally, used Section 5311 vehicles or other equipment become available for transfer to other agencies. This occurs when the equipment, for one reason or another, is no longer being used or is no longer needed for the project for which it was originally granted. When this occurs, the Department will solicit interest from agencies about receiving the equipment under a Section 5311 grant. Before the Department can certify to FTA that a local subrecipient has met all Section 5311 Program requirements and is eligible to receive a vehicle by transfer, the subrecipient must submit a Section 5311 application to start the process whereby this proposal can be considered for approval.

C. SECTION 5311 APPLICATION PROCESS

If the subrecipient is a Section 5311 recipient and is proposing to provide the same service as the original subrecipient, the application should include all the items required in the Section 5311 Handbook, with the following exceptions:

- Description of efforts to coordinate with social service agencies - the subrecipient may refer to the original application.
- Description and documentation of public involvement in preparing the application -the subrecipient may refer to the public notice submitted with the original application.

D. KEY POINTS

- The subrecipient should fully describe the proposed project.
- The Certifications and Assurances by the subrecipient and the regional agency should show "none" for the amount of funds being requested.
- The project description should be "Transfer of Section 5311 Vehicle."
- The application must include the proposed third party contract if the subrecipient will be contracting with a third party.
- A budget sheet is not required as no federal funds are involved.
- If the subrecipient has never been approved for Section 5311 assistance, the subrecipient must submit a complete application and all the appropriate onetime submittals.
- The agency relinquishing the vehicle will be asked to deliver the vehicle at a site designated by the Department within the same Department district.

When the transfer of the equipment to the receiving agency is made, the receiving agency will reimburse the relinquishing agency for the 20 percent local match based on the fair market value of the vehicle. Documentation regarding how the fair market value of the used vehicle was established is to be submitted to the Department. A satisfactory method to determine fair market value is by competent appraisal approved by the Department. The vehicle is to be transferred to the approved subrecipient in its present condition. Any repairs are the responsibility of the approved subrecipient.

XIII. Reporting Requirements

Caltrans and subrecipients are required to report information to the FTA in a variety of formats: annual and periodic reports, financial reports, milestone progress reports, Title VI civil rights reports, and Disabled Business Enterprise (DBE) reports. These reports and reporting requirements are described below.

A. NATIONAL TRANSIT DATABASE REPORTING (NEW)

The NTD is the FTA's primary national database for statistics on the transit industry. Recipients of FTA's Urbanized Area Formula Program (5307) and Urbanized Area Formula Program (5311) are required by 49 U.S.C. 5335(a) and (b) to submit data to the NTD as a condition of the award.

SAFETEA-LU requires subrecipients to provide annual reporting of rural transit data. Caltrans is responsible for the reporting of consolidated rural transit data for all Section 5311 subrecipients through the existing NTD Rural Data Reporting Module. Data that will be reported include annual revenue, total annual operating costs, total annual capital costs, fleet size and type, and related facilities, revenue vehicle miles, and ridership information.

Every year, around the beginning of September, every 5311 subrecipient is emailed the Rural General Public Transit Service Form (RU-20) along with the instruction manual. With the exception of subrecipients that also receive 5307 funding (5307 subrecipients already report to the Urban NTD report), or subrecipients who received a small systems waiver, all 5311 subrecipients are required to submit the report to Caltrans by the end of September of that year. More detailed information regarding NTD reporting is available at <http://www.ntdprogram.gov/ntdprogram/>

B. ARRA REPORTING (NEW)

Section 1201(c) Reporting

U.S. Department of Transportation (DOT) grant recipients that had received funding under the American Recovery and Reinvestment Act (ARRA) through 7/31/09 were required to submit a report on progress implementing their grants pursuant to the requirements of Section 1201(c) of the Recovery Act. Caltrans submitted the reports in August 2009 and U.S. DOT consolidated the data into a report transmitted to Congress in September 2009. Until the conclusion of ARRA, the 1201(c) report is due annually on February 17.

Section 1512 Reporting

Caltrans is required to submit quarterly reports on progress implementing their grants pursuant to the requirements of Section 1512 of the Recovery Act. Recipients submit reports through <http://www.federalreporting.gov/>, a central government wide reporting portal provided by the Recovery Act Accountability and Transparency Board, in coordination with the Office of Management and Budget (OMB). Section 1512 report information can be found at <http://www.recovery.gov/>. FTA has formatted data from the reports submitted by FTA recipients for your convenience.

On the 1st calendar day of each month (if 1st falls on a weekend/holiday, first business day in the month), Caltrans sends out a reminder notice to subrecipient email list to let them know CRIS is open for reporting.

On the 10th business day of each month (if 10th falls on a weekend/holiday, last business day before the 10th), Caltrans sends out another reminder notice to subrecipient email list to let them know it is the last day to report on-time. All reports are due by the 10th of each month.

C. ALCOHOL AND DRUG ANNUAL REPORTING REQUIREMENTS (Updated)

The FTA required all subrecipients to have an Alcohol and Drug Testing Program in effect to receive Section 5311 funding. Each subrecipient must complete Management Information System forms and retain them in their files. All subrecipients must complete and submit MIS forms on-line by March 15th of each year. DMT staff will notify the agencies of the due date and usernames and passwords via email in early February. For more information, please go to <http://damis.dot.gov>. The Federal Transit Administration (FTA) final rule for Drug Testing is contained in the Federal Register (49CFR Part 655) Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations. Every transit agency receiving Section 5311 funds certifies compliance (Section 5311 Project Application, Part 1, CERTIFICATIONS AND ASSURANCES OF THE SUBRECIPIENT). Failure to comply with this section can result in suspension of a grantee's eligibility for federal funding.

Following are the aspects of the alcohol and drug testing program:

Drug Testing

Each transit agency must establish a drug testing program for safety-sensitive employees. Safety-sensitive employees are defined as those who perform duties related to safe operation of a transit service.

Safety-sensitive duties include:

- Operation of a revenue service vehicle, including when not in revenue service;
- Operation of non-revenue service vehicle when required to be operated by the holder of a Commercial Drivers License (CDL);
- Controlling dispatch or movement of a revenue service vehicle;
- Maintenance of revenue service vehicles or equipment used in revenue service, unless such service is contracted out; and
- Carrying a firearm for security purposes.

A drug testing program will provide for pre-employment testing, random (on the job), reasonable suspicion, post-accident and return-to-duty testing.

Drugs that must be tested for include:

- Marijuana
- Cocaine
- Opiates
- Amphetamines
- Phencyclidine (PCP)

A transit agency must maintain several types of records as documentation of its anti-drug program. They include:

- Records related to collection, including documentation of random, reasonable suspicion and post-accident tests;
- Test results;
- Records relating to policy or regulation violations;
- Employee training records;
- Records of assessments, return-to-duty provisions, follow-up
- Evaluations, referrals, and rehabilitation program completion; and• the annual management information system (MIS) reports are retained in the subrecipient's files. Subrecipients that must submit MIS forms to DMT will be notified.

Alcohol Testing

Each transit agency must have an alcohol misuse policy in place. It should designate an agency contact person, list of categories or employees subject to testing, expected compliance and the portion of the workday when employees are to be in compliance. It should also specify circumstances and procedures for testing and explain employee rights for refusal of testing and resultant consequences. Each transit agency must retain records for its Alcohol Misuse Prevention Program. They must maintain records on the collection process, Evidential Breath Testing (EBT) Device calibration, Blood Alcohol Technician (BAT) training, reasonable test decisions, post accident test decisions, test results, refusals and disputes, and employee compliance. The records must document employee awareness education and training and supervisor training.

For additional information on Drug and Alcohol legislation, reporting requirements, commonly asked questions, please visit the following website: <http://transit-safety.volpe.dot.gov/drugandalcohol/>

D. AUDIT REQUIREMENTS (UPDATED)

The Single Audit Act and Office of Management and Budget (OMB) Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, requires subrecipients that expend equal to or in excess of \$500,000 in federal awards in a fiscal year to have an audit performed in accordance with the Single Audit Act.

The single audit reporting package is a collection of several documents. A complete single audit reporting package includes up to nine key parts. All applicable parts must be submitted before the State Controller's Office (SCO) can process the reporting package. These parts are summarized below:

1. Independent Auditor's Report
2. Basic Financial Statements
3. Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance With Government Auditing Standards
4. Report on Compliance With Requirements Applicable to Each Major Program and on Internal Control Over Compliance in Accordance With OMB Circular A-133
5. Schedule of Expenditures of Federal Awards
6. Schedule of Findings and Questioned Costs

7. Summary Schedule of Prior Audit Findings (if no prior audit findings, please indicate)
8. Corrective Action Plan (if applicable)
9. Management Letter (required if issued by the entity's CPA)

The Comprehensive Annual Financial Report (or if applicable, financial statement report) is required. If the Comprehensive Annual Financial Report and single audit report are separate reports, then both reports must be submitted to the State Controller's Office. If both reports are not submitted, the single audit reporting package will be considered incomplete.

Reporting packages may be submitted to the SCO on a CD, provided that the report is in a PDF file format and includes the independent auditor's electronic signature.

Subrecipients are required to submit copies of annual single audit reports and corrective action plans (if applicable) to the DMT within 30 days after receipt of the auditor's report. DMT staff will notify those subrecipients that are subject to this requirement.

E. DISADVANTAGED BUSINESS ENTERPRISE PROGRAM REQUIREMENTS (Updated)

Caltrans DMT receives planning, capital, and/or operating assistance and awards prime contracts exceeding \$250,000 in FTA funds each fiscal year and is required to have a DBE program. According to FTA, subrecipients must adhere to the Caltrans DBE Program Plan (49 CFR Part 26) as it applies to local agencies. Failure to do so will be treated as a violation of the Grant Agreement or Standard Agreement. Subrecipients must determine if the project has subcontracting opportunities. Should the subrecipient determine that there are no subcontracting opportunities for the project, this should be stated in the "Disadvantaged Business Enterprise Participation" solicitation document. If it is determined that there are subcontracting opportunities for the project, this should be stated in the "Disadvantaged Business Enterprise Program Availability Advisory" solicitation document.

When 'other equipment' is procured through the grant, the applicant is required to complete and submit a DBE Awards/Commitments Form to Caltrans along with three like-kind bids for Caltrans final purchase approval. Subrecipients are also required to submit the DBE Vehicle Certification Form to the DMT Procurement and Grants Management Branch, if applicable. More information regarding Transit Vehicle Manufacture requirements can be found at [Transit Vehicle Manufacturers \(TVM's\)](#) website. Once a bid is approved, the applicant purchases the approved equipment from the approved vendor. Upon acceptable delivery, the applicant will submit an Actual Payments Form to Caltrans along with their request for reimbursement for the equipment. Caltrans will report the DBE participation, if applicable, to Caltrans' Office of Business and Economic Opportunity.

The Office of Business and Economic Opportunity also maintains a list of current Caltrans certified DBEs that applicants can query to determine if there is a DBE available for bidding purposes.

DBE Goal

For Federal Fiscal Years (FFY) 2011-2013, Caltrans' DBE goal, for its FTA projects, is four percent, without any Step Two adjustments. This overall goal is expected to be achieved through wholly race-neutral measures. Caltrans submits this goal and methodology to the FTA for review and approval pursuant to [49 CFR 26.45](#) for federally assisted transit contracts. Caltrans acknowledges the February 3, 2010, final rule change that will have Caltrans submit the overall goal triennially rather than annually. For the most updated DBE Goal and Methodology, please see the Caltrans FTA DBE Goal and Methodology Federal Fiscal Years 2011–2013.

XIV. Consolidation, Dissolution, and Reorganization of Transit Agencies (New)

A. OVERVIEW

Caltrans is experiencing an increase in the number of transit agencies that are implementing structural changes, such as reorganizations, dissolutions, consolidations, or agency name changes. This can make it problematic for transit agencies to claim both Transportation Development Act (TDA) and federal funds, or execute contracts. A transit agency's structural change can affect plans, programs, and project lists utilized by Caltrans, California Transportation Commission (CTC), Regional Transportation Planning Agencies (RTPAs), Metropolitan Planning Organizations (MPOs), Council of Governments (COGs), cities, counties, transit agencies, and Tribal governments.

B. ROLES AND RESPONSIBILITIES

Subrecipient:

- Notify the RTPA/MPO and identify the reason(s) for structural change.
- Incorporate comments received from the RTPA/MPO into the transition plan.
- Request a concurrence letter from the RTPA/MPO.
- Notify and provide Caltrans' district planning office with the following revised documents:
 - An Authorizing Resolution
 - A Disadvantage Business Enterprise Implementation Agreement
 - FTA Certifications and Assurances
 - New Data Universal Numbering System (DUNS)
 - New California Code of Regulation (CCR) numbers
 - Any applicable third party agreements
- Memorandum of Understandings (MOUs) for rolling stock and/or other products procured with State and/or federal funds that are considered full or partial government property.
- Appropriate project programming amendment requests for existing projects.

TPA

- Distribute the document to the district planning office for review.
- Transmit TPA and Caltrans comments back to the transit agency.
- Provide TPA board approval (authorizing resolution) and a concurrence letter to the transit agency if there is TPA concurrence. (We recommend not giving approval if the proposed transition cannot legally establish the agency as a TDA claimant, and a State/federal recipient.
- Coordinate with the transit agency and district planning office to prepare necessary MOUs, agreements, and project programming requests, so existing assets and projects accurately reflect the agency's new structure or name.

DTR

- Distribute the transition information to DMT for review and comment.
- Coordinate with DMT to determine the agency's eligibility.
- Provide comments to TPA.
- Provide a transition information support letter to TPA and transit agency after DMT and district planning concur.
- Coordinate with TPA to prepare necessary MOUs, agreements and project programming requests, so existing assets and projects accurately reflect the agency's new structure or name.

- Consult DMT to determine need for specific MOUs.
- Send project programming amendment requests to DMT.

DMT:

- Review the transition information and provide comments to district planning office.
- Provide an agency transition support letter to district planning office after DMT considers the plan acceptable.
- Notify CTC and Division of Programming and Accounting of the transit agency's structural change.
- Issue standard agreement amendment(s) for active project (if applicable).
- Consult Division of Legal to facilitate and issue MOUs to document the transition and transfer of projects or equipment to the newly established agency (if applicable).
- Notify FTA of the agency's transition/change (if applicable).

XV. Equal Employment Opportunity (Updated)

A. OVERVIEW

Caltrans has an Equal Employment Opportunity Program Manager responsible for preparing, monitoring and implementing the Caltrans Equal Employment Opportunity Plan. The Division of Audits and Investigations ensures that all discrimination complaints are thoroughly investigated in accordance with the Equal Employment Opportunity Plan. Caltrans ensures non-discrimination for ADA-eligible persons in terms of employment through the Directors Policy on Equal Employment Opportunity. In addition, Caltrans provides reasonable accommodations for persons with disabilities, per the Deputy Directors policy on Reasonable Accommodation. Also, Caltrans has the ability to provide staff that is visually impaired with the adequate computer equipment (including a Braille machine), sign language interpreters and workshops.

Each subrecipient specifically certifies within the program application that it will not discriminate against any employee or applicant for employment. Additionally, by signing the standard agreement with Caltrans each subrecipient certifies that it will comply with all applicable federal equal employment opportunity requirements.

According to the [FTA Circular UMTA C 4704.1](#), Threshold Requirements state that any applicant, recipient, or subrecipient that employs 50 or more transit-related employees is required to comply with the above program requirements.

XVI. Transportation Development Credits (Toll Credits) (New)

Transportation Development Credits (formerly referred to as Toll Revenue Credits) provides a credit toward a project's local share for certain expenditures with toll revenues. The amount of credit toward local share to be earned by a State is based on revenues generated by toll authorities within the State. Under the provisions of 23 U.S.C. 120(j), FHWA oversees the determination of transportation development credit within each State. For the Federal Transit Administration (FTA), the effect of utilizing transportation development credits means that FTA, in essence, provides 100 percent of the total net project cost. For example, if the actual cost of the asset is \$500,000, FTA's share at 80 percent equals \$400,000. The remaining \$100,000 match is transportation development credits, so additional Federal funds are needed to equal \$500,000 or 100 percent of the net project cost. FTA calculates a project using transportation development credits as shown in the example, from the Federal Register, below:

Actual cost of the asset	\$500,000
	=====
Federal Share (80%)	\$400,000
Local Share (20%)	\$100,000 (from toll revenue credits)
	\$500,000
	=====

In Transportation Electronic Award and Management (TEAM), the recipient will enter the following:

Total project cost	\$500,000
Federal Share	\$500,000

FTA requires the recipient to state within the comment section of TEAM that transportation development credits provide \$100,000 for the local share. FTA will not approve a retroactive application of Transportation Development Credits, nor will FTA allow additional toll credits to be added to a grant after it is executed. Toll Credits can be used for "operating" projects.

Another example:

Since the apportionment stays the same, the toll credit counts towards the apportionment. For example, if the service you are funding is:

\$160,000 federal 5307
\$40,000 non-federal

And the apportionment of 5307 for the urbanized area is: \$500,000

Replace the non-federal with toll credits, and all \$200,000 counts against the apportionment, not just the \$160,000.

If you have any questions or concerns about Transportation Development Credits (Toll Credits), please contact Michael Lange at (916) 657-3946.

XVII. Intelligent Transportation System (New)

A. OVERVIEW

The Standard Agreement (contract) language between Caltrans and the subrecipient regarding Intelligent Transportation System (ITS) states: “To the extent applicable, agrees to conform to the National ITS Architecture and Standards as required by SAFETEA-LU and relevant FTA regulations.” Caltrans has an IT/ITS Procurement Plan form to collect information regarding IT/ITS equipment procurements from the subrecipients (See Capital Equipment and Vehicle Application Part XIII at <http://www.dot.ca.gov/hq/MassTrans/5311.html>).

B. POLICY

In accordance with the Federal Transit Administration (FTA)’s annual “[Certifications and Assurances](#)” and the [National ITS Architecture](#), it is Caltrans’ policy that all requests for ITS projects by an awarding agency must have an ITS Plan that is included in the regional architecture plan. ITS is referenced in [SAFETEA-LU](#) Subtitle C, Section 5301, Paragraph 512. Per [49 CFR Part 613](#) and 621, ITS projects shall conform to the National ITS Architecture and standards in accordance with the requirements. Conformance with the National ITS Architecture means the use of the National ITS Architecture to develop a regional ITS architecture in support of integration and the subsequent adherence of all ITS projects to that regional ITS architecture. Development of the regional ITS architecture should be consistent with the transportation planning process for Statewide and Metropolitan Transportation Planning and Regional Transportation Planning Agency.

C. DEFINITION

ITS are techniques and methods for relieving congestion, improving road and transit safety, and increasing economic productivity. During the last few decades, there have been rapid advances in information and communications technology. Many transit agencies have employed a number of these different technologies in order to supplement or enhance the transportation services they offer to the public. ITS encompasses a variety of different technology based systems.

D. REQUIREMENTS

Subrecipients who are applying for ITS projects must complete the ITS compliance plan in the 5311 application. In addition, the proposed project must be included in the regional ITS architecture. Prior to completion of the regional ITS architecture, an ITS project shall have a project level ITS plan that is coordinated with the development of the regional ITS architecture.

E. ROLES AND RESPONSIBILITIES

Subrecipient

- Ensures that ITS projects are included in the regional ITS architecture plan.
- Completes the ITS compliance plan in the FTA section 5311 application and submit it to Caltrans headquarters during the FTA Section 5311 grant application process.
- Maintains and has on file a regional ITS architecture plan that includes the proposed ITS project. (Caltrans will maintain a copy of the plan, and subrecipients are required to submit revised versions of their plan to Caltrans.)

DMT

- Verifies the following for each agency project ITS plan:
 - How the surrounding community benefits from the proposed ITS project.
 - The project is consistent with the agency's local or regional ITS architecture plan.
 - The project complies with the requirements of the National ITS Architecture.
 - What system the project integrates with.
 - What other entities will be a part of the systems integration.
 - Each agency has an implementation plan to carry out the ITS project.

Example of transit related systems that may be implemented as part of ITS projects are:

- **Pre-trip traveler information systems** through phone, 511 systems, kiosks, the web and other electronic channels that help provide route and fare information or itinerary planning.
- **En-route transit information** through 511 systems, variable message signs, enunciators, or personal devices that provide next vehicle and stop information, or route and itinerary planning.
- **Multi-modal traveler information systems** that integrate transit information with highway, rail, and other options.
- **Personalized public transit** for route deviation, flex route, and para-transit services.
- **Transit management systems and management centers** using AVL, computer aided dispatch, GIS, and surveillance of network conditions to improve the travel time and reliability of the transit system, and provide for transfer connection protection.
- **Transit Signal Priority** to improve the travel time and reliability of the transit vehicles operating in mixed flow, or crossing major arterials at grade.
- **Carpool Ride Matching & Reservation Systems**
- **Electronic Payment Systems** both at transit centers and stations and on vehicles that include both fare payment and the ability to pay for other services (parking or toll charges).
- **Communications Systems** that provide the backbone for the vehicle and wayside communication to each other and to the transportation management center.
- **Automatic Passenger Counters** for performance monitoring and service planning.
- **Vehicle and System Monitoring** that tracks system functions and provides warning of likely malfunction or maintenance needs.
- **Highway/Rail Intersection Protection** to improve the safety of rail-transit operations and buses that travel through rail intersections.
- **Collision Warning/Avoidance, Vision Enhancement, and Driver Assistance** to ensure safe transit operations in increasingly congested conditions, or limited right of ways.
- **Data Archiving and Information Management Systems** to store and analyze the real time system data and assist in service planning, system monitoring, and other decisions.

I. Attachment #1 FTIP

San Joaquin Council of Governments - Federal Transportation Imp. ment Program (Dollars in Whole) Transit System

DIST: PPNO: EA: CTIPS ID: 10 COUNTY: ROUTE: PM: San Joaquin County	TITLE (DESCRIPTION): 5311-Operating funds for rural services (FTA 5311 funding for SJRTD to provide services to rural areas of San Joaquin County)	MPO Apr: / / State Apr: / / Federal Apr: / / EPA TABLE II or III EXEMPT CATEGORY: Transit operating assistance.
---	---	---

IMPLEMENTING AGENCY: SJRTD - San Joaquin Regional Transit District MPO ID: SJ07-5030
PRJ MGR: GLORIA SALAZAR PHONE: (209) 948-5566 EMAIL:

PROJECT VERSION HISTORY (Printed Version is Shaded)				(Dollars in whole)								
Version	Status	Official Date	Updated By	Change Reason	Amend No.	Prog Con	Prog RW	PE				
10	Active	01/04/2011	SKAUR	Amendment - Cost/Scope/Sch. Change	1	5,267,544						
9	Official	07/22/2010	SKAUR	Adoption - Carry Over		5,323,478						
8	Official	05/28/2010	SKAUR	Amendment - Cost/Scope/Sch. Change	27	3,792,372						
7	Official	02/27/2009	TTAYLOR	Amendment - Cost/Scope/Sch. Change	2	3,788,041						
6	Official	07/24/2008	WRIDDER	Adoption - Carry Over		3,904,372						
5	Official	01/24/2008	JSWANSON	Amendment - Cost/Scope/Sch. Change	17	2,623,544						
4	Official	05/24/2007	JSWANSON	Amendment - Other (Explain ==>)	5	2,696,826						
3	Official	07/27/2006	JSWANSON	Adoption - Carry Over		2,696,826						
2	Official	06/29/2005	SBUTLER	Amendment - Cost/Scope/Sch. Change	14	757,982						
* FTA Funds -				PRIOR	10/11	11/12	12/13	13/14	14/15	15/16	BEYOND	TOTAL
* Fund Source 1 of 2				PE								
* Fund Type: FTA 5311 - Non Urbanized				RW								
* Funding Agency:				CON	1,256,925	242,201	275,572	281,083	286,705	292,439		2,834,925
				TOTAL	1,256,925	242,201	275,572	281,083	286,705	292,439		2,834,925
* Local Funds -				PRIOR	10/11	11/12	12/13	13/14	14/15	15/16	BEYOND	TOTAL
* Fund Source 2 of 2				PE								
* Fund Type: TDA				RW								
* Funding Agency:				CON	1,254,619	242,201	275,572	281,083	286,705	292,439		2,632,619
				TOTAL	1,254,619	242,201	275,572	281,083	286,705	292,439		2,632,619
Project Total				PRIOR	10/11	11/12	12/13	13/14	14/15	15/16	BEYOND	TOTAL
				PE								
				RW								
				CON	2,511,544	484,402	551,144	562,166	573,410	584,878		5,267,544
				TOTAL	2,511,544	484,402	551,144	562,166	573,410	584,878		5,267,544

Comments:
 ***** Version 10 - 01/04/2011 *****
 ***** Version 9 - 07/06/2010 *****
 ***** Version 8 - 05/13/2010 *****
 ***** Version 7 - 11/03/2008 *****
 ***** Version 6 - 04/05/2008 *****
 Per SJRTD/Escalon agreement, services for the City of Escalon Inc
 ***** Version 5 - 03/04/2008 *****
 ***** Version 4 - 09/11/2007 *****
 Adds FY 06/07 funds to Amendment #5
 ***** Version 3 - 03/16/2006 *****
 ***** Version 2 - 06/15/2005 *****
 FTA 5311 Apportionment for FY04/05: \$113,991.
 FTA 5311(f) Apportionment for FY04/05: \$25,000
 Total Federal (FTA 5311): \$138,991
 Total Local Match: \$138,991
 ***** Version 1 - 07/25/2004 *****

Amendment #1
 1. Decrease 5311 funds from \$270,168 to \$242,201 (\$27,967)
 2. Decrease Local Funds from \$270,168 to \$242,201 (\$27,967)

DEPARTMENT OF TRANSPORTATION
DIVISION OF TRANSPORTATION PROGRAMMING
1120 N STREET M.S. 82
P. O. BOX 942873
SACRAMENTO, CA 94273-0001
PHONE (916) 654-2983
FAX (916) 654-2738
TTY (916) 653-4086



*Flex your power!
Be energy efficient!*

January 12, 2011

Mr. Walter C. Waidelich Jr.
Division Administrator
Federal Highway Administration
650 Capitol Mall, Suite 4-100
Sacramento, CA 95814

Mr. Leslie T. Rogers
Regional Administrator
Federal Transit Administration
201 Mission Street, Suite 1650
San Francisco, CA 94105

Attention: Ms. Sue Kiser

Attention: Mr. Ray Sukys

Dear Ms. Kiser and Mr. Sukys:

The California Department of Transportation has completed the review of San Joaquin Council of Governments' (SJCOG) administrative modification No. 1 to their 2010/11 – 2013/14 Federal Transportation Improvement Program (FTIP). The SJCOG submitted this change consistent with the Federal Statewide Transportation Improvement Program (FSTIP) modification procedures. This change does not require Federal Highway Administration or Federal Transit Administration approval. Therefore, it has been incorporated into California's 2011 FSTIP.

Please address any questions to Lima Huy at (916) 651-7411.

Sincerely,

MUHANED ALJABIRY, Chief
Office of Federal Transportation Management Program

Enclosures

c: Karina O'Connor - EPA Office of Air Planning (w/enclosure)
Lisa Hanf - EPA Office of Air Planning (w/enclosure)
Dana Cowell, Executive Director, San Joaquin COG

"Caltrans improves mobility across California"

Walter C. Waidelich Jr./Leslie T. Rogers

January 12, 2011

Page 2

bc: FTIP Binder

bec: Scott Carson, FHWA

Paul Page, FTA

Supinderjit Kaur - SJCOG

Zak Hajeer - Local Assistance

Ken Baxter - Caltrans D-10

Sinaren Pheng - Caltrans D-10

Arvinder Bajwa - Caltrans D-10

Tom Dumas - Caltrans D-10



SAN JOAQUIN COUNCIL OF GOVERNMENTS

555 E. Weber Avenue • Stockton, California 95202

209.235.0600 • 209.235.0438 (fax)

www.sjco.org

January 7, 2011

Ann Johnston
CHAIR

Chuck Winn
VICE CHAIR

Andrew T. Chesley
EXECUTIVE DIRECTOR

Member Agencies
CITIES OF
ESCALON,
LATHROP,
LODI,
MANTECA,
RIPON,
STOCKTON,
TRACY,
AND
THE COUNTY OF
SAN JOAQUIN

Mr. Muhaned Aljabiry
ATTN: Lima Huy
California Department of Transportation
Division of Transportation Programming
Office of Federal Transportation Management Program
P.O. Box 942874
Sacramento, CA 94274-0001

**SUBJECT: Administrative Modification #1 to the 2011 Federal
Transportation Improvement Program**

Dear Mr. Aljabiry:

Enclosed please find the documentation in support of Administrative Modification #1 to the SJCOG 2011 Federal Transportation Improvement Program (FTIP). The SJCOG Executive Director has the authority to approve all administrative modifications. State approval is required; however Federal approval is not required.

The proposed modifications are consistent with the 2011 Regional Transportation Plan and the Public Participation Plan adopted by the SJCOG Board.

FTIP Administrative Modification #1 amends the following existing projects in the 2011 FTIP:

- (1) Various Agencies, Highway Bridge Program Lump Sum Project (CTIPS# 212-0000-0272) increases \$323,623 in HBP funds and \$35,217 in local funds in FY 10/11; increases \$570,000 in HBP funds in FY 11/12; adds \$2,368,841 in HBP funds in FY 12/13, increase \$990,337 in local funds in FY 12/13; and decreases \$1,324,298 in HBP funds and \$171,577 in local funds in FY 13/14 (net increase \$4,288,018 - 7.57%).
- (2) Various Agencies, Pavement and Resurfacing project (CTIPS# 212-0000-0001) decreases \$259,121 in RSTP funds and increases \$27,000 in local funds in FY 10/11.
- (3) City of Stockton, Benjamin Holt and Cumberland Signal Project (CTIPS# 212-0000-0536) Reprogram \$46,345 from PE phase to CON phase in FY 12/13.

- (4) Caltrans, SHOPP Roadway Preservation Grouped Project (CTIPS# 212-0000-0313) adds Near Lodi, from Comstock Road to Route 12 Rehab Pavement Project to the backup list, increasing \$4,246,784 in SHOPP-AC and \$550,216 in State Cash in FY 10/11 (net increase \$4,797,000 – 2.4%).
- (5) Caltrans, SHOPP Collision Reduction Grouped Project (CTIPS# 212-0000-0313) adds, Near Lodi, from Mokelumne River undercrossing to the Woodbridge road overcrossing to the Woodbridge road overcrossing project to the backup list, adding \$1,479,366 in SHOPP-AC funds and \$191,664 in State Cash in FY 11/12, move \$3,015,332 in SHOPP-AC funds and \$390,668 in State-Cash from FY 13/14 to FY 12/13 (net increase \$1,671,030 – 1.7%).
- (6) San Joaquin Regional Rail Commission, Rail Corridor for HSR and ACE Project (CTIPS# 212-0000-0550) adds \$300,000 in FRA earmarks in FY 11/12 (increase 3.2%).
- (7) City of Manteca, Manteca Multi Modal Station Project (CTIPS# 212-0000-0461) adds \$336,480 in FTA 5307 funds in FY 10/11 (increase 5.6%).
- (8) San Joaquin Regional Rail Commission, Cabral Station Project (CTIPS# 212-0000-0405) adds \$100,000 in MK funds in FY 11/12.
- (9) City of Stockton, I-5 French Camp Interchange Project (CTIPS# 212-0000-0257) adds \$800,000 in IMD funds in FY 10/11 for ROW phase (Toll credits apply).
- (10) San Joaquin Regional Transit District, 5311 Operating Assistance Project (CTIPS# 212-0000-0266) decreases \$27,967 in FTA 5311 funds and \$27,967 in local funds in FY 10/11.
- (11) San Joaquin Regional Transit District, 5317 SMA Deviated Fixed Route Service Project (CTIPS# 212-0000-0566) increases \$24,552 in FTA 5317 funds in FY 10/11, decreases \$1,899,291 LTF funds in FY 10/11 and decreases \$140,000 in private funds in FY 10/11.
- (12) San Joaquin Regional Transit District, Hybrid Diesel Electric Replacement Buses (CTIPS# 212-0000-0279) transfers the project from 2009 FTIP to the 2011 FTIP for FTA grant purposes. Funds for this project were transferred from FHWA to FTA as flex funds in FY 09/10.

- (13) San Joaquin Regional Transit District, Phase 2 BRT Phase II Airport Way Project (CTIPS# 212-0000-0569) transfers the project from 2009 FTIP to the 2011 FTIP for FTA grant purposes. Funds for this project were transferred from FHWA to FTA as flex funds in FY 09/10.
- (14) City of Stockton, BRT Phase III along Hammer Lane Project (CTIPS# 212-0000-0532) split the project as following:
- a. Split Scope to reflect Install/Implement traffic signal improvements on Hammer Lane between I-5 and SR 99 as a scope for this project;
 - b. Decrease \$2,312,908 in CMAQ funds in FY 11/12 for CON phase; and
 - c. Decrease \$5,449,216 in Private funds in FY 11/12 for CON phase.
- (15) San Joaquin Regional Transit District, Replace 6 BRT Buses Project (CTIPS# 212-0000-0533) change the fund source for \$1,330,370 in Private funds to 5309 (C) funds and move funds from FY 11/12 to FY 10/11 for CON phase, change fund source for \$932,593 from private funds to PTMISEA funds in FY 11/12 for CON phase. Combine the remaining scope from project split performed above as following:
- a. Add Corridor (BRT Phase III along Hammer and 99) improvements and Transit Enhancements to support BRT Service;
 - b. Add \$2,312,908 in CMAQ funds in FY 11/12 for CON phase;
 - c. Change fund source for \$3,896,791 from private funds to 5309 © funds, move funds to FY 10/11, add \$532,906 for PE phase and \$3,363,885 for CON phase; and
 - d. Move \$1,552,425 in private funds from FY 11/12 to FY 10/11 and add \$133,227 for PE and \$1,149,198 to CON Phase.
- (16) San Joaquin Regional Transit District, Operating Assistance for BRT Phase II along Airport Way (CTIPS# 212-0000-0534) decrease \$108,230 in LTF funds in FY 10/11, decrease \$129,293 in LTF funds in FY 11/12, increase \$372,571 in JARC funds in FY 10/11, decrease \$317,498 in JARC funds in FY 11/12, decrease \$264,341 in private funds in FY 10/11 and increase \$446,791 in private funds in FY 11/12.

The required documentation is enclosed.

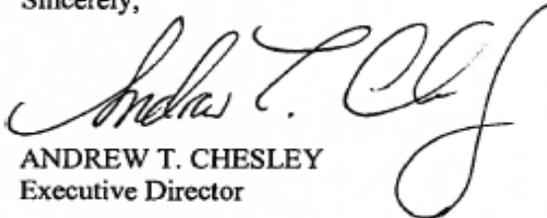
Attachment 1: Summary of Changes
Attachment 2: CTIPS Reports

These changes are consistent with the description of "Minor changes" in the "Revised Federal - Statewide Transportation Improvement Program Amendment and Administrative Modifications Procedures" (11/17/2008) (e.g. split or combine individually listed projects, provided cost, schedule and scope remain unchanged).

With the modifications identified in this document the SJCOG 2009 FTIP remains financially constrained. SJCOG certifies that this modification contains exempt projects and does not require a conformity re-determination. SJCOG also certifies that this modification does not impact the timely implementation of any TCM's and that no project included in this modification is included in any other amendment or modification to the FTIP currently out for public review or approval.

If you have any questions regarding this modification, please contact Ms. Sam Kaur of my staff at (209) 235-0583.

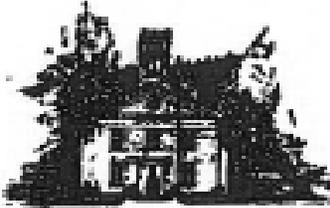
Sincerely,



ANDREW T. CHESLEY
Executive Director

cc: Sinaren Pheng, Caltrans D10
Abhijit Bagde, Caltrans HQ
Ken Baxter, Caltrans D-10
Arvinder Bajwa, Caltrans D-10
Tom Dumas, Caltrans D-10
Cari Anderson, CAC

II. Attachment #2 Disposition Request



COUNTY of CALIFORNIA

4630 Ben Road
California, CA 95338
(209) 966-2280 FAX (209) 966-2170
E-mail fleet@californiacounty.org

DEPARTMENT OF
PUBLIC WORKS
Divisions of:
• Design & Construction
• Administration
• Operations
• Fleet Services

David Williams

Director

April 9, 2010

James Ogbonna
State of California – Department of Transportation
Division of Mass Transportation
PO Box 942874
Sacramento, Ca 94274-0001

Dear Mr. Ogbonna:

Listed below are two of the buses that California County operates:

VT-18, 2001 Champion VIN # 1GBJG31G3111800712001 8 passenger Para transit
VT-20, 2002 Areotech VIN # IFDXE45S62HA40200 12 passenger Para transit

Both of these buses have reached their useful life of 8 years per the California County Fleet Policy (Title 14, Section 14.07.060 Replacement Criteria) and we are requesting authorization to dispose of them at public auction with the proceeds from the sale to be returned to the California County Transportation fund.

Please do not hesitate to contact me with questions.

Sincerely,

A handwritten signature in black ink, appearing to read 'Michael Carr', written over a horizontal line.

Michael Carr
Administrative Analyst/Transportation Planner

cc: Joseph Jones - Fleet Superintendent

BUS MAINTENANCE & SAFETY INSPECTION

REGISTRATION NO. 11148

FOR THIS BUS REGISTRATION
INSPECTION IS BEING HELD SEPARATELY BY JUNE 2007

Windsor County VT-25
08/108 Ford E-450 cut away

ITEM	MONTHS											
	01	02	03	04	05	06	07	08	09	10	11	12
1. Fuel System, Storage, Delivery, Return, Fuel Air Filter												
2. Ignition, Spark Plugs, Clean Valve, Distributor and Belt												
3. Windshield, Wipers, Washers, Mirrors, Floor Condition												
4. Lights, Horns, Buzzer, Signals, Warning, Direction and Wiping												
5. Steering Gear—Barn, Oil, Temperature, Lub, Control												
6. Suspension and Spring System, Shockers, Control and Vibration												
7. Door Operation, Service Brakes, Parking, Handbrake, Safety Brakes												
8. Trailer Condition, Poles, Identification												
9. Operation/Alignment, Axles, Springs, Weight-Balancing												
10. Batteries, Fluid, Terminals, Cables												
11. Radiator, Hoses, Water Pump—Securement, Leaks												
12. Compressor/Fan, Pressure, Acc—Belt—Condition & Adjustment												
13. Clutch Adjustment—Freeplay												
14. Throttle, Linkage, Fuel System Leaks, Air Cleaner												
15. Handbrake, Controls—Securement, Leaks												
16. Engine Mounts, Oil Leaks												
17. Fluid Level, Leaks, Hoses & Belts—Securement, Prol.												
18. Air Cleaner, Adjusted, 1 Minimum 2 lbs. Max 120												
19. Air Leaks, Checked, 1 Minimum 2 lbs. Max 120												
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INSPECTOR'S SIGNATURE AND DATE OF INSPECTION

John J. ...
08/10/07
John J. ...

BUS MAINTENANCE & SAFETY INSPECTION

W. P. ...
... VT-25

FOR BUS AND EQUIPMENT
 INSPECTION BY FIELD OFFICE MEMBERS OF SALES, INC.

ITEM NO.	DESCRIPTION	MAY 1968															
		OK	NG														
1	Star Enclosures, Warning Indicators, First Aid Kit																
2	Instruments, Speed Limit, Open Operator, Driver's Seat and Belt																
3	Mechanical, Wheelbars, Winders, Mirrors, Floor Condition																
4	Lights, Indicator, Bellows, Signal, Warning, Switches and Wiring																
5	Starting Devices-Horn, Oil, Temperature, L.H. Switch																
6	Switches and Wiring Harness, Batteries, Charging and Vent Systems																
7	Door Operation, Operator Pedals, Tires, Fueling, Handholds, Safety Pins																
8	Interior Condition, First Aid Kit																
9	Generator/Alternator, Starter, Brakes, Wiring-Mounting																
10	Generator, Fuel, Ventilation, Cabin																
11	Indicator, Horn, Rear Pump-Generator, Lights																
12	Compressor (1) Fan, Waterpump, Acc.-Belt-Condition & Adjustment																
13	Church Adjustment-First Aid																
14	Throttle, Linkage, Fuel System, Air Cleaner																
15	Manifold, Exhaust-Generator, Lights																
16	Engine Mount, Oil Pan																
17	Fluid Level, Lamps, Horn & Tubing-Generator, Fuel																
18	Oil Quantity Adj.-Mtr. Oil, Max. 120																
19	Oil Level, Unplugged, 1 Minute 2 lbs. Maximum																
20	Oil Level, Adjusted, 1 Minute 2 lbs. Maximum																
21	Drive Band 1 air pressure-Tire Check Valve-Low Air Warning Operation																
22	Check Air Tank Pressure, Drive Generator, Drive Valve																
23	Valve, Low-37 per cent, 1/2" minimum Valve-Low Valve Warning-Tank Gauge																
24	Adjustment, Linking & Control Linker to Rider Panel Height on First																
25	Pushing Brake-Condition & Adjustment																
26	Emergency Stop System, Adjusted, Condition																
27	Pressure After Loss of Service Air, and Still if Released																
28	Brakes, Tire, Lug Nuts-Creeps, Sealed-Tire Inflation																
29	Wheel Seal-Horn, Brake Cyls.-Lamps, Horn, Buzzer, Switch																
30	Check Steering Gear and Mounting-First Aid, Oil Level																
31	Steering Arm, Drive Valve, Tire Road Grip																
32	Frame, Components, Secure, Rear, Cross																
33	Braking, Switches, "U" Bolt, King Pin, Shock Absorbers																
34	Tire, Oil, Fluid Level, Spare, Mounting, Drive Shaft, "U" Bolt, Guard																
35	Exhaust-Condition, Lamps, Mounting																
36	Fuel Tank, Valve, Pressure-Generator, Mounting, Valve																
37	Door, Hinge, Lock & Release, Air, Oil & Gas																

INSPECTOR'S SIGNATURE AND DATE OF INSPECTION

Tommy ...
...

BUS MAINTENANCE & SAFETY INSPECTION

2002 FORD County VT-21

2002 E-150 Buss (Ford)

ITEM NO.	DESCRIPTION	PASS		FAIL		REPAIR		REWORK		RETEST	
		OK	NO	OK	NO	OK	NO	OK	NO	OK	NO
1	1. Tire Condition, Pressure, Rotation, Tread, Age										
2	2. Brakes, Front, Rear, Drum, Disc, Brake, Light, Oil, Grease										
3	3. Wheel, Hub, Bearings, Axle, Grease, Tire Condition										
4	4. Lights, Head, Brake, Signal, Turn, Backup, and Side										
5	5. Steering System, Horn, Oil, Temperature, Air, Control										
6	6. Fuel System and Working Condition, Oil, Grease, and Fuel System										
7	7. Door Operation, Seals, Hinges, Trim, Handles, Windows, Safety Pins										
8	8. Exterior Condition, Paint, Identification										
9	9. Generator/Alternator, Battery, Belts, Water, Wiring, Mounting										
10	10. Battery, Fluid, Terminal, Cables										
11	11. Radiator, hoses, Water Pump, Belts, Level										
12	12. Compressor, Fan, Belts, Air, Air-Blow-Condition & Adjustment										
13	13. Clutch Adjustment--Friction										
14	14. Thrust, Ubrings, Fuel System Level, Air Cleaner										
15	15. Hydraulic, Cables--Brakes, Level										
16	16. Engine Oil, Oil Level										
17	17. Fuel Level, Leaks, Hoses, & Tank--General Reg.										
18	18. Air Leaks, Unusual, 1 Minute 2 Sec. Maximum										
19	19. Air Leaks, Oil, 1 Minute 2 Sec. Maximum										
20	20. Drive Shafts, 1 Air Reservoir--Test Good Water-Low Air Working Operation										
21	21. Check All Tank Components, Drive Shafts, Drive Shafts										
22	22. Air, Leaks--1" per min., 15" minimum VAC--Low Vac, Working--Test Pressure										
23	23. Adjustments, Ubrings, & Drive (Leak tested) Final Inspect on Tyd										
24	24. Fueling System--Condition & Adjustment										
25	25. Emergency Stop System, Labels, Operation										
26	26. Maximum Allow Load of Service Air, Air, 150 lb if Required										
27	27. Wheel, Tire, Lug Nut--Check, Torque--Tread--Inflation										
28	28. Wheel Spins--Hyd, Brake Oil, Air, Air, Air, Air, Air, Air, Air										
29	29. Drive Steering Gear and Assembly--Low Lub, Oil Level										
30	30. Steering Arm, Drive Links, Tie Rod Ends										
31	31. Frame, Crossmembers, Shocks, Sags, Drive										
32	32. Springs, Shock, "V" Bush, King Pin, Shock Absorber										
33	33. Tires, Oil, Fuel Level, Level, Working, Drive Shaft, "V" Bush, Grease										
34	34. Exhaust--Condition, Leaks, Working										
35	35. Fuel Tank, Level, Fumes--Condition, Leaks, Level										
36	36. 8000 Undercar & Exhaust, Grease, A, Grease										

INSPECTOR'S SIGNATURE(S) AND DATE(S) OF INSPECTION

3-16-10 *[Signature]*

STATE OF VERMONT
BUS MAINTENANCE & SAFETY INSPECTION

Colchester County VT-21
2002 Ford Buss (Ford)

CLASS	INSPECTION DATE											
	01	02	03	04	05	06	07	08	09	10	11	12
1. Front Brakes/Steering, Steering Mechanism, Rear Air刹												
2. Brakes, Brake Shoes, Chain Brakes, Driver's Seat and Belt												
3. Windshield, Mirrors, Windows, Doors, Floor Condition												
4. Lights, Horns, Exhaust, Signal, Warning, Brakes and Wipers												
5. Steering Device—Steer, Oil, Temperature, LHA, Doors												
6. Seals and Safety Features, Detectors, Cooling and Vent System												
7. Door Operation, Gasoline Pipes, Tires, Pudding, Handrail, Safety Pouch												
8. Exterior Condition, Signs, Identification												
9. Generator/Alternator, Starter, Switches, Wiring, Electrical												
10. Belts, Fluid, Turntable, Sides												
11. Radiator, Hose, Water Pump—Source, Leaks												
12. Compression/Fire, Manometer, Acc.—Belt—Condition & Adjustment												
13. Control Adjustment—Front												
14. Tires, Linings, Fuel System Leaks, Air Cleaner												
15. Handhold, Grabber—Securement, Leaks												
16. Engine Mounts, Oil Leaks												
17. Fuel Level, Leaks, Hoses & Tubing—General, Fuel												
18. Governor and—Idle, Oil, Air, LPS												
19. Air Leaks, Unapproved, 1 Exhaust 2 Oil, Manometer												
20. Air Leaks, Adjusted, 1 Exhaust 2 Oil, Manometer												
21. Dash/Window 1 Air Temperature—Fuel Gauge—Water—Low Air Pressure Gauges												
22. Check and Fuel Gauges, Oil/Gas Gauges, Drive Tires												
23. Vets. Lamps—2" per rule, 18" minimum Vets.—Lamp Vets. Warning—Tires Issues												
24. Adjustment, Lighting & Doors (when vehicle) Headlight on 1/2"												
25. Fueling Rules—Condition & Adjustment												
26. Emergency Stop System, Labels, Operation												
27. Release After Loss of Service Air, Airt. Side if Equipped												
28. Wheels, Tires, Lug Nuts—Condition, General—Tread—Inflation												
29. Wheel Seal—Tires, Brake Cyls.—Leaks, Axles, Hangers, Bush												
30. Cross Steering Gear and Mounting—Fuel Leaks, Oil Leaks												
31. Steering Arms, Drag Links, Tie Rod Ends												
32. Frame, Crossmembers, Shocks, Struts, Coils												
33. Springs, Shockers, 1/2" Spins, Drive Pins, Shock Absorbers												
34. Tires, Oil, Fuel Level, Brakes, Steering, Drive Shafts, 1/2" Axles, Shocks												
35. Exhaust—Condition, Labels, Mounting												
36. Fuel Tanks, Lines, Pumps—Condition, Mounts, Leaks												
37. Body, Undercarriage & General, Axles & Shafts												

INSPECTOR'S SIGNATURE AND DATE OF INSPECTION: [Signature] 1-20-01 Ben Mitchell

(0259W) [Signature]

SHS MAINTENANCE & SAFETY INSPECTION

2002 Ford F-150

DB #

THE DATE AND SIGNATURE OF THE INSPECTOR MUST BE PRINTED AT THE BOTTOM OF THIS FORM

ITEM	PASS		FAIL		DEFERRED		REPAIR		REWORK		RETEST	
	Y	N	Y	N	Y	N	Y	N	Y	N	Y	N
1. First Emergency, Warning Buttons, First Aid Kit												
2. Instruments, Gauge Bars, Clean Lenses, Drive's Seat and Belt												
3. Mirrors, Wipers, Windows, Mirrors, Floor Condition												
4. Lights, Horns, Bellows, Signal, Warning, Indicator and Wiping												
5. Steering Operation, Horn, Oil, Temperature, Oil, (Exhaust)												
6. Brakes and Parking Brakes, Clutch, Gearshift, Cooling and Vent Systems												
7. Door Operation, Doorbell Edges, Trunks, Fueling, Handholds, Safety Seats												
8. Exterior Condition, Paint, Identification												
9. Generator/Alternator, Starter, Brakes, Wiping-Mounting												
10. Battery, Field, Terminal, Cover												
11. Radiator, Hoses, Water Pump-Decorations, Leaks												
12. Governor's Fan, Pulleys, Air- Belts-Condition & Adjustment												
13. Oil Lub Adjustment- Pressure												
14. Throttle, Linkage, Fuel System Leaks, Air Cleaner												
15. Insulation, Quirks-Decorations, Leaks												
16. Engine Mounts, Oil Leaks												
17. Fluid Level, Leaks, Steam & Tubing-Decorated, Free												
18. Air Governor Adj.-Vols, EG, Max, 135												
19. Air Leaks, Unchecked, 1 Above 2 for Malfunction												
20. Air Leaks, Checked, 1 Above 2 for Malfunction												
21. Drive Axle Test Bearings, Drive Control, Drive Treads												
22. Drive Axle Test Bearings, Drive Control, Drive Treads												
23. Drive Axle Test Bearings, Drive Control, Drive Treads												
24. Adjustments, Lubing & Drains (when added) Fluid Levels on this												
25. Fueling System-Condition & Adjustment												
26. Emergency Stop System, Labeled, Operable												
27. Hydraulic Air: Line, at Bend, at, and 3/4 in. of Bend												
28. Hoses, Tire, Lug Nuts-Crecks, Secured-Trail-Indicator												
29. Brake Seal-Test, Brake Cyls.-Leads, Axles, Flanges, Socks												
30. Check Steering Dam and Mounting-Drive Line, Oil Level												
31. Steering Axle, Drag Link, Tie Rod End												
32. Frame, Components, Bolts, Nuts, Cracks												
33. Spring, Shock, 1/2" Bolt, King Pin, Shock Absorbers												
34. Tire, Oil, Fluid Level, Bolt, Mounting, Drive Spur, 1/2" Bolt, Guard												
35. Exhaust-Condition, Leaks, Mounting												
36. Fuel Tank, Lines, Pumps-Condition, Mounts, Leaks												
37. Body, Underbody & Fenders, Axles & Chassis												

INSPECTOR'S SIGNATURE AND DATE OF INSPECTION

DATE

BUS MAINTENANCE & SAFETY INSPECTION

2007

WATERBURY COUNTY VT. 20

2007 Ford € 450

ITEM	Inspected																		
	OK	NO																	
1. Tire Expiration, Tread, Pressure, Flats, Air Psi	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
2. Instruments, Service Brakes, Clutch System, Drive, Fuel and Oil	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
3. Windshield, Mirrors, Windows, Mirrors, Power Windows	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
4. Lights, Horns, Exhausters, Speed, Warning, Indicators and Wipers	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
5. Steering Devices—Steer, Oil, Temperature, LH, Overall	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
6. Brakes and related Systems, Components, Condition and Vent Systems	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
7. Door Operation, Seals, Hinges, Tires, Tread, Tires, Hubs, Safety Seats	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
8. Exterior Condition, Pans, Identification	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
9. Gasoline, Oil, Water, Brakes, Steering—Steering	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
10. Belts, Hoses, Terminals, Cables	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
11. Radiator, Hoses, Water Pump—Sealant, Leaks	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
12. Suspension: U/B, Springs, Axle—Bills—Condition & Adjustment	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
13. Clutch Adjustment—Function	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
14. Throttle Linkage, Fuel System Leaks, Air Cleaner	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
15. Headlights, Cables—Sealant, Leaks	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
16. Engine Mounts, Oil Leaks	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
17. Fluid Level, Leaks, Hoses & Tubing—Sealant, Pans	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
18. Air Governor Adj.—Mts, BS, Wts, 120	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
19. Air Leaks, Unplugged, 1 Above 2 lbs. Maximum	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
20. Air Leaks, exposed, 1 Above 2 lbs. Maximum	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
21. Green Number 1 Air Standard—Top Check Valve—Low Air Warning Device	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
22. Check All Fuel Components, Fuel System, Fuel Leaks	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
23. Vex, Lock—Tighten, 18" minimum Year—Low Vex, Warning—Tighten, 18"	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
24. Adjustment, Lining & Drums (when supplied) Field Height on Hill	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
25. Parking Brakes—Condition & Adjustment	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
26. Generator Stop System, Labelled, Operable	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
27. Pushover After Loss of Service Air, Air Side II Backed	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
28. Horns, Tires, Log Holes—Clean, Sealed—Tread—exhaust	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
29. Wheel Seal—Wet, Brake Cyls—Leads, Axles, Hangers, Struts	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
30. Check Steering Gear and Steering—Free Light, Oil Level	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
31. Steering Axles, King Leaks, Tie Rod Ends	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
32. Hoses, Connections, Seals, Year, Checks	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
33. Springs, Shocking, "V" Bars, King Pins, Bush Adjustment	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
34. Vex, Oil, Fluid Level, Seal, Sealing, Drive Shaft, "V" Axles, Guard	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
35. Exhaust—Condition, Leaks, Sealing	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
36. Fuel Tanks, Lines, Pumps—Condition, Seals, Leaks	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓
37. Body Condition & Fitment, Seals, A, C, etc.	✓		✓		✓		✓		✓		✓		✓		✓		✓		✓

INSPECTOR'S SIGNATURE(S) AND DATE(S) OF INSPECTION

Inspected 1-10-07 Rec'd 2/20/07
 Inspected 2-16-07 Rec'd 02/24/07
 Inspected 5-11-07 Rec'd 02/29/07
 Inspected 6-28-07 Rec'd 03/04/07
 Inspected 8-28-07 Rec'd 03/04/07