Federal Transit Administration (FTA) Section 5311
PROJECT PLANNING ASSISTANCE

APPLICATION

CALIFORNIA DEPARTMENT OF TRANSPORTATION
DIVISION OF RAIL AND MASS TRANSPORTATION
Rural Transit and Intercity Bus Branch

FEDERAL FISCAL YEAR 2015

Name of Subrecipient:			
Address:			
City/State/Zip Code:			
Contact Person:		Title:	
Phone:		E-Mail:	
Certified Representative:		Title:	
Phone:		E-Mail:	
Agency Web Address:			
DUNS Number:		CCR Number:	
Congressional District #:			
Funding Program: 5311/CMAQ/JARC	Please Select One	FTA Funds Requested:	$

California Department of Transportation
Division of Rail and Mass Transportation, MS 39
P.O. Box 942874
1120 N Street, Room 3300
Sacramento, CA 95814
http://www.dot.ca.gov/hq/MassTrans/5311.html
DRMT Mainline (916) 654-8811

GENERAL INSTRUCTIONS
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

1. **Submit scanned electronic PDF copy** of the **signed** (blue ink of Pages 9, 10, & 23) application and the Program of Project (POP) via email to your District Transit Representative (DTR). *(See attached contact list)*
2. Applications must be complete and final as submitted. Note: Incomplete applications will be returned to the applicant for revision.
3. The project will NOT be included in the FTA Section 5311 grant until the complete application package including the programming related documents is received.
4. The DTR will:
    a. Review the application for completeness using the DTR application checklist, and may contact the agency for questions and clarification.
    b. Once DTR completes review, they will forward application and completed checklist to **5311apps@dot.ca.gov**
5. The application is provided in fillable PDF format can be saved.
6. Review glossary for terms used throughout the application.

Application Checklist/Table of Contents

Subrecipient: _____ **County/Region:** _____

Federal Share $_____ **Local Share** $_____ **Toll Credit $**_____ **DTR**. Name _____

Funding Source **Regional Apportionment:** ☐ 5311 $_____ ☐ JARC $_____

(check one): **CMAQ or STP Flexible Funding:** $_____

Checklist/Table of Contents:

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16. PDF copy of FHWA/FTA Federally Approved TIP (If applicable) ☐
17. PDF copy of Bid Related Documents for Planning Contracts (If applicable) ☐
18. PDF copy Approved Indirect Cost Allocation Plan **(**If applicable**)** ☐
19. PDF copy of In-kind Valuation Plan (If applicable) ☐
20. ADA Complementary Paratransit Plan (If updated) ☐
21. PDF copy Equal Employment Opportunity (EEO) Plan (If applicable) ☐

Glossary

Application Prepared By: _____ Phone: _____

PROGRAM OVERVIEW/GOALS
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

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. JARC projects are now eligible under Section 5311 Program.

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.
- Improve access to transportation services to employment and employment related activities for welfare recipients and eligible low-income individuals;
- Transport residents of urbanized areas and nonurbanized areas to suburban employment opportunities;
- Meet the transportation needs of eligible low-income individuals, and of reverse commuters regardless of income.
- Provide financial assistance to help carry out national goals related to mobility for all, including seniors, individuals with disabilities, and low-income individuals;
- Increase availability of transportation options through investments in intercity bus services;
- Encourage mobility management, employment-related transportation alternatives, joint development practices, and transit-oriented development.

ELIGIBILITY
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

Eligible Recipients:

A subrecipient of the program includes a State or local governmental authority, Indian tribe, a non-profit organization, or an operator of public or private transportation or intercity bus service that receives federal transit program grant funds.

Eligible Planning Activities:

Planning is an eligible expense allowed under Section 5311for planning activities in addition to funding awarded to a State under Section 5305 for planning activities that are directed specifically at the needs of rural areas in the State. Planning projects must be included in the Planning Work Program and can support efforts to:
(1) Develop transportation plans and programs;
(2) Plan, engineer, design, and evaluate a public transportation project; and
(3) Conduct technical studies relating to public transportation.
(4) Eligible activities include the following:

(a) Studies related to management, planning, operations, capital requirements, and economic feasibility.
(b) Evaluating previously financed projects.
(c) Peer reviews and exchanges of technical data, information, assistance, and related activities in support of planning and environmental analyses among metropolitan planning organizations and other transportation planners.
(d) Other similar and related activities preliminary to and in preparation for constructing, acquiring, or improving the operation of facilities and equipment

PART I - CERTIFICATIONS AND ASSURANCES
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

General Information:

Name of Applicant:

Certifications and Assurances:

1. Pursuant to 49 CFR, Part 21, **Title VI of the Civil Rights Act of 1964**, the subrecipient assures that no person, on the grounds of race, color, creed, national origin, sex, age, or disability shall be excluded from participation in, or denied the benefits of, or be subject to discrimination under any project, program or activity funded in whole or in part by Federal Transit Administration (FTA).

2. Pursuant to 49 CFR, Part 21, **Title VI of the Civil Rights Act of 1964**, the subrecipient assures that it shall not discriminate against any employee or subrecipient for employment because of race, color, religion, sex, national origin, and that it shall take affirmative action to ensure that subrecipients are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, or national origin.

3. Pursuant to 49 CFR, Part 27, **U.S. DOT Regulations implementing the Rehabilitation Act of 1973**, the subrecipient certifies that it will conduct any program or operate any facility that receives or benefits from Federal financial assistance administered by FTA in compliance with all imposed requirements, Nondiscrimination on the basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance.

4. **Pursuant to 49 CFR, Part 26**, the subrecipient must prepare and maintain complaint procedures for investigating and tracking Title VI complaints filed against them. Such procedures include record of investigations, complaints, and/or lawsuits, and notice to public about rights containing instructions on how to file a discrimination complaint. Recipients of federal financial assistance are required to take reasonable steps to ensure meaningful access to their programs and activities by **limited English proficient persons**.

5. Pursuant to 49 CFR Part 21, the subrecipient certifies that special efforts are being made to provide the **level and quality of transportation** services that disabled persons, including wheelchair users and semi-ambulatory persons, can use. This transportation shall be reasonable in comparison to the transportation provided to the general public and shall meet a significant fraction of actual transportation needs of such persons within a reasonable time.

6. Pursuant to FTA Circular **9040.1F & 9050.1,** the subrecipient assures and certifies that it will comply with the Federal statutes, regulations, executive orders and administrative requirements, which relate to applications made to and grants received from FTA. The subrecipient acknowledges receipt and understanding of the list of such statutes, regulations, executive orders and administrative requirements.

7. The subrecipient agrees and assures that it will comply with U.S. DOT regulations, **"Participation by Disadvantaged Enterprises in Department of Transportation Financial Assistance Programs,"** 49 CFR part 26. Among other provisions, this regulation requires recipients of DOT Federal financial assistance, namely State and local transportation agencies, to establish goals for the participation of disadvantaged entrepreneurs and certify the eligibility of DBE firms to participate in their DOT-assisted

contracts. The recipient agrees and assures that it will comply with 49 CFR 26.49 which requires each transit vehicle manufacturer, as a condition of being authorized to bid or propose a FTA-assisted transit vehicle procurement (new vehicles only), certify that it complied with the requirements of the DBE program.

8. The subrecipient assures and certifies that it will adhere to the **California State DBE Program Plan** as it applies to local agencies. The subrecipient must complete and submit to the Department a DBE implementation Agreement. The subrecipient certifies that it must report twice annually on DBE participation in their contracting opportunities; their award/commitments and actual payments.

9. The subrecipient assures and certifies that its services funded by Section 5311 are, and shall remain, open to the general public.

10. The subrecipient certifies that its **procurements** and procurement system will comply with all applicable requirements imposed by Federal laws, executive orders, or regulations and the requirements of FTA Circular 4220.1F, "Third Party Contracting Requirements," and such other implementing requirements as FTA may issue. The subrecipient certifies that it will include in its contracts, financed in whole or in part with FTA assistance, all clauses required by Federal laws, executive orders, or regulations and will ensure that each subrecipient and each contractor will also include in its sub agreements and contracts financed in whole or in part with FTA assistance all applicable contract clauses required by Federal laws, executive orders, or regulations.

11. The subrecipient assures and certifies that **private for-profit transit** operators have been afforded a fair and timely opportunity to participate to the maximum extent feasible in the planning and provision of the proposed transportation services.

12. The subrecipient assures and certifies that the project complies with the **environmental impact** and related procedures of 23 CFR Part 771.

13. The subrecipient certifies that it has established and implemented an **anti-drug and alcohol misuse prevention program** and has conducted employee training complying with the requirements of 49 CFR part 655, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations".

14. The subrecipient assures and certifies that it requires its subcontractors and subrecipients to have established and implemented an **anti-drug and alcohol misuse prevention program**, to have conducted employee training complying with the requirements of 49 CFR part 655, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations".

15. The subrecipient certifies that before expending any Federal assistance to acquire the first bus of any new **bus model or any bus model with a new major change in configuration or components** or before authorizing final acceptance of that bus (as described in 49 CFR part 665), that model of bus will have been tested at a bus testing facility approved by FTA and subrecipient and FTA will have received a copy of the test report prepared on that bus model.

16. The subrecipient certifies that the recipient shall comply with 49 CFR Part 604 in the provision of any **charter service** provided with FTA funded equipment and facilities. The subrecipient certifies that in the provision of any charter service provided, subrecipient and its recipients will provide charter service that uses equipment or facilities acquired with Federal assistance authorized for 49 U.S.C. 5309, or 5311 only to the extent that there are no private charter service operators willing and able to provide those charter services that it or its recipients desire to provide unless one or more of the exceptions in 49 CFR part 604-Subpart B applies. The subrecipient assures and certifies that the revenues generated by its incidental charter bus operations (if any) are, and shall remain, equal to or greater than the cost

(including depreciation on federally assisted equipment) of providing the service. The subrecipient understands that the requirements of 49 CFR part 604 will apply to any charter service provided, the definitions in 49 CFR part 604 apply to this agreement, and any violation of this agreement may require corrective measures and the imposition of penalties, including debarment from the receipt of further Federal assistance for transportation.

17. As required by 49 U.S.C. 5323 (f) and FTA regulations, **"School Bus Operations,"** at 49 CFR 605.14, the subrecipient agrees that it and all its recipients will: (1) engage in school transportation operations in competition with private school transportation operators only to the extent permitted by an exception provided by 49 U.S.C. 4323 (f) and implementing regulations, and (2) comply with requirements of 49 CFR part 605 before providing any school transportation using equipment or facilities acquired with Federal assistance awarded by FTA and authorized by 49 U.S.C. Chapter 53 or Title 23 U.S.C. for transportation projects. The subrecipient understands that the requirements of 49 CFR part 605 will apply to any school transportation it provides, that the definitions of 49 CFR part 605 apply to any school transportation agreement, and a violation of this agreement may require corrective measures and the imposition of penalties, including debarment from the receipt of further Federal assistance for transportation.

18. The subrecipient assures and certifies that when procuring capital equipment acquired with Federal assistance it will comply with all **Buy America provisions** as pertaining to all 5311 subrecipients, **49 CFR Part 661 and 49 USC 5323(j)(2)(c)**. This policy means that certain steel, iron, and manufactured products used in any capital equipment acquired with Federal assistance must be produced in the United States. Buy America requirements apply to all purchases, including materials and supplies funded as operating costs, if the purchase exceeds the threshold for small purchases (currently $100,000).

19. The subrecipient certifies that it will comply with the requirements of 49 CFR parts 663, in the course of purchasing revenue rolling stock. Among other things, the subrecipient will conduct, or cause to be conducted, the prescribed **pre-award and post-delivery reviews** and will maintain on file the certifications required by 49 CFR part 663, subparts B, C, and D.

20. The subrecipient certifies that it will submit the "Fiscal Year 2015 **FTA Annual List of Certifications and Assurances** for Federal Transit Administration Grants and Cooperative Agreements" and Appendix A Certifications and Assurances Checklist and Signature Page **when made available by the FTA**.

21. The subrecipient has provided documentation needed by the Department to assure FTA that it has properly and sufficiently delegated and executed authority, by Resolution, to the appropriate individual(s) to take official action on its behalf.

22. The subrecipient, providing **complimentary paratransit service**, certifies that they submitted to the Department an initial plan for compliance with the complimentary paratransit service provision as of January 26, 1992, as required by 49 CFR Part 37, Section 135[b] and have provided the Department annual updates to its plan on January 26 of each year, as required by 49 CFR Part 37, Section 139[c]. The subrecipient has provided the Department an initial **complimentary paratransit service** plan signed and dated [redacted] **Updated plans must be submitted with application).**
Subrecipient who provides fixed route service must provide ADA complementary service. Subrecipients who provide other route deviation transit services in lieu of ADA complementary service such as deviated fixed-route or demand responsive must make the service accessible and available to the general public. To be considered demand responsive, service provided must deviate for the general public, not just for persons with disabilities meeting paratransit eligibility criteria. If deviations are restricted to a particular group, the service ceases to be a form of demand-responsive service for the general public and ADA complementary paratransit service is required.

23. The subrecipient certifies that all **direct and indirect costs** billed are allowable per Title 2 Code of Federal Regulations, Part 225 (2 CFR 225) (formerly Office of Management and Budget (OMB) Circular A–87), the federal guidelines for allowable costs for subrecipients that are State, Local and Indian Tribal governments or 2 Code of Federal Regulations, Part 230 (2 CFR 230), (formerly, OMB Circular A–122), OMB Circular A-133 if the subrecipient is a non-profit organization. With regards to private for-profit organizations, refer to **48 CFR Part 3**.

24. The subrecipient certifies that all indirect costs billed are supported by an annual **indirect cost allocation plan** submitted in accordance with 2 CFR 225. The plan or subrecipients' cognizant agency approval of plan was submitted to the Department's Audits and Investigations and approved before subrecipient submits request for reimbursement of any indirect costs. Indirect costs prior to having a plan approved as evidenced by a letter from the Departments' Audits and Investigations is not an allowable expense. If subrecipient does not bill for indirect cost then an indirect cost allocation plan is not required.

25. Before a subrecipient may lease an asset, FTA regulations, **"Capital Leases,"** 49 CFR 639, Subpart C, require a written comparison of the cost of leasing the asset compared with the cost of purchasing or constructing the asset. Costs used in the comparison must be reasonable, based on realistic current market conditions, and based on the expected useful service life of the asset.

26. The subrecipient certifies that they understand that **Transit Employee Protection** is specified in Title 49 U.S.C. 5333(b). This Title requires that the interests of employees affected by assistance under most FTA programs shall be protected under arrangements the Secretary of Labor concludes are fair and equitable. Title 49 U.S.C. 5311(b) requires that the Department of Labor (DOL) use "a special warranty that provides a fair and equitable arrangement to protect the interests of employees" in order for the 5311(i) requirements to apply to Section 5311.

27. To the best of my knowledge and belief, data in this local application are true and correct, and the person whose signature appears below has been duly authorized by the governing body of the subrecipient for filing of this application.

Certifying Representative:
By signing below, I have read and acknowledge that my agency is in compliance with certifications and assurances as stated above.

(Please Print)
Name: _____ Title: _____

Signature: _____ Date: _____

PART II – CERTIFICATIONS AND ASSURANCES OF THE REGIONAL AGENCY/TRANSPORTATION PLANNING AGENCY (TPA)

STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

Name-Regional Agency/TPA:
Contact Person: Title:
Phone: E-Mail:
Name of Subrecipient:
Project Description:

Project Amount and Fund Type

*Regional Apportionment 5311**	*Flexible Fund CMAQ or STP***	*Toll Credit****	*In-kind Match****	*Local Match*
$	$	$	$	$

* Includes Section 5311 JARC eligible projects
** CMAQ projects may be equal up to 100% at the discretion of the Regional Planning Agency Certification per Part II.
*** Prior approval by Caltrans required

Federal Transportation Improvement Program - Metropolitan Planning Organizations/Regio Transportation Planning Agency		
Document (or Amendment) Number	Document (or Amendment) Year	FHWA/FTA Federally Approved TIP (Date)

Check all that apply:

☐ Flexible Funded Projects Only - Please initiate the transfer of funds to **Grant CA-85-X00X.** **(**Following the transfer of flexible funds to the FTA, this agency agrees to comply with the applicable terms and conditions set forth in Title 49, U.S. Code, Chapter 53, "Mass Transportation", and the policies and procedures stated by the FTA relative to the above designated project.)

☐ Some combination of state, local, or private funding sources have been or will be committed to provide the required local share.

☐ The subrecipient has coordinated with other transportation providers and users in the region, including social service agencies capable of purchasing service.

☐ The amount requested does not exceed the Federal funds provided to this agency in the approved Federal TIP/Federal Statewide TIP(FSTIP)

☐ The regional agency/TPA has approved, by resolution, the programming of funds for this Project and Project has met all Statewide Transportation Improvement Program (STIP) requirements.

Certifying Representative:

By signing below, I have read and acknowledge that my agency is in compliance with certifications and assurances as stated above.

(Please Print)

Name: Title:

Signature: Date:

PART III – Project Description
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

Answer the following questions regarding the project description and the operational plan:

1. Indicate the type(s) of public transportation service for the proposed project funded by FTA Section 5311. (Check all that apply.) ☐ 5311 ☐ JARC ☐ CMAQ

☐ Fixed route – Vehicles will travel on specific roads and stop at pre-designated locations according to a schedule.

☐ Demand-response – Vehicles will pick people up when they need a ride (Must be open to the general public).

☐ Deviated fixed route – Vehicles will travel from point A to point B but go out of the way to pick up or drop off passengers if necessary (Deviations must be open to the general public).

☐ ADA paratransit service.

☐ Commuter Service – Fixed route bus service characterized by service predominantly in one direction during peak periods, and with limited stops and routes of extended length, usually between the central business district and outlying suburbs.

☐ University Service - An institution of higher education has a formal arrangement with the transit operator to provide university transportation service.

☐ Charter Service

2. Indicate the geographic area your agency serves. (If your agency serves both rural and urbanized areas, please attach the route map to this application to clearly indicate that 5311 funds will only be spent on the rural area route(s)/service only.)

☐ Rural area only (population under 50,000)

☐ Both rural and urbanized areas (population more than 50,000)

List all cities and counties served by your project:

If your agency serves both rural and urbanized areas, please describe the cost allocation methodology your agency uses to segregate rural service costs funded by 5311 from the urbanized service costs funded by Section 5307 or other urban funds and **attach a PDF copy of your agency's cost allocation plan to this application:**

3. Please fill out the following:

At a minimum, transportation service shall be provided between

AM to PM from DAY to DAY.

4. For the FY you are applying for, did your agency receive any other FTA funds that would be utilized on this project? (Check all that apply and provide standard agreement #s and dollar amount.) For 5307, the term "receive" means funds have been obligated, and for 5316 & 5317, the term "receive" means your agency received an executed standard agreement from Caltrans.

Yes (which program(s) were utilized) No

5307 (Urbanized Area Formula Program) $

5316 (JARC – SAFETEA-LU) SA# $

5317 (New Freedom Program – SAFETEA-LU) SA# $

Other FTA funds. Please specify $

5. Please fill out the following:

- Applicant certifies that there have been no changes in its paratransit plan as filed on . The plan continues to meet all requirements for complementary paratransit service as required by Federal Regulations, Title 49, Part 37.

(OR)

- Applicant's initial paratransit plan has been updated. A PDF copy of the revised plan and a letter of explanation are attached with this application.

6. Have you changed fares in the last year?

Yes No (Go to question #8)

7. How did you notify the public of the fare change?

Agency Website Newspaper Radio Flyer
Public Hearing TV/Cable Other Specify:

8. Please briefly summarize proposed planning project.

9. What is the need for this planning project? How did you select the project?

    i. Describe what service improvements would be addressed by the proposed planning proejct?
    ii. If funding for this project is approved, how will the surrounding community benefit?

10. Is the agency planning contract with a third party entity for the proposed project?

☐ Yes - Name of Third Party Contractor
☐ No

11. Please identify the stakeholders (e.g. Low-income and minority community, Native American Tribal governments, Other underrepresented groups, community-based organizations, and businesses) affected by the grant work.

12. Describe the outreach and engagement methods that will be used to reach and gather input from stakeholders. Per FTA Circular 9040.1F IV, 3; FTA Circular 9050.1 ChapterVIII-2, & Title 49 USC 5323(b), subrecipient must hold public hearing to receive comments from the public on the proposed planning project.

    a. Please check and provide PDF copy if applicable:

☐	- Municipal Letter of Resolution of Support
☐	- PDF copy of Published Public Hearing Notice
☐	- Affidavit of Publication of Public Hearing Notice
☐	- Minutes of Public Hearing, Copies of Exhibits and Written Statements

13. Please provide the project scope of work and project Implementation plan.

14. Does your agency receive more than $500,000 in federal funds?

☐ Yes ☐ No

If yes, has your agency submitted the annual Single Audit Report to the State Controller's Office (SCO)? For FY 2012-13, the report is due to the SCO on March 31, 2015.

☐ Yes ☐ No

15. Is your agency utilizing indirect costs for this project?

☐ Yes ☐ No

<u>If yes, your agency **must** submit a PDF copy of its indirect cost allocation plan along with the Caltrans Audits and Investigations approval letter with this application</u>

16. Does your agency employ more than 50 transit-employees (including temporary, full time or part time employees either directly employed and/or through contractors) <u>and</u> receive more than $1 million in capital and planning assistance, or $250,000 in planning related activities?

☐ Yes ☐ No

<u>If yes, your agency **must** submit a PDF copy of its EEO plan along with this application</u>

PART IV – SUBRECIPIENT PROJECT BUDGET WORKSHEET
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

PROJECT BUDGET WORKSHEET The worksheet provides annual expense categories that applicants should use to calculate project eligible expenses for work done "in-house."

1. Direct Labor

(Job Title/Classification)	Description of Task Performed	Hours	Hourly Rate	Total
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
TOTAL			$	$

2. Direct cost(s) for Employees (Except Labor)

Equipment and Supplies (itemize)	$	
	$	
	$	
	$	
Sub Total	$	
3. Other Direct costs (itemize)	$	
	$	
	$	
	$	
Sub Total	$	
4. Travel costs (itemize)	$	
	$	
	$	
	$	
Sub Total	$	

5. [1]Indirect cost(s) (Overhead and Fringe Benefits):
Overhead Rate _____ % $ _____

6. Total Costs: $ _____

[1] **Must have approved ICAP**

PART V – THIRD PARTY CONTRACTOR PROJECT BUDGET WORKSHEET
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

PROJECT BUDGET WORKSHEET Complete the worksheet below if funded services are provided by the **third party contractor.**

1. Since third party contracts vary, please use the table below or attach your own spreadsheet to identify how eligible expenditures are calculated. Applicants may also attach a PDF copy of price proposal or budget sheets from executed contract along with the application.

Contract No.				**Total**
				$
				$
				$
				$

PART VI - PROJECT BUDGET / PLANNING ASSISTANCE
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

Subrecipient:
Contractor ***(if applicable):***
Project Period: **: Fiscal Year**

(1)	**Total DIRECT PLANNING Expenses (Itemize)**			
	Total Direct Labor/Contracted Service(s)	$		
	Total Equipment and Supplies	$		
	Total Other Direct Costs	$		
	Total Travel Costs	$		
	TOTAL DIRECT PLANNING EXPENSES	**$**		
	TOTAL **INDIRECT EXPENSE (Indirect Rate: %)	**$**		
	TOTAL DIRECT & INDIRECT EXPENSE		**$**	**(1)**

** Prior approval by Caltrans required **(Attach approval letter).**

(2)	**Local Share** **(Itemize by Fund Source (State, County, & City), In-kind Match and Toll Credit included)**			
		$		
		$		
		$		
	TOTAL LOCAL SHARE	**$**	**$**	**(5)**

(3)	**FEDERAL SHARE ***		$	**(6)**

*Federal Share Max Allowed % of Net Project Cost (Item 4):
5311 Regional=55.33%

(4)	**BUDGET SUMMARY: Local Share + Federal Share = Total Project Cost**			
	LOCAL SHARE:		$	(5)
	FEDERAL SHARE:	+	$	(6)
	TOTAL PROJECT COST:	=	**$**	**(7)**

PART VII –LABOR UNION INFORMATION FOR SECTION 13(c) CERTIFICATION
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

Name of Subrecipient:

Union Representation of Subrecipient's Employees

Organization Name:
Contact Person:
Address:
Telephone:
***(required)* Email :**

Other Surface Public Transportation Providers	**Union Representation of Employee If Any**
	Organization: **Contact Person:** **Address:** **Telephone:** **Contact Person's Email (Required):**
	Organization: **Contact Person:** **Address:** **Telephone:** **Contact Person's Email (Required):**
	Organization: **Contact Person:** **Address:** **Telephone:** **Contact Person's Email (Required):**

PART VIII – DESCRIPTION OF EFFORTS TO COORDINATE SERVICES WITH SOCIAL SERVICE AGENCIES
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

Please answer the following questions regarding the description of efforts to coordinate services with social service agencies:

1. What human service agencies, employment/training programs, or other transportation providers does your agency coordinate with?

2. In your agency's coordination efforts with social service agencies, check all that apply:

	Current Practice	Would Consider
Drivers attend safety/sensitivity training		
Sharing vehicles with other agencies		
Providing information to riders/patrons on other available services		
Working with CTSA or other agencies to coordinate trips		
Utilize pre-paid fare media with other agencies		
Coordinate with Medical, CalWorks or Employment Programs		
Other:		

3. Describe your agency's role in the human service-public transportation coordination planning efforts?

4. Will this service funded by 5311 address gaps and/or barriers identified in the regional public transportation coordination plan or maintain the existing service?

Yes No

5. Has your agency made any efforts to provide information about your agency's service to human service agencies, the Work Force Center, or other activity centers?

Yes No

PART IX – Civil Rights
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

1. Are there Title VI complaint policies and procedures? ☐ Yes ☐ No
   a. If yes, who was the approving agency? ☐ FTA ☐ Caltrans ☐ DMT
2. Are procedures for filing complaints (organization name, phone numbers, etc.) readily accessible to riders and employees?
   ☐ Yes ☐ No
3. Are or were there any Title VI related lawsuits/complaints filed within the past year? If yes, does the review of lawsuits/complaints denote a pattern of discrimination? ☐ Yes ☐ No

Please provide the following information to Caltrans DMT:

- The date the lawsuit/complaint was filed
- The name and address of the complainant
- A summary of the allegation

4. Are complaints documented and listed? ☐ Yes ☐ No
5. Who in your agency is assigned for investigation and what is his/her title?
6. Do riders, employees, and applicants have the option to file a complaint with entities other than the subrecipient (i.e. Caltrans and/or FTA)? ☐ Yes ☐ No
   If so, who
7. Has a federal (FTA) civil rights compliance review been performed within the past year?

   ☐ Yes ☐ No

   If yes, attach PDF copy of the following information:

   - The name of the agency or organization conducting the review
   - A summary of findings and recommendations
   - The status or disposition of the recommendations

Special requirements for first-time applicants

1. If first time applicants have previously received funding from another Federal agency, the applicant must provide information regarding Title VI compliance history. Please provide the following information to Caltrans DMT a summary of compliance review activities conducted in the past three (3) years.

- The purpose or reason for the review
- Name of agency that performed the review
- Summary of findings and recommendations of the review

- Status and/or disposition of such findings and recommendations.
- A brief description of any pending applications for Federal funding
- Did any Federal agency find the applicant to be in noncompliance with any civil rights requirement?

Yes No

1. What enforcement mechanisms does the subrecipient use for DBE requirements? Please explain.

2. Does the subrecipient require contractors to obtain approval from its DBE Liaison Officer (DBELO) prior to substituting a DBE firm after contract award?

   ☐ Yes ☐ No ☐ N/A

3. Does the subrecipient monitor prime contractors to ensure that DBEs are actually performing applicable work on federally funded projects?

   ☐ Yes ☐ No ☐ N/A

4. Did the subrecipient receive any complaints or procurement protests alleging that it did not comply with the DBE regulations for federally funded projects?

   ☐ Yes (Go to question #6) ☐ No

5. What are the subrecipients' processes for handling protests? Please explain.

6. Do the complaints indicate any problems with the DBE program?

   ☐ Yes ☐ No

*The following is a link to FTA's sample DBE program, "Section 26.37 Monitoring and Enforcement Mechanisms" this section gives examples of monitoring and enforcement mechanisms that ensure compliance. http://www.fta.dot.gov/civilrights/dbe/civil_rights_5771.html

PART XI – SAMPLE AUTHORIZING RESOLUTION
STATE OF CALIFORNIA
FTA SECTION 5311 PROJECT PLANNING ASSISTANCE APPLICATION

RESOLUTION NO.

RESOLUTION AUTHORIZING THE FEDERAL FUNDING UNDER FTA SECTION 5311 (49 U.S.C. SECTION 5311) WITH CALIFORNIA DEPARTMENT OF TRANSPORTATION

WHEREAS, the U. S. Department of Transportation is authorized to make grants to states through the Federal Transit Administration to support capital/planning assistance projects for non-urbanized public transportation systems under Section 5311 of the Federal Transit Act (**FTA C 9040.1F and FTA C 9050.1)**; and

WHEREAS, the California Department of Transportation (Department) has been designated by the Governor of the State of California to administer Section 5311 grants for transportation projects for the general public for the rural transit and intercity bus; and

WHEREAS, desires to apply for said financial assistance to permit operation of service/purchase of capital equipment in ; and

WHEREAS, the has, to the maximum extent feasible, coordinated with other transportation providers and users in the region (including social service agencies).

NOW, THEREFORE, BE IT RESOLVED AND ORDERED that the does hereby Authorize , to file and execute applications on behalf of with the Department to aid in the financing of capital/planning assistance projects pursuant to Section 5311 of the Federal Transit Act (**FTA C 9040.1F and FTA C 9050.1)**, as amended.

That is authorized to execute and file all certification of assurances, contracts or agreements or any other document required by the Department.

That is authorized to provide additional information as the Department may require in connection with the application for the Section 5311 projects.

That is authorized to submit and approve request for reimbursement of funds from the Department for the Section 5311 project(s).

PASSED AND ADOPTED by the of the , State of California, at a regular meeting of said Commission or Board Meeting held on the by the following vote:

AYES:
NOES:
ABSENT:

(Please Print)
Name: Title:

Signature: Date:

ADA - Americans with Disabilities Act, this Federal law is a comprehensive civil rights measure prohibiting discrimination against the disabled in employment, housing and transportation. The intent of ADA is to ensure equal access for persons with disabilities to public accommodations, public services, telecommunications and transportation.

Annual Certification and Assurances -Subrecipients are required to complete FTA's Certs and Assurances annually for all FTA grants and cooperative agreements. FTA updates the assurances in January every year. Subrecipients must download the forms from FTA or Caltrans' website. The signature page must be completed, signed and returned to Caltrans with the application. Subrecipients receiving both 5311 and 5307 funds may submit a PDF copy of the Certs and Assurances submitted to FTA.

Authorized Resolution by Planning Agency and/or Subrecipients - The resolution must identify the Section 5311 program and designate all individuals authorized to submit/sign applications, contractual documents (standard agreements), and request for reimbursements. The resolution must cover the following:

- Planning agency has approved the programming of funds for this project.
- Some combination of state, local, or private funding sources has been or will be committed to provide the required local share.
- The subrecipient has, or will have by the time of delivery, sufficient funds to operate the vehicles and equipment purchased under this project or operate the service, as applicable.
- The subrecipient has coordinated with other transportation providers and users in the region, including social service agencies capable of purchasing service.

Capital Cost of Contracting - Some subrecipients turn to an outside source to obtain public transportation service, maintenance service, or vehicles that the recipient will use in public transportation service. When subrecipient's contract for such service, FTA will provide assistance with the capital consumed in the course of the contract. In the case of a contractor's providing vehicles for public transportation service, the capital consumed is equivalent to the depreciation of the vehicles in use in the public transportation service during the contract period. In the case of a maintenance contract, the capital consumed may be, for example, depreciation of the maintenance garage, or depreciation of the machine that lifts the vehicle. Capital consumed may also include a proportionate share of the interest the contractor might pay out as the contractor purchases and makes available to the subrecipient of these capital assets. FTA refers to the concept of assisting with capital consumed as the "capital cost of contracting."

Exemptions
The charter service regulation exempts the following services:

1. Transportation of Employees, Contractors, and Government Officials: Subrecipients are allowed to transport their employees, other transit systems employees, transit management officials, transit contractors and bidders, government officials and their contractors, and official guests to or from transit facilities or projects within its geographic service area for the purpose of conducting oversight functions such as inspection, evaluation, or review.
2. Private Charter Operators: The prohibitions do not apply to private charter operators that receive, directly or indirectly, Federal financial assistance under the over-the-road bus accessibility program or to non-FTA funded activities of private charter operators that receive, directly or indirectly, FTA financial assistance.
3. Emergency Preparedness Planning and Operation: Subrecipients are allowed to transport their employees, other transit system employees, transit management officials, transit contractors and

bidders, government officials and their contractors, and official guests for emergency preparedness planning and operations.

4. Section 5310, 5311, 5316 and 5317 Recipients: The prohibitions do not apply to subrecipient that use Federal financial assistance from FTA for program purposes, that is, transportation that serves the needs of either human service agencies or targeted populations (elderly individuals with disabilities) under Section 5310, 5311, 5316, or 5317. Program purposes do not include exclusive service for other groups formed for purposes unrelated to the special needs of the identified targeted populations.
5. Emergency Responses: Subrecipient are allowed to provide service for up to 45 days for actions directly responding to an emergency declared by the president, governor, or mayor or in an emergency requiring immediate action prior to a formal declaration.
6. Recipients in Non-Urbanized Areas: Subrecipients in non-urbanized areas may transport employees, other transit systems' employees, transit management officials, and transit contractors and its geographic service area.

Exceptions

The charter regulation excepts the following community based charter services. The subrecipient must retain records of each charter service provided for at least three years. Charter service hours include time spent transporting passengers, time spent waiting for passengers, and "deadheaded" hours (time spent getting from the garage to the origin of the trip and then the time spent from trip's ending destination back to the garage).

1. Government Officials: A subrecipient is allowed to provide charter service (up to 80 charter service hours annually) to government official (Federal, state, and local) for official government business, which can include non-transit related purposes, if the subrecipient:
    a) Provides the service in its geographic service area
    b) Does not generate revenue from the charter service, except as required by law

    The subrecipient may petition FTA for additional charter service hours.
2. Qualified Human Service Organization (QHSO): A subrecipient is allowed to provide charter service to a QHSO for the purpose of serving persons:
    a) With mobility limitations related to advanced age
    b) With disabilities
    c) With low income

    If the QHSO receives funding, directly or indirectly, from the programs listed in Appendix A of the regulation, the QHSO is not required to register on the FTA's charter registration website. Otherwise, the QHSO is required to register. The subrecipient may provide service only if the QHSO is registered at least 60 days before the date of the first request for charter service.
3. Leasing of Equipment and Driver: A subrecipient is allowed to lease its FTA funded equipment and drivers to registered charter provides for charter service only if all of the following conditions exist:
    a) The private charter operator is registered on the FTA charter registration website
    b) The registered charter provider owns and operates buses or vans in a charter service business
    c) The registered charter provider received a request for charter service that exceeds its available capacity either of the number of vehicles operated or the number of accessible vehicles operated by the registered charter provider
    d) The registered charter provider has exhausted all of the available vehicles of all registered charter providers in the subrecipient's geographic service area

4. No Response by Registered Charter Provider: A subrecipient is allowed to provide charter service, on its own initiative or at the request of a third party, if no charter provider registered on the FTA's website responds to the notice issues:
   a) Within 72 hours for charter service requested to be provided in less than 30 days, or
   b) Within 14 calendar days for charter service requested to be provided in 30 days or more.

   The subrecipient is not allowed to provide charter service under this exception if a registered charter provider indicates an interest in providing the charter service described in the notice and the registered charter provider has informed the subrecipient of its interest in providing the service. This is true even if the registered charter provider does not ultimately reach an agreement with the customer.
   If the subrecipient is interested in providing charter service under this exception, the subrecipient shall provide email notice to registered charter providers in the subrecipient's geographic service area by the close of business on the day the subrecipient received the request unless the request was received after 2PM, in which case the notice shall be sent by the close of business the next business day.
5. Agreement with All Registered Charter Providers: The subrecipient is allowed to provide charter service directly to a customer consistent with an agreement entered into with all registered charter providers in the subrecipient's service area. The subrecipient is allowed to provide charter service up to 90 days without an agreement with a newly registered charter provider in the geographic service area subsequent to the initial agreement. Any parties to an agreement may cancel the agreement after providing a 90 day notice to the subrecipient.

6. The Petition to the Administrator: The subrecipient may petition the Administrator for an exception to the charter service regulations to provide charter service directly to a customer for:
   a) Events of regional or national significance
      The petition shall describe how registered charter providers were consulted and will be utilized and include a certification that the subrecipient has exhausted all the registered charter providers in its service area. The petition must be submitted at least 90 days before the first day of the event.
   b) Hardship (only for non-urbanized areas under 50,000 in population or small urbanized areas under 200,000 in population).
      The exception is only available if the registered charter providers have deadhead time that exceeds total trip time from initial pick-up to final drop-off, including wait time, The petition shall describe how the registered charter provider's minimum duration would create a hardship on the group requesting the charter service.
   c) Unique and time sensitive events (e.g. funerals of local, regional, or national significance) that are in the public's interest.
      The petition shall describe why the event is unique and time sensitive and would be in the public's interest.

Reporting Requirement
Beginning July 30, 2008, subrecipients providing charter service under four of the exceptions shall post the required records on the FTA charter website using TEAM-Web within 30 days of the end of each calendar quarters as follows:

- October 1 to December 31: January 30
- January 1 to March 31: April 30
- April 1 to June 30: July 30
- July 1 to September 30: October 30

The reporting requirement applies to the following four exceptions:

- Government officials (604.6)
- Qualified human service organizations (604.7)
- Leasing (604.8)
- No response from a registered charter provider (604.9)

Caltrans reports on behalf of its subrecipients. **When charter service is provided under one or more of the exceptions under this regulation, the subrecipient is required to complete the Charter Service Reporting Form (Appendix #48) and email the form to Caltrans HQ staff. The subrecipient must also maintain notices and records in an electronic format for at least three years from the date of service or lease.** The subrecipient may maintain the required records in other formats in addition to the electronic format.
The records shall include a clear statement identifying which exception the subrecipient relied upon when it provided the charter service. A single document or charter log may include all charter service trips provided during the quarter. The subrecipient may exclude specific origin to destination information for safety and security reasons. If such information is excluded, the record of the service shall describe the reason why such information was excluded and provide generalized information.

PDF copy of FTIP/PDF copy of FHWA/FTA Federally approved TIP Letter - Before FTA can make grants available to recipients, adequate planning must take place. The project proposed must be a product of the metropolitan planning process and/or the statewide planning process specified in 49 CFR part 613 and 23 CFR part 450. That is, all transit projects for which federal funds are expected to be used and that are within metropolitan planning boundaries must be included in a Metropolitan Transportation Improvement Program (TIP) approved by **the MPO** and the Governor and in a Statewide Transportation Improvement Program (STIP) that has been approved by FTA and the Federal Highway Administration (FHWA). Projects not within metropolitan planning boundaries are required only to be in the STIP. The application should identify the latest approved STIP (or amendments) containing the project(s), the appropriate page numbers, and a statement identifying the date that FTA and FHWA approved the STIP (or STIP amendment) that contains the proposed project(s). Projects listed in the TIP and STIP must be derived from and consistent with the State's long range plan.

Direct Planning Expenses – Expenses that are for activities and services that benefit the proposed project directly.

Fringe Benefits – Compensation in addition to direct wages or salaries, such as company car, house allowance, medical and dental insurance, paid holiday, pension plans, subsidized meals, etc.

Indirect Costs - Indirect costs are overhead costs incurred by subrecipients as a result of the project, but that are not easily identified with the specific project. Generally, indirect costs are defined as administrative or other expenses that are not directly allocable to a particular activity or project; rather they are related to overall general planning and are shared among projects and/or functions. Indirect costs are sometimes referred to as "overhead costs."

Indirect Cost Allocation Plan (ICAP)- If subrecipients are planning to charge indirect costs to an planning project, you must submit a plan documenting how charges were calculated and allocated between programs and projects. The plan MUST be reviewed and approved in writing by Caltrans Division of Audits and Investigation as well as FTA. Otherwise, Caltrans will NOT reimburse indirect planning expenses.

In-kind Match - In-kind match are goods and services donated from outside your agency. The value of non-cash charges for real property and equipment, and the value of goods and services must be directly benefiting and specifically identifiable to the project. To be eligible as a match, the monetary value of the in-kind contributions must be documented.

In-kind Valuation Plan - If subrecipients are planning to use in-kind match for local share, you must submit a plan documenting a list of donated goods and services, the fair market value of such goods and services and how the values were determined. The plan MUST be approved by Caltrans DMT as well as FTA. Otherwise, Caltrans will NOT issue a standard agreement for your proposed project.

Job Access Reverse Commute (JARC) – JARC projects are now eligible under Section 5311 Program. A transportation project to finance planning, capital and planning costs that support the development and maintenance of transportation services designed to transport welfare recipients and eligible low-income individuals to and from jobs and activities related to their employment, including transportation projects that facilitate the provision of public transportation services from urbanized areas and rural areas to suburban employment locations.

Labor Union Information - Under the terms of the Special Section 13 (c) Warranty for Application to the Small Urban and Rural program, Caltrans must provide an accurate up-to-date listing of all existing transportation providers in the transportation service area of the project, and any labor organization representing employees of such providers to the Department of Labor.

- Project Description – As identified in the Program of Projects.
- Other Providers – Provide a listing of all surface public transportation providers in the subrecipient's service area.
- Union Representative of Subrecipient's Employees – List union representation including name of organization, contact person, address, telephone number, and email address or indicate "none," if applicable.

Local Share - Local share is subrecipients' revenue generated from local sources such as, but are not limited to, taxing authority, funding received from state, county or municipal sources, other local or private grant awards and revenue generated from other internal activities. Planning assistance consists of 88.53% federal contribution and a 11.47% local match. Please note that source of local funds can NOT be from federal funds such as FTA Section 5310, 5316, or 5317 funds.

Moving Ahead for Progress in the 21st Century Act (MAP-21) – is the new two-year surface transportation authority that provides FTA an authorization level of $10.9 billion in FY 2013 and $10.7 billion in FY 2014.

Procurement Requirements - Recipients/subrecipients seeking federal assistance under the Federal Transit Laws as codified at 49 U.S.C. 5301 et seq. to acquire property or services in support of a proposed project is subject to numerous provisions of law pertaining to third-party procurement requirements. SAFETEA-LU re-codified FTA's procurement requirements in 49 U.S.C. 5325. In addition, regulations promulgated at 49 CFR part 18 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments) establish uniform administrative rules for federal grants, cooperative agreements, and subawards to State, local, and Indian tribal governments (private, non-profit organizations must comply with similar regulations in 49 CFR part 19). Provisions of the common rule pertaining to procurement requirements for FTA recipients that are governmental authorities are set forth at 49 CFR 18.36. Those requirements, as well as other FTA specific provisions, are also set forth in FTA's Master Agreement, FTA MA(13) October 1, 2006, at Section 15, "Procurement," and will be updated annually with issuance of each new Master Agreement. Finally, FTA has published additional guidance on recipient compliance with third-party procurement requirements within the most current FTA Circular 4220 and its "Best Practices Procurement Manual." These regulations and guidance are intended to ensure full and open competition and equitable treatment of all potential sources in the procurement process including planning, solicitation, award, administration, and documentation of all Federally-funded contracts. Each recipient of FTA assistance to acquire property or services in support of its proposed project shall certify to FTA, in accordance with 49 CFR 18.36 that its procurements and procurement system will comply with all applicable third-party procurement provisions of federal laws, regulations, and directives, except to the extent FTA has expressly approved otherwise in writing. Any subrecipient

that fails to provide this certification may be determined ineligible for award of federal assistance if FTA and State determines that its procurement practices and procurement system are incapable of compliance with federal laws, regulations, and directives governing procurements financed with FTA assistance.

Toll Credits - Toll credits provide 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 State is based on revenues generated by toll authorities within the State. Under the provision of 23 U.S.C. 120(j), FHWA oversees the determination of toll credit within each state. For FTA, the effect of utilizing toll credits means that FTA, in essence, provides 100% of the total net project cost. If subrecipients are planning to use toll credit for local share, you MUST coordinate with your MPO and Caltrans before you submit an application to ensure the availability of the credit.