

# Federal Transit Administration (FTA) Section 5339 VEHICLE & EQUIPMENT APPLICATION

## California Department of Transportation Division of Mass Transportation

Federal Fiscal Year \_\_\_\_\_

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Name of Subrecipient: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip Code: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_ E-Mail: \_\_\_\_\_

DUNS Number: \_\_\_\_\_ CCR Number: \_\_\_\_\_

Funding Program: 5339 FTA Amount of Funds Requested: \$ \_\_\_\_\_

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CALIFORNIA DEPARTMENT OF TRANSPORTATION

California Department of Transportation  
Division of Mass Transportation, MS 39  
P.O. Box 942874  
1120 N Street, Room 3300  
Sacramento, CA 95814

<http://www.dot.ca.gov/hq/MassTrans/5339.html>

DMT Mainline (916) 654-8811

**GENERAL INSTRUCTIONS  
STATE OF CALIFORNIA  
FTA SECTION 5339 PROJECT VEHICLE & EQUIPMENT APPLICATION**

1. **Submit scanned PDF copies of the signed (blue ink) pages of this application (pages 9, 10, 23, and 27).**
2. **Submit PDF copies of all required plans and documents with application via email to [5339apps@dot.ca.gov](mailto:5339apps@dot.ca.gov).**
3. The HQ liaison will review the application for completeness using the application checklist, and may contact the applicant for questions and clarification to improve the application (see page 4 for HQ liaison contact information).
4. Applications must be complete and final as submitted. Incomplete applications will be returned to the applicant for revision.
5. The project will NOT be included in the FTA Section 5339 grant until the complete application package including all required supporting documents is received.
6. The application format is provided in a fillable PDF format that can be saved.
7. Review glossary for terms used throughout the application.

# Application Checklist/Table of Contents

Subrecipient: \_\_\_\_\_ County/Region: \_\_\_\_\_

Federal Share \$ \_\_\_\_\_ Local Share \$ \_\_\_\_\_

Funding Source (check one):      Regional Apportionment:  FTA Section 5339 \$ \_\_\_\_\_

**Table of Contents:**

**Checklist (Return  
Applicable Items to Caltrans)**

- |  |                          |
|--|--------------------------|
| 1. Program Overview/Goals  | <input type="checkbox"/> |
| 2. Eligibility   | <input type="checkbox"/> |
| 3. <b>PART I</b> – Certifications and Assurances of the Subrecipient   | <input type="checkbox"/> |
| 4. <b>PART II</b> - Certifications and Assurances of The Metropolitan Planning Organizations/Regional Transportation Planning Agency | <input type="checkbox"/> |
| 5. <b>PART III</b> – Project Description   | <input type="checkbox"/> |
| 6. <b>PART IV</b> – Project Budget Worksheet (Subrecipient)  | <input type="checkbox"/> |
| 7. <b>PART V</b> – Project Budget  | <input type="checkbox"/> |
| 8. <b>PART VI</b> – Labor Union Information  | <input type="checkbox"/> |
| 9. <b>PART VII</b> – Coordination of Services with Social Service Agencies   | <input type="checkbox"/> |
| 10. <b>PART VIII</b> – Transit Security and Emergency Preparedness   | <input type="checkbox"/> |
| 12. <b>PART IX</b> –Civil Rights   | <input type="checkbox"/> |
| 13. <b>PART X</b> –Disadvantage Business Enterprise (DBE)  | <input type="checkbox"/> |
| 14. <b>PART XI</b> - Authorizing Resolution  | <input type="checkbox"/> |
| 15. <b>PART XII</b> - IT/ITS Compliance Plan   | <input type="checkbox"/> |
| 16. <b>PART XIII</b> - Maintenance Plan Checklist  | <input type="checkbox"/> |
| 17. PDF copy of FTA Annual Certifications and Assurances   | <input type="checkbox"/> |
| 18. PDF copy of Federally Approved TIP (If applicable)   | <input type="checkbox"/> |
| 19. PDF copy of Bid Related Documents  | <input type="checkbox"/> |
| 20. PDF copy of Force Account Plan (If applicable)   | <input type="checkbox"/> |

Glossary

Application Prepared By: \_\_\_\_\_

Phone: \_\_\_\_\_

<p><b>PROGRAM OVERVIEW/GOALS</b>  <b>STATE OF CALIFORNIA</b>  <b>FTA SECTION 5339 PROJECT VEHICLE &amp; EQUIPMENT APPLICATION</b></p>
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***Introduction:***

The Federal Transit Administration (FTA) Section 5339 (Bus and Bus Facilities Program) is a new formula program that provides funding for capital projects to replace, rehabilitate, and purchase buses and bus-related equipment, and to construct bus-related facilities. This program was established under Moving Ahead for Progress in the 21st Century (MAP-21), replacing the previous Section 5309 discretionary program established under the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU).

During this initial call for Section 5339 projects, the California Department of Transportation, Division of Mass Transportation, will not be accepting applications to construct bus-facilities. Applications for 5339 funding is limited to projects to replace, rehabilitate and purchase buses, and bus-related equipment and facilities. Projects to construct Section 5339 bus-facilities may be included in future funding years.

Eligible recipients are designated recipients and states that operate or allocate funding to fixed-route bus operators. Eligible subrecipients include public agencies or private nonprofit organizations engaged in public transportation, including those providing services open to a segment of the general public, as defined by age, disability, or low income. For more information about Section 5339 please contact Annette Clark, California Department of Transportation, Division of Mass Transportation, Office of Federal Transit Grants, at (916) 654-8628 or [annette.clark@dot.ca.gov](mailto:annette.clark@dot.ca.gov).

***Funding:***

The funding available to small urban areas with populations between 50,000 and 200,000 for Federal FY 2013 is \$7,381,525. Please refer to Attachment 1 for the distribution for each region. Per the Federal Register dated Oct. 16, 2012 and consultation with FTA Region IX, Caltrans DMT developed the regional apportionment for each region in the small urban areas using the same population formula as FTA Section 5307, based on the 2010 census data.

Due to funding limitations, applicants that are selected may receive less than the amount originally requested. The required local match must come from non-federal Department of Transportation fund sources, such as Transportation Development Act, Local Measures, or Proposition 1B funds. Toll credits can be used as a local share in lieu of a fund source. Section 5339 eligible projects and related federal share and local match are provided below and on Page 5.

<b>Eligible Projects</b>	<b>Federal Share</b>	<b>Local Match</b>
Acquiring vehicles for purposes of complying with the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) or the Clean Air Act. For example: Acquisition of buses for fleet and service expansion, acquisition of replacement vehicles, and bus rebuilds.	85 %	15%
Acquiring vehicle-related equipment or facilities required by the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) or vehicle related equipment or facilities (including clean fuel or alternative fuel vehicle-related equipment or facilities (non-construction) for purposes of complying with or maintaining compliance with the Clean Air Act. For example: passenger shelters and bus stop signs.	90%	10%
Other Bus and Bus Facilities Related Projects. For example: mobile radio units, supervisory vehicles, fare boxes, computers and shop and garage equipment.	80%	20%

<p style="text-align: center;"><b>ELIGIBILITY</b> <b>STATE OF CALIFORNIA</b> <b>FTA SECTION 5339 PROJECT CAPITAL (VEHICLE &amp; EQUIPMENT) APPLICATION</b></p>
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***Eligible Projects:***

Eligible capital projects include projects to replace, rehabilitate, and purchase buses and related equipment and bus-related facilities. Projects to construct Section 5339 bus facilities are not being accepted during this call for projects. The following projects are eligible for Section 5339 funding:

- Acquisition of buses for fleet and service expansion
- Acquisition of replacement vehicles
- Bus rebuilds (for bus rebuild and rehabilitation projects, only over-the-road, large buses are eligible)
- Passenger amenities such as passenger shelters and bus stop signs
- Accessory and miscellaneous equipment such as mobile radio units
- Supervisory vehicles, fare boxes, computers, and shop and garage equipment

***Eligible Subrecipients:***

Public agencies or private nonprofit organizations that operate fixed route services and engage in public transportation, including those providing services open to a segment of the general public, as defined by age, disability, or low income.

**PART I - CERTIFICATIONS AND ASSURANCES  
STATE OF CALIFORNIA  
FTA SECTION 5339 PROJECT VEHICLE & EQUIPMENT 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. 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 that is provided in FTA Circular 9300.1B, located on the FTA Website at:

[http://www.fta.dot.gov/documents/Final\\_C\\_9300\\_1\\_Bpub.pdf](http://www.fta.dot.gov/documents/Final_C_9300_1_Bpub.pdf)

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 its services funded by Section 5339 are, and shall remain, open to the general public.

9. 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 sub recipient 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.

**Prior approval from the DMT Procurement Branch is required before the purchase of goods and services.** To obtain prior approval of purchase and goods and services, contact Caltrans DMT’s Procurement Branch at (916) 654-6990.

10. 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.

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

12. 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”.

13. The subrecipient assures and certifies that it requires its subcontractors 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”.

14. 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.

15. The subrecipient certifies that the subrecipient 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. 5339, or 5339 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. 10. 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.

16. 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.

17. 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 5339 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.

18. 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.

19. The subrecipient certifies that it will submit the “Fiscal Year 2013 **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. Subrecipients receiving 5307 funds may submit a PDF copy of the signature page of the Certification and Assurances submitted to FTA with application.**

20. 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.

21. The subrecipient, providing **complimentary paratransit service**, certifies that they have submitted to the Department an initial plan for compliance with the complimentary paratransit service provision by 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 plan signed and dated \_\_\_\_\_. **(Updated plans must be submitted with application in PDF format.)**

22. 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) if the subrecipient is a non-profit organization. With regards to private for-profit organizations **48 CFR Part 3**.

23. 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 Department's Audits and Investigations are not an allowable expense. **Submit a PDF copy of the plan with application (or PDF copy of the subrecipients' cognizant agency approval of the plan provided to the Department's Audits and Investigations)**. If subrecipient does not bill for indirect cost then an indirect cost allocation plan is not required.

24. 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.

25. 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.

26. 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:**

*(Please Print)*

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**PART II – CERTIFICATIONS AND ASSURANCES OF THE  
MPO/RTPA  
STATE OF CALIFORNIA  
FTA SECTION 5339 PROJECT VEHICLE & EQUIPMENT APPLICATION**

Name-MPO/RTPA: \_\_\_\_\_  
 Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_  
 Phone: \_\_\_\_\_ E-Mail: \_\_\_\_\_  
 Name of Subrecipient: \_\_\_\_\_  
 Project Description: \_\_\_\_\_

<b>Project Amount</b>
<i>Regional Apportionment</i>
5339*
\$

**Federal Transportation Improvement Program - MPO/RTPA**

Document (or Amendment) Number	Document (or Amendment) Year	FHWA/FTA Federally Approved TIP (Date)

**Check all that apply:**

- 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)
- MPO/RTPA 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 acknowledged that my agency is in compliance with certifications and assurances as stated above.

*(Please Print)*

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**(Original signature in BLUE ink)**

<b>PART III – Project Description</b> <b>STATE OF CALIFORNIA</b> <b>FTA SECTION 5339 PROJECT VEHICLE &amp; EQUIPMENT APPLICATION</b>
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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 5339. (Check all that apply.)

- 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.
- Deviated fixed route – Vehicles will travel from point A to point B but go out of the way to pick up or drop off people if necessary.
- ADA paratransit service.

2. Please indicate the geographic area your agency serves. (If your agency serves both rural and urbanized areas, submit a PDF copy of the route map with this application to clearly indicate that 5339 funds will be spent on the small urban area’s route(s)/service only.)

- Small Urban area only (population over 50,000 & under 200,000)
- Both rural and small urban areas

List all cities and counties served by your project:

If your agency serves both rural and small urban areas, please describe the cost allocation methodology your agency uses to segregate rural service costs funded by 5339 from the rural service costs funded by Section 5311 or other rural funds, **and submit a PDF copy of the cost allocation plan with 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 also be utilized on this project? (Check all that apply and provide standard agreement #s or grant# and dollar amount.) \*\*For 5307, the term “receive” means funds have been obligated, and for 5310, 5316 & 5317, the term “receive” means your agency received an executed standard agreement from Caltrans.

- No
- 5310 (Elderly and Disabled Specialized Transit Program)  
SA# \_\_\_\_\_ \$ \_\_\_\_\_
- 5316 (Job Access and Reverse Commute Program)  
Grant# or SA# \_\_\_\_\_ \$ \_\_\_\_\_

- 5317 (New Freedom Program)  
Grant# or SA# \_\_\_\_\_ \$ \_\_\_\_\_
- 5307 (Urbanized Area Formula Program)  
\$ \_\_\_\_\_
- Other FTA funds  
Specify: \_\_\_\_\_ \$ \_\_\_\_\_

5. The proposed capital purchase is for:

- Vehicle(s) (**MUST Submit with application a PDF copy of two (2) quotes with pricing on base vehicle and all options**, go to question #7. Quotes **MUST** be reviewed and approved by Caltrans DMT Procurement prior to issuance of Purchase Order.) To obtain approval of purchase and goods and services, contact Caltrans DMT's Procurement Branch at (916) 654-6990.
- Non- ITS Equipment (**Submit with application a PDF copy of three (3) estimates of like-kind equipment** & Go to question #9)
- Information Technology (IT)/Intelligent Transportation Systems (ITS) Equipment (i.e. Hardware, Software, fareboxes, GPS, AVL, Smart Cards, and Vehicle Maintenance System. (Fill out IT/ITS section [Part XII] of this application for Caltrans review and approval).
- Vehicle(s) Overhaul/Rehabilitation. Please describe the proposed vehicle overhaul/rehabilitation in detail:

6. Do you intend to use your agency's workforce (in-house labor) to perform vehicle overhaul/rehabilitation?

- Yes       No       N/A

7. Indicate the type of the proposed vehicle purchase:

- Vehicle Replacement (Go to question #8, then #9)
- Service Expansion (Go to question #9)

8. List the current vehicle(s) that will be replaced:

Type (Bus, Van, Trolley, etc.)	Class (Type I, III, VII, etc)	Fuel Type	Length	Passenger Capacity	VIN #	Vehicle Age	Mileage

9. List the vehicle(s) your agency proposes to purchase (Go to question #9):

Quantity	Type (Bus, Van, Trolley, etc.)	Class (Type I, III, VII, etc)	Fuel Type	Length	Passenger Capacity	Unit cost	Total cost

\*Note: Manufactured vehicles shall not exceed the Original Equipment Manufacturers Gross Vehicle Weight Rating.

10. List the equipment your agency proposes to purchase:

Quantity	Description of the equipment (fareboxes, AVL, GPS, etc)	Unit cost	Total Costs

11. What is the need for this vehicle/equipment? How did you select the project?

- i. Describe what service improvements would be addressed by acquiring the equipment and/or vehicles?
- ii. If your agency is requesting vehicle(s) replacement, explain why the vehicle(s) replacement is needed.
- iii. If the request for vehicle(s)/equipment is for service expansion, how was the need for the expansion determined?
- iv. If funding for this project is approved, how will the surrounding community benefit?

12. How is your agency's service marketed? (Check all that apply and **submit PDF copies of sample documents for reference with application.**)

- Newspaper       Radio       Flyer  
 Survey           TV/Cable    Other Specify: \_\_\_\_\_  
 Website          Website address: \_\_\_\_\_

13. Do you intend to lease this 5339 funded vehicle(s)/equipment?

- Yes       No

14. What is your proposed method of procurement?

**(Procurement review and approval by Caltrans DMT Procurement staff must occur prior to issuance of Purchase Order for all purchases.)** To obtain prior approval of purchase and goods and services, contact Caltrans DMT's Procurement Branch at (916) 654-6990.

- Local Procurement (**Submit PDF copies of RFP/IFB/RFQ and Bid Package with application**)  
 Three-like kind bids/quotes (**Submit PDF copies of three-like kind bids/quotes with application**)  
 Non-Local Procurement/Piggyback (**Submit PDF copies of assignability letter and \*Piggyback Worksheet with application**)  
 Sole Source (**Submit PDF copy of \*Sole Source Justification with application**)  
 Other Specify: \_\_\_\_\_

\*For more detailed information regarding procurement, including the Piggyback Worksheet and Sole Source Justification can be found at <http://www.dot.ca.gov/hq/MassTrans/Procurement-Grants-Management.html>.

15. Fill out the proposed procurement schedule:

Procurement Schedule	Date
Bid Package to Caltrans	
Issue Purchase Order to Vendor	
Delivery/Installation	
Place into Service	

16. 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 2011-12, the report was due to the SCO on March 31, 2013.

Yes       No

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

Yes      (**Submit a PDF copy of your Agency's EEO Plan with application.** Please disregard if you already submitted EEO Plan during the 5311 grant application process.)

No

**\*Note: At all times while the PROJECT property is in the possession or control of the subrecipient, the subrecipient shall be the registered owner and STATE shall be the legal owner or lien holder. The subrecipient shall not transfer ownership of the PROJECT property at any time while the standard agreement is in effect. As the lien holder, the STATE may take possession of the PROJECT property, as a result of the subrecipient's non-compliance with contract terms or by mutual agreement between the STATE and the subrecipient. The STATE shall retain the original Certificate of Title until such time that disposition of the PROJECT property is released by the STATE to the subrecipient or other appropriate party as outlined in Exhibit D, Paragraph 4 of the standard agreement.**

<b>PART IV –PROJECT BUDGET WORKSHEET (SUBRECIPIENT)</b> <b>STATE OF CALIFORNIA</b> <b>FTA SECTION 5339 PROJECT VEHICLE &amp; EQUIPMENT APPLICATION</b>
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**PROJECT BUDGET WORKSHEET (Subrecipient)** The worksheet provides annual expense categories that applicants should use to calculate project eligible expenses for work done “in-house.” The information in this worksheet should be used in completing project budget on page 16.

**1. Direct Labor**

(Job Title/Classification)	Description of Task Performed	Hours	Hourly Rate	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. <sup>1</sup>Indirect cost(s) (Overhead and Fringe Benefits):**

Overhead Rate \_\_\_\_\_% \$ \_\_\_\_\_

**6. Total Costs:** \$ \_\_\_\_\_

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<sup>1</sup> Must have approved ICAP

<b>PART V - PROJECT BUDGET / CAPITAL</b> <b>STATE OF CALIFORNIA</b> <b>FTA SECTION 5339 PROJECT VEHICLE &amp; EQUIPMENT APPLICATION</b>
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**Subrecipient:** \_\_\_\_\_

**Project Description:** \_\_\_\_\_

<b>ITEM DESCRIPTION</b>	<b>COST</b>
(Submit a PDF copy of quote or three like-kind bids with application)	
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
<b>NET PROJECT COST:</b>	\$ _____

**LOCAL SHARE**

(Itemize by Fund Source (State, County & City))

\*Local Share can NOT be from other Federal DOT funds.

	<b>AMOUNT</b>
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
<b>TOTAL LOCAL SHARE* = Allowable Percentage _____%</b>	\$ _____
<b>TOTAL FEDERAL SHARE* = Allowable Percentage _____%</b>	\$ _____

**PART VI – LABOR UNION INFORMATION FOR SECTION 13(c) CERTIFICATION  
STATE OF CALIFORNIA  
FTA SECTION 5339 PROJECT VEHICLE & EQUIPMENT APPLICATION**

Name of Subrecipient: \_\_\_\_\_

Union Representation of Subrecipient's Employees

Organization Name: \_\_\_\_\_  
 Contact Person: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 (required) Email : \_\_\_\_\_

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

**PART VII – DESCRIPTION OF EFFORTS TO COORDINATE SERVICES  
WITH SOCIAL SERVICE AGENCIES  
STATE OF CALIFORNIA  
FTA SECTION 5339 PROJECT VEHICLE & EQUIPMENT 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	<input type="checkbox"/>	<input type="checkbox"/>
Sharing vehicles with other agencies	<input type="checkbox"/>	<input type="checkbox"/>
Providing information to riders/patrons on other available services	<input type="checkbox"/>	<input type="checkbox"/>
Working with CTSA or other agencies to coordinate trips	<input type="checkbox"/>	<input type="checkbox"/>
Utilize pre-paid fare media with other agencies	<input type="checkbox"/>	<input type="checkbox"/>
Coordinate with Medical, CalWorks or Employment Programs	<input type="checkbox"/>	<input type="checkbox"/>
Other: _____		

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

4. Will this service funded by 5339 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 5339 PROJECT VEHICLE & EQUIPMENT APPLICATION**

1. Are there Title VI complaint policies and procedures?  Yes  No
2. Are procedures for filing complaints (organization name, phone numbers, etc.) readily accessible to riders and employees?  Yes  No
3. Please provide the following information:
  - 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 organizations other than the subrecipient (i.e. Caltrans and/or FTA)?  Yes  No  
If so, who:
  
7. Has a federal (FTA) civil rights compliance review performed within the past year?  Yes  No  
If yes, provide 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:
  
8. \*Special Requirements for first-time applicants\*
  - A. If previously received other Federal funding, the applicant must provide information regarding Title VI compliance history, including 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

B. A brief description of any pending applications for Federal funding

C. Did any Federal agency find the applicant to be in noncompliance with any civil rights requirement?  Yes  No

**PART X – Disadvantage Business Enterprise (DBE)**  
**STATE OF CALIFORNIA**  
**FTA SECTION 5339 PROJECT CAPITAL (VEHICLE & EQUIPMENT) APPLICATION**

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 & 7)     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](http://www.fta.dot.gov/civilrights/dbe/civil_rights_5771.html)

**PART XI - AUTHORIZING RESOLUTION  
STATE OF CALIFORNIA  
FTA SECTION 5339 PROJECT CAPITAL (VEHICLE & EQUIPMENT) APPLICATION**

**RESOLUTION NO.** \_\_\_\_\_

RESOLUTION AUTHORIZING THE FEDERAL FUNDING UNDER FTA SECTION 5339 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 projects for non-urbanized public transportation systems under Section 5339 of the Federal Transit Act (FTA Circular 9300.1B); and

**WHEREAS**, the California Department of Transportation (Department) has been designated by the Governor of the State of California to administer Section 5339 grants for transportation projects for bus and bus facilities; and

**WHEREAS**, *[subrecipient]* desires to apply for said financial assistance to permit purchase of capital equipment/vehicle overhaul/rehabilitation in *[subrecipient's service area or county]*; and

**WHEREAS**, the *[subrecipient]* 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 *[subrecipient]* does hereby authorize *[Name/Title or Title of designated representative]*, to file and execute applications on behalf of *[subrecipient]* with the Department to aid in the financing of capital assistance projects pursuant to Section 5339 of the Federal Transit Act (FTA Circular 9300.1B); as amended.

That *[Name/Title or Title of designated representative]* is authorized to execute and file all certification of assurances, contracts or agreements or any other document required by the Department.

That *[Name/Title or Title of designated representative]* is authorized to provide additional information as the Department may require in connection with the application for the Section 5339 projects.

That *[Name/Title or Title of designated representative]* is authorized to submit and approve request for reimbursement of funds from the Department for the Section 5339 project(s).

**PASSED AND ADOPTED** by the *[subrecipient]* of the *[Sample County]*, State of California, at a regular meeting of said Commission or Board Meeting held on the ## of *[Month]*, 20## by the following vote:

AYES: \_\_\_\_\_  
NOES: \_\_\_\_\_  
ABSENT: \_\_\_\_\_

**<<Insert ANY/ALL Pertinent Signatures (as applicable),**

**Titles and Dates>>**

**(Original signature in BLUE ink)**



6. To be compliant with Federal ITS regulations, federally funded ITS projects must be consistent with a regional ITS Architecture or have a project-level architecture. If there is no regional ITS Architecture Plan or one is not being maintained and updated, then a “project specific architecture” must be planned, developed and approved through the ITS architecture implementing agency process. Please provide the contact information for the agency in charge of the Local or Regional ITS Architecture Plan:

Name of ITS Architecture Plan \_\_\_\_\_  
 Contact Name \_\_\_\_\_  
 Title \_\_\_\_\_  
 Telephone Number \_\_\_\_\_  
 E-mail \_\_\_\_\_  
 Date of Contact(s) \_\_\_\_\_

Provide documentation that indicates you have made contact with the ITS Architecture Implementing Agency Team, and confirms that your agency is a documented stakeholder to the ITS Architecture planning and development process (**submit documentation in PDF format with application.**) The documentation should also verify that the ITS project is included in the Regional ITS Architecture Plan. (**Submit with application PDF copies of the page(s) of the Plan where the ITS project is identified**)

7. Does the project require integration or is the project a stand-alone system or a COTS with minimal integration?

Integrated system  No  Yes  
 Stand-alone system  No  Yes

8. If the project requires integration, what systems will be integrated?

a) When will the system integration take place?  
 1-2 years;  2-3 years;  3-4 years;  4-5 years;  > 5 years  
 b) What other entities (public or private) will be part of the systems integration?

9. If the project is a stand-alone system or a COTS, are there plans to integrate systems in the future? Please note that stand-alone systems or COTS that have the potential for future integration, are considered an ITS project and the systems engineering analysis process must be applied.

No. Please explain why.  
 Yes. How will the integrated system be coordinated with a Local or Regional ITS plan? Please describe the agency or agencies, the coordination effort, and the plan for future systems integration.

10. Data Collection:

a) Does the agency intend to collect data with their ITS System?  No  Yes  
 b) If yes, what will the data be used for?  
 c) If the agency plans to collect data, is it for public use or private use or both? Please explain.

d) If another public or private entity is interested in their data, will they give the data away for free or charge a fee for it?

e) How will the data be stored?

11. Does the agency have a license for use?  No  Yes

If multiple systems are to be integrated, do all entities have a license for use, an agreement, permit, or approval by the vendor?  No  Yes

12. Briefly describe the implementation plan for the procurement of the ITS Project as follows:

- Procurement and Installation Schedule
- Testing and Acceptance Plan/Schedule
- System Maintenance Plan
- Type of Warranties and Length of Warrantees
- Training Plan

13. List any special hardware devices or equipment this system must interface or “connect to” and how this special hardware will be interfaced with the project equipment.

14. Describe your agency’s policies to protect the federal investment throughout useful life and ensure adequate system performance to minimize repairs and replacements.

15. Has your agency established a process for the systems engineering analysis of ITS projects?  No  Yes  
If yes, please describe the systems engineering analysis process that was or will be completed for this ITS project.

16. Describe how the agency will administer and manage the acquisition once a contract is awarded.

**Certifying Representative:**

I certify the requested commodities and/or services are correct and any items purchased comply with 49 CFR Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, or 49 CFR Part 19, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, FTA Circular 4220.1F- Third Party Contracting Guidance, and the FTA Best Practices Procurement Manual.

By signing below, I have read and acknowledged that my agency is in compliance with the National ITS Architecture, PL 105-178 Section 5206(e), Federal Register, January 2, 2001 (Volume 66, No. 5, pp 1455-1459).

For more information about ITS and ITS training, visit these Websites:

- |   |   |
|---|---|
| <a href="http://www.itsa.org">http://www.itsa.org</a>   | <a href="http://www.citeconsortium.org/courses/2mod5.html">http://www.citeconsortium.org/courses/2mod5.html</a>                               |
| <a href="http://www.its.dot.gov">http://www.its.dot.gov</a>   | <a href="http://www.pcb.its.dot.gov/factsheets/avl/avlRur.pdf">http://www.pcb.its.dot.gov/factsheets/avl/avlRur.pdf</a>                       |
| <a href="http://www.ntionline.com">http://www.ntionline.com</a>   | <a href="http://www.pcb.its.dot.gov/factsheets/factsheets.asp">http://www.pcb.its.dot.gov/factsheets/factsheets.asp</a>                       |
| <a href="http://www.pcb.its.dot.gov/">http://www.pcb.its.dot.gov/</a>   | <a href="http://www.ops.fhwa.dot.gov/its_arch_imp/policy.htm">http://www.ops.fhwa.dot.gov/its_arch_imp/policy.htm</a>                         |
| <a href="http://www.iteris.com/itsarch/">http://www.iteris.com/itsarch/</a>                                     | <a href="http://www.ops.fhwa.dot.gov/its_arch_imp/training.htm">http://www.ops.fhwa.dot.gov/its_arch_imp/training.htm</a>                     |
| <a href="http://www.itscosts.its.dot.gov/">http://www.itscosts.its.dot.gov/</a>                                 | <a href="http://www.ops.fhwa.dot.gov/its_arch_imp/guidance.htm">http://www.ops.fhwa.dot.gov/its_arch_imp/guidance.htm</a>                     |
| <a href="http://www.its.dot.gov/faqs.htm">http://www.its.dot.gov/faqs.htm</a>                                   | <a href="http://www.ops.fhwa.dot.gov/its_arch_imp/resources.htm">http://www.ops.fhwa.dot.gov/its_arch_imp/resources.htm</a>                   |
| <a href="http://www.fta.dot.gov/12351_8827.html">http://www.fta.dot.gov/12351_8827.html</a>                     | <a href="http://www.ops.fhwa.dot.gov/int_its_deployment/index.htm">http://www.ops.fhwa.dot.gov/int_its_deployment/index.htm</a>               |
| <a href="http://www.fta.dot.gov/12351_7639.html">http://www.fta.dot.gov/12351_7639.html</a>                     | <a href="http://www.pcb.its.dot.gov/factsheets/maint/mntOve_print.htm">http://www.pcb.its.dot.gov/factsheets/maint/mntOve_print.htm</a>       |
| <a href="http://www.ops.fhwa.dot.gov/its_arch_imp/faq.htm">http://www.ops.fhwa.dot.gov/its_arch_imp/faq.htm</a> | <a href="http://www.pcb.its.dot.gov/factsheets/security/secOve_print.htm">http://www.pcb.its.dot.gov/factsheets/security/secOve_print.htm</a> |

**Certifying Representative:**

By signing below, I have read and acknowledged that my agency is in compliance with National ITS Architecture, PL 105-178 Section 5206(e), Federal Register, January 2, 2001 (Volume 66, No. 5, pp 1455-1459).

*(Please Print)*

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**(Original signature in BLUE ink)**

**PART XIII - REVIEW CHECKLIST FOR SUBRECIPIENT'S VEHICLE  
MAINTENANCE PLAN  
STATE OF CALIFORNIA  
FTA SECTION 5339 PROJECT CAPITAL (VEHICLE & EQUIPMENT) APPLICATION**

Answer the following questions regarding the vehicle maintenance plan:

1. Does your agency have a current written vehicle maintenance plan for all FTA funded rolling stock?  Yes  No

**A PDF copy of the Maintenance Plan must be submitted with application.**

2. Does the vehicle maintenance plan include goals and objectives? (Page \_\_\_\_\_)

Yes  No

3. Does your agency have a preventive maintenance checklist for all FTA funded rolling stock?

Yes  No

4. Are the maintenance plan and preventive maintenance checklist consistent with the current operating fleet?

Yes  No

5. Are the maintenance plan and preventive maintenance checklist consistent with manufacturer's minimum maintenance requirements under warranty?

Yes  No

6. How does your agency track the manufacturer's recommendations and updates on requirements?

7. What is your agency's schedule for vehicle preventive maintenance? Are they completed on time?

8. Does your agency's vehicle maintenance plan address maintenance procedures for wheelchair lifts and other accessibility features? (Page \_\_\_\_\_)

Yes  No

9. Do maintenance records indicate that other accessibility features (e.g. kneelers, ramps, etc.) are maintained in operative condition?

Yes  No

**FTA SECTION 5311 GLOSSARY**  
**STATE OF CALIFORNIA**  
**FTA SECTION 5339 PROJECT CAPITAL (VEHICLE& EQUIPMENT) APPLICATION**

**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 submit a PDF copy of the signature page of the Certification and Assurances submitted to FTA with application.**

**Authorized Resolution by Planning Agency and/or Subrecipients** - The resolution must identify the Section 5339 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.

**Charter Service** – Transportation provided by a recipient at the request of a third party for the exclusive use of a bus or van for a negotiated price, such as:

- A third party pays the transit provider a negotiated price for the group;
- (Any fares charged to individual members of the group are collected by a third party;
- The service is not part of the transit provider's regularly scheduled service, or is offered for a limited period of time; or
- A third party determines the origin and destination of the trip as well as scheduling; or

Transportation provided by a recipient to the public for events or functions that occur on an irregular basis or for a limited duration and:

- A premium fare is charged that is greater than the usual or customary fixed route fare; or
- The service is paid for in whole or in part by a third party.

Note: Charter Service does NOT include demand response services to individuals.

**Copy of FTIP/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.

**Force Account Plan** (If Applicable) - One of the four conditions may warrant the use of a subrecipient's own labor forces. These are: 1) cost savings, 2) exclusive expertise, 3) safety and efficiency of operations, and 4) union agreement. Force account work may consist of design, construction, refurbishment, inspection, and construction management activities. Incremental labor costs from flagging protection, service diversions or other activities directly related to a capital grant may also be defined as force account work. If applicable, subrecipients **must submit a PDF copy of the Force Account Plan with application.**

**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 operations 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 operating 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 operating 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.

**Intelligent Transportation Systems (ITS)** - ITS means electronics, communications or information processing used singly or in combination to improve the efficiency or safety of a surface transportation system. Examples include: Computer Hardware, Software, Fareboxes, Global Positioning Systems (GPS), Automatic Vehicle Locators (AVL), computer-aided dispatch (CAD), Electronic Fare payment (Smart Card), and Vehicle Maintenance Systems.

In accordance with 23 CFR Parts 655 and 940 and the Federal Transit Administration (FTA)'s Annual “Certifications and Assurances,” ITS projects shall conform to the National ITS Architecture and standards. Conformance with the National ITS Architecture is interpreted to mean the use National ITS Architecture to develop a regional ITS architecture (plan) in support of integration and the subsequent adherence of all ITS projects to that regional ITS architecture (plan). Development of the regional ITS architecture (plan) should be consistent with the transportation planning process for Statewide and Metropolitan Planning (49 CFR Parts 613 and 621).

**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. Please note that source of local funds can NOT be from federal funds such as FTA Section 5307, 5310, 5311, 5316, or 5317 funds.

**Maintenance Plan** - Subrecipients are required to develop written maintenance plans for FTA funded facilities, vehicles, and equipment. The plan should identify the goals and objectives of a maintenance program and establish the means by which such goals and objective will be attained. In the maintenance plans, periodic reporting, maintenance record review, visual inspections, and maintenance audits should also be addressed. **A PDF copy of the Maintenance Plan must be submitted with application.**

**Moving Ahead for Progress in the 21<sup>st</sup> 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.

**Procurement review and approval by Caltrans DMT Procurement staff must occur prior to issuance of Purchase Order for all purchases.** To obtain prior approval of purchase and goods and services, contact Caltrans DMT's Procurement Branch at (916) 654-6990.

**Toll Credits** - Toll credits can be used in lieu of a project's local share for certain expenditures. Toll credits are 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.

**Federal Transit Administration Section 5339  
Small Urban Formula Distribution**

<b>California</b>	<b>\$7,381,525</b>
Arroyo Grande-Grover Beach, CA	\$ 85,828
Camarillo, CA	\$ 146,615
Chico, CA	\$ 184,835
Davis, CA	\$ 202,556
Delano, CA	\$ 158,222
El Centro-Calexico, CA	\$ 233,690
El Paso de Robles (Paso Robles)-Atascadero, CA	\$ 102,622
Fairfield, CA	\$ 279,594
Gilroy-Morgan Hill, CA	\$ 158,851
Hanford, CA	\$ 176,443
Hemet, CA	\$ 337,885
Livermore, CA	\$ 169,056
Lodi, CA	\$ 168,811
Lompoc, CA	\$ 136,468
Madera, CA	\$ 167,500
Manteca, CA	\$ 189,181
Merced, CA	\$ 259,390
Napa, CA	\$ 170,991
Petaluma, CA	\$ 124,504
Porterville, CA	\$ 148,012
Redding, CA	\$ 166,621
Salinas, CA	\$ 414,544
San Luis Obispo, CA	\$ 112,594
Santa Barbara, CA	\$ 418,774
Santa Cruz, CA	\$ 305,151
Santa Maria, CA	\$ 328,423
Seaside-Monterey, CA	\$ 219,495
Simi Valley, CA	\$ 291,009
Tracy, CA	\$ 201,862
Turlock, CA	\$ 227,923
Vacaville, CA	\$ 195,187
Vallejo, CA	\$ 380,183
Watsonville, CA	\$ 148,965
Woodland, CA	\$ 141,332
Yuba City, CA	\$ 227,320
Yuma, AZ--CA	\$ 1,086